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Cyngor Sir
CEREDIGION
County Council

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Aberaeron, Ceredigion SA46 0PA
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At the start of the meeting the Chair will confirm if all or part of the meeting is being filmed.

1 March 2022

Dear Sir / Madam

I write to inform you that a MEETING of COUNCIL will be held remotely via video conferencing on Thursday, 3 March 2022 at 10.00 am for the transaction of the following business:

1. **Apologies**
2. **Disclosure of personal / prejudicial interests**
3. **Personal matters**
4. **A verbal update by the Leader of the Council in relation to COVID-19**
5. **To confirm the Minutes of the Meetings of the Council held on 27 January 2022 (Pages 3 - 8)**
6. **To consider the Joint Report of the Leader, Cabinet Member with responsibility for Financial Services and the Corporate Lead Officer: Finance and Procurement upon the Budget for 2022/23, including the Three-Year Capital Programme and Prudential Indicators for Capital and Treasury Management (Pages 9 - 82)**
7. **To consider the report of the Corporate Lead Officer: Finance and Procurement upon Council Tax Setting for 2022/22 (Pages 83 - 94)**
8. **To consider the report of the Corporate Lead Officer: Finance and Procurement upon the Council's Treasury Management Policy Statement, Treasury Management Strategy and Minimum Revenue Provision (MRP) Policy for 2022/23 (Pages 95 - 96)**
9. **To consider the report of the Corporate Lead Officer: Policy, Performance and Public Protection upon a Review of the Statutory Statement of Gambling Policy (Pages 97 - 180)**
10. **To consider the report of the Corporate Lead Officer: Porth Gofal upon the West Wales Population Assessment 2022 (Pages 181 - 202)**

11. **To consider the report of the Corporate Lead Officer: Porth Gofal upon the West Wales Market Stability Report 2022: Executive Summary (Pages 203 - 216)**
12. **To consider the report of the Corporate Lead Officer: Economy and Regeneration upon Membership of the Local Access Forum (Pages 217 - 230)**
13. **To consider the report of the Corporate Lead Officer: Economy and Regeneration upon the Community Housing Proposal (Pages 231 - 268)**
14. **To consider the report of the Corporate Lead Officer: Legal and Governance upon changes to the Council's Constitution (Pages 269 - 536)**
15. **To consider the report of the Corporate Lead Officer: Legal and Governance upon the Draft Annual Governance Statement 2021-22 (Pages 537 - 704)**
16. **To consider the report of the Corporate Lead Officer: People and Organisation upon the Approval of Teacher Pay Policies (Pages 705 - 826)**
17. **To consider the report of the Corporate Lead Officer: People and Organisation upon the Council's proposed Pay Policy for 2022-23 (Pages 827 - 860)**
18. **Addendum Report - Urgent Supplementary Report in relation to the Council's Pay Policy for 2022/23 (Pages 861 - 894)**

A Translation Service will be provided at this meeting and those present are welcome to speak in Welsh or English at the meeting.

Yours faithfully



Miss Lowri Edwards
Corporate Lead Officer: Democratic Services

To: Chairman and Members of Council

**Minutes of the Meeting of COUNCIL
held remotely via video-conference on
Thursday, 27th January, 2022**

PRESENT: Councillor Paul Hinge (Chairman), Councillors Gareth Davies, John Adams-Lewis, Ellen ap Gwynn, Bryan Davies, Ceredig Davies, Clive Davies, Euros Davies, Gethin Davies, Ifan Davies (Vice-Chair), Marc Davies, Meirion Davies, Odwyn Davies, Rhodri Davies, Dafydd Edwards, Endaf Edwards, Lloyd Edwards, Elaine Evans, Keith Evans, Rhodri Evans, Hag Harris, Catherine Hughes, Gwyn James, Alun Lloyd Jones, Matthew Woolfall Jones, Maldwyn Lewis, Gareth Lloyd, Lyndon Lloyd MBE, Dai Mason, Catrin Miles, Dan Potter, Ray Quant MBE, Rowland Rees-Evans, John Roberts, Lynford Thomas, Wyn Thomas, Alun Williams and Ivor Williams

(10.00am - 11.54am)

Procedure

The Chairman of the Council, Councillor Paul Hinge welcomed all to the meeting and confirmed that the meeting was being webcasted.

The Council observed a minutes' silence in remembrance of the International Holocaust Memorial Day.

1 Apologies

Councillor Elizabeth Evans apologised for her inability to attend the meeting due to being on other Council duties;
Councillors Gareth Davies, Peter Davies MBE and Mark Strong apologised for their inability to attend the meeting.

2 Disclosure of personal / prejudicial interests

There were no declarations of personal or prejudicial interest.

3 Personal matters

- a) Councillor Rhodri Evans congratulated Mr Gwynne Davies on being elected Honorary Director of the Sheep Section of the Royal Welsh Agricultural Show;
- b) Councillor Lyndon Lloyd noted his appreciation to Mrs Mary Jones who gave 36 years of excellent service to Dyfed and to Ceredigion County Council, working in the front-line in Social Services;
- c) Councillor Ellen ap Gwynn extended her condolences to Councillor Euros Davies on the loss of his father;
- d) Councillor Ellen ap Gwynn extended her condolences to Non Davies on the loss of her father;
- e) Councillor Ellen ap Gwynn extended her condolences to Helen Harries on the loss of her husband;
- f) Councillor Ellen ap Gwynn noted that this has been a very difficult time for Councillor Gareth Davies after losing his son. He has asked Councillor Ellen ap Gwynn to express his thanks for all the support received. A fund was set up in memory of Daniel, which has raised £18,000 for Papyrus, a charity which provides support to prevent suicide among young people;

- g) Councillor Ellen ap Gwynn noted that Councillor Mark Strong is still in hospital, however he is improving and greatly appreciates all the messages of support received;
- h) Councillor Ellen ap Gwynn extended a welcome to James Starbuck, Corporate Director to his first Council meeting;
- i) Councillor Ellen ap Gwynn congratulated Nicola Davies on her appointment as Chairman of the Royal Welsh Agricultural Show;
- j) Councillor Euros Davies thanked Councillor Ellen ap Gwynn for her kind words, and the messages of sympathy received.

4 A verbal update by the Leader of the Council in relation to COVID-19

Councillor Ellen ap Gwynn gave a verbal update in relation to COVID-19 in Ceredigion. She noted that there has been an additional 33 reported cases of infections reported today in Ceredigion, contributing to a total of 10,580 cases since the start of the pandemic. The current rate has reduced to 209.1 per hundred thousand with a positivity rate of 21.7%. However, only PCR tests are currently being reported daily as not all LFT test now require a follow up PCR test, and internal data would suggest that the figures are twice that reported.

Cases are especially prevalent among primary school age children, , which places pressure on schools, however I believe that all schools in Ceredigion are currently operational.

Three of the Council's care homes are categorised red due to COVID-19 cases among staff, and the situation at Bronglais Hospital has improved and the two wards affected have now been re-opened. On Monday there were 112 patients in hospital across the whole of the Hywel Dda University Health Board area, however none of these were in intensive care.

The Council operated Leisure Centres and Swimming Pools will all be open from Monday, with COVID restrictions in place including the wearing of masks when moving around, and contact sports restricted to outdoors. Members of the public will need to book in advance and asked to pay by card.

Libraries will also recommence, access to computers by prior reservation, for a period of up to one hour. Members of the public will also be able to browse the books whilst wearing a mask, and the Archives will be open by appointment. The Museum and Shop have re-opened on Thursday, Friday and Saturdays between 11am and 4pm.

The current regulations will apply in Schools until half-term, and reviewed prior to returning after half term. The January examinations were held successfully, and the Welsh Minister stated that the Summer examinations will proceed as usual, with discussion continuing regarding this.

Staffing of Waste Services has returned to its full capacity and the problems experienced at the beginning of the month have been overcome and the service resumed to normal.

5 To confirm the Minutes of the Meetings of the Council held on 9 December 2021

It was **RESOLVED** to confirm as a true record the Minutes of the Council meeting held on 9th December 2021, subject to an amendment confirming that Councillor Euros Davies was not present at the commencement of the meeting, however he did join the meeting later.

6 Report of the Corporate Lead Officer for Finance and Procurement upon the requirement to adopt a Council Tax Reduction Scheme by 31 January 2022

Councillor Gareth Lloyd, Cabinet Member for Finance and Procurement Services and Public Protection presented the report noting that, in accordance with the Council Tax Reduction Schemes and Prescribed Requirements (Wales) Regulation 2013 it is a requirement for local authorities to consider whether to revise or replace their existing scheme on an annual basis, and to consult with any person it considers are likely to have an interest in the operation of its scheme where any revisions are proposed.

Members asked whether information could be provided as to the percentages of eligible persons that claim the discretionary allowance, and asked whether the scheme could be extended to include additional categories. It was noted that the Corporate Resources Overview and Scrutiny would be the most appropriate forum to review this data.

Following a vote, it was **RESOLVED** to:

1. note the making of the Council Tax Reduction Schemes (Prescribed Requirements and Default Scheme) (Wales) (Amendment) Regulations 2022;
2. adopt the provisions of the Prescribed Requirement Regulations (2013) as the Council's Council Tax Reduction Scheme for 2022/23, subject to the local discretions that the Council is able to exercise as set out below:
 - (i) continue to apply a 100% disregard beyond the statutory £10 disregard for War Disablement Pensions, War Widows' Pensions and War Widowers' Pensions, for both pensioners and working age claimants;
 - (ii) that no increase in the extended payment periods for pensioners and working age claimants be applied from the standard four weeks currently contained within the Prescribed Scheme;
 - (iii) that no increase in the backdate period for pensioners and working age claimants be applied from the standard 3 months contained within the Prescribed Scheme.

7 Report of the Corporate Lead Officer for Democratic Services upon Members of the Committee of the Council for the remainder of the 2021-2022 Municipal Year

Councillor Ray Quant, Deputy Leader and Cabinet Member for Legal and Governance, People and Organisation and Democratic Services, presented the report noting that following the resignation of Councillor Lloyd Edwards from the Liberal Democrats Political Group, he is now representing his Ward

as an Un-grouped Independent Member. With the agreement of the Leader of the Liberal Democrats Political Group, it is proposed that Councillor Lloyd Edwards retains membership of the three Committees, and that by default, the Liberal Democrats would lose a seat on each of these Committees:

- Licensing Committee
- Democratic Services Committee
- Learning Communities Overview and Scrutiny Committee.

It was noted for accuracy that in Appendix A the Ethics and Standards Committee has appointed Caroline White as Chairman, and John Weston as Vice-Chairman and appointed two new members namely Caryl Davies and Alan Davies in place of Hywel Wyn Jones and Rif Winfield.

Following a vote, it was **RESOLVED** to approve the appointment of Members of the Council to the Committees for the remainder of the 2021-2022 Municipal Year, subject to the amendments noted.

8 Report of the Corporate Lead Officer for Democratic Services upon the Number of Councillors on each Committee from May 2022

Councillor Ray Quant, Deputy Leader and Cabinet Member for Legal and Governance, People and Organisation and Democratic Services, presented the report noting that the number of Councillors will reduce from 42 to 38 from May 2022, however the workload the remain the same, if not increase during this time. As a result, a Cross Party Task and Focus Group was established and Chaired by Councillor Ceredig Davies to review membership of the Council's committees.

It was noted that the Senior Salaries position would remain at 17, and that due to the number of positions exceeding the allowance, the Chair of Democratic Services Committee and the Chair of the Language Committee have not been remunerated. Members asked that this be reviewed during the new administration in light of the Governance and Audit Committee being Chaired by a Lay Member from May 2022. Members also referred to the remit of the Overview and Scrutiny Committee which could be reviewed during the new administration.

Following a vote, it was **RESOLVED** in accordance with the recommendation of the Task and Finish Groups to approve the following, effective from 5th May 2022:

- a) To reduce the membership of the Licensing Committee (both the Statutory and non-Statutory Committee) from 15 to 11;
- b) To reduce the membership of the Development Control Committee from 21 to 15;
- c) To reduce the membership of the four thematic Overview and Scrutiny Committees from 17 to 13;
- d) To amend the Council's Constitution accordingly; and
- e) That all other committees will remain as present.

9 Report of the Corporate Lead Officer for Democratic Services upon Elected Member Role Descriptors

Councillor Ray Quant, Deputy Leader and Cabinet Member for Legal and Governance, People and Organisation and Democratic Services, presented the report noting that the Council adopted the first generic WLGA Role Descriptors in 2012. These role descriptors have now been reviewed and updated by the WLGA, and reflect changes to legislation.

The revised role descriptors were considered by the Democratic Services Committee at its meeting on 15th October 2021 and recommended for approval by Council.

Following a vote, it was **RESOLVED** to approve the revised set of generic Member Role Descriptors as per Appendix B of the report.

10 Report of the Statutory Director of Social Services with Feedback from the Healthier Communities Overview and Scrutiny Committee

Councillor Catherine Hughes noted that this a historic report which describes how Ceredigion County Council Social Services has performed during 2019–2020 in the context of major operational changes in the operating environment. Due to the outbreak of COVID in March 2020 the Welsh Government extended the timeframe for the completion of the report in order to deliver essential services, which is reflected in this report. The report was completed by Donna Pritchard, Acting Director of Social Services at that time, and she thanked everyone for their hard work and diligence during this time.

Councillor Alun Williams noted that the current situation across Wales is very difficult with a lack of funding, lack of staff and an increasing demand on an already stretched system. The report outlines the breadth of care provided, and will be the last report presented during this administration. The Service's work is currently being transferred to a through age, prevention focussed service, using the signs of safety model which is slowly bringing benefits. He thanked Officers for their work in pursuing the transformation diligently and maintaining services so well in very difficult times.

Councillor Bryan Davies, Chairman of the Healthier Communities Overview and Scrutiny Committee acknowledged the impact of COVID-19 on the data, noting that the report had been welcomed by the Committee.

The Statutory Director of Social Services presented the report identifying key highlights including the National Safeguarding Week, the Adverse Childhood Experiences programme of work and very positive inspections and feedback by CIW which were well received,

Councillor Ellen ap Gwynn thanked Officers and all staff for all their work over the past two very demanding years.

The content of the report was noted by Council.

Confirmed at the Meeting of the Council held on 3 March 2022

CHAIRMAN: _____

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CYNGOR SIR CEREDIGION COUNTY COUNCIL

Report to:	Council
Date of meeting:	3rd March 2022
Title:	Joint Report of the Leader, Cabinet Member with responsibility for Finance & Procurement, the Chief Executive and the CLO – Finance and Procurement upon the Budget for 2022/23, including the Capital Strategy, the Three-Year Capital Programme and Prudential Indicators for Capital and Treasury Management.
Purpose of Report:	To approve the Net Revenue Estimates for 2022/23; to determine the level of Council Tax for County Council purposes for 2022/23; to approve the Capital Strategy, the Three-year Capital Programme and Prudential Indicators.
For:	Decision
Cabinet Portfolio:	Cllr Ellen ap Gwynn, Leader of the Council, and all Cabinet Members

1. INTRODUCTION

Cabinet considered and approved the report on the draft Revenue Budget for 2022/23 and the 3 year Capital Programme at their meeting held on 2nd February 2022. The reports set out the full details of the budget process and were based on the WG Provisional settlement received and the information available at the time. Details of the WG Final settlement will not be available until after this report has been published and are expected on 1st March 2022 at the same time as the WG Final Budget is published. There are not expected to be any changes in the WG Final Settlement.

The Overview and Scrutiny Coordinating Committee considered the draft budget proposals and the four thematic Overview and Scrutiny Committees have also considered the Budget report and its proposals.

Cabinet resolved on 2nd February 2022 as follows:-

DECISION

- (a) Approve three options for the draft base budget total at this stage of the budget process being £166.862m, £166.958m and £167.054m;
- (b) Consider recommending to the budget Overview and Scrutiny meetings three preferred options for the level of Council Tax to be proposed for 2022/23 being; 4.75%, 5.0% or 5.25% and to note that the draft budget proposal is based on a working model of £1,479.69 for Band D properties for County Council purposes, representing an increase of 4.75%. A 5.0% increase allows for further expenditure / less savings of £96k and a 5.25% increase allows for further expenditure / less savings of £192k.

- (c) When the final settlement is issued the value of any further specific grants transferred into RSG will be passported through to the relevant Service's budget;
- (d) When the final settlement is issued any other specific changes to be directly targeted to the affected Service(s), if appropriate; and
- (e) Any other change to the RSG will be dealt with by an adjustment to the Leadership Group corporate revenue budget.
- (f) Approve the updated Medium Term Financial Strategy set out in Appendix 4 and recommend to Council for approval.
- (g) Approve the Capital Programme as set out in Appendix 5 of the report and recommend to Council for approval.
- (h) Approve the Capital Strategy as set out in Appendix 6 of the report and recommend to Council for approval.
- (i) Seek the views on this report of the Budget Overview and Scrutiny Committees.

Reason for decision:

To enable budget preparation for 2022/23.

However since 2nd February there was a significant funding development which merited additional consideration being made as part of the Budget process. An update on the nature and timing of this development was made to the Leaders of all political parties and to the Overview & Scrutiny Committees as soon as the information had been received in the form of a letter from the Minister for Finance & Local Government. Unfortunately this fell after the first Overview and Scrutiny Committee meeting – Healthier Communities.

2. ADDITIONAL BUDGET CONSIDERATIONS

The Council received correspondence from Welsh Government on 17th February 2022 concerning additional un-hypothecated funding of £50m across Wales for the current year which can be carried forward to next. This was an opportunity that was most timely to consider.

Being mindful of the additional financial pressures being placed on our residents, including current cost of living/inflation and with the new national insurance tax being implemented on 1st April 2022. Applying the new funds, of which Ceredigion should receive over £1m, could mean a significantly lower Council Tax increase for next year only, as this is one off funding at this time.

This is a pragmatic approach to alleviate pressures for residents for next year's budget and taking other financial performance matters into account including a solid track record of budget performance and a forecasted underspend for the current year and other emerging extra funding items.

An increase of 2.5%, being an amount that is far lower than inflation, was therefore modelled for consideration by Cabinet as an urgent matter.

Cabinet therefore on 22nd February 2022 considered both the feedback from all the Overview and Scrutiny Committees as well as an urgent additional Budget report. Cabinet resolved as follows:

Addendum Report- Urgent Supplementary Report of the CLO - Finance and Procurement upon the draft Budget for 2022/23

DECISION:

- (a) To note the Feedback from each Budget Overview and Scrutiny Committee.
- (b) To recommend to Full Council that the draft 2022/23 Base Budget total is £165.843m and that the level of increased Council Tax proposed for 2022/23 is 2.5% representing a Band D amount of £1,447.90.

Reason for the decision:

To enable budget preparation for 2022/23.

3. REVENUE BUDGET

The financial resilience of the Council is key to ensuring that service users continue to receive the best possible services in the medium term and not just during the next year.

- **Inflation and Taxes for the Council – at least 8.8%**, which is now higher than at any time than in recent years, the new National Insurance Tax together with the Real Living Wage for registered Social Care Workers is a significant extra burden on top of inflation increases.
- **Performance** - Ceredigion continues to deliver high quality services that meet external regulator satisfaction.
- **Savings** - The Council is required to save at least £15m by March 2025 on top of the savings achieved between April 2012 and March 2022 of £50m. This will be £57.4m total savings achieved between April 2012 and March 2023.
- **Care and Support** - Costs continue to increase dramatically. Life expectancy is good in Ceredigion – the average life expectancy for males is 79.3 years and 84.1 years for females. These are both above the national average of 78.5 years for males and 82.3 years for females. Council Tax support Claimants have increased significantly and must be funded.
- **Wages** – Implementation of the Real Living Wage for Registered Social Care Workers in Ceredigion (minimum of £9.90 from 1st April 2022 and a total estimated increase of £1.9m). This is part of WG's pan Wales policy announced in their draft Budget.
- **Lower than average Council Tax** - Ceredigion continues to have a lower Band D Council Tax than the all Wales average.

- **Future Prospects** - The Minister's letter also sets out indicative budgets for the following two years:

The indicative Wales-level core revenue funding allocations for 2023-24 and 2024-25 are £5.3 billion and £5.4 billion respectively – equating to an uplift in the first year of £177 million (3.5%) and, in the second year, of £128 million (2.4%).

The detailed assessment work carried out to identify the unavoidable cost pressures faced by Services identified a net total amount of £13.1m.

The Rising costs of Care alone come to £7m, including:

- UK £9.90 Real Living Wage and 1.25% Employers National Insurance – impacts on most if not all Care related Commissioned Services (results in provisional inflation factors of 8.87% for Domiciliary Care / Supported Living, 9.13% for Residential Care and 11.15% for Direct Payments).
- Residential Homes – Fees setting review currently in progress.
- Direct Payments.
- Looked after Children.
- Domiciliary Care.

Provision for pay inflation is also a significant factor estimated at £3.4m, and as things stand there is no formal agreement yet on the main 2021/22 pay award.

The following summary sets out the main changes to the proposed budget and its available resources. The additional Addendum Budget report to Cabinet on 22/02/2022 showed the changes between the previously modelled 4.75% Council Tax increase scenario and the updated 2.50% proposed Council Tax increase.

Now based on a 2.50% Council Tax Increase		<u>2.50%</u> <u>Scenario</u>
		<u>£'000</u>
<u>2022/23 Available Resources</u>		
Aggregate External Finance (RSG + NNDR)	2021/22: £109,658	119,419
<u>Council Tax Income</u>		
Council Tax Base (as per 07/12/21 Cabinet report)		31,655.77
Council Tax 2021/22	£1,412.59	
Council Tax 2022/23 increasing by	2.50% £1,447.90	45,834
Council Tax 2nd Homes Premium Base (as per 07/12/21 Cabinet report)		407.31
Council Tax 2021/22	£1,412.59	
Council Tax 2022/23 increasing by	2.50% £1,447.90	590
Total Available Resources for Budget Requirement		165,843

	<u>2.50%</u> <u>Scenario</u> <u>£'000</u>
Total Available Resources for Budget Requirement	165,843
Adjusted Base Budget b/f from previous year	154,736
<u>Corporate Adjustments and New Responsibilities:</u>	
<u>Specific Allocations</u>	
- M&WWFA Fire Authority Levy	133
- Members Allowances / Members Chamber Equipment	105
- Council Tax 2nd Homes Premium	32
- Council Tax Support Scheme and Capital Programme Financing	355
	625
<u>Transfers in:</u>	
- Food and Residual Waste Treatment Gate Fee Support Grant	237
- Social Care Workforce & Sustainability Grant	114
	351
Subtotal	976
<u>Increased Cost pressures on Services</u>	
- Employees - Payaward and additional NI levy	4,504
- Employees - Non Payaward related	1,107
- Supplies & Services (including 3rd Party / Transfer Payments)	6,545
- Loss of income / grant funding	23
- Less Funding Assumptions	(500)
	11,679
<u>COVID19</u>	
- COVID19 Corporate Provision	2,000
- Less Funding Assumption - Use of Earmarked Reserves	(1,250)
	750
<u>Cost Reductions / Saving Proposals</u>	
- Savings to be found collectively by LG (Travelling / Fees & Charges)	(398)
- Corporate Saving - MRP change	(900)
- Use of Additional Year-end WG RSG monies announced on 17/02/22	(1,000)
	(2,298)
Controllable and Net Budget Estimate	165,843
Shortfall (-) / Balance	-

The Budget papers have now been prepared accordingly to the Budgets allocated on the above basis and also then updated to reflect internal allocations, capital charges and internal recharges. The proposed Controllable and Net Budgets are therefore enclosed as Appendix 1.

The Council's overall performance at bringing in a balanced budget is excellent and in recent year's surpluses have been achieved to enable General balances to be increased. It is essential that we maintain the current strategy, which sets out how we are to deliver budget setting over the medium term.

Insufficient core Government Funding that does not keep pace with national increased costs pressures means the Council needs to continue planning and implementing cost reductions and or savings for next year and for the foreseeable future.

4. CAPITAL STRATEGY AND THREE-YEAR CAPITAL PROGRAMME

Capital funding has reduced significantly across Wales from £177.8m to £150m. Ceredigion's allocation is £4.891m (this year's was £5.785m) being a decrease of £894k. The allocation is split between General Capital Grant £1.995m (£2.896m 21/22) and Unhypothecated Supported Borrowing £2.896m (£2.889m 21/22). The indication is for capital to increase for 2023/24 albeit not quite back to current year levels. There is though going to be additional funding available for the Climate Change agenda with WG's Budget showing an additional £20m for 'Local Government Decarbonisation' in both 2023/24 and 2024/25.

The Capital Strategy is attached (Appendix 2) sets out the longer term context in which decisions are made having regard to the overall financial position of the authority, to provide improved links between revenue and capital budgets and investment and borrowing decisions and also to give appropriate consideration to the Council's risk appetite particularly around any commercial activity.

The Three Year Capital Programme is attached (Appendix 3) as presented to Cabinet and the Overview and Scrutiny Committees apart from one change in relation to a scheme for Artificial Turf Pitch Upgrades. Development Group has recently supported a proposal to bid for funding from the Sports Council for Wales. The estimated cost of the scheme is £573k which requires £198k of funding from the Council's own resources. A further bid for funding has been made to the Football Association of Wales' Grassroots Fund, which if successful would reduce the Council's contribution by up to £100k. The scheme has been added against Porth Cymorth Cynnar in Appendix 3 and the budget line for 'New Approved Grants/Match funding for grant scheme's has been reduced from £4.2m to £3.627m. As a result the total overall programme remains unchanged for 2022/23 at £40.3m. The total overall programme for 2023/24 and 2024/25 also remain unchanged.

5. PRUDENTIAL INDICATORS FOR CAPITAL AND TREASURY MANAGEMENT

The Capital Programme forms the basis of the proposed Prudential Indicators which are attached (Appendix 4). It is also necessary each year to delegate authority to the CLO - Finance and Procurement to effect movement within the total of the authorised limit of external borrowing, and the operational boundary.

6. OPINION OF THE CLO - FINANCE & PROCUREMENT (Section 151 Officer)

A statement of the Councils Earmarked Reserves and General Balances is also attached at the end of Appendix 1. I am able to confirm that the estimated level of General Balances of £6.1m, is adequate for the next financial year.

Taking all the matters contained in this report into account I am able to confirm that the proposed budget has been prepared in a robust manner for the next financial year. Whilst acknowledging that applying the new one off funds to reduce the amount of the Council Tax increase required for next year only, is a way of alleviating financial pressures being placed on our residents, including current cost of living/inflation and the new national insurance tax being implemented on the 1st April 2022. That by taking other financial performance matters into account including a solid track record of budget performance and underspending as well as a forecasted underspend for the current year the likelihood is that most if not all of the extra amount of base budget will be able to be found once the budget process for 2023/24 commences later in the year.

Keeping to the plan set out in the Medium Term Financial Strategy will ensure that the risk of not being able to respond flexibly to the unknown and most likely inadequate future settlements will assist greatly with annual budget balancing.

- Recommendations:**
- a) Note that, in the opinion of the Corporate Lead Officer – Finance and Procurement (Statutory Section 151 Officer), the 2022/23 budget estimates have been prepared in a robust manner.**
 - b) Note that, in the opinion of the Corporate Lead Officer – Finance and Procurement (Statutory Section 151 Officer), the proposed planned levels of reserves, provisions and balances is adequate in respect of the forthcoming financial year.**
 - c) Approve the Updated Net Revenue Estimates for the Council for 2021/22 in the sum of £154.736m;**
 - d) Approve the Net Revenue Estimates for the Council for 2022/23 in the sum of £165.843m;**
 - e) Approve the detailed service budgets for 2022/23 and the updated 2021/22, as set out in Appendix 1 of the report;**
 - f) Levy a Basic Council Tax of £1,447.90 for 2022/23 for Band D properties;**
 - g) Approve the Capital Strategy, as set out in Appendix 2 of the report;**
 - h) Approve the Three-Year Capital Programme, as set out in Appendix 3 of the report;**
 - i) Approve the Prudential Indicators, as set out in the Appendix 4 of the report;**
 - j) Delegate authority to the CLO – Finance and Procurement to effect movement within the total of the authorised limit of external borrowing, and the operational boundary.**

Reasons for decision: Budget requirement to enable service continuance and Council Tax Setting.

Has an Integrated Impact Assessment been completed? If, not, please state why. No service change is due from this although it is prepared for the MTFS.

Overview and Scrutiny: Considered

Policy Framework: Medium Term Financial Strategy

Corporate Priorities: All

Statutory Powers: Local Government and Finance Act 1972

Background Papers: Cabinet and Overview and Scrutiny Committee Budget Reports. Revenue and Capital Settlement and other Welsh Government announcements.

Appendices: Appendix 1 – Controllable and Net Budgets (including Statement of Earmarked reserves & General Balances)
Appendix 2 – Capital Strategy
Appendix 3 – Three year Capital Programme
Appendix 4 – Prudential Indicators

Corporate Lead Officer / Steve Johnson

Reporting Officer: Steve Johnson, Justin Davies & Duncan Hall

Date: 23/02/22

CYLLIDEB 2022-23

CYNNWYS	Tudalen(nau)
Datganiad am Wariant a'r Dreth Gyngor Arfaethedig	2-3
Crynodeb o'r Cyllideb Reoladwy	4
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BUDGET 2022-23

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Datganiad am Wariant a'r Dreth Gyngor Arfaethedig

Mae'r Cyngor yn rhagweld y bydd yn gwario £250.6 miliwn yn 2022-23. Bydd incwm o £45.5 miliwn yn dod wrth Grantiau, £32.4 miliwn wrth Incwm Arall a £6.8 miliwn wrth Gronfeydd Wrth Gefn. Bydd y Gwariant Net yn cael ei ddiwallu gan Grantiau'r Llywodraeth a Thalwyr y Dreth Gyngor.

Gwasanaeth	Gwariant Cryswth £000's	Grantiau £000's	Incwm Arall £000's	Cronfeydd Wrth Gefn £000's	Gwariant Net £000's
Ysgolion a Diwylliant	87,615	(19,058)	(4,305)	(53)	64,199
Porth Cymorth Cynnar, Lles Cymunedol a Dysgu	13,856	(4,533)	(1,428)	(133)	7,762
Cyllid a Chaffael	3,353	(11,732)	(596)	(103)	(9,078)
Gwasanaethau Democraidd	2,952	-	(1)	(370)	2,581
Pobl a Threfniadaeth	894	(252)	(50)	-	592
Porth Cynnal	47,517	(1,238)	(12,931)	(370)	32,978
Porth Gofal	28,105	(4,048)	(4,980)	(150)	18,927
Polisi, Pherfformiad a Amddiffyn y Cyhoedd	3,803	(253)	(315)	-	3,235
Priffyrdd a Gwasanaethau Amgylcheddol	34,718	(3,014)	(4,691)	(12)	27,001
Economi ac Adfywid	9,163	(1,349)	(3,064)	(374)	4,376
Cyswllt Cwsmeriaid	1,616	-	(16)	-	1,600
Gwasanaethau Cyfreithiol a Llywodraethu	669	-	(63)	(5)	601
Grŵp Arweiniol	5,954	-	(20)	1,380	7,314
Ardollau, Premium Treth y Cyngor a Chronfeydd	10,385	-	-	(6,630)	3,755
CYFANSWM	250,600	(45,477)	(32,460)	(6,820)	165,843

Gwariant Net a gyllidir gan: £000's

Cryswth y Cyllid Allanol 119,419

Talwyr y Dreth Gyngor 46,424

165,843

Treth Gyngor Sir Band D (Ac eithirio Heddlu Dyfed Powys a Chynghorau Tref/Cymuned)

£
1,447.90

Statement of Expenditure and Proposed Council Tax

The Council is anticipating to spend £250.6 million in 2022-23. Income of £45.5 million will come from Grants, £32.4 million from Other Income and £6.8 million from Reserves. The Net Expenditure will be met by Government Grants and Council Tax Payers.

Service	Gross Expenditure £000's	Grants £000's	Other Income £000's	Reserves £000's	Net Expenditure £000's
Schools & Culture	87,615	(19,058)	(4,305)	(53)	64,199
Porth Cymorth Cynnar, Community Wellbeing and Learning	13,856	(4,533)	(1,428)	(133)	7,762
Finance & Procurement	3,353	(11,732)	(596)	(103)	(9,078)
Democratic Services	2,952	-	(1)	(370)	2,581
People & Organisation	894	(252)	(50)	-	592
Porth Cynnal	47,517	(1,238)	(12,931)	(370)	32,978
Porth Gofal	28,105	(4,048)	(4,980)	(150)	18,927
Policy, Performance & Public Protection	3,803	(253)	(315)	-	3,235
Highways & Environmental Services	34,718	(3,014)	(4,691)	(12)	27,001
Economy & Regeneration	9,163	(1,349)	(3,064)	(374)	4,376
Customer Contact	1,616	-	(16)	-	1,600
Legal & Governance Services	669	-	(63)	(5)	601
Leadership Group	5,954	-	(20)	1,380	7,314
Levies, Council Tax Premium & Reserves	10,385	-	-	(6,630)	3,755
TOTAL	250,600	(45,477)	(32,460)	(6,820)	165,843

Net Expenditure Financed by:

Aggregate External Finance

Council Tax Payers

£000's

119,419

46,424

165,843

£

1,447.90

County Council Tax at Band D (Excluding Dyfed-Powys Police and Town/Community Councils)

Crynodeb o'r Gyllideb Reoladwy

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwasanaeth			
Ysgolion a Diwylliant	50,965	48,721	49,841
Porth Cymorth Cynnar, Lles Cymunedol a Dysgu	4,401	3,829	3,467
Cyllid a Chaffael	19,062	20,188	21,311
Gwasanaethau Democraidd	4,391	4,120	4,096
Pobl a Threfniadaeth	2,165	2,093	2,093
Porth Cynnal	28,648	23,633	23,763
Porth Gofal	13,617	11,656	11,369
Polisi, Pherfformiad a Amddiffyn y Cyhoedd	2,355	2,146	2,098
Priffyrdd a Gwasanaethau Amgylcheddol	18,241	17,587	17,062
Economi ac Adfywid	3,688	3,471	3,489
Cyswllt Cwsmeriaid	6,155	5,779	5,735
Gwasanaethau Cyfreithiol a Llywodraethu	1,569	1,535	1,538
Grŵp Arweiniol	6,831	5,388	4,284
Ardollau, Premiwm Treth y Cyngor a Chronfeydd	3,755	4,590	4,590
CYFANSWM Y GYLLIDEB REOLADWY	165,843	154,736	154,736

Summary of Controllable Budget

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Service			
Schools & Culture	50,965	48,721	49,841
Porth Cymorth Cynnar, Community Wellbeing and Learning	4,401	3,829	3,467
Finance & Procurement	19,062	20,188	21,311
Democratic Services	4,391	4,120	4,096
People & Organisation	2,165	2,093	2,093
Porth Cynnal	28,648	23,633	23,763
Porth Gofal	13,617	11,656	11,369
Policy, Performance & Public Protection	2,355	2,146	2,098
Highways & Environmental Services	18,241	17,587	17,062
Economy & Regeneration	3,688	3,471	3,489
Customer Contact	6,155	5,779	5,735
Legal & Governance Services	1,569	1,535	1,538
Leadership Group	6,831	5,388	4,284
Levies, Council Tax Premium & Reserves	3,755	4,590	4,590
TOTAL CONTROLLABLE BUDGET	165,843	154,736	154,736

Crynodeb o'r Wariant Net

Gwasanaeth	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Ysgolion a Diwylliant	64,199	61,782	61,963
Porth Cymorth Cynnar, Lles Cymunedol a Dysgu	7,762	7,110	6,231
Cyllid a Chaffael	(9,078)	(7,972)	(3,734)
Gwasanaethau Democrataidd	2,581	2,423	2,290
Pobl a Threfniadaeth	592	620	706
Porth Cynnal	32,978	27,781	27,575
Porth Gofal	18,927	16,815	17,519
Polisi, Pherfformiad a Amddiffyn y Cyhoedd	3,235	3,005	2,778
Priffyrdd a Gwasanaethau Amgylcheddol	27,001	26,228	24,334
Economi ac Adfywid	4,376	4,346	3,937
Cyswllt Cwsmeriaid	1,600	1,573	1,361
Gwasanaethau Cyfreithiol a Llywodraethu	601	605	608
Grŵp Arweiniol	7,314	5,830	4,578
Ardollau, Premium Treth y Cyngor a Chronfeydd	3,755	4,590	4,590
CYFANSWM GWARIANT NET	165,843	154,736	154,736
Crynswth y Cyllid Allanol	119,419	109,658	109,658
Diwallwyd gan Dalwyr y Dreth Gyngor	46,424	45,078	45,078
	Rhif	Rhif	Rhif
Sail y Dreth Gyngor	32,063	31,911	31,911
	£	£	£
Eiddo a ddaw dan Band D y Dreth Gyngor Sir	1,447.90	1,412.59	1,412.59
Treth Band D Cynghorau Cymuned (Cyfartaledd)	39.21	37.07	37.07
Treth Band D Heddlu Dyfed-Powys	290.16	275.56	275.56
Cyfanswm Cyfartaledd y Dreth Gyngor Band D	1,777.27	1,725.22	1,725.22
Praeseptau'r Cynghorau Cymuned	1,257,222	1,183,024	1,183,024

Summary of Net Expenditure

Service	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Schools & Culture	64,199	61,782	61,963
Porth Cymorth Cynnar, Community Wellbeing and Learning	7,762	7,110	6,231
Finance & Procurement	(9,078)	(7,972)	(3,734)
Democratic Services	2,581	2,423	2,290
People & Organisation	592	620	706
Porth Cynnal	32,978	27,781	27,575
Porth Gofal	18,927	16,815	17,519
Policy, Performance & Public Protection	3,235	3,005	2,778
Highways & Environmental Services	27,001	26,228	24,334
Economy & Regeneration	4,376	4,346	3,937
Customer Contact	1,600	1,573	1,361
Legal & Governance Service	601	605	608
Leadership Group	7,314	5,830	4,578
Levies, Council Tax Premium & Reserves	3,755	4,590	4,590
TOTAL NET EXPENDITURE	165,843	154,736	154,736
Aggregate External Funding	119,419	109,658	109,658
Met by Council Taxpayers	46,424	45,078	45,078
	No.	No.	No.
Council Tax Base	32,063	31,911	31,911
	£	£	£
County Council Tax Band D Properties	1,447.90	1,412.59	1,412.59
Community Councils Band D Tax (Average)	39.21	37.07	37.07
Dyfed-Powys Police Band D Tax	290.16	275.56	275.56
Total Average Band D Council Tax	1,777.27	1,725.22	1,725.22
Community Councils Precepts	1,257,222	1,183,024	1,183,024

CYNGOR SIR CEREDIGION / CEREDIGION COUNTY COUNCIL

Costau Gweithwyr

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Ysgolion a Diwylliant	52,489	50,199	49,912
Porth Cymorth Cynnar, Lles Cymunedol a Dysgu	7,098	6,072	5,753
Cyllid a Chaffael	4,362	4,163	4,117
Gwasanaethau Democrataidd	3,166	2,958	2,933
Pobl a Threfniadaeth	2,625	2,517	2,517
Porth Cynnal	5,889	5,389	5,312
Porth Gofal	11,557	9,486	9,219
Polisi, Pherfformiad a Amddiffyn y Cyhoedd	2,608	2,385	2,299
Priffyrdd a Gwasanaethau Amgylcheddol	8,407	8,135	8,135
Economi ac Adfywid	5,863	5,399	5,399
Cyswllt Cwsmeriaid	4,701	4,452	4,423
Gwasanaethau Cyfreithiol a Llywodraethu	1,001	986	986
Grŵp Arweiniol	1,293	1,945	429
Ardollau, Premium Treth y Cyngor a Chronfeydd	0	0	0
IS-GYFANSWM	111,059	104,086	101,434
Cyflogau Aelodau	1,039	969	969
CYFANSWM	112,098	105,055	102,403

Employee Costs

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Schools & Culture	52,489	50,199	49,912
Porth Cymorth Cynnar, Community Wellbeing and Learning	7,098	6,072	5,753
Finance & Procurement	4,362	4,163	4,117
Democratic Services	3,166	2,958	2,933
People & Organisation	2,625	2,517	2,517
Porth Cynnal	5,889	5,389	5,312
Porth Gofal	11,557	9,486	9,219
Policy, Performance & Public Protection	2,608	2,385	2,299
Highways & Environmental Services	8,407	8,135	8,135
Economy & Regeneration	5,863	5,399	5,399
Customer Contact	4,701	4,452	4,423
Legal & Governance Service	1,001	986	986
Leadership Group	1,293	1,945	429
Levies, Council Tax Premium & Reserves	0	0	0
	111,059	104,086	101,434
Members Salaries	1,039	969	969
TOTAL	112,098	105,055	102,403

Gwybodaeth Ychwanegol

Mae costau gweithwyr yn cynnwys cyflogau, Yswiriant Gwladol, Ardoll Brentisiaethau, blwyd-dal, costau cyfweliadau, costau hyfforddiant costau adleoli, ffioedd meddygol, hysbysebion swyddi, yswiriant i weithwyr llanw a thâl dileu swydd.

Additional Information

Employee costs includes salaries, N.I., apprenticeship levy, superannuation, interview expenses, training costs, relocation expenses, medical fees, recruitment advertising, supply cover insurance and redundancy pay.

CYNGOR SIR CEREDIGION

Crynodeb o'r Wariant Net

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	112,098	105,055	102,403
Eiddo	13,975	8,342	13,384
Cludiant	9,878	9,429	9,624
Cyflenwadau a Gwasanaethau	118,391	114,020	114,252
Cyfanswm Gwariant	254,342	236,846	239,663
Incwm Rheoladwy			
Grantiau	45,477	51,862	47,333
Incwm Arall	32,460	29,827	29,941
Gwasanaethau Contract/Ysgolion	3,742	3,619	3,619
Cyfanswm Incwm	81,679	85,309	80,893
Cyllideb cyn Cronfeydd Wrth Gefn	172,663	151,537	158,770
Adio - Trosglwyddiadau i'r Cronfeydd wrth Gefn	2,842	4,698	3,252
Llai - Trosglwyddiadau o'r Cronfeydd Wrth Gefn	9,662	1,499	7,286
CYLLIDEB REOLADWY	165,843	154,736	154,736
Adio - Dyraniadau Mewnol	34,569	33,593	27,949
Adio - Taliadau Cyfalaf	12,501	12,502	13,603
Cyfanswm y Gyllideb	212,913	200,831	196,288
Llai - Ad-daliadau Mewnol	47,070	46,095	41,552
GWARIANT NET	165,843	154,736	154,736

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwybodaeth Ychwanegol			
Cyfanswm Gwariant			
Cyfanswm Gwariant	254,342	236,846	239,663
Llai Incwm Mewnol	3,742	3,619	3,619
Gwariant Crynswth	250,600	233,227	236,044

Nodiadau sy'n berthnasol i bob tudalen:

Dyraniadau Mewnol

Dyma daliadau a godir ar wasanaethau eraill o fewn y Cyngor.

Taliadau Cyfalaf

Dyma'r gost refeniw o dalu am wariant cyfalaf. Codir tâl dibrisio ar bortffolios i adlewyrchu eu defnydd o asedau sefydlog.

Ad-daliadau Mewnol

Dyma daliadau a wneir i wasanaethau eraill o fewn y Cyngor.

Mae dyraniadau mewnol ac ad-daliadau mewnol yn cynnwys costau Adeiladau Gweinyddol, TG, Cyllid, Yswiriant a Phensiynau.

Cyngor Sir Ceredigion
Crynodeb o'r Wariant Net
Ceredigion County Council -
Summary of Net Expenditure

CEREDIGION COUNTY COUNCIL

Summary of Net Expenditure

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	112,098	105,055	102,403
Premises	13,975	8,342	13,384
Transport	9,878	9,429	9,624
Supplies and Services	118,391	114,020	114,252
Total Expenditure	254,342	236,846	239,663
Controllable Income			
Grants	45,477	51,862	47,333
Other Income	32,460	29,827	29,941
Contract Services/Schools	3,742	3,619	3,619
Total Income	81,679	85,309	80,893
Budget Before Reserves	172,663	151,537	158,770
Add - Transfers to Reserves	2,842	4,698	3,252
Less - Transfers from Reserves	9,662	1,499	7,286
CONTROLLABLE BUDGET	165,843	154,736	154,736
Add - Internal Allocations	34,569	33,593	27,949
Add - Capital Charges	12,501	12,502	13,603
Total Budget	212,913	200,831	196,288
Less - Internal Recharges	47,070	46,095	41,552
NET EXPENDITURE	165,843	154,736	154,736

Additional Information	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Total Expenditure			
Total Expenditure	254,342	236,846	239,663
Less Internal Income	3,742	3,619	3,619
Gross Expenditure	250,600	233,227	236,044

Notes to apply to all pages:

Internal Allocations

These are charges made from other services within the Council.

Capital Charges

These are the revenue cost of paying for capital expenditure. Portfolios are charged depreciation to reflect their use of fixed assets.

Internal Recharges

These are charges made to other services within the Council.

Internal allocations and internal recharges include charges for Admin Buildings, IT, Finance, Insurance and pensions.

Dadansoddi Gwasanaethau - YSGOLION a DIWYLLIANT - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddarau				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Ysgolion Cynradd	21,024	2,272	0	18,752	20,279	2,281	0	17,998	20,279	2,281	0	17,998
Ysgolion Uwchradd	18,409	3,846	0	14,563	17,824	4,007	0	13,817	17,824	4,007	0	13,817
Ysgolion Pob Oed	14,227	2,824	0	11,403	13,787	2,824	0	10,963	13,787	2,824	0	10,963
Gwella Ysgolion	12,833	11,262	0	1,571	11,201	9,727	0	1,474	10,400	8,879	0	1,521
Seilwaith Addysgol	893	467	(53)	373	822	467	(55)	300	1,347	470	(55)	822
Anghenion Dysgu Ychwanegol	2,885	940	0	1,945	2,791	679	0	2,112	3,297	588	0	2,709
Gwasanaethau Diwylliannol	1,535	503	0	1,032	1,548	570	0	978	1,551	570	0	981
Uned Arlwygo Gorfforaethol	2,607	1,488	0	1,119	2,635	1,801	0	834	2,634	1,791	0	843
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	480	273	0	207	518	273	0	245	442	255	0	187
Cyfanswm Ysgolion a Diwylliant	74,893	23,875	(53)	50,965	71,405	22,629	(55)	48,721	71,561	21,665	(55)	49,841

Service Analysis - SCHOOLS & CULTURE - Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Primary Schools	21,024	2,272	0	18,752	20,279	2,281	0	17,998	20,279	2,281	0	17,998
Secondary Schools	18,409	3,846	0	14,563	17,824	4,007	0	13,817	17,824	4,007	0	13,817
All-through Schools	14,227	2,824	0	11,403	13,787	2,824	0	10,963	13,787	2,824	0	10,963
School Improvement	12,833	11,262	0	1,571	11,201	9,727	0	1,474	10,400	8,879	0	1,521
Educational Infrastructure	893	467	(53)	373	822	467	(55)	300	1,347	470	(55)	822
Additional Learning Needs	2,885	940	0	1,945	2,791	679	0	2,112	3,297	588	0	2,709
Cultural Services	1,535	503	0	1,032	1,548	570	0	978	1,551	570	0	981
Corporate Catering Unit	2,607	1,488	0	1,119	2,635	1,801	0	834	2,634	1,791	0	843
Service Management and Strategy	480	273	0	207	518	273	0	245	442	255	0	187
Total Schools & Culture	74,893	23,875	(53)	50,965	71,405	22,629	(55)	48,721	71,561	21,665	(55)	49,841

Dadansoddi Gwasanaethau - YSGOLION a DIWYLLIANT - Reoladwy i Net

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Ysgolion Cynradd	18,752	3,099	0	21,851	17,998	3,099	0	21,097	17,998	2,631	0	20,629
Ysgolion Uwchradd	14,563	3,017	0	17,580	13,817	3,017	0	16,834	13,817	2,670	0	16,487
Ysgolion Pob Oed	11,403	2,408	0	13,811	10,963	2,408	0	13,371	10,963	2,144	0	13,107
Gwella Ysgolion	1,571	777	0	2,348	1,474	751	0	2,225	1,521	974	0	2,495
Seilwaith Addysgol	373	1,856	0	2,229	300	1,753	0	2,053	822	1,379	0	2,201
Anghenion Dysgu Ychwanegol	1,945	450	0	2,395	2,112	449	0	2,561	2,709	768	0	3,477
Gwasanaethau Diwylliannol	1,032	531	0	1,563	978	519	0	1,497	981	514	0	1,495
Uned Arlwyo Gorfforaethol	1,119	955	0	2,074	834	924	0	1,758	843	697	0	1,540
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	207	141	0	348	245	141	0	386	187	345	0	532
Cyfanswm Ysgolion a Diwylliant	50,965	13,234	0	64,199	48,721	13,061	0	61,782	49,841	12,122	0	61,963

Service Analysis - SCHOOLS & CULTURE - Controllable to Net

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Primary Schools	18,752	3,099	0	21,851	17,998	3,099	0	21,097	17,998	2,631	0	20,629
Secondary Schools	14,563	3,017	0	17,580	13,817	3,017	0	16,834	13,817	2,670	0	16,487
All-through Schools	11,403	2,408	0	13,811	10,963	2,408	0	13,371	10,963	2,144	0	13,107
School Improvement	1,571	777	0	2,348	1,474	751	0	2,225	1,521	974	0	2,495
Educational Infrastructure	373	1,856	0	2,229	300	1,753	0	2,053	822	1,379	0	2,201
Additional Learning Needs	1,945	450	0	2,395	2,112	449	0	2,561	2,709	768	0	3,477
Cultural Services	1,032	531	0	1,563	978	519	0	1,497	981	514	0	1,495
Corporate Catering Unit	1,119	955	0	2,074	834	924	0	1,758	843	697	0	1,540
Service Management and Strategy	207	141	0	348	245	141	0	386	187	345	0	532
Total Schools & Culture	50,965	13,234	0	64,199	48,721	13,061	0	61,782	49,841	12,122	0	61,963

Dadansoddi categori - YSGOLION A DIWYLLIANT - Rheoladwy i Net

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	52,489	50,199	49,912
Eiddo	4,008	3,858	3,894
Cludiant	1,253	1,191	1,853
Cyflenwadau a Gwasanaethau	17,143	16,157	15,902
Cyfanswm Gwariant	74,893	71,405	71,561
Incwm Rheoladwy			
Grantiau	19,058	17,621	16,666
Incwm Arall	4,305	4,470	4,461
Gwasanaethau Contract/Ysgolion	512	538	538
Cyfanswm Incwm	23,875	22,629	21,665
Cyllideb cyn Cronfeydd Wrth Gefn	51,018	48,776	49,896
Adio- Trosglwyddiadau i'r Cronfeydd Wrth Gefn	0	0	0
Llai- Trosglwyddiadau o'r Cronfeydd Wrth Gefn	53	55	55
CYLLIDEB REOLADWY	50,965	48,721	49,841
Adio - Dyraniadau Mewnol	7,133	6,960	5,937
Adio - Taliadau Cyfalaf	6,101	6,101	6,185
Cyfanswm y Gyllideb	64,199	61,782	61,963
Llai - Ad-daliadau Mewnol	0	0	0
GWARIANT NET	64,199	61,782	61,963

Category Analysis - SCHOOLS & CULTURE - Controllable to Net

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	52,489	50,199	49,912
Premises	4,008	3,858	3,894
Transport	1,253	1,191	1,853
Supplies and Services	17,143	16,157	15,902
Total Expenditure	74,893	71,405	71,561
Controllable Income			
Grants	19,058	17,621	16,666
Other Income	4,305	4,470	4,461
Contract Services/Schools	512	538	538
Total Income	23,875	22,629	21,665
Budget Before Reserves	51,018	48,776	49,896
Add - Transfers to Reserves	0	0	0
Less - Transfers from Reserves	53	55	55
CONTROLLABLE BUDGET	50,965	48,721	49,841
Add - Internal Allocations	7,133	6,960	5,937
Add - Capital Charges	6,101	6,101	6,185
Total Budget	64,199	61,782	61,963
Less - Internal Recharges	0	0	0
NET EXPENDITURE	64,199	61,782	61,963

Dadansoddi Gwasanaethau - PORTH CYMORTH CYNNAR, LLES CYMUNEDOL a DYSGU - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Dysgu Gydol Oes a Sgilliau	2,176	1,797	0	379	1,909	1,583	0	326	1,878	1,488	0	390
Gwasanaethau Cymorth Cynnar	3,523	2,717	0	806	3,027	2,257	0	770	2,863	2,104	0	759
Uned Cyfeirio Disgyblion	813	33	0	780	780	51	0	729	0	0	0	0
Canolfannau Lles	2,528	1,132	(133)	1,263	2,259	1,142	0	1,117	2,243	1,126	0	1,117
Gwasanaethau Cymorth ac Ymyrraeth	1,556	424	0	1,132	1,336	447	0	889	1,730	518	0	1,212
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	41	0	0	41	(2)	0	0	(2)	(11)	0	0	(11)
Cyfanswm Porth Cymorth Cynnar, Lles Cymunedol a Dysgu	10,637	6,103	(133)	4,401	9,309	5,480	0	3,829	8,703	5,236	0	3,467

Service Analysis - PORTH CYMORTH CYNNAR, COMMUNITY WELLBEING & LEARNING - Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Lifelong Learning & Skills	2,176	1,797	0	379	1,909	1,583	0	326	1,878	1,488	0	390
Early Intervention Services	3,523	2,717	0	806	3,027	2,257	0	770	2,863	2,104	0	759
Pupil Referral Unit	813	33	0	780	780	51	0	729	0	0	0	0
Wellbeing Centres	2,528	1,132	(133)	1,263	2,259	1,142	0	1,117	2,243	1,126	0	1,117
Support and Intervention Services	1,556	424	0	1,132	1,336	447	0	889	1,730	518	0	1,212
Service Management and Strategy	41	0	0	41	(2)	0	0	(2)	(11)	0	0	(11)
Total Porth Cymorth Cynnar, Community Wellbeing & Learning	10,637	6,103	(133)	4,401	9,309	5,480	0	3,829	8,703	5,236	0	3,467

Dadansoddi Gwasanaethau - PORTH CYMORTH CYNNAR, LLES CYMUNEDOL a DYSGU - Reoladwy i Net

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Cyllideb Reoladwy £000's	Dyraniadau Mewnol/ Talidau Cyfalaf £000's	Ad-daliadau Mewnol £000's	Gwariant Net £000's	Cyllideb Reoladwy £000's	Dyraniadau Mewnol/ Talidau Cyfalaf £000's	Ad-daliadau Mewnol £000's	Gwariant Net £000's	Cyllideb Reoladwy £000's	Dyraniadau Mewnol/ Talidau Cyfalaf £000's	Ad-daliadau Mewnol £000's	Gwariant Net £000's
Dysgu Gydol Oes a Sgiliau	379	522	0	901	326	505	0	831	390	402	0	792
Gwasanaethau Cymorth Cynnar	806	644	0	1,450	770	628	0	1,398	759	482	0	1,241
Uned Cyfeirio Disgyblion	780	174	0	954	729	169	0	898	0	0	0	0
Canolfannau Lles	1,263	1,319	0	2,582	1,117	1,292	0	2,409	1,117	1,182	0	2,299
Gwasanaethau Cymorth ac Ymyrraeth	1,132	653	0	1,785	889	640	0	1,529	1,212	657	0	1,869
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	41	49	0	90	(2)	47	0	45	(11)	41	0	30
Cyfanswm Porth Cymorth Cynnar, Lles Cymunedol a Dysgu	4,401	3,361	0	7,762	3,829	3,281	0	7,110	3,467	2,764	0	6,231

Service Analysis - PORTH CYMORTH CYNNAR, COMMUNITY WELLBEING & LEARNING - Controllable to Net

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Controllable Budget £000's	Internal Allocations/ Capital Charges £000's	Internal Recharges £000's	Net Expenditure £000's	Controllable Budget £000's	Internal Allocations/ Capital Charges £000's	Internal Recharges £000's	Net Expenditure £000's	Controllable Budget £000's	Internal Allocations/ Capital Charges £000's	Internal Recharges £000's	Net Expenditure £000's
Lifelong Learning & Skills	379	522	0	901	326	505	0	831	390	402	0	792
Early Intervention Services	806	644	0	1,450	770	628	0	1,398	759	482	0	1,241
Pupil Referral Unit	780	174	0	954	729	169	0	898	0	0	0	0
Wellbeing Centres	1,263	1,319	0	2,582	1,117	1,292	0	2,409	1,117	1,182	0	2,299
Support and Intervention Services	1,132	653	0	1,785	889	640	0	1,529	1,212	657	0	1,869
Service Management and Strategy	41	49	0	90	(2)	47	0	45	(11)	41	0	30
Total Porth Cymorth Cynnar, Community Wellbeing & Learning	4,401	3,361	0	7,762	3,829	3,281	0	7,110	3,467	2,764	0	6,231

**Dadansoddi categori - PORTH CYMORTH CYNNAR, LLES CYMUNEDOL a
DYSGU - Rheoladwy i Net**

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	7,098	6,072	5,753
Eiddo	531	531	495
Cludiant	319	359	242
Cyflenwadau a Gwasanaethau	2,689	2,347	2,213
Cyfanswm Gwariant	10,637	9,309	8,703
Incwm Rheoladwy			
Grantiau	4,533	3,890	3,351
Incwm Arall	1,428	1,590	1,885
Gwasanaethau Contract/Ysgolion	142	0	0
Cyfanswm Incwm	6,103	5,480	5,236
Cyllideb cyn Cronfeydd Wrth Gefn	4,534	3,829	3,467
Adio- Trosglwyddiadau i'r Cronfeydd Wrth Gefn	0	0	0
Llai- Trosglwyddiadau o'r Cronfeydd Wrth Gefn	133	0	0
CYLLIDEB REOLADWY	4,401	3,829	3,467
Adio - Dyraniadau Mewnol	2,517	2,437	1,959
Adio - Taliadau Cyfalaf	844	844	805
Cyfanswm y Gyllideb	7,762	7,110	6,231
Llai - Ad-daliadau Mewnol	0	0	0
GWARIANT NET	7,762	7,110	6,231

**Category Analysis - PORTH CYMORTH CYNNAR, COMMUNITY WELLBEING &
LEARNING - Controllable to Net**

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	7,098	6,072	5,753
Premises	531	531	495
Transport	319	359	242
Supplies and Services	2,689	2,347	2,213
Total Expenditure	10,637	9,309	8,703
Controllable Income			
Grants	4,533	3,890	3,351
Other Income	1,428	1,590	1,885
Contract Services/Schools	142	0	0
Total Income	6,103	5,480	5,236
Budget Before Reserves	4,534	3,829	3,467
Add - Transfers to Reserves	0	0	0
Less - Transfers from Reserves	133	0	0
CONTROLLABLE BUDGET	4,401	3,829	3,467
Add - Internal Allocations	2,517	2,437	1,959
Add - Capital Charges	844	844	805
Total Budget	7,762	7,110	6,231
Less - Internal Recharges	0	0	0
NET EXPENDITURE	7,762	7,110	6,231

Dadansoddi Gwasanaethau - CYLLID a CHAFFAEL - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddarau				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Gwasanaeth Cyllid a Chaffael	4,092	738	0	3,354	3,892	707	0	3,185	3,841	707	0	3,134
Budd-daliadau Tai a Chynllun Cymorth Treth y Cyngor	17,387	11,100	0	6,287	20,232	14,100	0	6,132	20,232	13,600	0	6,632
Yswiriant, Terfynu a Chostau Corfforaethol Eraill	1,804	158	100	1,746	1,804	158	100	1,746	1,954	158	100	1,896
Cyfrif Cyfalaf Corfforaethol	8,331	453	(203)	7,675	8,253	487	1,359	9,125	10,418	487	(282)	9,649
Cyfanswm Cyllid a Chaffael	31,614	12,449	(103)	19,062	34,181	15,452	1,459	20,188	36,445	14,952	(182)	21,311

Service Analysis - FINANCE and PROCUREMENT- Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Finance and Procurement Service	4,092	738	0	3,354	3,892	707	0	3,185	3,841	707	0	3,134
Housing Benefits and Council Tax Support Scheme	17,387	11,100	0	6,287	20,232	14,100	0	6,132	20,232	13,600	0	6,632
Insurance, Termination & Other Corporate Costs	1,804	158	100	1,746	1,804	158	100	1,746	1,954	158	100	1,896
Corporate Capital Account	8,331	453	(203)	7,675	8,253	487	1,359	9,125	10,418	487	(282)	9,649
Total Finance and Procurement	31,614	12,449	(103)	19,062	34,181	15,452	1,459	20,188	36,445	14,952	(182)	21,311

Dadansoddi Gwasanaethau - CYLLID a CHAFFAEL - Reoladwy i Net

	Cyllideb 2022-23			
	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's
Gwasanaeth Cyllid a Chaffael	3,354	1,386	2,460	2,280
Budd-daliadau Tai a Chynllun Cymorth Treth y Cyngor	6,287	12	0	6,299
Yswiriant, Terfynu a Chostau Corfforaethol Eraill	1,746	363	1,326	783
Cyfrif Cyfalaf Corfforaethol	7,675	46	26,161	(18,440)
Cyfanswm Cyllid a Chaffael	19,062	1,807	29,947	(9,078)

	Cyllideb 2021-22 wedi'i diweddarau			
	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's
	3,185	1,355	2,432	2,108
	6,132	11	0	6,143
	1,746	366	1,349	763
	9,125	50	26,161	(16,986)
	20,188	1,782	29,942	(7,972)

	Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's
	3,134	989	2,546	1,577
	6,632	0	0	6,632
	1,896	294	10,179	(7,989)
	9,649	0	13,603	(3,954)
	21,311	1,283	26,328	(3,734)

Service Analysis - FINANCE and PROCUREMENT- Controllable to Net

	2022-23 Budget			
	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's
Finance and Procurement Service	3,354	1,386	2,460	2,280
Housing Benefits and Council Tax Support Scheme	6,287	12	0	6,299
Insurance, Termination & Other Corporate Costs	1,746	363	1,326	783
Corporate Capital Account	7,675	46	26,161	(18,440)
Total Finance and Procurement	19,062	1,807	29,947	(9,078)

	Updated 2021-22 Budget			
	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's
	3,185	1,355	2,432	2,108
	6,132	11	0	6,143
	1,746	366	1,349	763
	9,125	50	26,161	(16,986)
	20,188	1,782	29,942	(7,972)

	2021-22 Budget			
	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's
	3,134	989	2,546	1,577
	6,632	0	0	6,632
	1,896	294	10,179	(7,989)
	9,649	0	13,603	(3,954)
	21,311	1,283	26,328	(3,734)

Dadansoddi categori - CYLLID a CHAFFAEL - Rheoladwy i Net

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	4,362	4,163	4,117
Eiddo	0	0	0
Cludiant	1	2	2
Cyflenwadau a Gwasanaethau	27,251	30,016	32,326
Cyfanswm Gwariant	31,614	34,181	36,445
Incwm Rheoladwy			
Grantiau	11,732	14,735	14,235
Incwm Arall	596	596	596
Gwasanaethau Contract/Ysgolion	121	121	121
Cyfanswm Incwm	12,449	15,452	14,952
Cyllideb cyn Cronfeydd Wrth Gefn	19,165	18,729	21,493
Adio- Trosglwyddiadau i'r Cronfeydd Wrth Gefn	114	1,755	114
Llai- Trosglwyddiadau o'r Cronfeydd Wrth Gefn	217	296	296
CYLLIDEB REOLADWY	19,062	20,188	21,311
Adio - Dyraniadau Mewnol	1,653	1,628	1,020
Adio - Taliadau Cyfalaf	154	154	263
Cyfanswm y Gyllideb	20,869	21,970	22,594
Llai - Ad-daliadau Mewnol	29,947	29,942	26,328
GWARIANT NET	(9,078)	(7,972)	(3,734)

Category Analysis - FINANCE & PROCUREMENT - Controllable to Net

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	4,362	4,163	4,117
Premises	0	0	0
Transport	1	2	2
Supplies and Services	27,251	30,016	32,326
Total Expenditure	31,614	34,181	36,445
Controllable Income			
Grants	11,732	14,735	14,235
Other Income	596	596	596
Contract Services/Schools	121	121	121
Total Income	12,449	15,452	14,952
Budget Before Reserves	19,165	18,729	21,493
Add - Transfers to Reserves	114	1,755	114
Less - Transfers from Reserves	217	296	296
CONTROLLABLE BUDGET	19,062	20,188	21,311
Add - Internal Allocations	1,653	1,628	1,020
Add - Capital Charges	154	154	263
Total Budget	20,869	21,970	22,594
Less - Internal Recharges	29,947	29,942	26,328
NET EXPENDITURE	(9,078)	(7,972)	(3,734)

Dadansoddi Gwasanaethau - GWASANAETHAU DEMOCRATAIDD - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Gwasanaethau Democrataidd	2,141	0	(170)	1,971	1,827	0	0	1,827	1,827	0	0	1,827
Cymorth Corfforaethol i Wasanaethau	2,005	0	0	2,005	1,894	0	0	1,894	1,869	0	0	1,869
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	616	1	(200)	415	520	121	0	399	521	121	0	400
Cyfanswm Gwasanaethau Democrataidd	4,762	1	(370)	4,391	4,241	121	0	4,120	4,217	121	0	4,096

Service Analysis - DEMOCRATIC SERVICES - Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Democratic Services	2,141	0	(170)	1,971	1,827	0	0	1,827	1,827	0	0	1,827
Corporate Business Support	2,005	0	0	2,005	1,894	0	0	1,894	1,869	0	0	1,869
Service Management & Strategy	616	1	(200)	415	520	121	0	399	521	121	0	400
Total Democratic Services	4,762	1	(370)	4,391	4,241	121	0	4,120	4,217	121	0	4,096

Dadansoddi Gwasanaethau - GWASANAETHAU DEMOCRATAIDD - Reoladwy i Net

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddarau				Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Gwasanaethau Democritaidd	1,971	497	223	2,245	1,827	487	206	2,108	1,827	558	325	2,060
Cymorth Corfforaethol i Wasanaethau	2,005	817	2,861	(39)	1,894	795	2,734	(45)	1,869	689	2,592	(34)
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	415	201	241	375	399	195	234	360	400	44	180	264
Cyfanswm Gwasanaethau Democritaidd	4,391	1,515	3,325	2,581	4,120	1,477	3,174	2,423	4,096	1,291	3,097	2,290

Service Analysis - DEMOCRATIC SERVICES - Controllable to Net

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Democratic Services	1,971	497	223	2,245	1,827	487	206	2,108	1,827	558	325	2,060
Corporate Business Support	2,005	817	2,861	(39)	1,894	795	2,734	(45)	1,869	689	2,592	(34)
Service Management & Strategy	415	201	241	375	399	195	234	360	400	44	180	264
Total Democratic Services	4,391	1,515	3,325	2,581	4,120	1,477	3,174	2,423	4,096	1,291	3,097	2,290

Dadansoddi categori - GWASANAETHAU DEMOCRATAIDD - Rheoladwy i Net

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	4,205	3,927	3,902
Eiddo	1	2	2
Cludiant	23	33	33
Cyflenwadau a Gwasanaethau	533	279	280
Cyfanswm Gwariant	4,762	4,241	4,217
Incwm Rheoladwy			
Grantiau	0	120	120
Incwm Arall	1	1	1
Gwasanaethau Contract/Ysgolion	0	0	0
Cyfanswm Incwm	1	121	121
Cyllideb cyn Cronfeydd Wrth Gefn	4,761	4,120	4,096
Adio- Trosglwyddiadau i'r Cronfeydd Wrth Gefn	0	0	0
Llai- Trosglwyddiadau o'r Cronfeydd Wrth Gefn	370	0	0
CYLLIDEB REOLADWY	4,391	4,120	4,096
Adio - Dyraniadau Mewnol	1,504	1,466	1,270
Adio - Taliadau Cyfalaf	11	11	21
Cyfanswm y Gyllideb	5,906	5,597	5,387
Llai - Ad-daliadau Mewnol	3,325	3,174	3,097
GWARIANT NET	2,581	2,423	2,290

Category Analysis - DEMOCRATIC SERVICES - Controllable to Net

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	4,205	3,927	3,902
Premises	1	2	2
Transport	23	33	33
Supplies and Services	533	279	280
Total Expenditure	4,762	4,241	4,217
Controllable Income			
Grants	0	120	120
Other Income	1	1	1
Contract Services/Schools	0	0	0
Total Income	1	121	121
Budget Before Reserves	4,761	4,120	4,096
Add - Transfers to Reserves	0	0	0
Less - Transfers from Reserves	370	0	0
CONTROLLABLE BUDGET	4,391	4,120	4,096
Add - Internal Allocations	1,504	1,466	1,270
Add - Capital Charges	11	11	21
Total Budget	5,906	5,597	5,387
Less - Internal Recharges	3,325	3,174	3,097
NET EXPENDITURE	2,581	2,423	2,290

Dadansoddi Gwasanaethau - POBL a THREFNIADAETH - Reoladwy

	Cyllideb 2022-23			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's
Pobl & Threfniadaeth	2,656	595	0	2,061
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	104	0	0	104
Cyfanswm Pobl & Threfniadaeth	2,760	595	0	2,165

	Cyllideb 2021-22 wedi'i diweddarau			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's
	2,695	649	(53)	1,993
	100	0	0	100
	2,795	649	(53)	2,093

	Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's
	2,695	649	(53)	1,993
	100	0	0	100
	2,795	649	(53)	2,093

Service Analysis - PEOPLE and ORGANISATION - Controllable

	2022-23 Budget			
	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's
People & Organisation	2,656	595	0	2,061
Service Management & Strategy	104	0	0	104
Total People & Organisation	2,760	595	0	2,165

	Updated 2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's
	2,695	649	(53)	1,993
	100	0	0	100
	2,795	649	(53)	2,093

	2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's
	2,695	649	(53)	1,993
	100	0	0	100
	2,795	649	(53)	2,093

Dadansoddi Gwasanaethau - POBL a THREFNIADAETH - Reoladwy i Net

	Cyllideb 2022-23			
	Cyllideb Reoladwy	Dyranïadau Mewnol/ Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's
Pobl & Threfniadaeth	2,061	669	2,242	488
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	104	0	0	104
Cyfanswm Pobl & Threfniadaeth	2,165	669	2,242	592

	Cyllideb 2021-22 wedi'i diweddarau			
	Cyllideb Reoladwy	Dyranïadau Mewnol/ Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's
	1,993	658	2,131	520
	100	0	0	100
	2,093	658	2,131	620

	Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyranïadau Mewnol/ Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's
	1,993	587	1,974	606
	100	0	0	100
	2,093	587	1,974	706

Service Analysis - PEOPLE and ORGANISATION - Controllable to Net

	2022-23 Budget			
	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's
People & Organisation	2,061	669	2,242	488
Service Management & Strategy	104	0	0	104
Total People & Organisation	2,165	669	2,242	592

	Updated 2021-22 Budget			
	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's
	1,993	658	2,131	520
	100	0	0	100
	2,093	658	2,131	620

	2021-22 Budget			
	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's
	1,993	587	1,974	606
	100	0	0	100
	2,093	587	1,974	706

Dadansoddi categori - POBL a THREFNIADAETH - Rheoladwy i Net

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	2,625	2,517	2,517
Eiddo	0	0	0
Cludiant	8	13	13
Cyflenwadau a Gwasanaethau	127	265	265
Cyfanswm Gwariant	2,760	2,795	2,795
Incwm Rheoladwy			
Grantiau	252	314	314
Incwm Arall	50	49	49
Gwasanaethau Contract/Ysgolion	293	286	286
Cyfanswm Incwm	595	649	649
Cyllideb cyn Cronfeydd Wrth Gefn	2,165	2,146	2,146
Adio- Trosglwyddiadau i'r Cronfeydd Wrth Gefn	0	0	0
Llai- Trosglwyddiadau o'r Cronfeydd Wrth Gefn	0	53	53
CYLLIDEB REOLADWY	2,165	2,093	2,093
Adio - Dyraniadau Mewnol	669	658	587
Adio - Taliadau Cyfalaf	0	0	0
Cyfanswm y Gyllideb	2,834	2,751	2,680
Llai - Ad-daliadau Mewnol	2,242	2,131	1,974
GWARIANT NET	592	620	706

Category Analysis - PEOPLE & ORGANISATION - Controllable to Net

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	2,625	2,517	2,517
Premises	0	0	0
Transport	8	13	13
Supplies and Services	127	265	265
Total Expenditure	2,760	2,795	2,795
Controllable Income			
Grants	252	314	314
Other Income	50	49	49
Contract Services/Schools	293	286	286
Total Income	595	649	649
Budget Before Reserves	2,165	2,146	2,146
Add - Transfers to Reserves	0	0	0
Less - Transfers from Reserves	0	53	53
CONTROLLABLE BUDGET	2,165	2,093	2,093
Add - Internal Allocations	669	658	587
Add - Capital Charges	0	0	0
Total Budget	2,834	2,751	2,680
Less - Internal Recharges	2,242	2,131	1,974
NET EXPENDITURE	592	620	706

Dadansoddi Gwasanaethau - PORTH CYNNAL - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Gofal wedi'i Gynllunio	19,717	7,274	(50)	12,393	16,361	6,703	0	9,658	16,448	6,655	0	9,793
Cymorth Estynedig	15,184	3,863	(50)	11,271	13,459	3,672	0	9,787	13,556	3,580	0	9,976
Lles Meddyliol	5,684	2,382	(200)	3,102	4,359	1,806	0	2,553	4,572	1,891	0	2,681
Diogelu	925	59	0	866	854	28	0	826	744	28	0	716
Camdefnyddio Sylweddau	1,163	591	0	572	1,082	591	0	491	698	425	0	273
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	514	0	(70)	444	318	0	0	318	324	0	0	324
Cyfanswm Porth Cynnal	43,187	14,169	(370)	28,648	36,433	12,800	0	23,633	36,342	12,579	0	23,763

Service Analysis - PORTH CYNNAL - Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Planned Care	19,717	7,274	(50)	12,393	16,361	6,703	0	9,658	16,448	6,655	0	9,793
Extended Support	15,184	3,863	(50)	11,271	13,459	3,672	0	9,787	13,556	3,580	0	9,976
Mental Wellbeing	5,684	2,382	(200)	3,102	4,359	1,806	0	2,553	4,572	1,891	0	2,681
Safeguarding	925	59	0	866	854	28	0	826	744	28	0	716
Substance Misuse	1,163	591	0	572	1,082	591	0	491	698	425	0	273
Service Management and Strategy	514	0	(70)	444	318	0	0	318	324	0	0	324
Total Porth Cynnal	43,187	14,169	(370)	28,648	36,433	12,800	0	23,633	36,342	12,579	0	23,763

Dadansoddi Gwasanaethau - PORTH CYNNAL - Reoladwy i Net

	Cyllideb 2022-23			
	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's
Gofal wedi'i Gynllunio	12,393	1,729	0	14,122
Cymorth Estynedig	11,271	940	0	12,211
Lles Meddyliol	3,102	389	0	3,491
Diogelu	866	466	0	1,332
Camdefnyddio Sylweddau	572	193	0	765
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	444	613	0	1,057
Cyfanswm Porth Cynnal	28,648	4,330	0	32,978

	Cyllideb 2021-22 wedi'i diweddaru			
	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's
	9,658	1,642	0	11,300
	9,787	904	0	10,691
	2,553	370	0	2,923
	826	452	0	1,278
	491	185	0	676
	318	595	0	913
	23,633	4,148	0	27,781

	Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's
	9,793	1,400	0	11,193
	9,976	1,163	0	11,139
	2,681	344	0	3,025
	716	444	0	1,160
	273	140	0	413
	324	321	0	645
	23,763	3,812	0	27,575

Service Analysis - PORTH CYNNAL - Controllable to Net

	2022-23 Budget			
	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's
Planned Care	12,393	1,729	0	14,122
Extended Support	11,271	940	0	12,211
Mental Wellbeing	3,102	389	0	3,491
Safeguarding	866	466	0	1,332
Substance Misuse	572	193	0	765
Service Management and Strategy	444	613	0	1,057
Total Porth Cynnal	28,648	4,330	0	32,978

	Updated 2021-22 Budget			
	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's
	9,658	1,642	0	11,300
	9,787	904	0	10,691
	2,553	370	0	2,923
	826	452	0	1,278
	491	185	0	676
	318	595	0	913
	23,633	4,148	0	27,781

	2021-22 Budget			
	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's
	9,793	1,400	0	11,193
	9,976	1,163	0	11,139
	2,681	344	0	3,025
	716	444	0	1,160
	273	140	0	413
	324	321	0	645
	23,763	3,812	0	27,575

Dadansoddi categori - PORTH CYNNAL - Rheoladwy i Net

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	5,889	5,389	5,312
Eiddo	22	22	22
Cludiant	365	376	359
Cyflenwadau a Gwasanaethau	36,911	30,646	30,649
Cyfanswm Gwariant	43,187	36,433	36,342
Incwm Rheoladwy			
Grantiau	1,238	1,352	1,186
Incwm Arall	12,931	11,448	11,393
Gwasanaethau Contract/Ysgolion	0	0	0
Cyfanswm Incwm	14,169	12,800	12,579
Cyllideb cyn Cronfeydd Wrth Gefn	29,018	23,633	23,763
Adio- Trosglwyddiadau i'r Cronfeydd Wrth Gefn	0	0	0
Llai- Trosglwyddiadau o'r Cronfeydd Wrth Gefn	370	0	0
CYLLIDEB REOLADWY	28,648	23,633	23,763
Adio - Dyraniadau Mewnol	4,325	4,143	3,807
Adio - Taliadau Cyfalaf	5	5	5
Cyfanswm y Gyllideb	32,978	27,781	27,575
Llai - Ad-daliadau Mewnol	0	0	0
GWARIANT NET	32,978	27,781	27,575

Category Analysis - PORTH CYNNAL - Controllable to Net

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	5,889	5,389	5,312
Premises	22	22	22
Transport	365	376	359
Supplies and Services	36,911	30,646	30,649
Total Expenditure	43,187	36,433	36,342
Controllable Income			
Grants	1,238	1,352	1,186
Other Income	12,931	11,448	11,393
Contract Services/Schools	0	0	0
Total Income	14,169	12,800	12,579
Budget Before Reserves	29,018	23,633	23,763
Add - Transfers to Reserves	0	0	0
Less - Transfers from Reserves	370	0	0
CONTROLLABLE BUDGET	28,648	23,633	23,763
Add - Internal Allocations	4,325	4,143	3,807
Add - Capital Charges	5	5	5
Total Budget	32,978	27,781	27,575
Less - Internal Recharges	0	0	0
NET EXPENDITURE	32,978	27,781	27,575

Dadansoddi Gwasanaethau - PORTH GOFAL - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddarau				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Gwasanaethau Uniongyrchol	7,003	1,937	(150)	4,917	6,178	1,945	0	4,234	6,179	1,925	0	4,254
Gwananaethau Asesu a Brysbennu Integredig	7,630	1,875	0	5,755	6,033	1,345	0	4,688	6,030	1,345	0	4,685
Gwasanaethau Tymor Byr ac wedi'u Targedu	2,073	416	0	1,656	1,604	55	0	1,549	1,300	55	0	1,245
Gwasanaethau Tai	5,634	4,790	0	843	5,483	4,680	0	804	5,483	4,680	0	803
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	455	10	0	445	392	10	0	382	392	10	0	382
Cyfanswm Porth Gofal	22,795	9,028	(150)	13,617	19,691	8,035	0	11,656	19,384	8,015	0	11,369

Service Analysis - PORTH GOFAL - Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Direct Services	7,003	1,937	(150)	4,917	6,178	1,945	0	4,234	6,179	1,925	0	4,254
Targeted and Short Term Services	7,630	1,875	0	5,755	6,033	1,345	0	4,688	6,030	1,345	0	4,685
Integrated Triage and Assessment Services	2,073	416	0	1,656	1,604	55	0	1,549	1,300	55	0	1,245
Housing Services	5,634	4,790	0	843	5,483	4,680	0	804	5,483	4,680	0	803
Service Management and Strategy	455	10	0	445	392	10	0	382	392	10	0	382
Total Porth Gofal	22,795	9,028	(150)	13,617	19,691	8,035	0	11,656	19,384	8,015	0	11,369

Dadansoddi Gwasanaethau - PORTH GOFAL - Reoladwy i Net

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddarau				Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyraniadau Mewnol/ Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/ Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/ Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Gwasanaethau Uniongyrchol	4,917	2,764	0	7,681	4,234	2,694	0	6,928	4,254	2,382	0	6,636
Gwananaethau Asesu a Brysbennu Integredig	5,755	700	0	6,455	4,688	661	0	5,349	4,685	902	0	5,587
Gwasanaethau Tymor Byr ac wedi'u Targeddu	1,656	864	0	2,520	1,549	838	0	2,387	1,245	959	0	2,204
Gwasanaethau Tai	843	671	0	1,514	804	660	0	1,464	803	1,796	0	2,599
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	445	311	0	756	382	306	0	688	382	111	0	493
Cyfanswm Porth Gofal	13,617	5,310	0	18,927	11,656	5,159	0	16,815	11,369	6,150	0	17,519

Service Analysis - PORTH GOFAL - Controllable to Net

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Direct Services	4,917	2,764	0	7,681	4,234	2,694	0	6,928	4,254	2,382	0	6,636
Targeted and Short Term Services	5,755	700	0	6,455	4,688	661	0	5,349	4,685	902	0	5,587
Integrated Triage and Assessment Services	1,656	864	0	2,520	1,549	838	0	2,387	1,245	959	0	2,204
Housing Services	843	671	0	1,514	804	660	0	1,464	803	1,796	0	2,599
Service Management and Strategy	445	311	0	756	382	306	0	688	382	111	0	493
Total Porth Gofal	13,617	5,310	0	18,927	11,656	5,159	0	16,815	11,369	6,150	0	17,519

Dadansoddi categori - PORTH GOFAL - Rheoladwy i Net

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	11,557	9,486	9,219
Eiddo	538	493	490
Cludiant	238	150	143
Cyflenwadau a Gwasanaethau	10,462	9,562	9,532
Cyfanswm Gwariant	22,795	19,691	19,384
Incwm Rheoladwy			
Grantiau	4,048	4,012	4,012
Incwm Arall	4,980	4,022	4,003
Gwasanaethau Contract/Ysgolion	0	0	0
Cyfanswm Incwm	9,028	8,035	8,015
Cyllideb cyn Cronfeydd Wrth Gefn	13,767	11,656	11,369
Adio- Trosglwyddiadau i'r Cronfeydd Wrth Gefn	0	0	0
Llai- Trosglwyddiadau o'r Cronfeydd Wrth Gefn	150	0	0
CYLLIDEB REOLADWY	13,617	11,656	11,369
Adio - Dyraniadau Mewnol	4,917	4,766	4,292
Adio - Taliadau Cyfalaf	393	393	1,858
Cyfanswm y Gyllideb	18,927	16,815	17,519
Llai - Ad-daliadau Mewnol	0	0	0
GWARIANT NET	18,927	16,815	17,519

Category Analysis - PORTH GOFAL - Controllable to Net

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	11,557	9,486	9,219
Premises	538	493	490
Transport	238	150	143
Supplies and Services	10,462	9,562	9,532
Total Expenditure	22,795	19,691	19,384
Controllable Income			
Grants	4,048	4,012	4,012
Other Income	4,980	4,022	4,003
Contract Services/Schools	0	0	0
Total Income	9,028	8,035	8,015
Budget Before Reserves	13,767	11,656	11,369
Add - Transfers to Reserves	0	0	0
Less - Transfers from Reserves	150	0	0
CONTROLLABLE BUDGET	13,617	11,656	11,369
Add - Internal Allocations	4,917	4,766	4,292
Add - Capital Charges	393	393	1,858
Total Budget	18,927	16,815	17,519
Less - Internal Recharges	0	0	0
NET EXPENDITURE	18,927	16,815	17,519

Dadansoddi Gwasanaethau - POLISI, PHERFFORMIAD a AMDDIFFYN Y CYHOEDD - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddarau				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Partneriaethau a Pherfformiad	1,103	175	0	928	1,059	232	0	827	927	148	0	779
Diogelu'r Cyhoedd	1,650	371	0	1,279	1,581	383	0	1,198	1,581	383	0	1,198
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	170	22	0	148	121	0	0	121	121	0	0	121
Cyfanswm Polisi, Pherfformiad a Amddiffyn y Cyhoedd	2,923	568	0	2,355	2,761	615	0	2,146	2,629	531	0	2,098

Service Analysis - POLICY, PERFORMANCE & PUBLIC PROTECTION - Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Partnerships & Performance	1,103	175	0	928	1,059	232	0	827	927	148	0	779
Public Protection	1,650	371	0	1,279	1,581	383	0	1,198	1,581	383	0	1,198
Service Management and Strategy	170	22	0	148	121	0	0	121	121	0	0	121
Total Policy, Performance & Public Protection	2,923	568	0	2,355	2,761	615	0	2,146	2,629	531	0	2,098

Dadansoddi Gwasanaethau - POLISI, PHERFFORMIAD a AMDDIFFYN Y CYHOEDD - Reoladwy i Net

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Partneriaethau a Pherfformiad	928	316	156	1,088	827	307	149	985	779	321	202	898
Diogelu'r Cyhoedd	1,279	676	0	1,955	1,198	658	0	1,856	1,198	538	0	1,736
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	148	44	0	192	121	43	0	164	121	23	0	144
Cyfanswm Polisi, Pherfformiad a Amddiffyn y Cyhoedd	2,355	1,036	156	3,235	2,146	1,008	149	3,005	2,098	882	202	2,778

Service Analysis - POLICY, PERFORMANCE & PUBLIC PROTECTION - Controllable to Net

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Partnerships & Performance	928	316	156	1,088	827	307	149	985	779	321	202	898
Public Protection	1,279	676	0	1,955	1,198	658	0	1,856	1,198	538	0	1,736
Service Management and Strategy	148	44	0	192	121	43	0	164	121	23	0	144
Total Policy, Performance & Public Protection	2,355	1,036	156	3,235	2,146	1,008	149	3,005	2,098	882	202	2,778

**Dadansoddi categori - POLISI, PHERFFORMIAD a AMDDIFFYN Y CYHOEDD -
Rheoladwy i Net**

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	2,608	2,385	2,299
Eiddo	0	0	0
Cludiant	25	37	37
Cyflenwadau a Gwasanaethau	290	339	293
Cyfanswm Gwariant	2,923	2,761	2,629
Incwm Rheoladwy			
Grantiau	253	288	204
Incwm Arall	315	327	327
Gwasanaethau Contract/Ysgolion	0	0	0
Cyfanswm Incwm	568	615	531
Cyllideb cyn Cronfeydd Wrth Gefn	2,355	2,146	2,098
Adio- Trosglwyddiadau i'r Cronfeydd Wrth Gefn	0	0	0
Llai- Trosglwyddiadau o'r Cronfeydd Wrth Gefn	0	0	0
CYLLIDEB REOLADWY	2,355	2,146	2,098
Adio - Dyraniadau Mewnol	1,028	1,000	874
Adio - Taliadau Cyfalaf	8	8	8
Cyfanswm y Gyllideb	3,391	3,154	2,980
Llai - Ad-daliadau Mewnol	156	149	202
GWARIANT NET	3,235	3,005	2,778

**Category Analysis - POLICY, PERFORMANCE & PUBLIC PROTECTION -
Controllable to Net**

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	2,608	2,385	2,299
Premises	0	0	0
Transport	25	37	37
Supplies and Services	290	339	293
Total Expenditure	2,923	2,761	2,629
Controllable Income			
Grants	253	288	204
Other Income	315	327	327
Contract Services/Schools	0	0	0
Total Income	568	615	531
Budget Before Reserves	2,355	2,146	2,098
Add - Transfers to Reserves	0	0	0
Less - Transfers from Reserves	0	0	0
CONTROLLABLE BUDGET	2,355	2,146	2,098
Add - Internal Allocations	1,028	1,000	874
Add - Capital Charges	8	8	8
Total Budget	3,391	3,154	2,980
Less - Internal Recharges	156	149	202
NET EXPENDITURE	3,235	3,005	2,778

Dadansoddi Gwasanaethau - PRIFFYRDD a GWASANAETHAU AMGYLCHEDDOL - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Casglu a Gwaredu Gwastraff	6,079	966	0	5,113	5,793	1,003	0	4,790	5,769	979	0	4,790
Parciau a gerddi, Glanhau Priffyrdd, Gwasanaethau Parcio, Harbwrs	2,347	2,314	0	33	2,260	2,232	0	28	2,260	2,232	0	28
Cludiant Teithwyr Corfforaethol, Uned Cynnal a Chadw Trafnidiaeth	8,890	2,465	38	6,463	8,462	2,069	38	6,431	8,136	2,268	38	5,906
Cynnal a Chadw Priffyrdd, Caffael a Strategaeth, Peirianneg Arfordirol a Gwaith Draenio Tir	7,663	2,317	(50)	5,296	7,936	2,295	(521)	5,120	7,465	2,295	(50)	5,120
Gwasanaethau Priffyrdd, Diolgelwch y Ffordd, Rheoli Trafnidiaeth Rhanbarthol	791	133	0	658	788	131	0	657	788	131	0	657
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	678	0	0	678	561	0	0	561	561	0	0	561
Cyfanswm Priffyrdd a Gwasanaethau Amgylcheddol	26,448	8,195	(12)	18,241	25,800	7,730	(483)	17,587	24,979	7,905	(12)	17,062

Service Analysis - HIGHWAYS and ENVIRONMENTAL SERVICES - Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Waste Collection & Disposal	6,079	966	0	5,113	5,793	1,003	0	4,790	5,769	979	0	4,790
Parks & Gardens, Highways Cleaning, Parking Services, Harbours	2,347	2,314	0	33	2,260	2,232	0	28	2,260	2,232	0	28
Corporate Passenger Transport, Transport Maintenance Unit	8,890	2,465	38	6,463	8,462	2,069	38	6,431	8,136	2,268	38	5,906
Highways Maintenance, Coastal Engineering & Land Drainage Procurement & Strategy	7,663	2,317	(50)	5,296	7,936	2,295	(521)	5,120	7,465	2,295	(50)	5,120
Highways Services, Road Safety, Regional Transport Management	791	133	0	658	788	131	0	657	788	131	0	657
Service Management and Strategy	678	0	0	678	561	0	0	561	561	0	0	561
Total Highways and Environmental Services	26,448	8,195	(12)	18,241	25,800	7,730	(483)	17,587	24,979	7,905	(12)	17,062

Dadansoddi Gwasanaethau - PRIFFYRDD a GWASANAETHAU AMGYLCHEDDOL - Reoladwy i Net

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Casglu a Gwaredu Gwastraff	5,113	2,124	0	7,237	4,790	2,082	0	6,872	4,790	1,409	0	6,199
Parciau a gerddi, Glanhau Prifffyrdd, Gwasanaethau Parcio, Harbws	33	605	0	638	28	596	0	624	28	682	0	710
Cludiant Teithwyr Corfforaethol, Uned Cynnal a Chadw Trafnidiaeth	6,463	754	0	7,217	6,431	753	0	7,184	5,906	795	0	6,701
Cynnal a Chadw Prifffyrdd, Caffael a Strategaeth, Peirianeg Arfordirol a Gwaith Draenio Tir	5,296	4,791	0	10,087	5,120	4,727	0	9,847	5,120	3,854	0	8,974
Gwasanaethau Prifffyrdd, Diolgelwch y Ffordd, Rheoli Trafnidiaeth Rhanbarthol	658	355	0	1,013	657	359	0	1,016	657	184	0	841
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	678	131	0	809	561	124	0	685	561	348	0	909
Cyfanswm Prifffyrdd a Gwasanaethau Amgylcheddol	18,241	8,760	0	27,001	17,587	8,641	0	26,228	17,062	7,272	0	24,334

Service Analysis - HIGHWAYS and ENVIRONMENTAL SERVICES - Controllable to Net

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Waste Collection & Disposal	5,113	2,124	0	7,237	4,790	2,082	0	6,872	4,790	1,409	0	6,199
Parks & Gardens, Highways Cleaning, Parking Services, Harbours	33	605	0	638	28	596	0	624	28	682	0	710
Corporate Passenger Transport, Transport Maintenance Unit	6,463	754	0	7,217	6,431	753	0	7,184	5,906	795	0	6,701
Highways Maintenance, Coastal Engineering & Land Drainage Procurement & Strategy	5,296	4,791	0	10,087	5,120	4,727	0	9,847	5,120	3,854	0	8,974
Highways Services, Road Safety, Regional Transport Management	658	355	0	1,013	657	359	0	1,016	657	184	0	841
Service Management and Strategy	678	131	0	809	561	124	0	685	561	348	0	909
Total Highways and Environmental Services	18,241	8,760	0	27,001	17,587	8,641	0	26,228	17,062	7,272	0	24,334

**Dadansoddi categori - PRIFFYRDD a GWASANAETHAU AMGYLCHEDDOL -
Reoladwy i Net**

	Cyllideb 2022-23 £000's	Cyllideb diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	8,407	8,135	8,135
Eiddo	1,243	1,227	1,227
Cludiant	7,556	7,150	6,824
Cyflenwadau a Gwasanaethau	9,242	9,288	8,793
Cyfanswm Gwariant	26,448	25,800	24,979
Incwm Rheoladwy			
Grantiau	3,014	2,725	2,998
Incwm Arall	4,691	4,515	4,417
Gwasanaethau Contract/Ysgolion	490	490	490
Cyfanswm Incwm	8,195	7,730	7,905
Cyllideb cyn Cronfeydd Wrth Gefn	18,253	18,070	17,074
Adio- Trosglwyddiadau i'r Cronfeydd Wrth Gefn	38	38	38
Llai- Trosglwyddiadau o'r Cronfeydd Wrth Gefn	50	521	50
CYLLIDEB REOLADWY	18,241	17,587	17,062
Adio - Dyraniadau Mewnol	5,327	5,208	3,856
Adio - Taliadau Cyfalaf	3,433	3,433	3,416
Cyfanswm y Gyllideb	27,001	26,228	24,334
Llai - Ad-daliadau Mewnol	0	0	0
GWARIANT NET	27,001	26,228	24,334

**Category Analysis - HIGHWAYS & ENVIRONMENTAL SERVICES -
Controllable to Net**

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	8,407	8,135	8,135
Premises	1,243	1,227	1,227
Transport	7,556	7,150	6,824
Supplies and Services	9,242	9,288	8,793
Total Expenditure	26,448	25,800	24,979
Controllable Income			
Grants	3,014	2,725	2,998
Other Income	4,691	4,515	4,417
Contract Services/Schools	490	490	490
Total Income	8,195	7,730	7,905
Budget Before Reserves	18,253	18,070	17,074
Add - Transfers to Reserves	38	38	38
Less - Transfers from Reserves	50	521	50
CONTROLLABLE BUDGET	18,241	17,587	17,062
Add - Internal Allocations	5,327	5,208	3,856
Add - Capital Charges	3,433	3,433	3,416
Total Budget	27,001	26,228	24,334
Less - Internal Recharges	0	0	0
NET EXPENDITURE	27,001	26,228	24,334

Dadansoddi Gwasanaethau - ECONOMI ac ADFYWIO - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Gwasanaethau Eiddo	4,029	1,038	(198)	2,793	3,710	1,005	(48)	2,657	3,860	1,005	(198)	2,657
Twf a Menter	3,731	3,003	(84)	644	3,437	2,600	(224)	613	3,454	2,600	(224)	630
Gwasanaethau Cynllunio	1,312	1,032	(92)	188	1,266	1,032	(92)	142	1,267	1,032	(92)	143
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	63	0	0	63	59	0	0	59	59	0	0	59
Cyfanswm Economi ac Adfywio	9,135	5,073	(374)	3,688	8,472	4,637	(364)	3,471	8,640	4,637	(514)	3,489

Service Analysis - ECONOMY and REGENERATION - Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Property Services	4,029	1,038	(198)	2,793	3,710	1,005	(48)	2,657	3,860	1,005	(198)	2,657
Growth & Enterprise	3,731	3,003	(84)	644	3,437	2,600	(224)	613	3,454	2,600	(224)	630
Planning Services	1,312	1,032	(92)	188	1,266	1,032	(92)	142	1,267	1,032	(92)	143
Service Management & Strategy	63	0	0	63	59	0	0	59	59	0	0	59
Total Economy and Regeneration	9,135	5,073	(374)	3,688	8,472	4,637	(364)	3,471	8,640	4,637	(514)	3,489

Dadansoddi Gwasanaethau - ECONOMI ac ADFYWIO - Reoladwy i Net

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Gwasanaethau Eiddo	2,793	2,051	3,390	1,454	2,657	2,014	3,123	1,548	2,657	1,431	2,665	1,423
Twf a Menter	644	1,149	0	1,793	613	1,131	0	1,744	630	988	0	1,618
Gwasanaethau Cynllunio	188	849	0	1,037	142	823	0	965	143	663	0	806
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	63	29	0	92	59	30	0	89	59	31	0	90
Cyfanswm Economi ac Adfywio	3,688	4,078	3,390	4,376	3,471	3,998	3,123	4,346	3,489	3,113	2,665	3,937

Service Analysis - ECONOMY and REGENERATION - Controllable to Net

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Property Services	2,793	2,051	3,390	1,454	2,657	2,014	3,123	1,548	2,657	1,431	2,665	1,423
Growth & Enterprise	644	1,149	0	1,793	613	1,131	0	1,744	630	988	0	1,618
Planning Services	188	849	0	1,037	142	823	0	965	143	663	0	806
Service Management & Strategy	63	29	0	92	59	30	0	89	59	31	0	90
Total Economy and Regeneration	3,688	4,078	3,390	4,376	3,471	3,998	3,123	4,346	3,489	3,113	2,665	3,937

Dadansoddi categori - ECONOMI ac ADFYWIO - Rheoladwy i Net

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	5,863	5,399	5,399
Eiddo	1,981	1,912	1,929
Cludiant	63	75	75
Cyflenwadau a Gwasanaethau	1,228	1,086	1,237
Cyfanswm Gwariant	9,135	8,472	8,640
Incwm Rheoladwy			
Grantiau	1,349	1,247	1,247
Incwm Arall	3,064	2,730	2,730
Gwasanaethau Contract/Ysgolion	660	660	660
Cyfanswm Incwm	5,073	4,637	4,637
Cyllideb cyn Cronfeydd Wrth Gefn	4,062	3,835	4,003
Adio- Trosglwyddiadau i'r Cronfeydd Wrth Gefn	2	2	0
Llai- Trosglwyddiadau o'r Cronfeydd Wrth Gefn	376	366	514
CYLLIDEB REOLADWY	3,688	3,471	3,489
Adio - Dyraniadau Mewnol	2,842	2,761	2,295
Adio - Taliadau Cyfalaf	1,236	1,237	818
Cyfanswm y Gyllideb	7,766	7,469	6,602
Llai - Ad-daliadau Mewnol	3,390	3,123	2,665
GWARIANT NET	4,376	4,346	3,937

Category Analysis - ECONOMY & REGENERATION - Controllable to Net

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	5,863	5,399	5,399
Premises	1,981	1,912	1,929
Transport	63	75	75
Supplies and Services	1,228	1,086	1,237
Total Expenditure	9,135	8,472	8,640
Controllable Income			
Grants	1,349	1,247	1,247
Other Income	3,064	2,730	2,730
Contract Services/Schools	660	660	660
Total Income	5,073	4,637	4,637
Budget Before Reserves	4,062	3,835	4,003
Add - Transfers to Reserves	2	2	0
Less - Transfers from Reserves	376	366	514
CONTROLLABLE BUDGET	3,688	3,471	3,489
Add - Internal Allocations	2,842	2,761	2,295
Add - Capital Charges	1,236	1,237	818
Total Budget	7,766	7,469	6,602
Less - Internal Recharges	3,390	3,123	2,665
NET EXPENDITURE	4,376	4,346	3,937

Dadansoddi Gwasanaethau - CYSWLLT CWSMERIAID - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
TGCh	5,058	1,340	0	3,718	4,762	1,340	0	3,422	4,718	1,340	0	3,378
Gwasanaethau Cwsmeriaid	1,365	0	0	1,365	1,308	0	0	1,308	1,308	0	0	1,308
Gwasanaethau Cymunedol	1,154	182	0	972	1,131	182	0	949	1,131	182	0	949
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	100	0	0	100	100	0	0	100	100	0	0	100
Cyfanswm Cyswllt Cwsmeriaid	7,677	1,522	0	6,155	7,301	1,522	0	5,779	7,257	1,522	0	5,735

Service analysis - CUSTOMER CONTACT - Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
ICT	5,058	1,340	0	3,718	4,762	1,340	0	3,422	4,718	1,340	0	3,378
Customer Services	1,365	0	0	1,365	1,308	0	0	1,308	1,308	0	0	1,308
Community Services	1,154	182	0	972	1,131	182	0	949	1,131	182	0	949
Service Management and Strategy	100	0	0	100	100	0	0	100	100	0	0	100
Total Customer Services	7,677	1,522	0	6,155	7,301	1,522	0	5,779	7,257	1,522	0	5,735

Dadansoddi Gwasanaethau - CYSWLLT CWSMERIAID - Reoladwy i Net

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
TGCh	3,718	1,088	4,677	129	3,422	1,067	4,360	129	3,378	818	4,130	66
Gwasanaethau Cwsmeriaid	1,365	505	1,843	27	1,308	493	1,774	27	1,308	391	1,673	26
Gwasanaethau Cymunedol	972	533	161	1,344	949	524	156	1,317	949	461	241	1,169
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau	100	0	0	100	100	0	0	100	100	0	0	100
Cyfanswm Cyswllt Cwsmeriaid	6,155	2,126	6,681	1,600	5,779	2,084	6,290	1,573	5,735	1,670	6,044	1,361

Service analysis - CUSTOMER CONTACT - Controllable to Net

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
ICT	3,718	1,088	4,677	129	3,422	1,067	4,360	129	3,378	818	4,130	66
Customer Services	1,365	505	1,843	27	1,308	493	1,774	27	1,308	391	1,673	26
Community Services	972	533	161	1,344	949	524	156	1,317	949	461	241	1,169
Service Management and Strategy	100	0	0	100	100	0	0	100	100	0	0	100
Total Customer Services	6,155	2,126	6,681	1,600	5,779	2,084	6,290	1,573	5,735	1,670	6,044	1,361

Dadansoddi categori - CYSWLLT CWSMERIAID - Reoladwy i Net

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	4,701	4,452	4,423
Eiddo	22	22	22
Cludiant	23	33	33
Cyflenwadau a Gwasanaethau	2,931	2,794	2,779
Cyfanswm Gwariant	7,677	7,301	7,257
Incwm Rheoladwy			
Grantiau	0	0	0
Incwm Arall	16	16	16
Gwasanaethau Contract/Ysgolion	1,506	1,506	1,506
Cyfanswm Incwm	1,522	1,522	1,522
Cyllideb cyn Cronfeydd Wrth Gefn	6,155	5,779	5,735
Adio - Trosglwyddiadau i'r Cronfeydd Wrth Gefn	0	0	0
Llai - Trosglwyddiadau o'r Cronfeydd Wrth Gefn	0	0	0
CYLLIDEB REOLADWY	6,155	5,779	5,735
Adio - Dyraniadau Mewnol	1,837	1,795	1,448
Adio - Taliadau Cyfalaf	289	289	222
Cyfanswm y Gyllideb	8,281	7,863	7,405
Llai - Ad-daliadau Mewnol	6,681	6,290	6,044
GWARIANT NET	1,600	1,573	1,361

Category Analysis - CUSTOMER CONTACT - Controllable to Net

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	4,701	4,452	4,423
Premises	22	22	22
Transport	23	33	33
Supplies and Services	2,931	2,794	2,779
Total Expenditure	7,677	7,301	7,257
Controllable Income			
Grants	0	0	0
Other Income	16	16	16
Contract Services/Schools	1,506	1,506	1,506
Total Income	1,522	1,522	1,522
Budget Before Reserves	6,155	5,779	5,735
Add - Transfers to Reserves	0	0	0
Less - Transfers from Reserves	0	0	0
CONTROLLABLE BUDGET	6,155	5,779	5,735
Add - Internal Allocations	1,837	1,795	1,448
Add - Capital Charges	289	289	222
Total Budget	8,281	7,863	7,405
Less - Internal Recharges	6,681	6,290	6,044
NET EXPENDITURE	1,600	1,573	1,361

Dadansoddi Gwasanaethau - GWASANAETHAU CYFREITHIOL a LLYWODRAETHU - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Gwasanaethau Cyfreithiol	811	81	0	730	786	81	0	705	786	81	0	705
Archwilio Mewol ac Allanol	560	0	(5)	555	555	0	(5)	550	558	0	(5)	553
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau (gan gynnwys Crwneriaid)	284	0	0	284	280	0	0	280	290	0	(10)	280
Cyfanswm Gwasanaethau Cyfreithiol a Llywodraethu	1,655	81	(5)	1,569	1,621	81	(5)	1,535	1,634	81	(15)	1,538

Service analysis - LEGAL & GOVERNANCE SERVICES- Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Legal Services	811	81	0	730	786	81	0	705	786	81	0	705
Internal & External Audit	560	0	(5)	555	555	0	(5)	550	558	0	(5)	553
Service Management and Strategy (incl. Coroners)	284	0	0	284	280	0	0	280	290	0	(10)	280
Total Legal & Governance Services	1,655	81	(5)	1,569	1,621	81	(5)	1,535	1,634	81	(15)	1,538

Dadansoddi Gwasanaethau - GWASANAETHAU CYFREITHIOL a LLYWODRAETHU - Reoladwy i Net

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyranïadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Gwasanaethau Cyfreithiol	730	229	961	(2)	705	224	930	(1)	705	192	900	(3)
Archwilio Mewol ac Allanol	555	99	368	286	550	97	356	291	553	80	342	291
Rheoli'r Gwasanaethau a Strategaeth y Gwasanaethau (gan gynnwys Crwneriaid)	284	33	0	317	280	35	0	315	280	40	0	320
Cyfanswm Gwasanaethau Cyfreithiol a Llywodraethu	1,569	361	1,329	601	1,535	356	1,286	605	1,538	312	1,242	608

Service analysis - LEGAL & GOVERNANCE SERVICES- Controllable to Net

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Legal Services	730	229	961	(2)	705	224	930	(1)	705	192	900	(3)
Internal & External Audit	555	99	368	286	550	97	356	291	553	80	342	291
Service Management and Strategy (incl. Coroners)	284	33	0	317	280	35	0	315	280	40	0	320
Total Legal & Governance Services	1,569	361	1,329	601	1,535	356	1,286	605	1,538	312	1,242	608

**Dadansoddi categori - GWASANAETHAU CYFREITHIOL a LLYWODRAETHU -
Reoladwy i Net**

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	1,001	986	986
Eiddo	0	0	0
Cludiant	3	9	9
Cyflenwadau a Gwasanaethau	651	626	639
Cyfanswm Gwariant	1,655	1,621	1,634
Incwm Rheoladwy			
Grantiau	0	0	0
Incwm Arall	63	63	63
Gwasanaethau Contract/Ysgolion	18	18	18
Cyfanswm Incwm	81	81	81
Cyllideb cyn Cronfeydd Wrth Gefn	1,574	1,540	1,553
Adio - Trosglwyddiadau i'r Cronfeydd Wrth Gefn	0	0	0
Llai - Trosglwyddiadau o'r Cronfeydd Wrth Gefn	5	5	15
CYLLIDEB REOLADWY	1,569	1,535	1,538
Adio - Dyraniadau Mewnol	361	356	312
Adio - Taliadau Cyfalaf	0	0	0
Cyfanswm y Gyllideb	1,930	1,891	1,850
Llai - Ad-daliadau Mewnol	1,329	1,286	1,242
GWARIANT NET	601	605	608

Category Analysis - LEGAL & GOVERNANCE - Controllable to Net

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	1,001	986	986
Premises	0	0	0
Transport	3	9	9
Supplies and Services	651	626	639
Total Expenditure	1,655	1,621	1,634
Controllable Income			
Grants	0	0	0
Other Income	63	63	63
Contract Services/Schools	18	18	18
Total Income	81	81	81
Budget Before Reserves	1,574	1,540	1,553
Add - Transfers to Reserves	0	0	0
Less - Transfers from Reserves	5	5	15
CONTROLLABLE BUDGET	1,569	1,535	1,538
Add - Internal Allocations	361	356	312
Add - Capital Charges	0	0	0
Total Budget	1,930	1,891	1,850
Less - Internal Recharges	1,329	1,286	1,242
NET EXPENDITURE	601	605	608

Dadansoddi Gwasanaethau - GRŴP ARWEINIOL - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Gwariant £000's	Incwm £000's	Cronfeydd Wrth Gefn £000's	Cyllideb Reoladwy £000's	Gwariant £000's	Incwm £000's	Cronfeydd Wrth Gefn £000's	Cyllideb Reoladwy £000's	Gwariant £000's	Incwm £000's	Cronfeydd Wrth Gefn £000's	Cyllideb Reoladwy £000's
Grŵp Arweiniol	504	0	0	504	486	0	0	486	486	0	0	486
Arbedion Corfforaethol	(398)	0	2,688	2,290	0	0	2,845	2,845	(1,174)	0	3,100	1,926
Cyllid wrth gefn	973	20	(58)	895	200	58	58	200	80	0	0	80
Buddsoddi i Arbed	0	0	0	0	65	0	0	65	0	0	0	0
Lleoliadau y tu allan i'r Sir	2,392	0	0	2,392	1,792	0	0	1,792	1,792	0	0	1,792
COVID 19	2,000	0	(1,250)	750	5,500	5,500	0	0	4,000	3,000	(1,000)	0
Cyfanswm Grŵp Arweiniol	5,471	20	1,380	6,831	8,043	5,558	2,903	5,388	5,184	3,000	2,100	4,284

Service analysis - LEADERSHIP GROUP - Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure £000's	Income £000's	Reserves £000's	Controllable Budget £000's	Expenditure £000's	Income £000's	Reserves £000's	Controllable Budget £000's	Expenditure £000's	Income £000's	Reserves £000's	Controllable Budget £000's
Leadership Group	504	0	0	504	486	0	0	486	486	0	0	486
Corporate Savings	(398)	0	2,688	2,290	0	0	2,845	2,845	(1,174)	0	3,100	1,926
Contingencies	973	20	(58)	895	200	58	58	200	80	0	0	80
Invest to Save	0	0	0	0	65	0	0	65	0	0	0	0
Out of County Placements	2,392	0	0	2,392	1,792	0	0	1,792	1,792	0	0	1,792
COVID 19	2,000	0	(1,250)	750	5,500	5,500	0	0	4,000	3,000	(1,000)	0
Total Leadership Group	5,471	20	1,380	6,831	8,043	5,558	2,903	5,388	5,184	3,000	2,100	4,284

Dadansoddi Gwasanaethau - GRŴP ARWEINIOL - Reoladwy i Net

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/Talidau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Grŵp Arweiniol	504	335	0	839	486	327	0	813	486	275	0	761
Arbedion Corfforaethol	2,290	0	0	2,290	2,845	0	0	2,845	1,926	0	0	1,926
Cyllid wrth gefn	895	39	0	934	200	39	0	239	80	19	0	99
Buddsoddi i Arbed	0	0	0	0	65	0	0	65	0	0	0	0
Lleoliadau y tu allan i'r Sir	2,392	85	0	2,477	1,792	76	0	1,868	1,792	0	0	1,792
COVID 19	750	24	0	774	0	0	0	0	0	0	0	0
Cyfanswm Grŵp Arweiniol	6,831	483	0	7,314	5,388	442	0	5,830	4,284	294	0	4,578

Service analysis - LEADERSHIP GROUP - Controllable to Net

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Leadership Group	504	335	0	839	486	327	0	813	486	275	0	761
Corporate Savings	2,290	0	0	2,290	2,845	0	0	2,845	1,926	0	0	1,926
Contingencies	895	39	0	934	200	39	0	239	80	19	0	99
Invest to Save	0	0	0	0	65	0	0	65	0	0	0	0
Out of County Placements	2,392	85	0	2,477	1,792	76	0	1,868	1,792	0	0	1,792
COVID 19	750	24	0	774	0	0	0	0	0	0	0	0
Total Leadership Group	6,831	483	0	7,314	5,388	442	0	5,830	4,284	294	0	4,578

Dadansoddi categori - GRŴP ARWEINIOL - Reoladwy i Net

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	1,293	1,945	429
Eiddo	0	100	0
Cludiant	1	1	1
Cyflenwadau a Gwasanaethau	4,177	5,997	4,754
Cyfanswm Gwariant	5,471	8,043	5,184
Incwm Rheoladwy			
Grantiau	0	5,558	3,000
Incwm Arall	20	0	0
Gwasanaethau Contract/Ysgolion	0	0	0
Cyfanswm Incwm	20	5,558	3,000
Cyllideb cyn Cronfeydd Wrth Gefn	5,451	2,485	2,184
Adio - Trosglwyddiadau i'r Cronfeydd Wrth Gefn	2,688	2,903	3,100
Llai - Trosglwyddiadau o'r Cronfeydd Wrth Gefn	1,308	0	1,000
CYLLIDEB REOLADWY	6,831	5,388	4,284
Adio - Dyraniadau Mewnol	456	415	292
Adio - Taliadau Cyfalaf	27	27	2
Cyfanswm y Gyllideb	7,314	5,830	4,578
Llai - Ad-daliadau Mewnol	0	0	0
GWARIANT NET	7,314	5,830	4,578

Category Analysis - LEADERSHIP GROUP - Controllable to Net

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	1,293	1,945	429
Premises	0	100	0
Transport	1	1	1
Supplies and Services	4,177	5,997	4,754
Total Expenditure	5,471	8,043	5,184
Controllable Income			
Grants	0	5,558	3,000
Other Income	20	0	0
Contract Services/Schools	0	0	0
Total Income	20	5,558	3,000
Budget Before Reserves	5,451	2,485	2,184
Add - Transfers to Reserves	2,688	2,903	3,100
Less - Transfers from Reserves	1,308	0	1,000
CONTROLLABLE BUDGET	6,831	5,388	4,284
Add - Internal Allocations	456	415	292
Add - Capital Charges	27	27	2
Total Budget	7,314	5,830	4,578
Less - Internal Recharges	0	0	0
NET EXPENDITURE	7,314	5,830	4,578

Dadansoddi Gwasanaethau - ARDOLLAU, PREMIWM TRETH Y CYNGOR A CHRONFEYDD - Reoladwy

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy	Gwariant	Incwm	Cronfeydd Wrth Gefn	Cyllideb Reoladwy
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Ardollau	4,205	0	0	4,205	4,072	0	0	4,072	4,072	0	0	4,072
Premiwm Treth y Cyngor	550	0	0	550	518	0	0	518	518	0	0	518
Balansau a Chronfeydd Wrth Gefn	5,630	0	(6,630)	(1,000)	203	0	(203)	0	5,303	0	(5,303)	0
Cyfanswm Ardollau, Premiwm Treth y Cyngor a Chronfeydd	10,385	0	(6,630)	3,755	4,793	0	(203)	4,590	9,893	0	(5,303)	4,590

Service analysis - LEVIES, COUNCIL TAX PREMIUM & RESERVES - Controllable

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget	Expenditure	Income	Reserves	Controllable Budget
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Levies	4,205	0	0	4,205	4,072	0	0	4,072	4,072	0	0	4,072
Council Tax Premium	550	0	0	550	518	0	0	518	518	0	0	518
Balances & Reserves	5,630	0	(6,630)	(1,000)	203	0	(203)	0	5,303	0	(5,303)	0
Total Levies, Council Tax, Premium & Reserves	10,385	0	(6,630)	3,755	4,793	0	(203)	4,590	9,893	0	(5,303)	4,590

Dadansoddi Gwasanaethau - ARDOLLAU, PREMIWM TRETH Y CYNGOR A CHRONFEYDD - Reoladwy i Net

	Cyllideb 2022-23				Cyllideb 2021-22 wedi'i diweddaru				Cyllideb 2021-22			
	Cyllideb Reoladwy	Dyraniadau Mewnol/ Taldau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/ Taldau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net	Cyllideb Reoladwy	Dyraniadau Mewnol/ Taldau Cyfalaf	Ad-daliadau Mewnol	Gwariant Net
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Ardollau	4,205	0	0	4,205	4,072	0	0	4,072	4,072	0	0	4,072
Premiwm Treth y Cyngor	550	0	0	550	518	0	0	518	518	0	0	518
Balansau a Chronfeydd Wrth Gefn	(1,000)	0	0	(1,000)	0	0	0	0	0	0	0	0
Cyfanswm Ardollau, Premiwm Treth y Cyngor a Chronfeydd	3,755	0	0	3,755	4,590	0	0	4,590	4,590	0	0	4,590

Service analysis - LEVIES, COUNCIL TAX PREMIUM & RESERVES - Controllable to Net

	2022-23 Budget				Updated 2021-22 Budget				2021-22 Budget			
	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure	Controllable Budget	Internal Allocations/ Capital Charges	Internal Recharges	Net Expenditure
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Levies	4,205	0	0	4,205	4,072	0	0	4,072	4,072	0	0	4,072
Council Tax Premium	550	0	0	550	518	0	0	518	518	0	0	518
Balances & Reserves	(1,000)	0	0	(1,000)	0	0	0	0	0	0	0	0
Total Levies, Council Tax, Premium & Reserves	3,755	0	0	3,755	4,590	0	0	4,590	4,590	0	0	4,590

**Dadansoddi categori - ARDOLLAU, PREMIWM TRETH Y CYNGOR A
CHRONFEYDD - Reoladwy i Net**

	Cyllideb 2022-23 £000's	Cyllideb wedi'i diweddarau 2021-22 £000's	Cyllideb 2021-22 £000's
Gwariant Rheoladwy			
Gweithwyr	0	0	0
Eiddo	5,630	175	5,303
Cludiant	0	0	0
Cyflenwadau a Gwasanaethau	4,755	4,618	4,590
Cyfanswm Gwariant	10,385	4,793	9,893
Incwm Rheoladwy			
Grantiau	0	0	0
Incwm Arall	0	0	0
Gwasanaethau Contract/Ysgolion	0	0	0
Cyfanswm Incwm	0	0	0
Cyllideb cyn Cronfeydd Wrth Gefn	10,385	4,793	9,893
Adio - Trosglwyddiadau i'r Cronfeydd Wrth Gefn	0	0	0
Llai - Trosglwyddiadau o'r Cronfeydd Wrth Gefn	6,630	203	5,303
CYLLIDEB REOLADWY	3,755	4,590	4,590
Adio - Dyraniadau Mewnol	0	0	0
Adio - Taliadau Cyfalaf	0	0	0
Cyfanswm y Gyllideb	3,755	4,590	4,590
Llai - Ad-daliadau Mewnol	0	0	0
GWARIANT NET	3,755	4,590	4,590

**Category Analysis - LEVIES, COUNCIL TAX PREMIUM & RESERVES -
Controllable to Net**

	Budget 2022-23 £000's	Updated Budget 2021-22 £000's	Budget 2021-22 £000's
Controllable Expenditure			
Employees	0	0	0
Premises	5,630	175	5,303
Transport	0	0	0
Supplies and Services	4,755	4,618	4,590
Total Expenditure	10,385	4,793	9,893
Controllable Income			
Grants	0	0	0
Other Income	0	0	0
Contract Services/Schools	0	0	0
Total Income	0	0	0
Budget Before Reserves	10,385	4,793	9,893
Add - Transfers to Reserves	0	0	0
Less - Transfers from Reserves	6,630	203	5,303
CONTROLLABLE BUDGET	3,755	4,590	4,590
Add - Internal Allocations	0	0	0
Add - Capital Charges	0	0	0
Total Budget	3,755	4,590	4,590
Less - Internal Recharges	0	0	0
NET EXPENDITURE	3,755	4,590	4,590

DATGANIAD O'R CRONFEYDD WRTH GEFN A GLUSTNODWYD A'R GWEDDILLION CYFFREDINOL

CRONFEYDD WRTH GEFN A GLUSTNODWYD

	Trosglwyddiadau Tybiedig			Trosglwyddiadau Tybiedig			
	Gweddill Tybiedig 31-03-2021 £000's	2021-22 £000's	2021-22 £000's	Gweddill Tybiedig 31-03-2022 £000's	2022-23 £000's	2022-23 £000's	Gweddill Tybiedig 31-03-2023 £000's
Cyllideb Ddirprwyedig yr Ysgolion - Cynradd	3,035	0	0	3,035	0	0	3,035
Cyllideb Ddirprwyedig yr Ysgolion - Uwchradd	1,873	0	0	1,873	0	0	1,873
Cyllideb Ddirprwyedig yr Ysgolion - Ysgolion Pob Oed	1,441	0	0	1,441	0	0	1,441
Yswiriant- Cyflenwi Athrawon	297	0	0	297	0	0	297
Gwasanaeth Ysgolion	396	0	0	396	0	0	396
Ysgolion a Diwylliant	7,042	0	0	7,042	0	0	7,042
Cyfalaf Corfforaethol	3,225	4,500	0	7,725	2,702	(2,156)	8,271
Addysg- Menter Cyllid Preifat Penweddig	923	0	(296)	627	0	(217)	410
Corfforaethol - Trefniadau ar y cyd	8	0	0	8	0	0	8
Cydraddoli Cyllid/Cynllun Gostyngiadau'r Dreth Gyngor	700	0	0	700	0	0	700
Dileu Swyddi Corfforaethol	1,062	0	0	1,062	0	0	1,062
Yswiriant	888	100	0	988	100	0	1,088
Cyllid- Cyffredinol	250	0	0	250	0	0	250
Cyllid a Chaffael	7,056	4,600	(296)	11,360	2,802	(2,373)	11,789
Gwasanaethau Democraataidd	112	0	0	112	0	0	112
Cronfa wrth gefn etholiad y Cyngor Sir	200	0	0	200	0	(200)	0
Gwasanaethau Democraataidd	312	0	0	312	0	(200)	112
Pobl a Threfniadaeth	58	0	(53)	5	0	0	5
Porth Cymorth Cynnar	2	0	0	2	0	0	2
Porth Cynnal	0	0	0	0	0	0	0
Porth Gofal	339	0	0	339	0	0	339
Model Gydol Oes y Pyrth	341	0	0	341	0	0	341
Polisi a Pherfformiad	102	0	0	102	0	0	102
Priffyrdd a Gwasanaethau Amgylcheddol	1,293	38	(471)	860	38	0	898
Cynnal a chadw dros y gaeaf / Atgyweirio ar ôl stormydd	277	0	0	277	0	0	277
Diogelu'r Amgylchedd ac Amddifyn rhag Llifogydd	177	0	(50)	127	0	(50)	77
Gorfodi Parcio Sifil	93	0	(28)	65	0	0	65
Priffyrdd a Gwasanaethau Amgylcheddol	1,840	38	(549)	1,329	38	(50)	1,317
Cynllun Datblygu Lleol	248	0	(92)	156	0	(92)	64
Economi ac Adfywio	177	2	(24)	155	2	(34)	123
Canolfan Bwyd Cymru (Horeb)	217	0	0	217	0	0	217
Y Fargen Dwf	250	0	(200)	50	0	(50)	0
Rhaglen Gwella Gwaith Trin Carthion	543	0	(50)	493	0	(200)	293
Perfformiad ac Economi	1,435	2	(366)	1,071	2	(376)	697
Cyswllt Cwsmeriaid	134	0	0	134	0	0	134
Cyfreithiol a Llywodraethu	125	0	(5)	120	0	(5)	115
Hapddigwyddiad (gan gynnwys Covid 19)	4,373	58	0	4,431	0	(1,558)	2,873
Premiwm Treth y Cyngor	648	0	0	648	0	0	648
Eisteddfod Genedlaethol	170	0	0	170	0	(170)	0
Buddsoddi yn nyfodol Pobl	5,437	0	(230)	5,207	0	(1,577)	3,630
Hybu'r Economi	4,510	0	0	4,510	0	0	4,510
Galluogi Gwydnwch Unigol a Theuluol	500	0	0	500	0	(403)	97
Hyrwyddo Gwydnwch Amgylcheddol a Chymunedol	4,450	0	0	4,450	0	(1,950)	2,500
Grŵp Arweiniol	20,088	58	(230)	19,916	0	(5,658)	14,258
Cyfanswm y Cronfeydd Wrth Gefn a Glustnodwyd	38,533	4,698	(1,499)	41,732	2,842	(8,662)	35,912
GWEDDILL CYFFREDINOL							
Gweddill Cyffredinol sydd wedi'i ddwyn ymlaen				6052			6052
Gweddill Cyffredinol sydd wedi'i gario ymlaen	6,052	0	0	6,052	0	0	6,052
Cyfanswm y Cronfeydd Wrth Gefn a Glustnodwyd a'r Gweddillion Cyffredinol	44,585	4,698	(1,499)	47,784	2,842	(8,662)	41,964

STATEMENT OF EARMARKED RESERVES AND GENERAL BALANCES

EARMARKED RESERVES

	Balance 31-03-2021 £000's	Estimated Transfers To 2021-22 £000's	Estimated Transfers From 2021-22 £000's	Estimated Balance 31-03-2022 £000's	Estimated Transfers To 2022-23 £000's	Estimated Transfers From 2022-23 £000's	Estimated Balance 31-03-2023 £000's
Delegated Schools Budget - Primary	3,035	0	0	3,035	0	0	3,035
Delegated Schools Budget - Secondary	1,873	0	0	1,873	0	0	1,873
Delegated Schools Budget - All Through	1,441	0	0	1,441	0	0	1,441
Insurances - Supply Cover	297	0	0	297	0	0	297
Schools & Culture Service	396	0	0	396	0	0	396
Schools & Culture	7,042	0	0	7,042	0	0	7,042
Corporate Capital	3,225	4,500	0	7,725	2,702	(2,156)	8,271
Education Penweddig PFI	923	0	(296)	627	0	(217)	410
Corporate - Joint Arrangements	8	0	0	8	0	0	8
Funding / CTRS Equalisation	700	0	0	700	0	0	700
Corporate Redundancy	1,062	0	0	1,062	0	0	1,062
Insurance	888	100	0	988	100	0	1,088
Finance - General	250	0	0	250	0	0	250
Finance & Procurement	7,056	4,600	(296)	11,360	2,802	(2,373)	11,789
Democratic Services	112	0	0	112	0	0	112
County Council Election Reserve	200	0	0	200	0	(200)	0
Democratic Services	312	0	0	312	0	(200)	112
People & Organisation	58	0	(53)	5	0	0	5
Porth Cymorth Cynnar	2	0	0	2	0	0	2
Porth Cynnal	0	0	0	0	0	0	0
Porth Gofal	339	0	0	339	0	0	339
Pyrth Through Age Model	341	0	0	341	0	0	341
Policy, Performance & Public Protection	102	0	0	102	0	0	102
Highways & Environmental Services	1,293	38	(471)	860	38	0	898
Winter Maintenance/Storm Repairs	277	0	0	277	0	0	277
Environmental & Flood Protection	177	0	(50)	127	0	(50)	77
Civil Parking Enforcement	93	0	(28)	65	0	0	65
Highways & Environmental Services	1,840	38	(549)	1,329	38	(50)	1,317
Local Development Plan	248	0	(92)	156	0	(92)	64
Economy & Regeneration	177	2	(24)	155	2	(34)	123
Food Centre Wales (Horeb)	217	0	0	217	0	0	217
Growth Deal	250	0	(200)	50	0	(50)	0
Sewage Treatment Works Improvement Programme	543	0	(50)	493	0	(200)	293
Performance & Economy	1,435	2	(366)	1,071	2	(376)	697
Customer Contact	134	0	0	134	0	0	134
Legal & Governance	125	0	(5)	120	0	(5)	115
Contingency (including Covid 19)	4,373	58	0	4,431	0	(1,558)	2,873
Council Tax Premium	648	0	0	648	0	0	648
National Eisteddfod	170	0	0	170	0	(170)	0
Investing in People's Future	5,437	0	(230)	5,207	0	(1,577)	3,630
Boosting the Economy	4,510	0	0	4,510	0	0	4,510
Enabling Individual & Family Resilience	500	0	0	500	0	(403)	97
Promoting Environmental & Community Resilience	4,450	0	0	4,450	0	(1,950)	2,500
Leadership Group	20,088	58	(230)	19,916	0	(5,658)	14,258
Total Earmarked Reserves	38,533	4,698	(1,499)	41,732	2,842	(8,662)	35,912
GENERAL BALANCES							
General Balance b/f				6,052			6,052
General Balance c/f	6,052	0	0	6,052	0	0	6,052
Total Earmarked Reserves & General Balances	44,585	4,698	(1,499)	47,784	2,842	(8,662)	41,964

CYNGOR SIR CEREDIGION COUNTY COUNCIL**CAPITAL STRATEGY**

1. The Council will formulate a Capital Programme over at least a 3 year rolling period with the aim of working towards a longer term Capital financial planning horizon where feasible.
2. All planned Capital expenditure, Capital bids and proposed Capital investment in new or existing assets, whether through grant funding or otherwise, must support the Council's Corporate and Service objectives. Asset Management Planning should help inform the setting of the Capital Programme and essential expenditure on existing Council assets.
3. The Council currently operates a Corporate Project Management Group (which provides projects with appropriate support, advice and direction), a Capital Monitoring Group (which provides the operational management of the in-year Capital expenditure and funding position) and a Development Group (which provides a wider strategic input on Capital development proposals and opportunities). All 3 groups have key roles to play but with each one having their own specific Terms of reference.
4. The Council's Treasury Management Strategy will set out the approach to Treasury related activities for Investments and Borrowing and will take account of and be fully aligned with the Capital Programme proposals and will factor in proposed borrowing levels (both external and internal) consistent with these plans and a prudent approach. The Treasury management Strategy will also include the Council's Minimum Revenue Policy for the provision for repayment of debt over its life.
5. The Capital Programme and Treasury Management Strategy are managed by officers who are professionally qualified accountants who are required to undertake Compulsory Professional Development (CPD).
6. The guiding principles for the Council's current and future Capital planning will include:
 - Pursuing efficiency to make the best use of existing assets which includes land & buildings and information technology. E.g. Rationalisation of redundant and/or under-utilised buildings should reduce revenue costs and also generate potential capital receipts.
 - All major capital projects (grant funded or otherwise) require a funding strategy as part of the business case being developed.
 - The Capital Programme will normally be set so that no Prudential Borrowing is undertaken to fund the core Capital Programme except where funding specific Capital projects. There will need to be a business case to support the use of Prudential Borrowing e.g. Consideration would be given to use Prudential borrowing when revenue savings can be identified which would be used to fund the capital financing costs of the initial capital investment.

- Invest to save schemes that produce revenue savings following an initial capital investment will continue to be regarded as high priority as they can provide a positive contribution to the medium term revenue budget position (e.g. energy efficiency measures). This could also include schemes that are a capital investment to avoid future cost increases.
- Identify, lever in and maximise external grant funding opportunities where possible, although in isolation this may not always be the overriding driver to undertake a capital project.
- Exit strategies should be considered as part of any grant funding bids and successful grant awards.
- Corporate Capital earmarked reserves will be maintained to provide one-off funding to support the Capital Programme. Where revenue savings can be achieved in advance of the annual budget requirement, these may usefully be applied to earmarked reserves to support future Capital priorities. In particular the Council's matched funding contribution for the Band B 21st Century Schools Programme will be mainly supported through funding set aside in the Developing Education earmarked reserve.
- Capital receipts are regarded as a positive contribution to the overall Capital Programme and will be allocated in accordance with the balance available at the start of the year. A list of proposed Asset disposals will be maintained and regularly monitored. Appropriate consideration of major disposals will take place as and when they arise.
- If a Capitalisation Direction is made available by WG it will be utilized if appropriate.
- The Council will continue to hold Investment Properties as part of its Corporate Estate. This is a form of commercial activity as the Council aims to lease these properties out at market rates and therefore make a commercial return. At present the Council's commercial activity represents a low risk as it is not significant relative to the context of the Council's overall budget and financial position. Should any new opportunities become available, then a business case would need to be produced which should include financial and legal due diligence, including ensuring compliance with the revised Prudential Code (December 2021) requirements which prohibit borrowing where obtaining financial returns is the primary aim, and the use of specialist internal/external advice where appropriate, together with the following appropriate governance arrangements.

7. The key priority areas that the Council will focus on in its forthcoming Capital Programme include:

- a) Essential maintenance of Buildings, Bridges and Roads.

- b) Boosting the Economy
 - Working with the private and public sector across the region, through the Growing Mid Wales Partnership, the Growing Mid Wales Growth Deal and Levelling Up Funding to boost the local and regional economy.
 - Implement Ceredigion Economic Strategy
- c) Investing in People's Future
 - Continuing to modernise Schools through the 21st Century Schools programme.
 - Carbon Management – Seek to further reduce carbon emissions and to reduce energy costs / mitigate as far as possible future increases, by enabling energy efficiency measures in both Council assets and also the private and RSL Housing stock.
 - Shared Equity Housing Schemes.
- d) Enabling Individual and Family Resilience
 - Providing funding for mandatory and discretionary Disabled Facilities grants.
 - Review and develop specialist residential accommodation schemes either by the Council or in conjunction with RSL and other partners.
 - Cylch Caron – the Ceredigion Local Service Board project for the delivering of health and social care in the Tregaron area
- e) Environmental and Community Resilience
 - Developing Coast Protection schemes to include Aberystwyth and Aberaeron.
 - Sewage Treatment Works– to conclude the programme of upgrade works and finalise the subsequent transfer and adoption of facilities to Dwr Cymru.
- f) Vehicle Replacement – To review the wider vehicle fleet across all services and how the resulting future requirements are best financed.

Proposed 3 Year Capital Programme 2022/23 - 2024/25
Including the updated 2021/22 current year Programme.

2021/22 latest	2022/23 proposed	2023/24 indicative	2024/25 indicative	Funding Stream
TOTAL	TOTAL	TOTAL	TOTAL	
£'000	£'000	£'000	£'000	

Schools

21st Century Schools programme (Phase 1)	37	-	-	-	CCC
21st Century Schools programme (Band B)	3,402	4,972	10,880	-	CCC/Grant
Reducing Infant Class Sizes	7	902	-	-	Grant
Childcare Provision	2,029	787	-	-	Grant
Penglais School - Learning Support Unit	-	687	-	-	CCC
School - additional Capital works	894	2,088	-	-	Grant
Underfloor Heating System - Schools	5	491	150	150	CCC
Urgent Works Schools	100	150	150	150	CCC
Encouraging Curiosity (Ceredigion Museum)	11	-	-	-	CCC/Grant
Total - Schools	6,485	10,077	11,180	300	

Porth Cymorth Cynnar

Community Hub - Lampeter	25	657	-	-	Grant
Flying Start Capital Grant	316	-	-	-	Grant
Cwrt Newydd Youth Service Campus	167	-	-	-	CCC
Artificial Sports Pitches	-	573	-	-	CCC/Grant
Leisure Centres upgrade Swimming Pools and sports hall	274	-	-	-	CCC
Total - Porth Cymorth Cynnar	782	1,230	-	-	

2021/22 latest	2022/23 proposed	2023/24 indicative	2024/25 indicative	Funding Stream
TOTAL	TOTAL	TOTAL	TOTAL	
£'000	£'000	£'000	£'000	

Economic and Regeneration

Canolfan Dulais - TRIP Development Funding	228	-	-	-	Grant
Wildlife Site Cenarth Public Footpath	4	-	-	-	CCC/Grant
Sewage Treatment Works	316	500	-	-	CCC
Urgent Works Other	100	100	100	100	CCC
Buildings - Invest to Save	152	175	175	175	CCC
Non Operational Property – Invest to Save Development	72	-	-	-	CCC
Asset Development Programme	379	-	-	-	Grant
Market Hall Cardigan	164	200	-	-	CCC
Footbridge Replacement Programme	50	50	50	-	CCC
Lampeter Town Centre Green infrastructure Enhancements	209	-	-	-	Grant
Access improvement Grant	103	-	-	-	Grant
Green Recovery Grant	66	-	-	-	Grant
Local Places for nature Capital	115	-	-	-	Grant
Levelling up Projects	508	4,137	4,101	2,106	Grant
Hafan y Waun Housing Development	-	500	500	-	CCC
Total - Economic and Regeneration	2,466	5,662	4,926	2,381	

2021/22 latest	2022/23 proposed	2023/24 indicative	2024/25 indicative	Funding Stream
TOTAL	TOTAL	TOTAL	TOTAL	
£'000	£'000	£'000	£'000	

Highways and Environmental Services

Roads	264	200	200	200	CCC
Bridges	14	350	150	150	CCC
Environmental Services	92	60	60	60	CCC
General	919	700	700	700	CCC
Public Highways Refurbishment	775	-	-	-	Grant
Street Lighting Programme	380	-	-	-	CCC
Restore damage caused by Storm Callum	12	-	-	-	Grant
LTF TrawsCymru Bus Strategic Corridor	842	-	-	-	Grant
Resilient Road Grant - flood Modelling	20	-	-	-	Grant
Ultra Low emissions Vehicle Transformation	420	-	-	-	Grant
EV Charging Infrastructure Grant (WLGA)	-	300	-	-	Grant
ATF Core Funding	325	-	-	-	Grant
ATF Cardigan Town Package - Footway Improvements	206	-	-	-	CCC/Grant
ATF - Aberystwyth Town Footway Improvement Package	192	-	-	-	Grant
ATF - Lampeter University Path Link	148	-	-	-	Grant
Small Scale Works - Flooding and Erosion Risk Management Grant	215	-	-	-	Grant
Road Safety - Un-adopted roads pilot - Bryn Hafod,	100	-	-	-	CCC/Grant
Flood Alleviation Schemes Llandre/Borth Leat	70	-	-	-	Grant
Aberaeron Coastal Protection Detail Design	325	-	-	-	Grant
Aberystwyth Coastal Protection	120	140	-	-	Grant
Llangrannog Coastal protection	37	-	-	-	Grant
Borth & Ynyslas Coastal Protection	32	-	-	-	Grant
Coastal Protection schemes Aberaeron and Aberystwyth	-	13,000	7,000	3,000	CCC/Grant
Additional Replacement Vehicles (Civil Parking)	35	-	-	-	CCC
Absorbent Hygiene Product (AHP) Waste	24	-	-	-	Grant
Fleet Replacement	344	620	350	350	CCC
Waste Transfer Station	-	525	500	-	CCC
Total - Highways and Environmental Services	5,911	15,895	8,960	4,460	

2021/22 latest	2022/23 proposed	2023/24 indicative	2024/25 indicative	Funding Stream
TOTAL	TOTAL	TOTAL	TOTAL	
£'000	£'000	£'000	£'000	

Porth Gofal

Disabled Facilities Grants	1,500	1,400	1,400	1,400	CCC
Home Improvement & Houses into Homes Loan Schemes	172	-	-	-	CCC
Cylch Caron	-	252	-	-	CCC/Grant
Enable Grant for Independent Living	122	146	146	-	Grant
Warm Home Boiler Replacement Grant	15	-	-	-	Grant
Warm Homes Energy Measures Grants	500	323	-	-	Grant
Camu Mlaen - Canolfan Stefan	207	-	-	-	CCC
Urgent Works - Residential Homes	132	100	100	100	CCC
Day Centres - Public Protection and Environmental	20	150	-	-	CCC
Residential Homes upgrade	350	750	400	-	CCC
VAWADAS - Supported Accommodation	343	-	-	-	Grant
ICF Hafan Deg Dementia Project	296	-	-	-	CCC/Grant
Intermediate Care Fund	524	-	-	-	Grant
Intermediate Care Fund - Safe Warm and Secure & Care	159	-	-	-	Grant
Total - Porth Ceredigion	4,340	3,121	2,046	1,500	

2021/22 latest	2022/23 proposed	2023/24 indicative	2024/25 indicative	Funding Stream
TOTAL	TOTAL	TOTAL	TOTAL	
£'000	£'000	£'000	£'000	

Customer Contact

ICT Hardware
Smart Mobile Phones

197	100	100	100	CCC
133	50	-	-	CCC
330	150	100	100	

Total - Customer Contact**Finance & Procurement**

Community Grant Scheme

180	200	200	200	CCC
180	200	200	200	

Total - Finance & Procurement**Democratic Servies**

Council Chamber Equipment upgrade Phase 2

150	-	-	-	CCC/Grant
150	-	-	-	

Total - Democratic Services**Covid 19**

Covid 19 Field Hospitals

174	-	-	-	Grant
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Funding to be allocated

-	-	950	1,400	
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TOTAL WORKING PROGRAMME

20,818	36,335	28,362	10,341	
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2021/22 latest	2022/23 proposed	2023/24 indicative	2024/25 indicative	Funding Stream
TOTAL	TOTAL	TOTAL	TOTAL	
£'000	£'000	£'000	£'000	

Contingencies	150	170	350	350
Profile re-alignment	109	150	-	-
Capital Receipts Housing profile re-alignment	405	-	-	-
New Approved Grants/Match funding for grant schemes	1,179	3,627	4,200	4,200
Total - Contingencies	1,843	3,947	4,550	4,550
TOTAL OVERALL PROGRAMME	22,661	40,282	32,912	14,891

CYNGOR SIR CEREDIGION COUNTY COUNCIL

PRUDENTIAL INDICATORS

1. PRUDENTIAL INDICATORS SUBMITTED FOR APPROVAL

The Prudential Code sets out the indicators that must be used in order to demonstrate that local authorities have fulfilled the Code objectives. The Code does not suggest indicative limits or ratios for the indicators.

The Council must set and approve the indicators and they should follow the same route as the setting and revising of the budget. In setting or revising the prudential indicators the local authority must have regard to the following matters:

- Affordability
- Prudence and sustainability
- Value for money
- Stewardship of assets
- Service objectives
- Practicality

The following Prudential Indicators are submitted for approval:

PI 1 Estimates of Capital Expenditure

The actual capital expenditure that was incurred last year and estimates of capital expenditure to be incurred for the current and future years are:

	2020/21	2021/22	2022/23	2023/24	2024/25
	£m	£m	£m	£m	£m
	Actual	Estimate	Estimate	Estimate	Estimate
General Fund	14	23	40	33	15
Total	14	23	40	33	15

PI 2 Estimates of Financing costs to Net Revenue Stream.

The estimated financing costs as to the Authority's Net Revenue Stream are:

	2020/21	2021/22	2022/23	2023/24	2024/25
	Actual	Estimate	Estimate	Estimate	Estimate
General Fund	6.0%	5.0%	5.0%	5.0%	5.0%

PI 3 Estimates of Capital Financing Requirement

Estimates of the end of year capital financing requirement (which includes the accounting requirements for PFI and Finance Lease transactions) for the Authority for the current and future years and the actual capital financing requirement at 31/03/21 are:

	31/03/21	31/03/22	31/03/23	31/03/24	31/03/25
	£m	£m	£m	£m	£m
	Actual	Estimate	Estimate	Estimate	Estimate
General Fund	138	140	160	163	164
Total	138	140	160	163	164

PI 4 Gross Debt and the Capital Finance Requirement

In order to ensure that over the medium term debt will only be for a capital purpose, the local authority should ensure that gross external debt does not, except in the short term, exceed the total of capital financing requirement in the preceding year plus the estimates of any additional capital financing requirement for the current and next two financial years.

The Section 151 officer reports that the authority did not have any difficulty in meeting this requirement in 2020/21, nor are there any difficulties envisaged for the current or future years. This view takes into account current commitments, existing plans, and the proposals in the 3 year capital programme.

PI 5 Authorised Limit for External Debt

In respect of its external debt, it is recommended that the Council approves the following authorised limits for its total external debt gross of investment for the next three financial years. These limits separately identify debt from other long term liabilities such as finance leases.

The Council is asked to approve these limits and to delegate authority to the Section 151 officer, within the total limit for any individual year, to effect movement between the separately agreed limits for borrowing and other long term liabilities, in accordance with option appraisal and best value for money for the Authority. Any such changes made will be reported to the Council at its next meeting following the change.

	2021/22	2022/23	2023/24	2024/25
	£m	£m	£m	£m
Borrowing	129	144	154	161
Other long term liabilities	8	15	15	15
Total	137	159	169	176

The Section 151 officer reports that these authorised limits are consistent with the Authority’s current commitments, existing plans and the proposals in the budget report for capital expenditure and financing. The Section 151 officer confirms that they are based on an estimate of the most likely and prudent scenario (but not worst case), with additional headroom over and above this to allow for operational management, for example unusual cash movements and debt rescheduling.

The limit determined for 2022/23 will be the statutory limit determined under section 3 (1) of the Local Government Act 2003.

PI 6 Operational Boundary for External Debt

The Council is also asked to approve the following operational boundary for external debt for the same time period. The proposed operational boundary for external debt is based on the same estimates as the authorised limit but reflects directly the s151 Officer’s estimate of the most likely and prudent scenario (but not the worst case), without the additional headroom included within the authorised limit and equates to the maximum of external debt projected.

The Council is also asked to delegate authority to the Section 151 officer, within the total operational boundary for any individual year, to effect movement between the separately agreed figures for borrowing and other long term liabilities. Any such changes will be reported to the Council at its next meeting following the change.

	2021/22	2022/23	2023/24	2024/25
	£m	£m	£m	£m
Borrowing	123	150	160	167
Other long term liabilities	7	14	14	14
Total	130	164	174	181

PI 7 Actual External Debt

The Council’s actual external debt at 31/03/2021 was £123.0m (consisting of External Borrowing of £116.7m and Long term liabilities of £6.3m).

It should be noted that actual external debt is not directly comparable to the authorised limit and operational boundary, since the actual external debt reflects the position only at one particular point in time.

PI 8 Maturity Structure of Borrowing

Upper and lower limits proposed for the maturity structure of borrowings are:

	Upper limit	Lower limit
Under 12 months	20%	0%
12 months & within 24 months	20%	0%
24 months & within 5 years	50%	0%
5 years & within 10 years	75%	0%
10 years & above	95%	25%
<u>Sub-category within 10 years and above</u> 50 years & above	20%	0%

PI 9 Upper limit for total principal sums invested for more than 1 year

Upper limit for sums invested for more than 1 year at the time the investment is made are:

2021/22	2022/23	2023/24	2024/25
£2.5m	£2.5m	£2.5m	£2.5m

2. MONITORING BY THE CHIEF FINANCE OFFICER

The Section 151 officer is required to maintain a measurement and reporting process to monitor the performance of all the indicators. Provided that the total authorised limit and the operational boundary are unchanged, movement can be made between the separate headings of Capital Expenditure by the Section 151 officer, with any such changes being reported to the next meeting of the Council.

CYNGOR SIR CEREDIGION COUNTY COUNCIL

Report to:	Council
Date of meeting:	03 March 2022
Title:	Report of the CLO – Finance and Procurement upon Council Tax Setting for 2022/23
Purpose of Report:	To approve and set the Council Tax for 2022/23
For:	Decision
Cabinet Portfolio and Cabinet Member:	Finance and Procurement Cllr Gareth Lloyd

1. INTRODUCTION

The details within this report are presented on the assumption that the Council will have earlier today considered and approved the Council's budget for 2022/23, and resolved to levy a Council Tax for County Council purposes of £1,447.90 for Band D Properties.

2. COUNCIL TAX SETTING

The Council, having been notified of the precept requirements from each of the Town and Community Councils, and the precept of the Police and Crime Commissioner for Dyfed-Powys, now needs to formally approve the statutory budget calculations, and set the Council Tax for 2022/23.

The average of the combined Council Tax at Band D for 2022/23 will be £1,777.27 which represents an increase of 3.02% compared with 2021/22. The breakdown of the combined Council Tax is as follows:-

	<u>2021/22</u>	<u>2022/23</u>	<u>Change</u>
County Council Tax Band D Properties	£1,412.59	£1,447.90	2.50%
Community Councils Band D Tax (Average)	£37.07	£39.21	5.77%
Dyfed-Powys Police Band D Tax	£275.56	£290.16	5.30%
Total Average Band D Council Tax	£1,725.22	£1,777.27	3.02%

Enclosed as Appendix A are the Statutory Statements including the following:

- Council Tax Special Items 2022/23
- Council Tax Setting 2022/23
- Council Tax 2022/23 including the Town/Community Councils and Dyfed Powys Police precepts

3. RECOMMENDATIONS

The Council is recommended to approve the following:

(i) to note that at its meeting on 07 December 2021 the following amounts were approved by the Council's Cabinet for the year 2022/23 in accordance with regulations made under Section 33(5) of the Local Government Finance Act 1992:

(a) 32,063.08 being the amount calculated by the Council, in accordance with the Local Authorities (Calculation of Council Tax Base) (Wales) Regulations 1995, as amended by the Local Authorities (Calculation of Council Tax Base) and Council Tax (Prescribed Classes of Dwellings) (Wales) (Amendment) Regulations 2004, as its Council Tax Base for the area.

(b) PART OF THE COUNCIL'S AREA

The Town and Community Council Areas of:	Council Tax Base	The Town and Community Council Areas of:	Council Tax Base
ABERYSTWYTH	3,863.14	TREGARON	532.46
ABERAERON	754.35	YSBYTY YSTWYTH	208.17
ABERTEIFI / CARDIGAN	1,812.89	YSTRAD FFLUR	310.32
LLANBEDR P.S. / LAMPETER	982.00	YSTRAD MEURIG	162.75
CEI NEWYDD / NEW QUAY	739.05	CILIAU AERON	422.33
BORTH	726.54	HENFYNYW	506.29
CEULANAMAESMAWR	421.58	LLANARTH	758.86
BLAENRHEIDOL	201.71	LLANDYSILOGOGO	544.33
GENEU'R GLYN	346.38	LLANFAIR CLYDOGGAU	299.59
LLANBADARN FAWR	873.24	LLANFIHANGEL YSTRAD	650.89
LLANGYNFELIN	264.64	LLANGYBI	277.48
LLANFARIAN	743.46	LLANLLWCHAEARN	490.82
LLANGWYRYFON	245.86	LLANSANTFFRAED	557.89
LLANILAR	464.70	LLANWENOG	572.70
LLANRHYSTUD	442.72	LLANWNNEN	208.13
MELINDWR	517.32	DYFFRYN ARTH	566.86
PONTARFYNACH	237.45	ABERPORTH	1,117.27
TIRYMYNACH	788.19	BEULAH	866.17
TRAWSGOED	442.94	LLANDYFRIOG	824.10
TREFEURIG	771.68	LLANDYSUL	1,237.01
FAENOR	808.43	LLANGOEDMOR	579.54
YSGUBOR-Y-COED	160.45	LLANGRANNOG	423.15
LLANDDEWI BREFI	294.94	PENBRYN	720.15
LLANGEITHO	364.85	TROEDYRAUR	653.00
LLEDROD	303.97	Y FERWIG	628.82
NANTCWNLLE	371.52		

COUNCIL TAX BASE 32,063.08

being the amounts calculated by the Council, in accordance with Regulation 6 of the 1995 Regulations (as amended by the 2004 Regulations), as the amounts of its Council Tax Base for the year for dwellings in those parts of its area to which one or more special items relate;

(ii) approve the amounts calculated by the Council for the year 2022/23 in accordance with Sections 32 to 36 of the Local Government Finance Act 1992 as set out below:-

(a) £251,857,115 being the aggregate of the amounts which the Council estimates for the items set out in Section 32(2)(a) to (e) of the Act. This includes £221,000 in respect of National Non-Domestic Rates Relief.

(b) £84,757,000 being the aggregate of the amounts which the Council estimates for the items set out in Section 32(3)(a) to (c) of the Act.

(c) £167,100,115 being the amount by which the aggregate at (a) above exceeds the aggregate at (b) above, calculated by the Council, in accordance with Section 32(4) of the Act, as its budget requirement for the year.

(d) £119,418,759 being the aggregate of the sums which the Council estimates will be payable for the year into its Council Fund in respect of redistributed non-domestic rates and its revenue support grant.

(e) £1,487.11 being the amount at (c) above, less the amount at (d) above divided by the Council Tax Base, calculated by the Council, in accordance with Section 33(1) of the Act, as the basic amount of its Council Tax for the year.

(f) £1,257,222 being the aggregate amount of all special items referred to in Section 34(1) of the Act.

(g) £1,447.90 being the amount at (e) above less the result given by dividing the amount at (f) above by the Council Tax Base calculated by the Council, in accordance with Section 34(2) of the Act, as the basic amount of its Council Tax for the year.

(h) PART OF THE COUNCIL'S AREA

The Town and Community Council Areas of:	Basic Council Tax	The Town and Community Council Areas of:	Basic Council Tax
ABERYSTWYTH	1,577.46	TREGARON	1,492.97
ABERAERON	1,501.94	YSBYTY YSTWYTH	1,462.31
ABERTEIFI / CARDIGAN	1,494.23	YSTRAD FFLUR	1,471.14
LLANBEDR P.S. / LAMPETER	1,487.61	YSTRAD MEURIG	1,460.90
CEI NEWYDD / NEW QUAY	1,469.65	CILIAU AERON	1,459.74
BORTH	1,474.97	HENFYNYW	1,461.73
CEULANAMAESMAWR	1,483.48	LLANARTH	1,459.52
BLAENRHEIDOL	1,470.21	LLANDYSILOGOGO	1,466.76
GENEU'R GLYN	1,473.88	LLANFAIR CLYDOGAU	1,459.58
LLANBADARN FAWR	1,492.02	LLANFIHANGEL YSTRAD	1,463.19
LLANGYNFELIN	1,463.49	LLANGYBI	1,462.32
LLANFARIAN	1,467.67	LLANLLWCHAEARN	1,469.90
LLANGWYRYFON	1,460.59	LLANSANTFFRAED	1,478.37
LLANILAR	1,463.82	LLANWENOG	1,463.62
LLANRHYSTUD	1,467.33	LLANWNNEN	1,464.55
MELINDWR	1,461.43	DYFFRYN ARTH	1,473.48
PONTARFYNACH	1,462.64	ABERPORTH	1,484.68
TIRYMYNACH	1,472.64	BEULAH	1,473.88
TRAWSGOED	1,458.06	LLANDYFRIOG	1,466.10
TREFEURIG	1,464.75	LLANDYSUL	1,484.99
FAENOR	1,489.25	LLANGOEDMOR	1,499.67
YSGUBOR-Y-COED	1,469.71	LLANGRANNOG	1,471.53
LLANDDEWI BREFI	1,476.72	PENBRYN	1,463.17
LLANGEITHO	1,462.97	TROEDYRAUR	1,463.21
LLEDROD	1,454.84	Y FERWIG	1,487.02
NANTCWNLLE	1,453.28		

being the amounts given by adding to the amount at (ii)(g) above the amounts of the special item or items relating to dwellings in those parts of the Council's area mentioned above divided in each case by the amount at (i)(b) above, calculated by the Council, in accordance with Section 34(3) of the Act, as the basic amounts of its council tax for the year for dwellings in those parts of its area to which one or more special items relate.

(i) PART OF THE COUNCIL'S AREA

THE TOWN AND COMMUNITY COUNCIL AREAS OF:	Band A	Band B	Band C	Band D	Band E	Band F	Band G	Band H	Band I
	£								
ABERYSTWYTH	1051.64	1226.91	1402.18	1577.46	1928.01	2278.55	2629.10	3154.92	3680.74
ABERAERON	1001.30	1168.17	1335.06	1501.94	1835.71	2169.47	2503.24	3003.88	3504.52
ABERTEIFI / CARDIGAN	996.16	1162.17	1328.20	1494.23	1826.29	2158.33	2490.39	2988.46	3486.53

LLANBEDR P.S. / LAMPETER	991.74	1157.03	1322.32	1487.61	1818.19	2148.77	2479.35	2975.22	3471.09
CEI NEWYDD / NEW QUAY	979.77	1143.06	1306.35	1469.65	1796.24	2122.83	2449.42	2939.30	3429.18
BORTH	983.32	1147.19	1311.08	1474.97	1802.75	2130.51	2458.29	2949.94	3441.59
CEULANAMAESMAWR	988.99	1153.81	1318.65	1483.48	1813.15	2142.80	2472.47	2966.96	3461.45
BLAENRHEIDOL	980.14	1143.49	1306.85	1470.21	1796.93	2123.64	2450.35	2940.42	3430.49
GENEU'R GLYN	982.59	1146.35	1310.11	1473.88	1801.41	2128.94	2456.47	2947.76	3439.05
LLANBADARN FAWR	994.68	1160.46	1326.24	1492.02	1823.58	2155.14	2486.70	2984.04	3481.38
LLANGYNFELIN	975.66	1138.27	1300.88	1463.49	1788.71	2113.93	2439.15	2926.98	3414.81
LLANFARIAN	978.45	1141.52	1304.59	1467.67	1793.82	2119.97	2446.12	2935.34	3424.56
LLANGWYRYFON	973.73	1136.01	1298.30	1460.59	1785.17	2109.74	2434.32	2921.18	3408.04
LLANILAR	975.88	1138.52	1301.17	1463.82	1789.12	2114.41	2439.70	2927.64	3415.58
LLANRHYSTUD	978.22	1141.25	1304.29	1467.33	1793.41	2119.48	2445.55	2934.66	3423.77
MELINDWR	974.29	1136.66	1299.05	1461.43	1786.20	2110.95	2435.72	2922.86	3410.00
PONTARFYNACH	975.10	1137.60	1300.12	1462.64	1787.68	2112.70	2437.74	2925.28	3412.82
TIRYMYNACH	981.76	1145.38	1309.01	1472.64	1799.90	2127.15	2454.40	2945.28	3436.16
TRAWSGOED	972.04	1134.04	1296.05	1458.06	1782.08	2106.09	2430.10	2916.12	3402.14
TREFEURIG	976.50	1139.25	1302.00	1464.75	1790.25	2115.75	2441.25	2929.50	3417.75
FAENOR	992.84	1158.30	1323.78	1489.25	1820.20	2151.14	2482.09	2978.50	3474.91
YSGUBOR-Y-COED	979.81	1143.10	1306.41	1469.71	1796.32	2122.91	2449.52	2939.42	3429.32
LLANDDEWI BREFI	984.48	1148.56	1312.64	1476.72	1804.88	2133.04	2461.20	2953.44	3445.68
LLANGEITHO	975.32	1137.86	1300.42	1462.97	1788.08	2113.18	2438.29	2925.94	3413.59
LLEDROD	969.90	1131.54	1293.19	1454.84	1778.14	2101.43	2424.74	2909.68	3394.62
NANTCWNLLE	968.86	1130.32	1291.80	1453.28	1776.24	2099.18	2422.14	2906.56	3390.98
TREGARON	995.32	1161.19	1327.08	1492.97	1824.75	2156.51	2488.29	2985.94	3483.59
YSBYTY YSTWYTH	974.88	1137.35	1299.83	1462.31	1787.27	2112.22	2437.19	2924.62	3412.05
YSTRAD FFLUR	980.76	1144.22	1307.68	1471.14	1798.06	2124.98	2451.90	2942.28	3432.66
YSTRAD MEURIG	973.94	1136.25	1298.58	1460.90	1785.55	2110.19	2434.84	2921.80	3408.76
CILIAU AERON	973.16	1135.35	1297.54	1459.74	1784.13	2108.51	2432.90	2919.48	3406.06
HENFYNYW	974.49	1136.90	1299.31	1461.73	1786.56	2111.39	2436.22	2923.46	3410.70
LLANARTH	973.02	1135.18	1297.35	1459.52	1783.86	2108.19	2432.54	2919.04	3405.54
LLANDYSILOGOGO	977.84	1140.81	1303.78	1466.76	1792.71	2118.65	2444.60	2933.52	3422.44
LLANFAIR CLYDOGAU	973.06	1135.22	1297.40	1459.58	1783.94	2108.28	2432.64	2919.16	3405.68
LLANFIHANGEL YSTRAD	975.46	1138.03	1300.61	1463.19	1788.35	2113.50	2438.65	2926.38	3414.11
LLANGYBI	974.88	1137.36	1299.84	1462.32	1787.28	2112.24	2437.20	2924.64	3412.08
LLANLLWCHAEARN	979.94	1143.25	1306.58	1469.90	1796.55	2123.19	2449.84	2939.80	3429.76
LLANSANTFFRAED	985.58	1149.84	1314.10	1478.37	1806.90	2135.42	2463.95	2956.74	3449.53
LLANWENOG	975.75	1138.37	1300.99	1463.62	1788.87	2114.12	2439.37	2927.24	3415.11
LLANWNNEN	976.37	1139.09	1301.82	1464.55	1790.01	2115.46	2440.92	2929.10	3417.28
DYFFRYN ARTH	982.32	1146.04	1309.76	1473.48	1800.92	2128.36	2455.80	2946.96	3438.12
ABERPORTH	989.79	1154.75	1319.71	1484.68	1814.61	2144.54	2474.47	2969.36	3464.25
BEULAH	982.59	1146.35	1310.11	1473.88	1801.41	2128.94	2456.47	2947.76	3439.05

LLANDYFRIOG	977.40	1140.30	1303.20	1466.10	1791.90	2117.70	2443.50	2932.20	3420.90
LLANDYSUL	990.00	1154.99	1319.99	1484.99	1814.99	2144.98	2474.99	2969.98	3464.97
LLANGOEDMOR	999.78	1166.41	1333.04	1499.67	1832.93	2166.19	2499.45	2999.34	3499.23
LLANGRANNOG	981.02	1144.52	1308.02	1471.53	1798.54	2125.54	2452.55	2943.06	3433.57
PENBRYN	975.45	1138.02	1300.59	1463.17	1788.32	2113.47	2438.62	2926.34	3414.06
TROEDYRAUR	975.48	1138.05	1300.63	1463.21	1788.37	2113.52	2438.69	2926.42	3414.15
Y FERWIG	991.35	1156.57	1321.79	1487.02	1817.47	2147.92	2478.37	2974.04	3469.71

being the amounts given by multiplying the amounts at (ii)(h) above by the number which, in the proportion set out in Section 5(1) of the Act, is applicable to dwellings listed in a particular valuation band divided by the number which in that proportion is applicable to dwellings listed in valuation band D, calculated by the Council, in accordance with Section 36(1) of the Act, as the amounts to be taken into account for the year in respect of categories of dwellings listed in different valuation bands.

- (iii) note the amounts in precepts issued to the Council by the Police and Crime Commissioner for Dyfed-Powys for 2022/23 in accordance with Section 47 of the Police Reform and Social Responsibility Act, for each category of dwelling as shown below:-

**Dyfed-Powys Police Council Tax
VALUATION BANDS**

A	B	C	D	E	F	G	H	I
£	£	£	£	£	£	£	£	£
193.44	225.68	257.92	290.16	354.64	419.12	483.60	580.32	677.04

- (iv) set the Council Tax in accordance with Section 30 of the Local Government Finance Act 1992. Having calculated the aggregate in each case of the amounts at (ii) (i) and (iii) above, the Council, in accordance with Section 30(2) of the Local Government Finance Act 1992, hereby sets the following amounts as the amounts of Council Tax for the year 2022/23 for each of the categories of dwellings.

THE TOWN AND COMMUNITY COUNCIL AREAS OF:	Band A £	Band B £	Band C £	Band D £	Band E £	Band F £	Band G £	Band H £	Band I £
ABERYSTWYTH	1245.08	1452.59	1660.10	1867.62	2282.65	2697.67	3112.70	3735.24	4357.78
ABERAERON	1194.74	1393.85	1592.98	1792.10	2190.35	2588.59	2986.84	3584.20	4181.56
ABERTEIFI / CARDIGAN	1189.60	1387.85	1586.12	1784.39	2180.93	2577.45	2973.99	3568.78	4163.57
LLANBEDR P.S. / LAMPETER	1185.18	1382.71	1580.24	1777.77	2172.83	2567.89	2962.95	3555.54	4148.13
CEI NEWYDD / NEW QUAY	1173.21	1368.74	1564.27	1759.81	2150.88	2541.95	2933.02	3519.62	4106.22
BORTH	1176.76	1372.87	1569.00	1765.13	2157.39	2549.63	2941.89	3530.26	4118.63

CEULANAMAESMAWR	1182.43	1379.49	1576.57	1773.64	2167.79	2561.92	2956.07	3547.28	4138.49
BLAENRHEIDOL	1173.58	1369.17	1564.77	1760.37	2151.57	2542.76	2933.95	3520.74	4107.53
GENEU'R GLYN	1176.03	1372.03	1568.03	1764.04	2156.05	2548.06	2940.07	3528.08	4116.09
LLANBADARN FAWR	1188.12	1386.14	1584.16	1782.18	2178.22	2574.26	2970.30	3564.36	4158.42
LLANGYNFELIN	1169.10	1363.95	1558.80	1753.65	2143.35	2533.05	2922.75	3507.30	4091.85
LLANFARIAN	1171.89	1367.20	1562.51	1757.83	2148.46	2539.09	2929.72	3515.66	4101.60
LLANGWYRYFON	1167.17	1361.69	1556.22	1750.75	2139.81	2528.86	2917.92	3501.50	4085.08
LLANILAR	1169.32	1364.20	1559.09	1753.98	2143.76	2533.53	2923.30	3507.96	4092.62
LLANRHYSTUD	1171.66	1366.93	1562.21	1757.49	2148.05	2538.60	2929.15	3514.98	4100.81
MELINDWR	1167.73	1362.34	1556.97	1751.59	2140.84	2530.07	2919.32	3503.18	4087.04
PONTARFYNACH	1168.54	1363.28	1558.04	1752.80	2142.32	2531.82	2921.34	3505.60	4089.86
TIRYMYNACH	1175.20	1371.06	1566.93	1762.80	2154.54	2546.27	2938.00	3525.60	4113.20
TRAWSGOED	1165.48	1359.72	1553.97	1748.22	2136.72	2525.21	2913.70	3496.44	4079.18
TREFEURIG	1169.94	1364.93	1559.92	1754.91	2144.89	2534.87	2924.85	3509.82	4094.79
FAENOR	1186.28	1383.98	1581.70	1779.41	2174.84	2570.26	2965.69	3558.82	4151.95
YSGUBOR-Y-COED	1173.25	1368.78	1564.33	1759.87	2150.96	2542.03	2933.12	3519.74	4106.36
LLANDDEWI BREFI	1177.92	1374.24	1570.56	1766.88	2159.52	2552.16	2944.80	3533.76	4122.72
LLANGEITHO	1168.76	1363.54	1558.34	1753.13	2142.72	2532.30	2921.89	3506.26	4090.63
LLEDROD	1163.34	1357.22	1551.11	1745.00	2132.78	2520.55	2908.34	3490.00	4071.66
NANTCWNLLE	1162.30	1356.00	1549.72	1743.44	2130.88	2518.30	2905.74	3486.88	4068.02
TREGARON	1188.76	1386.87	1585.00	1783.13	2179.39	2575.63	2971.89	3566.26	4160.63
YSBYTY YSTWYTH	1168.32	1363.03	1557.75	1752.47	2141.91	2531.34	2920.79	3504.94	4089.09
YSTRAD FFLUR	1174.20	1369.90	1565.60	1761.30	2152.70	2544.10	2935.50	3522.60	4109.70
YSTRAD MEURIG	1167.38	1361.93	1556.50	1751.06	2140.19	2529.31	2918.44	3502.12	4085.80
CILIAU AERON	1166.60	1361.03	1555.46	1749.90	2138.77	2527.63	2916.50	3499.80	4083.10
HENFYNYW	1167.93	1362.58	1557.23	1751.89	2141.20	2530.51	2919.82	3503.78	4087.74
LLANARTH	1166.46	1360.86	1555.27	1749.68	2138.50	2527.31	2916.14	3499.36	4082.58
LLANDYSILOGOGO	1171.28	1366.49	1561.70	1756.92	2147.35	2537.77	2928.20	3513.84	4099.48
LLANFAIR CLYDOGAU	1166.50	1360.90	1555.32	1749.74	2138.58	2527.40	2916.24	3499.48	4082.72
LLANFIHANGEL YSTRAD	1168.90	1363.71	1558.53	1753.35	2142.99	2532.62	2922.25	3506.70	4091.15
LLANGYBI	1168.32	1363.04	1557.76	1752.48	2141.92	2531.36	2920.80	3504.96	4089.12
LLANLLWCHAEARN	1173.38	1368.93	1564.50	1760.06	2151.19	2542.31	2933.44	3520.12	4106.80
LLANSANTFFRAED	1179.02	1375.52	1572.02	1768.53	2161.54	2554.54	2947.55	3537.06	4126.57
LLANWENOG	1169.19	1364.05	1558.91	1753.78	2143.51	2533.24	2922.97	3507.56	4092.15
LLANWNNEN	1169.81	1364.77	1559.74	1754.71	2144.65	2534.58	2924.52	3509.42	4094.32
DYFFRYN ARTH	1175.76	1371.72	1567.68	1763.64	2155.56	2547.48	2939.40	3527.28	4115.16
ABERPORTH	1183.23	1380.43	1577.63	1774.84	2169.25	2563.66	2958.07	3549.68	4141.29
BEULAH	1176.03	1372.03	1568.03	1764.04	2156.05	2548.06	2940.07	3528.08	4116.09
LLANDYFRIOG	1170.84	1365.98	1561.12	1756.26	2146.54	2536.82	2927.10	3512.52	4097.94

LLANDYSUL	1183.44	1380.67	1577.91	1775.15	2169.63	2564.10	2958.59	3550.30	4142.01
LLANGOEDMOR	1193.22	1392.09	1590.96	1789.83	2187.57	2585.31	2983.05	3579.66	4176.27
LLANGRANNOG	1174.46	1370.20	1565.94	1761.69	2153.18	2544.66	2936.15	3523.38	4110.61
PENBRYN	1168.89	1363.70	1558.51	1753.33	2142.96	2532.59	2922.22	3506.66	4091.10
TROEDYRAUR	1168.92	1363.73	1558.55	1753.37	2143.01	2532.64	2922.29	3506.74	4091.19
Y FERWIG	1184.79	1382.25	1579.71	1777.18	2172.11	2567.04	2961.97	3554.36	4146.75

Has an Integrated Impact Assessment been completed?

No

If, not, please state why

No service change

Wellbeing of Future Generations:

Summary:

Long term: Not Applicable

Collaboration: Not Applicable

Involvement: Not Applicable

Prevention: Not Applicable

Integration: Not Applicable

Recommendations(s): To note the report

Reasons for decision: To set the Council Tax levels for 2022/23

Overview and Scrutiny: All Scrutiny Committees have considered the budget proposals

Policy Framework: Medium Term Financial Strategy

Corporate Priorities: All

Financial and Procurement implications: Part of the budget setting process for 2022/23

Legal Implications: To comply with Local Government Finance Act 1992

Staffing implications: None

Property / asset implications: None

Risk(s): None

Statutory Powers: Local Government Finance Act 1992

**Budget Report to Cabinet on 01 February 2022;
Town and Community Council Precepts for 2022/23;
Police and Crime Commissioner for Dyfed-Powys
Precept for 2022/23**

Appendices: **Appendix A**

**Corporate Lead
Officer:** **Stephen Johnson**

Reporting Officer: **Stephen Johnson**

Date: **24 February 2022**

Council Tax Special Items 2022-23

Town or Community Council	Tax Base	Precept £	Council Tax (Band D) £
Aberystwyth	3,863.14	500,507.00	129.56
Aberaeron	754.35	40,765.00	54.04
Aberteifi / Cardigan	1,812.89	83,995.47	46.33
Llanbedr Pont Steffan / Lampeter	982.00	39,000.00	39.71
Cei Newydd / New Quay	739.05	16,072.64	21.75
Borth	726.54	19,668.00	27.07
Ceulanamaesmawr	421.58	15,000.00	35.58
Blaenrheidol	201.71	4,500.00	22.31
Geneu'r Glyn	346.38	9,000.00	25.98
Llanbadarn Fawr	873.24	38,531.00	44.12
Llangynfelin	264.64	4,125.00	15.59
Llanfarian	743.46	14,700.00	19.77
Llangwryfon	245.86	3,120.00	12.69
Llanilar	464.70	7,400.00	15.92
Llanrhystud	442.72	8,600.00	19.43
Melindwr	517.32	7,000.00	13.53
Pontarfynach	237.45	3,500.00	14.74
Tirymynach	788.19	19,500.00	24.74
Trawsgoed	442.94	4,500.00	10.16
Trefeurig	771.68	13,000.00	16.85
Faenor	808.43	33,427.00	41.35
Ysgubor-y-Coed	160.45	3,500.00	21.81
Llanddewi Brefi	294.94	8,500.00	28.82
Llangeitho	364.85	5,500.00	15.07
Lledrod	303.97	2,110.00	6.94
Nantcwnlle	371.52	2,000.00	5.38
Tregaron	532.46	24,000.00	45.07
Ysbyty Ystwyth	208.17	3,000.00	14.41
Ystrad Fflur	310.32	7,213.00	23.24
Ystrad Meurig	162.75	2,115.75	13.00
Ciliau Aeron	422.33	5,000.00	11.84
Henfynyw	506.29	7,000.00	13.83
Llanarth	758.86	8,820.00	11.62
Llandysiliogogo	544.33	10,267.92	18.86
Llanfair Clydogau	299.59	3,500.00	11.68
Llanfihangel Ystrad	650.89	9,950.00	15.29
Llangybi	277.48	4,000.00	14.42
Llanllwchaearn	490.82	10,800.00	22.00
Llansantffraed	557.89	17,000.00	30.47
Llanwenog	572.70	9,000.00	15.72
Llanwnnen	208.13	3,465.00	16.65
Dyffryn Arth	566.86	14,500.00	25.58
Aberporth	1,117.27	41,088.12	36.78
Beulah	866.17	22,500.00	25.98
Llandyfriog	824.10	15,000.00	18.20
Llandysul	1,237.01	45,880.70	37.09
Llangoedmor	579.54	30,000.00	51.77
Llangrannog	423.15	10,000.00	23.63
Penbryn	720.15	11,000.00	15.27
Troedyraur	653.00	10,000.00	15.31
Y Ferwig	628.82	24,600.00	39.12
TOTAL	32,063.08	1,257,221.60	39.21

Ceredigion County Council

Council Tax Setting 2022-23

Items calculated by the Council in accordance with Sections 32 to 36 of the Local Government Finance Act 1992 for the purpose of calculating the Council Tax for 2022-23.

- (a) £251,857,115 being the aggregate of the amounts which the Council estimates for the items set out in Section 32(2)(a) to (e) of the Act. This includes £221,000 in respect of National Non-Domestic Rates Relief.
- (b) £84,757,000 being the aggregate of the amounts which the Council estimates for the items set out in Section 32(3)(a) to (c) of the Act.
- (c) £167,100,115 being the amount by which the aggregate at (a) above exceeds the aggregate at (b) above, calculated by the Council, in accordance with Section 32(4) of the Act, as its budget requirement for the year.
- (d) £119,418,759 being the aggregate of the sums which the Council estimates will be payable for the year into its Council Fund in respect of redistributed non-domestic rates and its revenue support grant.
- (e) £1,487.11 being the amount at (c) above, less the amount at (d) above divided by the Council Tax Base, calculated by the Council, in accordance with Section 33(1) of the Act, as the basic amount of its Council Tax for the year.
- (f) £1,257,222 being the aggregate amount of all special items referred to in Section 34(1) of the Act.
- (g) £1,447.90 being the amount at (e) above less the result given by dividing the amount at (f) above by the Council Base calculated by the Council, in accordance with Section 34(2) of the Act, as the basic amount of its Council Tax for the year.

County Council - Council Tax

Band A	Band B	Band C	Band D	Band E	Band F	Band G	Band H	Band I
6/9ths	7/9ths	8/9ths	9/9ths	11/9ths	13/9ths	15/9ths	18/9ths	21/9ths
£	£	£	£	£	£	£	£	£
965.27	1,126.14	1,287.02	1,447.90	1,769.66	2,091.41	2,413.17	2,895.80	3,378.43

Dyfed-Powys Police - Council Tax

For the year 2022-23 the Police and Crime Commissioner for Dyfed-Powys has stated the following amounts in a precept issued to the Council in accordance with Section 47 of the Police Reform and Social Responsibility Act, for each of the categories of dwellings shown below:

Band A	Band B	Band C	Band D	Band E	Band F	Band G	Band H	Band I
6/9ths	7/9ths	8/9ths	9/9ths	11/9ths	13/9ths	15/9ths	18/9ths	21/9ths
£	£	£	£	£	£	£	£	£
193.44	225.68	257.92	290.16	354.64	419.12	483.60	580.32	677.04

Council Tax 2022-23

Town or Community Council	Ceredigion County Council	Town or Community Council	Dyfed- Powys Police	Total Basic Council Tax	Total Council Tax Payable for Properties in Valuation Bands									Showing Fraction of Basic Tax			
					Band	Band	Band	Band	Band	Band	Band	Band	Band	Band	Band	Band	
					D	D	D	D	A	B	C	D	E	F	G	H	I
					£	£	£	£	6/9 ths £	7/9 ths £	8/9 ths £	9/9 ths £	11/9 ths £	13/9 ths £	15/9 ths £	18/9 ths £	21/9 ths £
Aberystwyth	1447.90	129.56	290.16	1867.62	1245.08	1452.59	1660.10	1867.62	2282.65	2697.67	3112.70	3735.24	4357.78				
Aberaeron	1447.90	54.04	290.16	1792.10	1194.74	1393.85	1592.98	1792.10	2190.35	2588.59	2986.84	3584.20	4181.56				
Aberteifi / Cardigan	1447.90	46.33	290.16	1784.39	1189.60	1387.85	1586.12	1784.39	2180.93	2577.45	2973.99	3568.78	4163.57				
Llanbedr P.S. / Lampeter	1447.90	39.71	290.16	1777.77	1185.18	1382.71	1580.24	1777.77	2172.83	2567.89	2962.95	3555.54	4148.13				
Cei Newydd / New Quay	1447.90	21.75	290.16	1759.81	1173.21	1368.74	1564.27	1759.81	2150.88	2541.95	2933.02	3519.62	4106.22				
Borth	1447.90	27.07	290.16	1765.13	1176.76	1372.87	1569.00	1765.13	2157.39	2549.63	2941.89	3530.26	4118.63				
Ceulanamaesmawr	1447.90	35.58	290.16	1773.64	1182.43	1379.49	1576.57	1773.64	2167.79	2561.92	2956.07	3547.28	4138.49				
Blaenrheidol	1447.90	22.31	290.16	1760.37	1173.58	1369.17	1564.77	1760.37	2151.57	2542.76	2933.95	3520.74	4107.53				
Geneu'r Glyn	1447.90	25.98	290.16	1764.04	1176.03	1372.03	1568.03	1764.04	2156.05	2548.06	2940.07	3528.08	4116.09				
Llanbadarn Fawr	1447.90	44.12	290.16	1782.18	1188.12	1386.14	1584.16	1782.18	2178.22	2574.26	2970.30	3564.36	4158.42				
Llangynfelin	1447.90	15.59	290.16	1753.65	1169.10	1363.95	1558.80	1753.65	2143.35	2533.05	2922.75	3507.30	4091.85				
Llanfarian	1447.90	19.77	290.16	1757.83	1171.89	1367.20	1562.51	1757.83	2148.46	2539.09	2929.72	3515.66	4101.60				
Llangwryfon	1447.90	12.69	290.16	1750.75	1167.17	1361.69	1556.22	1750.75	2139.81	2528.86	2917.92	3501.50	4085.08				
Llanilar	1447.90	15.92	290.16	1753.98	1169.32	1364.20	1559.09	1753.98	2143.76	2533.53	2923.30	3507.96	4092.62				
Llanrhystud	1447.90	19.43	290.16	1757.49	1171.66	1366.93	1562.21	1757.49	2148.05	2538.60	2929.15	3514.98	4100.81				
Melindwr	1447.90	13.53	290.16	1751.59	1167.73	1362.34	1556.97	1751.59	2140.84	2530.07	2919.32	3503.18	4087.04				
Pontarfynach	1447.90	14.74	290.16	1752.80	1168.54	1363.28	1558.04	1752.80	2142.32	2531.82	2921.34	3505.60	4089.86				
Tirymynach	1447.90	24.74	290.16	1762.80	1175.20	1371.06	1566.93	1762.80	2154.54	2546.27	2938.00	3525.60	4113.20				
Trawsgoed	1447.90	10.16	290.16	1748.22	1165.48	1359.72	1553.97	1748.22	2136.72	2525.21	2913.70	3496.44	4079.18				
Trefeurig	1447.90	16.85	290.16	1754.91	1169.94	1364.93	1559.92	1754.91	2144.89	2534.87	2924.85	3509.82	4094.79				
Faenor	1447.90	41.35	290.16	1779.41	1186.28	1383.98	1581.70	1779.41	2174.84	2570.26	2965.69	3558.82	4151.95				
Ysgubor-y-Coed	1447.90	21.81	290.16	1759.87	1173.25	1368.78	1564.33	1759.87	2150.96	2542.03	2933.12	3519.74	4106.36				
Llanddewi Brefi	1447.90	28.82	290.16	1766.88	1177.92	1374.24	1570.56	1766.88	2159.52	2552.16	2944.80	3533.76	4122.72				
Llangeitho	1447.90	15.07	290.16	1753.13	1168.76	1363.54	1558.34	1753.13	2142.72	2532.30	2921.89	3506.26	4090.63				
Lledrod	1447.90	6.94	290.16	1745.00	1163.34	1357.22	1551.11	1745.00	2132.78	2520.55	2908.34	3490.00	4071.66				
Nantcwnlle	1447.90	5.38	290.16	1743.44	1162.30	1356.00	1549.72	1743.44	2130.88	2518.30	2905.74	3486.88	4068.02				
Tregaron	1447.90	45.07	290.16	1783.13	1188.76	1386.87	1585.00	1783.13	2179.39	2575.63	2971.89	3566.26	4160.63				
Ysbyty Ystwyth	1447.90	14.41	290.16	1752.47	1168.32	1363.03	1557.75	1752.47	2141.91	2531.34	2920.79	3504.94	4089.09				
Ystrad Fflur	1447.90	23.24	290.16	1761.30	1174.20	1369.90	1565.60	1761.30	2152.70	2544.10	2935.50	3522.60	4109.70				
Ystrad Meurig	1447.90	13.00	290.16	1751.06	1167.38	1361.93	1556.50	1751.06	2140.19	2529.31	2918.44	3502.12	4085.80				
Ciliau Aeron	1447.90	11.84	290.16	1749.90	1166.60	1361.03	1555.46	1749.90	2138.77	2527.63	2916.50	3499.80	4083.10				
Henfynyw	1447.90	13.83	290.16	1751.89	1167.93	1362.58	1557.23	1751.89	2141.20	2530.51	2919.82	3503.78	4087.74				
Llanarth	1447.90	11.62	290.16	1749.68	1166.46	1360.86	1555.27	1749.68	2138.50	2527.31	2916.14	3499.36	4082.58				
Llandysiliogogo	1447.90	18.86	290.16	1756.92	1171.28	1366.49	1561.70	1756.92	2147.35	2537.77	2928.20	3513.84	4099.48				
Llanfair Clydogau	1447.90	11.68	290.16	1749.74	1166.50	1360.90	1555.32	1749.74	2138.58	2527.40	2916.24	3499.48	4082.72				
Llanfihangel Ystrad	1447.90	15.29	290.16	1753.35	1168.90	1363.71	1558.53	1753.35	2142.99	2532.62	2922.25	3506.70	4091.15				
Llangybi	1447.90	14.42	290.16	1752.48	1168.32	1363.04	1557.76	1752.48	2141.92	2531.36	2920.80	3504.96	4089.12				
Llanllwchaearn	1447.90	22.00	290.16	1760.06	1173.38	1368.93	1564.50	1760.06	2151.19	2542.31	2933.44	3520.12	4106.80				
Llansantffraed	1447.90	30.47	290.16	1768.53	1179.02	1375.52	1572.02	1768.53	2161.54	2554.54	2947.55	3537.06	4126.57				
Llanwenog	1447.90	15.72	290.16	1753.78	1169.19	1364.05	1558.91	1753.78	2143.51	2533.24	2922.97	3507.56	4092.15				
Llanwnnen	1447.90	16.65	290.16	1754.71	1169.81	1364.77	1559.74	1754.71	2144.65	2534.58	2924.52	3509.42	4094.32				
Dyffryn Arth	1447.90	25.58	290.16	1763.64	1175.76	1371.72	1567.68	1763.64	2155.56	2547.48	2939.40	3527.28	4115.16				
Aberporth	1447.90	36.78	290.16	1774.84	1183.23	1380.43	1577.63	1774.84	2169.25	2563.66	2958.07	3549.68	4141.29				
Beulah	1447.90	25.98	290.16	1764.04	1176.03	1372.03	1568.03	1764.04	2156.05	2548.06	2940.07	3528.08	4116.09				
Llandyfriog	1447.90	18.20	290.16	1756.26	1170.84	1365.98	1561.12	1756.26	2146.54	2536.82	2927.10	3512.52	4097.94				
Llandysul	1447.90	37.09	290.16	1775.15	1183.44	1380.67	1577.91	1775.15	2169.63	2564.10	2958.59	3550.30	4142.01				
Llangedmor	1447.90	51.77	290.16	1789.83	1193.22	1392.09	1590.96	1789.83	2187.57	2585.31	2983.05	3579.66	4176.27				
Llangrannog	1447.90	23.63	290.16	1761.69	1174.46	1370.20	1565.94	1761.69	2153.18	2544.66	2936.15	3523.38	4110.61				
Penbryn	1447.90	15.27	290.16	1753.33	1168.89	1363.70	1558.51	1753.33	2142.96	2532.59	2922.22	3506.66	4091.10				
Troedyraur	1447.90	15.31	290.16	1753.37	1168.92	1363.73	1558.55	1753.37	2143.01	2532.64	2922.29	3506.74	4091.19				
Y Ferwig	1447.90	39.12	290.16	1777.18	1184.79	1382.25	1579.71	1777.18	2172.11	2567.04	2961.97	3554.36	4146.75				

CEREDIGION COUNTY COUNCIL

Report to:	Council
Date of meeting:	3rd March 2022
Title:	Treasury Management Policy Statement, Treasury Management Strategy and Minimum Revenue Provision (MRP) Policy for 2022/23.
Purpose of the report:	To consider the Treasury Management Policy Statement, the Treasury Management Strategy and the MRP Policy for 2022/23.
For:	DECISION
Cabinet Portfolio:	Cllr. Gareth Lloyd Finance, Procurement and Public Protection

1. INTRODUCTION

The Cabinet, at its meeting held on 22/02/2022 considered a report on the Council's Treasury Management Policy Statement, Treasury Management Strategy and Minimum Revenue Provision (MRP) Policy for 2022/23, which is attached as Appendix 1.

2. CABINET DECISIONS

The Cabinet decided:

- (i) to approve the Treasury Management Strategy outlined in the report for Borrowing and Investments;
- (ii) to approve the Investment Schedule as set out in Appendix B;
- (iii) to approve the Minimum Revenue Provision Policy as set out in Appendix C;
- (iv) to delegate authority to the Section 151 officer in consultation with the Cabinet Member for Finance, Procurement and Public Protection, to amend the Treasury Management Strategy, and Investment Schedule, during the course of the year; and
- (v) to recommend to Full Council:
 - (a) the approval of the Treasury Management Strategy for Borrowing and Investments for 2022/23; and
 - (b) the approval of the Minimum Revenue Provision Policy for 2022/23.

Recommendation(s):	It is recommended that Council notes the report and approves the decisions made by Cabinet
Reasons for decision:	To set a Treasury Management Strategy and Minimum Revenue Policy for 2022/23
Overview and Scrutiny:	To be considered
Policy Framework:	2022/23 Treasury Management Strategy
Strategic Objectives:	Treasury Management underpins all Strategic objectives
Financial Implications:	Finance: Investment Income/External interest paid
Statutory Powers:	Local Government Act 2003
Background Papers:	None
Appendices:	Appendix 1 – Report to Cabinet on 22/02/2022
Corporate Lead Officer:	Stephen Johnson – Finance & Procurement
Reporting Officer:	Justin Davies – Corporate Manager Core Finance
Date:	15/02/2022

Treasury Management related Prudential Indicators

PI4 Gross debt and the Capital Finance Requirement
In order to ensure that over the medium term debt will only be for a capital purpose, the local authority should ensure that gross external debt does not, except in the short term, exceed the total of capital financing requirement in the preceding year plus the estimates of any additional capital financing requirement for the current and next two financial years.
The Section 151 officer reports that the authority did not have any difficulty in meeting this requirement in 2020/21, nor are there any difficulties envisaged for the current or future years. This view takes into account current commitments, existing plans, and the proposals in the 3 year capital programme.

PI5 Authorised Limit for External Debt				
	2021/22	2022/23	2023/24	2024/25
	£m	£m	£m	£m
Borrowing	129	144	154	161
Other long term liabilities	8	15	15	15
Total	137	169	169	176

PI6 Operational Boundary for External Debt				
	2021/22	2022/23	2023/24	2024/25
	£m	£m	£m	£m
Borrowing	123	150	160	167
Other long term liabilities	7	14	14	14
Total	130	164	174	181

PI7 Actual External Debt
The Council's actual external debt at 31/03/2021 was £123.0m (consisting of External Borrowing of £116.7m and Long term liabilities of £6.3m).

PI8 Maturity Structure of Borrowing		
	Upper limit	Lower limit
Under 12 months	20%	0%
12 months & within 24 months	20%	0%
24 months & within 5 years	50%	0%
5 years & within 10 years	75%	0%
10 years & above	95%	25%
<u>Sub-category within 10 years and above</u> 50 years & above	20%	0%

PI9 Upper limit for total principal sums invested for more than 1 year			
2021/22	2022/23	2023/24	2024/25
£2.5m	£2.5m	£2.5m	£2.5m

INVESTMENT SCHEDULE

Category Of Investment	Specified Individual Investment Limit	Specified Category Investment Limit	'High' Credit Rating Criteria	Security / Minimum 'High' Credit Rating (Fitch or other equivalent)	Repayable/ Redeemable within 12 months?	Circumstance of use	Maximum period of investment
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SPECIFIED INVESTMENTS (All investments listed below must be sterling-denominated and are not Share or Loan Capital)

UK Government Debt Management Office - Debt Management Agency Deposit Facility (DMADF)	Unlimited	Unlimited	N/A	UK Government-backed	Yes	In-house	6 months (Current DMO Policy)
Banks part or fully nationalised by the UK Government	See Annex 1	See Annex 1	Blue colour on Link durational bandings	Short term F2	Yes	In-house	1 year
Fixed Term and call deposits with the UK government	Unlimited	Unlimited	N/A	High security	Yes	In-house	1 year
Fixed Term and call deposits with credit-rated deposit takers (banks and building societies)	See Annex 1	See Annex 1	Yellow, Purple, Orange, Red or Green colour on the Link durational bandings *	Long Term A- Short term F1	Yes	In-house	1 year for Yellow, Purple & Orange 6 months for Red 100 days for Green
Certificates of Deposits issued by credit-rated deposit takers (Banks & Building Societies) (Custodial arrangement required prior to purchase)	£2.5m	£2.5m	Yellow, Purple, Orange or Red colour on the Link durational bandings *	Long Term A- Short term F1	Yes	In-house and External fund manager(s)	1 year
UK Government Gilts (Custodial arrangement required prior to purchase)	£2.5m	£2.5m	N/A	UK Government backed	Yes	In-house and External fund manager(s)	1 year
Treasury Bills (Custodial arrangement required prior to purchase)	£2.5m	£2.5m	N/A	UK Government backed	Yes	In-house and External fund manager(s)	1 year
Government Liquidity / Money Market Funds - These funds do not have any maturity date and can usually be accessed either on the same day or at one day's notice	£2m	£2m	AAA	Highest credit rating	Yes	In-house, subject to the guidelines and parameters agreed	The period of investment may not be determined at the outset but would be subject to cash flow and liquidity requirements

* Footnote - Prior to any short term overlay

Category Of Investment	Non-Specified Individual Investment Limit	Non-Specified Category Investment Limit	Repayable/ Redeemable within 12 months?	Circumstance of use	Maximum period of investment
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NON SPECIFIED INVESTMENTS					
Property Funds	£2.5m	£2.5m	No	These funds can be deemed to be capital expenditure. Appropriate due diligence, including advice from the Council's External Treasury advisors would be undertaken before investment of this type is undertaken	The period of investment may not be determined at the outset but would be subject to cash flow and liquidity requirements

Specified Individual Investment Limit per Banking Group	Specified Category Investment Limit	Credit Rating Criteria (Based on Link durational bandings)	Fixed List of Specific Counterparties (Subject to regular updating for credit rating changes and meeting Credit Rating criteria)
£7m	£7m	BLUE	Part or 100% nationalised by UK Government National Westminster Bank plc (Including Notice/Instant Access call account) The Royal Bank of Scotland Plc
£6m	£25m	YELLOW or PURPLE or ORANGE or RED	UK Banking Group / Building Society (1): Any of the banks or building societies in the UK Banking Group / Building Society category (2) if their status changes from GREEN to RED or ORANGE or PURPLE or YELLOW plus HSBC Bank Plc Lloyds Bank Plc Bank of Scotland Plc (Including Notice/Instant Access call accounts) Nationwide Building Society Coventry Building Society
£4m	£8m	YELLOW or PURPLE or ORANGE or RED or GREEN	Foreign Banking Group parent: Santander UK plc (including Notice/Instant Access call accounts) Standard Chartered Bank Goldman Sachs International Bank UBS Ltd
£3m	£6m	YELLOW or PURPLE or ORANGE or RED or GREEN	UK Banking Group / Building Society (2): Any of the banks or building societies in the UK Banking Group / Building Society (1) category if their status changes from RED to GREEN plus Yorkshire Building Society Skipton Building Society Leeds Building Society
£13m	£13m	YELLOW or PURPLE or ORANGE or RED or GREEN	Barclays Bank Plc * – Limit for overnight balances on corporate bank accounts
	£6m		Barclays Bank Plc * – Limit for Fixed Term deposits and Notice/Instant access (including Green Deposit Accounts) Call Accounts Limit for Call account balances

* Footnote – Barclays Bank are the Council's current Banking Services provider

2022/23 MRP Policy Statement

1. General Principles

- a) The Council's proposed Minimum Revenue Provision (MRP) Policy for 2022/23 follows the principles of the guidance issued by the Welsh Government under section 21(1A) of the Local Government Act 2003, through using one of the options outlined in the guidance, combined with introducing a further option that is underpinned by the principle of prudent provision.
- b) Estimated life periods will be determined in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom unless WG require or determine otherwise. To the extent that expenditure is not on the creation of an asset and is of a type that is subject to estimated life periods that are referred to in the guidance, these periods will generally be adopted by the Council. However, the Council reserves the right to determine useful life periods and prudent MRP in exceptional circumstances where the recommendations of the guidance would not be appropriate.
- c) As some types of capital expenditure incurred by the Council are not capable of being related to an individual asset, asset lives will be assessed on a basis which most reasonably reflects the anticipated period of benefit that arises from the expenditure. Also, whatever type of expenditure is involved, it will be grouped together in a manner which reflects the nature of the main component of expenditure and will only be divided up in cases where there are two or more major components with substantially different useful economic lives.

2. Methods for calculating MRP

- a) The major proportion of the MRP for 2022/23 will relate to the more historic debt liability that existed pre 2008 or post 2008 where it relates to Supported Borrowing funded by WG. The MRP liability on the Council's Capital Financing Requirement that relates to pre 2008 debt and post 2008 Supported Borrowing funded by WG through RSG will be provided for using Option 3 (Asset life method) of the 2018 WG guidance and applying the Annuity Method with an interest rate of 4.20% (the average borrowing rate of loans outstanding as of 01/04/21) over a 44 year period commencing 01/04/2021.
- b) As further new Supported Borrowing is utilised in the Capital Programme, the MRP liability on each new tranche of Support Borrowing will also be provided for using Option 3 (Asset life method) of the 2018 WG guidance and applying the Annuity Method.
- c) A significant proportion of the MRP for 2022/23 will relate to the Historic Unsupported Prudential Borrowing since 2008 which is reflected within the Capital Financing Requirement. The MRP liability on the Council's Capital Financing Requirement that relates to post 2008 Unsupported Borrowing will be provided for using Option 3 (Asset life method) of the 2018 WG guidance and applying the Annuity Method with an interest rate of 3.68% (the weighted average interest rate of the borrowing concerned) over a 39 year period commencing 01/04/2021.
- d) As further Unsupported Prudential Borrowing is utilised in the Capital Programme, the MRP liability reflected within the Capital Financing Requirement will be charged over a period commensurate with the average estimated useful life of assets using Option 3 (Asset life method) of the 2018 WG guidance and applying the Annuity Method.
- e) Where there is Temporary Borrowing in lieu of future Capital receipts (e.g. WG repayable finance loans or temporary Unsupported Prudential Borrowing) the principal of not charging MRP will continue, e.g. whilst awaiting the realisation of capital receipts from the sale of surplus assets.
- f) Where an asset is under construction, the Council reserves the right to not make an MRP charge until the financial year after that in which the capital expenditure is incurred and in the case of a new asset comes into service use.
- g) MRP on PFI credit arrangements will be charged over a period commensurate with the estimated useful life applicable to the asset and using the Annuity Method.

- h) Where MRP relates to a pre-determined profile linked to a credit arrangement (e.g. Finance Lease) then the MRP calculation will be in accordance with the relevant bespoke repayment profile.
- i) The Council has the option of making additional Voluntary MRP contributions in addition to the above MRP calculations at any point in time. E.g. The Council may treat any Voluntary MRP as 'up-front' provision (having a similar impact to the early repayment of debt) and thus recalculate future MRP charges accordingly.

Cyngor Sir Ceredigion County Council - Integrated Impact Assessment (IIA)

An integrated tool to inform effective decision making



This **Integrated Impact Assessment tool** incorporates the principles of the Well-being of Future Generations (Wales) Act 2015 and the Sustainable Development Principles, the Equality Act 2010 and the Welsh Language Measure 2011 (Welsh Language Standards requirements) and Risk Management in order to inform effective decision making and ensuring compliance with respective legislation.

1. PROPOSAL DETAILS: (Policy/Change Objective/Budget saving)

Proposal Title	Treasury Management Policy Statement
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Service Area	Finance and Procurement	Corporate Lead Officer	Stephen Johnson	Corporate Director	Barry Rees
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Name of Officer completing the IIA	Mark Bridges	E-mail	Mark.Bridges@ceredigion.gov.uk	Phone no	3132
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Please give a brief description of the purpose of the proposal

The Local Government Act 2003 requires the Council to set out its Treasury Management Strategy, which explains the Council's policies for managing its investments and debt, and for giving priority to the security and liquidity of those investments.

The Strategy needs to be approved annually by Full Council.

Who will be directly affected by this proposal? (e.g. The general public, specific sections of the public such as youth groups, carers, road users, people using country parks, people on benefits, staff members or those who fall under the protected characteristics groups as defined by the Equality Act and for whom the authority must have due regard).

The Treasury Management Strategy doesn't directly affect any of the groups suggested. It does however set out how the council will manage it's investments, debt and liquidity over the coming year. This is a crucial function in managing the council's cash resources that enable the council to carry out all it's functions.

VERSION CONTROL: The IIA should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development, Welsh language and equality considerations wherever possible.

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Author	Decision making stage	Version number	Date considered	Brief description of any amendments made following consideration
Mark Bridges		V1	16.02.22	<i>none</i>

COUNCIL STRATEGIC OBJECTIVES: Which of the Council's Strategic Objectives does the proposal address and how?

Boosting the Economy	The Treasury Management Strategy doesn't necessarily directly address the Council's Strategic Objectives, however it supports all the council's activities by managing the council's cash, investments and debt which obviously enables the Council to Carry out it's activities.
Investing in People's Future	The Treasury Management Strategy doesn't necessarily directly address the Council's Strategic Objectives, however it supports all the council's activities by managing the council's cash, investments and debt which obviously enables the Council to Carry out it's activities.
Enabling Individual and Family Resilience	The Treasury Management Strategy doesn't necessarily directly address the Council's Strategic Objectives, however it supports all the council's activities by managing the council's cash, investments and debt which obviously enables the Council to Carry out it's activities.
Promoting Environmental and Community Resilience	The Treasury Management Strategy doesn't necessarily directly address the Council's Strategic Objectives, however it supports all the council's activities by managing the council's cash, investments and debt which obviously enables the Council to Carry out it's activities.

NOTE: As you complete this tool you will be asked for **evidence to support your views**. These need to include your baseline position, measures and studies that have informed your thinking and the judgement you are making. It should allow you to identify whether any changes resulting from the implementation of the recommendation will have a positive or negative effect. Data sources include for example:

- *Quantitative data - data that provides numerical information, e.g. population figures, number of users/non-users*
- *Qualitative data – data that furnishes evidence of people's perception/views of the service/policy, e.g. analysis of complaints, outcomes of focus groups, surveys*
- *Local population data from the census figures (such as Ceredigion Welsh language Profile and Ceredigion Demographic Equality data)*
- *National Household survey data*
- *Service User data*



- *Feedback from consultation and engagement campaigns*
- *Recommendations from Scrutiny*
- *Comparisons with similar policies in other authorities*
- *Academic publications, research reports, consultants' reports, and reports on any consultation with e.g. trade unions or the voluntary and community sectors, 'Is Wales Fairer' document.*
- *Welsh Language skills data for Council staff*

2. SUSTAINABLE DEVELOPMENT PRINCIPLES: How has your proposal embedded and prioritised the five sustainable development principles, as outlined in the Well-being of Future Generations (Wales) Act 2015, in its development?

Sustainable Development Principle	Does the proposal demonstrate you have met this principle? If yes, describe how. If not, explain why.	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to the principle?
<p>Long Term Balancing short term need with long term and planning for the future.</p>	<p>The Treasury Strategy sets out the Council's approach to managing its investments/debts in both the short and longer term.</p> <p>It does this in a number of ways.</p> <ul style="list-style-type: none"> • Borrowing is only carried out when needed within the Prudential Indicators limits. This stops the Council taking on too much borrowing in the short term to the detriment of the Long Term. • Investments are only made within set limits and with counter-parties that have a minimum credit rating that are continually monitored. • The sets out the Council prioritises Security and Liquidity over yield. This stops the Council making excessive risks with its investments. 	<p>The strategy sets these out within the policy.</p>	

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<p>Collaboration Working together with other partners to deliver.</p>	<p>The Strategy confirms we will work with our Corporate Banking Suppliers (Barclays) and Link Asset Management Services as our Treasury Advisers.</p> <p>The Strategy also sets out an agreed list of counter parties for both investments and borrowing. These all have a minimum credit rating as set out in the strategy and are continually monitored.</p>		
<p>Involvement Involving those with an interest and seeking their views.</p>	<p>n/a</p>		
<p>Prevention Putting resources into preventing problems occurring or getting worse.</p>	<p>The strategy sets out how the council will manage it's cash resources in a proactive way to ensure the Council has money when it is needed. Therefore facilitating the council's objectives/activities.</p>		
<p>Integration Positively impacting on people, economy, environment and culture and trying to benefit all three.</p>	<p>The strategy sets out how the council will manage it's cash resources in a proactive way to ensure the Council has money when it is needed. Therefore facilitating the council's objectives/activities.</p> <p>The Council also has 'Green' Investment accounts on it's counterparty list and uses these accounts when appropriate. This investments are then used to invest in</p>	<p>Barclays provide a annual report detailing benefits/ initiatives from these investments.</p>	

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	Economically Friendly initiative globally.		
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3. WELL-BEING GOALS: Does your proposal deliver any of the seven National Well-being Goals for Wales as outlined on the Well-being of Future Generations (Wales) Act 2015? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. We need to ensure that the steps we take to meet one of the goals aren't detrimental to meeting another.

Well-being Goal	Does the proposal contribute to this goal? Describe the positive or negative impacts.	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to the goal?
3.1. A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs.	The Treasury Management Strategy doesn't necessarily directly address the Well-being goals, however it supports all the council's activities by managing the council's cash, investments and debt which obviously enables the Council to Carry out it's activities.		
3.2. A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change).	The Treasury Management Strategy doesn't necessarily directly address the Well-being goals, however it supports all the council's activities by managing the council's cash, investments and debt which obviously enables the Council to Carry out it's activities.		
3.3. A healthier Wales People's physical and mental wellbeing is maximised and health impacts are understood.	The Treasury Management Strategy doesn't necessarily directly address the Well-being goals, however it supports all the council's activities by managing the council's cash, investments and debt which obviously enables the Council to Carry out it's activities.		
3.4. A Wales of cohesive communities	The Treasury Management Strategy doesn't necessarily directly address the		

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<p>Communities are attractive, viable, safe and well connected.</p>	<p>Well-being goals, however it supports all the council's activities by managing the council's cash, investments and debt which obviously enables the Council to Carry out it's activities.</p>		
<p>3.5. A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental well-being.</p>	<p>The Treasury Management Strategy doesn't necessarily directly address the Well-being goals, however it supports all the council's activities by managing the council's cash, investments and debt which obviously enables the Council to Carry out it's activities.</p> <p>The Council also has 'Green' Investment accounts on it's counterparty list and uses these accounts when appropriate. This investments ar ethen used to invest in Economically Friendly initiative globally.</p>		

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<p>3.6. A more equal Wales People can fulfil their potential no matter what their background or circumstances.</p> <p><i>In this section you need to consider the impact on equality groups, the evidence and any action you are taking for improvement.</i></p> <p><i>You need to consider how might the proposal impact on equality protected groups in accordance with the Equality Act 2010?</i></p> <p><i>These include the protected characteristics of age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, race, religion or beliefs, gender, sexual orientation.</i></p> <p>Please also consider the following guide:: Equality Human Rights - Assessing Impact & Equality Duty</p>	<p>Describe why it will have a positive/negative or negligible impact.</p> <p><i>Using your evidence consider the impact for each of the protected groups. You will need to consider do these groups have equal access to the service, or do they need to receive the service in a different way from other people because of their protected characteristics. It is not acceptable to state simply that a proposal will universally benefit/disadvantage everyone. You should demonstrate that you have considered all the available evidence and address any gaps or disparities revealed.</i></p>	<p>What evidence do you have to support this view?</p> <p><i>Gathering Equality data and evidence is vital for an IIA. You should consider who uses or is likely to use the service. Failure to use <u>data</u> or <u>engage</u> where change is planned can leave decisions open to legal challenge. Please link to involvement box within this template. Please also consider the general guidance.</i></p>	<p>What action (s) can you take to mitigate any negative impacts or better contribute to positive impacts?</p> <p><i>These actions can include a range of positive actions which allows the organisation to treat individuals according to their needs, even when that might mean treating some more favourably than others, in order for them to have a good outcome. You may also have actions to identify any gaps in data or an action to engage with those who will/likely to be effected by the proposal. These actions need to link to Section 4 of this template.</i></p>												
<p>Age Do you think this proposal will have a positive or a negative impact on people because of their age? (Please tick ✓)</p> <table border="1" data-bbox="69 965 786 1393"> <tr> <td data-bbox="69 965 297 1114">Children and Young People up to 18</td> <td data-bbox="297 965 450 1114">Positive</td> <td data-bbox="450 965 618 1114">Negative</td> <td data-bbox="618 965 786 1114">None/ Negligible ✓</td> </tr> <tr> <td data-bbox="69 1114 297 1273">People 18-50</td> <td data-bbox="297 1114 450 1273">Positive</td> <td data-bbox="450 1114 618 1273">Negative</td> <td data-bbox="618 1114 786 1273">None/ Negligible ✓</td> </tr> <tr> <td data-bbox="69 1273 297 1393">Older People 50+</td> <td data-bbox="297 1273 450 1393">Positive</td> <td data-bbox="450 1273 618 1393">Negative</td> <td data-bbox="618 1273 786 1393">None/ Negligible ✓</td> </tr> </table>	Children and Young People up to 18	Positive	Negative	None/ Negligible ✓	People 18-50	Positive	Negative	None/ Negligible ✓	Older People 50+	Positive	Negative	None/ Negligible ✓	<p>The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.</p>		
Children and Young People up to 18	Positive	Negative	None/ Negligible ✓												
People 18-50	Positive	Negative	None/ Negligible ✓												
Older People 50+	Positive	Negative	None/ Negligible ✓												

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Disability Do you think this proposal will have a positive or a negative impact on people because of their disability? (Please tick ✓)				The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.		
Hearing Impairment	Positive	Negative	None/ Negligible			
			✓			
Physical Impairment	Positive	Negative	None/ Negligible			
			✓			
Visual Impairment	Positive	Negative	None/ Negligible			
			✓			
Learning Disability	Positive	Negative	None/ Negligible			
			✓			
Long Standing Illness	Positive	Negative	None/ Negligible			
			✓			
Mental Health	Positive	Negative	None/ Negligible			
			✓			
Other	Positive	Negative	None/ Negligible			
			✓			
Transgender Do you think this proposal will have a positive or a negative impact on transgender people?				The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.		
Transgender	Positive	Negative	None/ Negligible			
			✓			

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Marriage or Civil Partnership Do you think this proposal will have a positive or a negative impact on marriage or Civil partnership? (Please tick ✓)				The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.		
Marriage	Positive	Negative	None/ Negligible			
			✓			
Civil partnership	Positive	Negative	None/ Negligible			
			✓			

Pregnancy or Maternity Do you think this proposal will have a positive or a negative impact on pregnancy or maternity? (Please tick ✓)				The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.		
Pregnancy	Positive	Negative	None/ Negligible			
			✓			
Maternity	Positive	Negative	None/ Negligible			
			✓			

Race Do you think this proposal will have a positive or a negative impact on race? (Please tick ✓)				The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.		
White	Positive	Negative	None/ Negligible			
			✓			
Mixed/Multiple Ethnic Groups	Positive	Negative	None/ Negligible			

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			✓			
Asian / Asian British	Positive	Negative	None/ Negligible			
			✓			
Black / African / Caribbean / Black British	Positive	Negative	None/ Negligible			
			✓			
Other Ethnic Groups	Positive	Negative	None/ Negligible			
			✓			

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Religion or non-beliefs				The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.		
Do you think this proposal will have a positive or a negative impact on people with different religions, beliefs or non-beliefs? (Please tick ✓)						
Christian	Positive	Negative	None/ Negligible			
			✓			
Buddhist	Positive	Negative	None/ Negligible			
Hindu	Positive	Negative	None/ Negligible			
			✓			
Humanist	Positive	Negative	None/ Negligible			
			✓			
Jewish	Positive	Negative	None/ Negligible			
			✓			
Muslim	Positive	Negative	None/			

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			Negligible			
			✓			
Sikh	Positive	Negative	None/ Negligible			
			✓			
Non-belief	Positive	Negative	None/ Negligible			
			✓			
Other	Positive	Negative	None/ Negligible			
			✓			

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Sex Do you think this proposal will have a positive or a negative impact on men and/or women? (Please tick ✓)				The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.		
Men	Positive	Negative	None/ Negligible			
			✓			
Women	Positive	Negative	None/ Negligible			
			✓			

Sexual Orientation Do you think this proposal will have a positive or a negative impact on people with different sexual orientation? (Please tick ✓)				The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.		
Bisexual	Positive	Negative	None/ Negligible			
			✓			
Gay Men	Positive	Negative	None/ Negligible			



			✓			
Gay Women / Lesbian	Positive	Negative	None/ Negligible			
			✓			
Heterosexual / Straight	Positive	Negative	None/ Negligible			
			✓			

Having due regards in relation to the three aims of the Equality Duty - determine whether the proposal will assist or inhibit your ability to eliminate discrimination; advance equality and foster good relations.

3.6.2. How could/does the proposal help advance/promote equality of opportunity?

The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.

3.6.3. How could/does the proposal/decision help to eliminate unlawful discrimination, harassment, or victimisation?

The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.

3.6.4. How could/does the proposal impact on advancing/promoting good relations and wider community cohesion?

You should consider whether the proposal with help you to: ● Tackle prejudice ● Promote understanding

The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.



3.7. A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh Language are promoted and protected. <i>In this section you need to consider the impact, the evidence and any action you are taking for improvement. This in order to ensure that the opportunities for people who choose to live their lives and access services through the medium of Welsh are not inferior to what is afforded to those choosing to do so in English, in accordance with the requirement of the Welsh Language Measure 2011.</i>				Describe why it will have a positive/negative or negligible impact.	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to positive impacts?
Page 116	Will the proposal be delivered bilingually (Welsh & English)?	Positive	Negative	None/ Negligible	The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.	
				✓		
	Will the proposal have an effect on opportunities for persons to use the Welsh language?	Positive	Negative	None/ Negligible		
			✓			
	Will the proposal increase or reduce the opportunity for persons to access services through the medium of Welsh?	Positive	Negative	None/ Negligible	The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.	
				✓		
	How will the proposal treat the Welsh language	Positive	Negative	None/ Negligible	The Strategy sets out how the council will	



no less favourably than the English language?			✓	manage it's cash, investments and debt. It will not have a direct affect here.		
Will it preserve promote and enhance local culture and heritage?	Positive	Negative	None/ Negligible ✓	The Strategy sets out how the council will manage it's cash, investments and debt. It will not have a direct affect here.		

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4. STRENGTHENING THE PROPOSAL: If the proposal is likely to have a negative impact on any of the above (including any of the protected characteristics), what practical changes/actions could help reduce or remove any negative impacts as identified in sections 2 and 3?

4.1 Actions.

What are you going to do?	When are you going to do it?	Who is responsible?	Progress
n/a			

4.2. If no action is to be taken to remove or mitigate negative impacts please justify why.

(Please remember that if you have identified unlawful discrimination, immediate and potential, as a result of this proposal, the proposal must be changed or revised).

4.3. Monitoring, evaluating and reviewing.



How will you monitor the impact and effectiveness of the proposal?

5. RISK: What is the risk associated with this proposal?

Impact Criteria	1 - Very low	2 - Low	3 - Medium	4 - High	5 - Very High
Likelihood Criteria	1 - Unlikely to occur	2 - Lower than average chance of occurrence	3 - Even chance of occurrence	4 - Higher than average chance of occurrence	5 - Expected to occur

Risk Description	Impact (severity)	Probability (deliverability)	Risk Score
The Council runs out of cash	5	1	5
Investments default	4	2	8
Interest rates increase causing Borrowing to be unaffordable	3	2	6

Does your proposal have a potential impact on another Service area?

NO

6. SIGN OFF

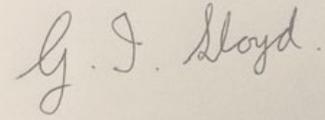
Position	Name	Signature	Date
Service Manager	Mark Bridges	<i>M. A. Bridges</i>	16/02/2022

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Corporate Lead Officer	Stephen Johnson		16/02/2022
Corporate Director	Barry Rees		16/02/2022
Portfolio Holder	Cllr. Gareth Lloyd		16/02/2022

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CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 3 March 2022

Title: Review of Statutory Statement of Gambling Policy

Purpose of the report:

- To consider the proposed revisions to the Council's Statement of Gambling Policy and seek to adopt the policy as the Authority's Statutory Statement of Gambling Policy for 2022-2025;
- To consider whether the Authority's "No Casino Resolution" should be retained

For: Decision

**Cabinet Portfolio and
Cabinet Member:** Councillor Gareth Lloyd – Public Protection

Background

Under the Gambling Act 2005, the Council as the Licensing Authority is required to adopt a Gambling Policy, setting out how it will deal with various applications for licences and permits. The current Policy was approved by Council on 13th December 2018 and was published on 31st January 2019.

The Act also places a duty on the Licensing Authority to keep its Policy Statement under general review, but must determine its Policy at least every 3 years, including undertaking a period of statutory consultation.

A review of the current Policy has been completed and a revised draft policy has been prepared (see Appendix A). The revised Gambling Policy will replace the current policy on (27th January 2022) if adopted.

The Statement of Policy forms the Licensing Authority's mandate for managing local gambling provision and sets out how the licensing authority views the local risk environment and therefore its expectations in relation to operators with premises in the locality.

The Statement of Policy acts as the primary vehicle for setting out the licensing authority's approach to regulation having taken into account local circumstances.

In exercising its functions under part 8 of the Act (Premises Licences and Provisional Statements), a Licensing Authority is expected to apply the principles contained in Section 153 of the Act and should aim to permit the use of premises for gambling in so far as it thinks it:

- a) is in accordance with any relevant Section 24 Code of Practice
- b) is in accordance with any relevant Section 25 Guidance issued by the Commission
- c) is reasonably consistent with the licensing objectives and
- d) is in accordance with this Policy Statement.

There have been only minor changes on this occasion to the Gambling Commission's Licensing Conditions and Codes of Practice to all Gambling Operators and The Guidance to Licensing Authorities. Therefore, as part of the review and redrafting of this Policy, the Authority has taken account of the changes in the Codes of Practice and the Fundamental Principles within the Guidance and included them within the draft Policy. Particular regard has also been given to comprehensive advice provided directly by representatives of the Commission to Licensing staff of the four local authorities within the Dyfed-Powys area.

The Authority's Statement of Gambling Policy can only reflect the Authority's position to support the licensing objectives involving the issuing of licences and other authorities under the Gambling Act 2005. It is felt that the new draft policy reflects this as well as addressing changes in law and guidance since the last policy. The new proposed Statement of Gambling Policy 2022-2025 reflects the current nature of the licensing trade within Ceredigion.

Once adopted, the Policy will remain a living document and can be revised further during the next 3 year period as circumstances dictate.

Consultation

The draft Statement of Gambling Policy was consulted upon in accordance with the Gambling Commission's Guidance to Licensing Authorities. This included consultation with all Responsible Authorities under the Act.

All Premises Licence Holders, other relevant bodies/representative of businesses, residents, Elected Members of the County Council, Town and Community Councils including other consultees as indicated in the draft policy statement were consulted.

The consultation period closed on 28th November 2021. Careful consideration was given to all responses and relevant information provided by the consultees was included where necessary.

The draft Policy is attached to this report (see Appendix A).

Consultation Responses

Only 13 responses were received, of which:

- A response was received from Dyfed-Powys Police and Gosschalk Solicitors (acting on behalf of the Betting and Gaming Council) - their suggestions have been considered and changes made, where relevant;
- 12 were from residents of Ceredigion;

- 3 responses indicated that changes should be made to the draft policy, two of which stated that Casinos should be allowed;
- 4 of the responses stated that they had experienced gambling related problems in their communities namely:
 - Problems associated with on-line gambling,
 - Reporting a run-down arcade in their area which required an enforcement visit and
 - Experience of a work colleague losing their home due to gambling debts;
- 4 of the responses provided additional general comments regarding gambling and/or the draft Gambling Policy Statement, which included:
 - Gambling was destructive but there was little in the area in the way of entertainment and things to do for the old and young alike;
 - People would find a way to gamble but it was better to provide a safe place locally, where there would be some welfare provision in place;
 - All gaming places should prominently display posters identifying where problem gamblers could get help.

Casinos

In England and Wales, primary legislation dictates where casinos are sited. Cardiff and Swansea are the only places in Wales where casinos are permitted at present. Regardless of this, S.166 of the Gambling Act requires that every three years that Council resolves to adopt the provision to accept Casinos or to reject it.

The rationale behind this is that should primary legislation be amended and extra casino areas are offered, this could occur between policy reviews and could theoretically leave the door open to a casino application which from a policy viewpoint would be difficult to reject.

Central Government upon the advice of the Casino Advisory Panel permitted 8 large and 8 small casinos along with those who had grandfather rights when the Act came into force, which have all been duly issued. There is currently no further provision for more casinos to be allocated.

There are currently no casinos operating within Ceredigion. Previously, Council resolved not to issue casino licences within the County of Ceredigion as provided for in Section 166 Gambling Act 2005. This resolution may be reviewed as necessary, and at least every three years in line with the adoption of the Statement of Gambling Policy. There is no right of appeal against this resolution. Potential licence applicants should note that as a 'no-casino' resolution has been passed by this Council, no applications for casino premises licence will be considered.

Has an integrated impact assessment been completed? If not, please state why Yes.

Wellbeing of Future Generations: *Summary*
Long-term:

It is accepted good practice for local authorities to regularly review its Statement of Gambling Policy to ensure that it keeps up to date with legislative changes, changes recommended by the government or where the authority considers amendments necessary to promote the safety of the public. The Policy is in place for the next 3 years but can be reviewed sooner, if required.

Public Protection is a statutory duty of the authority and contributes towards the following well-being goals within the Wellbeing of Future Generations Act (Wales).

Collaboration: The authority has collaborated with other local authorities and partners when considering this policy for a consistent approach which meets the needs of the County.

Involvement: A 6 week public consultation and involvement of various partners, agencies has taken place to ensure a policy that is fit for purpose. Involvement with the trade and the public is also paramount to achieving a thriving but safe licensed trade in Ceredigion.

Prevention: The licensing objectives are wholly consistent with the 'prevention' approach advocated by industry standards and legislation and this proposed policy seeks to promote each of the objectives as far as reasonably practicable. The Licensing Policy would be one of many that the authority operates to maintain public protection.

Integration: The Gambling Policy is one of many that the authority operates to maintain public protection.

Recommendation(s):

1. That Council approve the revised Statement of Gambling Policy as the Statement of Gambling Policy for Ceredigion for the period 2022-2025.
2. That Council follow the recommendation made by Cabinet to retain the "no casino" Resolution and the decision recorded and added to the final policy.

Reason(s) for decision:	To fulfil statutory requirements to review and publish a Statement of Gambling Policy in accordance with the requirements of the Section 349 of the Gambling Act 2005 and to improve public safety and clarity for the licensed trade within Ceredigion.
Overview and Scrutiny:	Licensing Committee – 16/09/2021
Policy Framework:	The Statutory Statement of Gambling Policy is a fundamental element of Public Protection policy framework.
Corporate Priorities	<ul style="list-style-type: none"> • Investing in People’s Future • Promoting Environmental and Community Resilience
Finance and procurement implications:	Within budget
Legal implications:	If the authority does not have a Gambling Policy, decisions could be subject to legal challenge.
Staffing implications:	None
Property/asset implications:	None
Risk(s):	Legal challenge / Reputational risk if the authority does not operate a statutory policy.
Statutory Powers:	Gambling Act 2005 and any Regulations made under the Act. The decision is the responsibility of the Council.
Background Papers	None
Corporate Lead Officer:	Alun Williams (Policy & Performance)
Reporting Officer:	Anne-Louise Davies (Trading Standards & Licensing Manager)
Date:	20 th December 2021

Appendices

A: Revised Statement of Gambling Policy

B: Gambling Policy Consultation Responses



Cyngor Sir
CEREDIGION
County Council

Cyngor Sir Ceredigion County Council Statement of Gambling Policy 2022 - 2025

Approved by Council: **TBC**

Publication Date: **TBC**

Policy Review Date: 27th January 2025

This policy is available in Welsh and in large print on request to the Licensing Authority

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1 STATEMENT OF GAMBLING POLICY

1.1 Introduction

The Gambling Act 2005 came into force in September 2007. Ceredigion County Council became a Licensing Authority under the Act. This resulted in the Authority becoming responsible for granting premises licences and other permissions within the County of Ceredigion in respect of:-

- ❖ Casino premises;
- ❖ Bingo premises;
- ❖ Betting premises, including tracks;
- ❖ Adult Gaming Centres;
- ❖ Family Entertainment Centres;
- ❖ Temporary Use Notices;
- ❖ Occasional Use Notices.

The Gambling Act 2005, S.349, requires the Council to prepare and publish a “Statement of Gambling Policy” that sets out the principles it proposes to adhere to in order to exercise its functions under the Act.

This “Statement of Gambling Policy” has been prepared having regard to the provisions of the Guidance issued by the Gambling Commission, including the latest guidance, the Gambling Act 2005, the Codes of Practice, and any responses from those consulted on the policy statement.

However, where updates are required due to changes in national legislation, statutory guidance or contact details, the Authority reserves the right to amend this policy without consultation where it is necessary to ensure the policy reflects national legislation or statutory guidance.

The Policy will be reviewed from time to time, and every three years in any event. This policy will come into force on **27 January 2022**.

1.2 The County of Ceredigion

Ceredigion County Council is a mixed urban and rural district in Ceredigion covering an area of approximately 1795 sq. km. with a population of approximately 74600 (2017). The population of Ceredigion increases greatly during the summer months due to the number of visitors to the area. As can be seen from the map attached as Appendix A, the County has six main towns, namely, Aberaeron, Aberystwyth, Cardigan, Lampeter, Llandysul and Tregaron. Four of these are market towns and two, namely Aberystwyth and Lampeter are university towns. There are 7 Secondary schools located in the County. The topography of the County is such that it includes

seaside resorts, mountainous and boggy areas of special scientific interest as well as lush, fertile valleys.

In 2020 there were approximately 32,309 . There are some 3,955 VAT registered businesses within the County. The main urban areas are Aberystwyth and Cardigan. The remainder of the area is a mixture of small towns, villages and farmland. Ceredigion is not densely populated although there are concentrations of housing in some areas, in particular, Aberystwyth.

60.1% (Over 3 years of age) (Welsh Govt Stats 2019) of the population are Welsh speakers and 25% (Stats Wales) of residents are pensioners. It has the 6th lowest percentage of people of working age with no qualifications (7.7%) in Wales. In 2020 the employment rate in Ceredigion was 71.6% . This was the second lowest in Wales. .

There are 8 Gambling Premises in Ceredigion consisting of:

- 2 Betting Premises
- 2 Bingo Premises
- 3 Adult Gaming Centres
- 0 Family Entertainment Centres

In addition, there are 20 Unlicensed Family Entertainment Centres within Ceredigion.

1.3 Glossary of Terms

Within this Statement of Policy, the following words and terms are defined as stated:

Licensing Objectives:	As defined in section 1.4 below
Council:	Ceredigion County Council (hereinafter referred to as “the Council”)
County	The area of Ceredigion administered by Ceredigion County Council referred to in the map attached (see Appendix A)
Licences:	As defined in section 1.4 below
Applications:	Applications for licences and permits as defined in section 1.4 below
Licensing Authority	A Licensing Authority within the meaning of Section 2 of the Gambling Act 2005 (hereinafter referred to as “the Authority”)
Notifications:	Means notification of temporary and Occasional Use Notices

Act:	The Gambling Act 2005
Regulations:	Regulations made under the Gambling Act 2005
Premises:	Any place
Code of Practice:	Means any relevant code of practice made under Section 24 of the Gambling Act 2005
Mandatory Condition:	Means a specified condition provided by regulations to be attached to a licence
Default Condition:	Means a specified condition provided by regulations to be attached to a licence, unless excluded by Ceredigion County Council
Track:	“Track” means a horse-race course, dog track or other premises on any part of which a race or other sporting event takes place or is intended to take place.
Responsible Authority:	<p>For the purposes of this Act, the following are Responsible Authorities in relation to premises:</p> <ol style="list-style-type: none"> 1. The Licensing Authority in whose area the premises are wholly or partly situated (“Ceredigion County Council”); 2. The Gambling Commission; 3. Chief Constable of Heddlu Dyfed-Powys Police; 4. Mid and West Wales Fire Service; 5. The Development Control Section of Ceredigion County Council’s Planning Services Division; 6. Environmental Control Team, Public Protection, Policy and Performance, Ceredigion County Council; 7. Children’s Services, Ceredigion County Council; 8. HM Revenue and Customs; 9. In relation to a vessel, a navigation authority, Environment Agency, British Waterways Board and Secretary of State; 10. Any other person prescribed in regulations by the Secretary of State;
Interested Party:	For the purposes of this Act, a person is an interested party in relation to a premises licence if, in the opinion of the Authority which issues the licence or to which the application is made, the person :-

- a) Lives sufficiently close to the premises to be likely to be affected by the authorised activities;
- b) Has business interests that might be affected by the authorised activities;
- c) Represents persons who satisfy a) or b) above.

1.4 Licensing Objectives

In exercising most of their functions under the Act, the Authority must have regard to the licensing objectives, as set out in Section 9 of the Act. In particular, Licensing Authorities must have regard to the licensing objectives in relation to Premises Licences, Temporary Use Notices and some permits.

Each of the Licensing Objectives identified below are of equal importance.

The objectives are:

- Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime;
- Ensuring that gambling is carried out in a fair and open way;
- Protecting children and other vulnerable persons from being harmed or exploited by gambling.

1.5 Types of Licence

This document sets out the policies that the Authority will apply when making decisions upon applications or notifications made for :-

- Premises Licences;
- Temporary Use Notices;
- Permits as required under the Act;
- Registrations as required under the Act.

1.6 Licensable Premises and Permits

This policy relates to all those licensable premises, notices, permits and registrations identified as falling within the provisions of the Act, namely:-

1.7 Casinos

There are currently no casinos operating within Ceredigion. Following debate at full Council on **27th January 2022, a resolution was passed to/not (delete as applicable)** issue casino licences within the County of Ceredigion as provided for in Section 166 Gambling Act 2005. This resolution may be reviewed as necessary, and at least every three years in line with the adoption of the Statement of Gambling Policy. There is no right of appeal against this resolution. Potential licence applicants should note that as a 'no-casino' resolution has been passed by this Council, no applications for casino premises licence will be considered. Any applications received will be returned with a notification that a 'no casino' resolution is in place.

1.8 Bingo Premises

This licensing authority notes that the Gambling Commission's Guidance states:

“18.4 Licensing authorities will need to satisfy themselves that bingo can be played in any bingo premises for which they issue a premises licence. This will be a relevant consideration where the operator of an existing bingo premises applies to vary their licence to exclude an area of the existing premises from its ambit and then applies for a new premises licence, or multiple licences, for that or those excluded areas.”

This authority also notes the Guidance at paragraph **18.8 S.172(7)**, as amended, provides that the holder of a bingo premises licence may make available for use a number of category B gaming machines not exceeding 20% of the total number of gaming machines on the premises. For example, a premises with a total of 25 gaming machines available for use can make five or fewer category B3 gaming machines available on that premises. Premises that were licensed before 13 July 2011 are entitled to make available eight category B gaming machines, or 20% of the total number of gaming machines, whichever is the greater. There are no restrictions on the number of category C or D machines that can be made available. Regulations state that category B machines at bingo premises are restricted to sub-category B3 (SI 2007/2158 Categories of Gaming Machine Regulations 2007 (but not B3A) and B4 machines. Licensing authorities should ensure that gambling machines are made available for use in a manner consistent with our guidance within Part 16. For the purpose of calculating the category B machine entitlement in gambling premises, gaming machines should only be counted if they can be played simultaneously by different players without physical hindrance. This includes tablets.

Paragraph 18.7 further states that children and young people are allowed into bingo premises; however they are not permitted to participate in the bingo and if category B or C machines are made available for use, these must be separated from areas where children and young people are allowed.

This licensing authority will expect applicants to detail in their operator's local risk assessment their own measures to meet the licensing objectives however appropriate measures/licence conditions should cover issues such as:

- Adopt a proof of age scheme such as challenge 21 or think 21;
- How any risks to children and vulnerable persons from gambling that have been identified in a risk assessment carried out in accordance with paragraph 4.3(4) of this policy will be addressed
- CCTV;
- Supervision of entrances/machine areas;
- Physical separation of areas;
- Location of entry;
- Notices/signage;
- Specific opening hours;
- Self-exclusion schemes;
- Provision of information leaflets / helpline numbers for organisations such as GamCare.

1.9 Betting Premises

Betting machines - This licensing authority will, as per the Gambling Commission's Guidance, take into account the size of the premises, the number of counter positions available for person-to-person transactions, and the ability of staff to monitor the use of the machines by children and young persons (it is an offence for those under 18 to bet) or by vulnerable people, when considering the number/nature/circumstances of betting machines an operator wants to offer. This Licensing Authority expects applicants to demonstrate suitable measures to ensure children do not have access to such machines.

This licensing authority will expect applicants to detail in their operator's local risk assessment, their own measures to meet the licensing objectives however appropriate measures/licence conditions should cover issues such as:

- Adopt a proof of age scheme such as challenge 21 or think 21;
- How any risks to children and vulnerable persons from gambling that have been identified in a risk assessment carried out in accordance with paragraph 4.3(4) of this policy will be addressed
- CCTV;
- Supervision of entrances/machine areas;
- Physical separation of areas;
- Location of entry;
- Notices/signage;
- Specific opening hours;
- Self-exclusion schemes;
- Provision of information leaflets / helpline numbers for organisations such as GamCare.

The Authority recognises that certain bookmakers have a number of premises within its area. In order to ensure that any compliance issues are recognised and resolved at the earliest stage, operators are requested to give the Authority a single named point of contact, who shall be a senior individual, and whom the Authority will contact first should any compliance queries or issues arise.

Whilst the licensing authority has the power to limit the number of Self Service Betting Terminals (SSBT) betting machines under Section 181 of the Gambling Act 2005, the holder of a Betting Premises licence may make available for use up to four gaming machines of categories B, C or D and there is no power to restrict the number of gaming machines.

A betting office is an adult only environment and children are not permitted to access it at any time. It is expected that licence holders have measures in place to stop young people from entering the premises.

1.10. Tracks

This licensing authority is aware that tracks may be subject to one or more than one premises licence, provided each licence relates to a specified area of the track. As per the Gambling Commission's Guidance, this licensing authority will especially consider the impact upon the third licensing objective (i.e. the protection of children

and vulnerable persons from being harmed or exploited by gambling) and the need to ensure that entrances to each type of premises are distinct and that children are excluded from gambling areas where they are not permitted to enter.

This authority will therefore expect the premises licence applicant to demonstrate suitable measures to ensure that children do not have access to adult only gaming facilities.

It is noted that children and young persons will be permitted to enter track areas where facilities for betting are provided on days when dog-racing and/or horse racing takes place, but that they are still prevented from entering areas where gaming machines (other than category D machines) are provided.

The Act does not define what constitutes a sporting event or race and licensing authorities will need to decide this on a case by case basis. The Commission is aware of some instances of the apparent misuse of occasional use notices (OUNs). Local sporting clubs or other venues seeking to become tracks through a contrived sporting event have utilised OUNs to solely or primarily facilitate betting taking place on events occurring away from the identified venue, examples include the Cheltenham Festival and Grand National meeting. Whilst we have not introduced a new licence condition limiting the betting to the outcomes of a race, competition or other sporting event taking place at the track in question whilst the OUN is in force, the situation is being kept under review. Further details can be found in Part 15.

This licensing authority will expect applicants to detail in their operator's local risk assessment, their own measures to meet the licensing objectives however appropriate measures/licence conditions may cover issues such as:

- Proof of age schemes, such as challenge 21 or [think 21](#);
- CCTV;
- Supervision of entrances/machine areas;
- Physical separation of areas;
- Location of entry;
- Notices/signage;
- Specific opening hours;
- Self-exclusion schemes
- Provision of information leaflets/helpline numbers for organisations such as GamCare.

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

Pool Betting - S.179 provides that a betting premises licence in respect of a track may not authorise pool betting to take place, other than in respect of dog or horse racing and only where the acceptance of bets is by the holder of the betting premises licence, or in accordance with arrangements made by them. In the case of dog racing, this preserves the existing arrangements at dog tracks where the totalisator is operated by or on behalf of the occupier of the track.

1.11 Gaming machines

Where the applicant holds a pool betting operating licence and is going to use the entitlement to four gaming machines, machines (other than category D machines) should be located in areas from which children are excluded.

1.12 Betting machines

This licensing authority will, as per Part 6 of The Gambling Commission's Guidance, take into account the size of the premises and the ability of staff to monitor the use of the machines by children and young persons (it is an offence for those under 18 to bet) or by vulnerable people, when considering the number/nature/circumstances of betting machines an operator proposes to offer.

1.13 Condition on rules being displayed

The Gambling Commission has advised in its Guidance for local authorities that licensing authorities should attach a condition to track premises licences requiring the track operator to ensure that the rules are prominently displayed in or near the betting areas, or that other measures are taken to ensure that they are made available to the public. For example, the rules could be printed in the race-card or made available in leaflet form from the track office.

This Licensing Authority will expect applicants to detail in their operator's local risk assessment, how they will comply with this guide as part of their application.

1.14 Applications and plans

The Gambling Act (s51) requires applicants to submit plans of the premises with their application, in order to ensure that the licensing authority has the necessary information to make an informed judgement about whether the premises are fit for gambling. The plan will also be used for the licensing authority to plan future premises inspection activity. (See Guidance to Licensing Authorities, para 20.43).

Plans – Applicants will be expected to provide a plan of the premises in a scale of 1:100 unless the Authority has agreed in writing to the applicant to accept a plan in an alternative scale. The plan should show:

- The entire boundary of the premises, and all buildings and structures within the premises.
- The location of the points of access to and egress from the premises.
- The areas to be used for gambling activities whether permanent or temporary.
- Any areas where access by children is restricted/prohibited.
- Location of any warning or information notices.
- Location of any public conveniences.
- Location of any gambling areas at the premises covered by separate licences or permits.
- The plan may include a legend through which the above matters may be identified.

This Licensing Authority is of the view that, it would be preferable for all self-contained premises operated by off-course betting operators on track to be the

subject of separate premises licences, to ensure that there is clarity between the respective responsibilities of the track operator and the off-course betting operator running a self-contained unit on the premises.

This authority appreciates that it is sometimes difficult to define the precise location of betting areas on tracks. The precise location of where betting facilities are provided is not required to be shown on track plans, both by virtue of the fact that betting is permitted anywhere on the premises and because of the difficulties associated with pinpointing exact locations for some types of track. Applicants should provide sufficient information so that this authority can satisfy itself that the plan indicates the main areas where betting might take place. For racecourses in particular, any betting areas subject to the “five times rule (commonly known as betting rings) must be indicated on the plan. (See Guidance to Licensing Authorities, para 20.46).

1.15 Travelling Fairs

It will fall to this licensing authority to decide whether, where category D machines and/or equal chance prize gaming without a permit is to be made available for use at travelling fairs, the statutory requirement that the facilities for gambling amount to no more than an ancillary amusement at the fair is met. The licensing authority will also consider whether the applicant falls within the statutory definition of a travelling fair.

It has been noted that the 27-day statutory maximum for the land being used as a fair, is per calendar year, and that it applies to the piece of land on which the fairs are held, regardless of whether it is the same or different travelling fairs occupying the land. This licensing authority will work with its neighbouring authorities to ensure that land which crosses our boundaries is monitored so that the statutory limits are not exceeded.

1.16 Adult Gaming Centres (AGC)

This licensing authority will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will expect the applicant to satisfy the authority that there will be sufficient measures to, for example, ensure that under 18 year olds do not have access to the premises.

This licensing authority will expect applicants to detail in their operator’s local risk assessment, their own measures to meet the licensing objectives however appropriate measures/licence conditions should cover issues such as:

- Adopt a proof of age scheme such as challenge 21 or think 21;
- How any risks to children and vulnerable persons from gambling that have been identified in a risk assessment carried out in accordance with paragraph 4.3(4) of this policy will be addressed
- CCTV;
- Supervision of entrances/machine areas;
- Physical separation of areas;
- Location of entry;
- Notices/signage;
- Specific opening hours;

- Self-exclusion schemes;
- Provision of information leaflets / helpline numbers for organisations such as GamCare.

Social Responsibility Code Provision 3.5.6 requires that all non-remote casino and bingo and betting licences (except those at a track) and holders of gaming machine general operating licences for adult gaming centres must offer self-exclusion schemes to customers requesting such a facility. There is also an Ordinary Code provision at 3.5.7.

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

1.17 Family Entertainment Centres (FEC)

This licensing authority will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will expect the applicant to satisfy the authority, example, that there will be sufficient measures to ensure that under 18 year olds do not have access to the adult only gaming machine areas. Applicants are strongly advised to refer to the safeguarding information set out on page 33 of this policy document.

This licensing authority will expect applicants to detail in their operator's local risk assessment, their own measures to meet the licensing objectives however appropriate measures/licence conditions should cover issues such as:

- CCTV;
- Supervision of entrances/machine areas;
- Physical separation of areas;
- Location of entry;
- Notices/signage;
- Specific opening hours;
- Self-exclusion schemes;
- Provision of information leaflets/helpline numbers for organisations such as GamCare;
- Measures/training for staff on how to deal with suspected truant school children on the premises.
- How any risks to children and vulnerable adults from gambling that have been identified in a risk assessment carried out in accordance with paragraph 4.3(4) of this policy will be addressed.
- Carry out Criminal Record checks (DBS) on each individual employed by the Operator
- Provide details of their criminal convictions criteria

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

This licensing authority will, as per the Gambling Commission's guidance, refer to the Commission's website to see any conditions that apply to operating licences covering the way in which the area containing the category C machines should be

delineated. This licensing authority will also make aware of any mandatory or default conditions on these premises licences, when they have been published.

1.18 Club Gaming and Club Machine Permits

Members Clubs and Miners' Welfare Institutes (but not Commercial Clubs) may apply for a Club Gaming Permit or a Club Gaming Machines Permit. The Club Gaming Permit will enable the premises to provide gaming machines (3 machines of categories B, C or D), equal chance gaming and games of chance. Members Clubs and Miners' Institutes and also Commercial Clubs may apply for a Club Machine Permit. A Club Gaming Machine Permit will enable the premises to provide gaming machines (3 machines of categories B, C or D). Commercial Clubs may not site category B3A gaming machines offering lottery games in their club.

The Council has to satisfy itself that the club meets the requirements of the Act to obtain a club gaming permit. In doing so it will take into account a number of matters as outlined in the Gambling Commission's Guidance. These include the constitution of the club, the frequency of gaming, and ensuring that there are more than 25 members. The club must be conducted "wholly or mainly" for purposes other than gaming, unless the gaming is permitted by separate regulations. The Secretary of State has made regulations and these cover bridge and whist clubs. The Council may only refuse an application on the grounds that:

- (a) The applicant does not fulfil the requirements for a members' or commercial club or miners' welfare institute and therefore is not entitled to receive the type of permit for which it has applied;
- (b) The applicant's premises are used wholly or mainly by children and/or young persons;
- (c) An offence under the Act or a breach of a permit has been committed by the applicant while providing gaming facilities;
- (d) A permit held by the applicant has been cancelled in the previous ten years; or
- (e) An objection has been lodged by the Commission or the police.

There is also a 'fast-track' procedure available under the Act for premises which hold a Club Premises Certificate under the Licensing Act 2003 (Schedule 12 paragraph 10). Commercial clubs cannot hold Club Premises Certificates under the Licensing Act 2003 and so cannot use the fast-track procedure. As the Gambling Commission's Guidance for local authorities' states: "Under the fast-track procedure there is no opportunity for objections to be made by the Commission or the police, and the grounds upon which an authority can refuse a permit are reduced." And "The grounds on which an application under the process may be refused are:

- (a) That the club is established primarily for gaming, other than gaming prescribed under schedule 12;
- (b) That in addition to the prescribed gaming, the applicant provides facilities for other gaming; or
- (c) That a club gaming permit or club machine permit issued to the applicant in the last ten years has been cancelled."

There are statutory conditions on club gaming permits that no child uses a category B or C machine on the premises and that the holder complies with any relevant provision of a code of practice about the Act, including the small society lottery.

1.19. Prize Gaming and Prize Gaming Permits

The Council has the right in accordance with this 'Statement of Principles' to specify matters that this authority propose to consider in determining the suitability of the applicant for a permit.

It also specifies that the applicant should set out the types of gaming that they are intending to offer and that the applicant should be able to demonstrate:

- That they understand the limits to stakes and prizes that are set out in Regulations;
- And that the gaming offered is within the law;
- Clear policies that outline the steps to be taken to protect children from harm.

When deciding on application for these type of permits the authority does not need to have regard to the licensing objectives but must have regard to any Gambling Commission guidance.

It should be noted that there are conditions in the Gambling Act 2005 by which the permit holder must comply, but that the licensing authority cannot attach conditions. The conditions in the Act are:-

- The limits on participation fees, as set out in regulations, must be complied with;
- All chances to participate in the gaming must be allocated on the premises on which the gaming is taking place and on one day; the game must be played and completed on the day the chances are allocated; and the result of the game must be made public in the premises on the day that it is played;
- The prize for which the game is played must not exceed the amount set out in regulations (if a money prize), or the prescribed value (if non-monetary prize); and
- Participation in the gaming must not entitle the player to take part in any other gambling.

1.20. Temporary Use Notices/Occasional Use Notices

S.39 of the Act provides that where there is betting on a track on 8 days or fewer in a calendar year, betting may be permitted by an OUN without the need for a full premises licence. The Secretary of State has the power to increase or decrease the number of occasional use notices that an operating licence holder could apply for each calendar year. 'Day' is defined as midnight to midnight, so an event that starts on one calendar day and ends on the following day would count as two days. OUNs are designed to allow licensed betting operators to provide betting facilities at genuine sporting events (such as point-to-point racecourses and golf courses for major competitions) within the boundaries of the identified venue on a specific date, without the need for a full betting premises licence. An OUN must be served by a

person who is responsible for the administration of events on the track or by an occupier of the track. The following should be noted in relation to an OUN:

- OUNs can only be relied upon for eight days or fewer in a calendar year and therefore licensing authorities should keep a record of the number of notices served in relation to each track. The period of eight days applies to the venue and not the individual who has submitted the notice.
- an OUN must be submitted for each day that betting activity will be conducted on the premises. If betting activity is to be held over a period of eight consecutive days, the operator will be required to submit eight separate notices.
- the notice must specify the day on which it has effect. An event running past midnight and ending on the following day accounts for two occasional use days, even though in practice it is one event.
- no objection or counter notice (refusal) is possible unless the maximum number will be exceeded.
- notice must be given to the licensing authority and the police, in writing, before the event starts.
- no premises licence can exist for the place which is the subject of the notice.
- land can be used temporarily as a track, for example for a point-to-point race, provided that sporting events or races take place there. There is no need for a track to be permanently established.

Local sporting clubs or other venues seeking to become tracks through a contrived sporting event have utilised OUNs to solely or primarily facilitate betting taking place on events occurring away from the identified venue, examples include the Cheltenham Festival and Grand National meeting. Whilst we have not introduced a new licence condition limiting the betting to the outcomes of a race, competition or other sporting event taking place at the track in question whilst the OUN is in force, the situation is being kept under review.

1.21 Registration of Small Society Lotteries

A lottery is any arrangement that satisfies all of the criteria contained within the statutory description of either a simple lottery or a complex lottery, in accordance with section 14 of the Act.

A 'society' is the society, or any separate branch of such a society, on whose behalf a lottery is to be promoted, and has been established as a non-commercial organisation. Section 19 of the Act defines a society as such if it is established and conducted:

- for charitable purposes, as defined in section 2 of the Charities Act 2006;
- for the purpose of enabling participation in, or of supporting, sport, athletics or a cultural activity;
- for any other non-commercial purpose other than that of private gain.

The society must have been established for one of the permitted purposes as set out in section 19 of the Act, and that the proceeds of any lottery must be devoted to

those purposes. It is not permissible to establish a society whose sole purpose is to facilitate lotteries.

Local authorities are entitled to operate their own lotteries, but may only do so if licensed by the Gambling Commission. Local authorities must commit a minimum of 20% of the proceeds from such lotteries for a purpose for which they have power to incur expenditure, and must also adhere to the other relevant provisions in the Act. They may also need to hold a remote gambling operating licence, in the event that they wish to sell lottery tickets via electronic or other remote technological methods such as over the telephone, email or via the internet.

Applications for small society lottery registrations must be in the form prescribed by the Secretary of State and must be accompanied by a registration fee and a copy of the terms and conditions and the constitution to prove that they are a non-commercial society. Paragraphs 47 and 48 of Schedule 11 of the Act set out the grounds for licensing authorities to refuse a small society lottery registration application.

Licensing authorities are required by paragraph 44 of Schedule 11 of the Act to record details of the society on a register. While it does not have to be a public register, the Commission recommends that licensing authorities make the register available to the public on request.

Once the application for registration has been accepted and entered on the local register, the licensing authority must then notify both the applicant and the Commission of this registration as soon as practicable.

The Council will adopt a risk-based approach towards its enforcement responsibilities for small society lotteries. The Council considers that the following list, although not exclusive, could affect the risk status of the operator:

- submission of late returns (returns must be submitted no later than three months after the date on which the lottery draw was held)
- submission of incomplete or incorrect returns
- breaches of the limits for small society lotteries

Non-commercial gaming is permitted if it takes place at a non-commercial event, either as an incidental or principal activity at the event. Events are non-commercial if no part of the proceeds is for private profit or gain. The proceeds of such events may benefit one or more individuals if the activity is organised:

- by, or on behalf of, a charity or for charitable purposes
- to enable participation in, or support of, sporting, athletic or cultural activities.

1.22 Alcohol Licensed Premises Gaming Machine Permits

There is provision in the Act for premises licensed to sell alcohol for consumption on the premises, to automatically have 2 gaming machines, of categories C and/or D. The premises merely need to notify the licensing authority. The Council can remove the automatic authorisation in respect of any particular premises if:

- Provision of the machines is not reasonably consistent with the pursuit of the licensing objectives;
- Gaming has taken place on the premises that breaches a condition of Section 282 of the Gambling Act (i.e. that written notice has been provided to the licensing authority, that a fee has been provided and that any relevant code of practice issued by the Gambling Commission about the location and operation of the machine has been complied with);
- The premises are mainly used for gaming; or
- An offence under the Gambling Act has been committed on the premises.

If a premises wishes to have more than 2 machines, then an application for a permit must be submitted and the Council must consider that application based upon the licensing objectives, any guidance and codes of practice issued by the Gambling Commission and “*such matters as the Council think relevant.*” The applicant will have to provide reason(s) why they need more than 2 machines at their premises. The Council considers that “such matters” will be decided on a case by case basis but generally there will be regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will expect the applicant to satisfy the Council that there will be sufficient measures to ensure that under 18 year olds do not have access to the adult only gaming machines. Measures which will satisfy the Council that there will be no access may include the adult machines being in sight of the bar, or in the sight of staff who will monitor that the machines are not being used by those under 18. Notices and signage may also be of help. As regards the protection of vulnerable persons, applicants may wish to consider the provision of information leaflets/helpline numbers for organisations such as GamCare.

It is recognised that some alcohol licensed premises may apply for a premises licence for their non-alcohol licensed areas. Any such application would most likely need to be applied for, and dealt with as an Adult Gaming Centre premises licence. It should be noted that the Council can decide to grant the application with a smaller number of machines and/or a different category of machines than that applied for. Conditions (other than these) cannot be attached.

It should also be noted that the holder of a permit must comply with any Code of Practice issued by the Gambling Commission about the location and operation of the machine.

Applicants for Licensed premises Gaming Machine Permits are therefore required to provide the following information alongside their application:-

1. A plan of the premises in accordance with paragraph 1.14 of this policy on which they shall show the proposed location of each gaming machine along with details of the locations of supervising staff as well as Notices and signage.
2. Information regarding the nature of the premises including access to the premises by persons aged under 18.

Applicants are required to demonstrate that the gambling activity proposed at the premises, except in the case of Tracks (where the occupier may not be the person

offering gambling), Premises Licences will only be granted to those issued with an Operating Licence by the Gambling Commission.

1.23 General Principles

Nothing in this Statement of Policy will:-

a) Undermine the rights of any person to apply under the Act for a variety of permissions and have the application considered on its individual merits;

OR

b) Override the right of any person to make representations on any application or seek a review of a licence or permit where they are permitted to do so under the Act.

All applicants for Premises Licences will be required to set out how they will be 'reasonably consistent with the licensing objectives, as specified in section 1.4 above, and what measures they intend to employ to ensure compliance with them.

When determining an application to grant a Premises Licence regard will be taken in relation to the proximity of the premises to schools, vulnerable adult centres or residential areas where there may be a high concentration of families with children. The proximity of premises taken into consideration will vary depending on the size and scope of the gambling premises concerned. Each case will, however, be decided on its merits and will depend to a large extent on the type of gambling that it is proposed will be offered on the premises. Moral objections to gambling are not a consideration when determining applications. Therefore, if an applicant can effectively demonstrate how he/she might overcome licensing objective concerns, this will be taken into account.

Licensing is about the control of licensed premises, Temporary Use Notices or Occasional Use Notices within the terms of the Act. Conditions may be attached to licences that will cover matters that are within the control of individual licensees. Conditions should only be attached where there is evidence that mandatory and default conditions need to be supplemented in the circumstances of a particular case.

When considering any conditions to be attached to licences, the Authority will primarily focus on the direct impact of the activities taking place at licensed premises on members of the public living, working or engaged in normal activity in the area concerned. The Secretary of State may by regulation provide for specified conditions to be attached to a Premises Licence as either "mandatory" or "default" conditions.

In determining an application, the Authority may not have regard to the expected demand for the facilities which it is proposed to provide.

The Authority recognises that, apart from the licensing function, there are a number of other mechanisms available for addressing issues of unruly behaviour that can occur away from licensed premises, including:-

- a) Planning controls;
- b) Ongoing measures to create a safe and clean environment in these areas in partnership with local businesses, transport operators and other Council departments;
- c) Regular liaison with the Police on law enforcement issues regarding disorder and anti-social behaviour;
- d) The power of the Police, other responsible authorities or local residents and businesses to seek a review of the licence.

Responsible Authorities or Interested Parties making representations will be required to relate their objection to one of more of the Licensing Objectives, as specified in section 1.4 above before the Authority will be able to consider it.

In fulfilling its licensing function, the Council will have to consider the need to eliminate unlawful discrimination and promote equality and good relations between people from different racial groups. Regard will always be given to the public interest in the regulation of gambling in Ceredigion.

In exercising its functions under part 8 of the Act (premises licences and provisional statements) a Licensing Authority will apply the principles contained in Section 153 of the Act and should aim to permit the use of premises for gambling in so far as it thinks it:

- a) is in accordance with any relevant Section 24 Code of Practice
- b) is in accordance with any relevant Section 25 Guidance issued by the Commission
- c) is reasonably consistent with the licensing objectives and
- d) is in accordance with this Policy statement

1.24 Consultees

The Statement of Gambling Policy will be subject to formal consultation with:-

- a. the Chief Constable of Heddlu Dyfed-Powys Police;
- b. one or more persons who appear to the Authority to represent the interest of persons carrying on gambling businesses in the Authority's area, and
- c. one or more persons who appear to the Authority to represent the interests of persons who are likely to be affected by the exercise or the Authority's functions under the Act.

These include:-persons/bodies with whom the Authority has consulted (see Appendix B)

1.25 Information exchange

In fulfilling its functions and obligations under the Gambling Act 2005 the Authority will exchange relevant information with the Commission and other regulatory bodies which may establish protocols in this respect as appropriate. In exchanging such information, the Authority will conform to the requirements of data protection and freedom of information legislation in accordance with the Council's existing policies.

Any person who wishes to access data relating to themselves may make a written application to the Council's Data Protection Officer.

Details of those persons making representations will normally be made available to applicants and in the event of a hearing being held, will form part of a public document. Persons making representations or applying for the review of a Premises Licence will be informed that their details will be disclosed. There may be circumstances, however, where an objector requests that the representation be kept in confidence, if there is good reason to respect that confidence.

2 LEGISLATION, POLICIES AND STRATEGIES

2.1 Legislation

In undertaking its licensing function under the Gambling Act 2005, the Authority is also bound by other legislation, including:-

1. Crime and Disorder Act 1998;
2. Human Rights Act 1998;
3. **Data Protection Act 2018 (section 3)**

However, the policy is not intended to duplicate existing legislation and other regulatory regimes.

2.2 Relationship with Planning Policies

When determining an application, the Authority shall not take into account matters not relevant under the Act such as the likelihood of the applicant obtaining planning permission or building control approval.

An applicant can apply for a "provisional statement" if the building is not complete or if he does not yet have a right to occupy it. Such an application is, however, a separate and distinct process to the granting of planning permission or building control approval.

2.3 National Strategies

The Authority will also seek to discharge its responsibilities identified by other Government strategies, insofar as they impact on the objectives of the licensing function.

2.4 Local Strategies and Policies

Where appropriate, the Authority will consider applications with reference to other adopted local strategies and policies, including the following:-

1. The Council's Corporate Strategy;
2. The Community Safety Strategy;
3. Relevant Enforcement Policies
4. Sustainable Development Community Strategy.

Sustainable Development Community Strategy

The Local Government Act 2000 requires all local authorities to produce a community strategy within the framework of the UK Sustainable Development Strategy – “A better Quality of Life” and relevant regional strategies. The Wellbeing and Future Generations (Wales) Act 2015 requires all Welsh local authorities to think about the long-term impact of their decisions, to work better with people, communities and each other, and to prevent persistent problems such as poverty, health inequalities and climate change.

Community strategies provide a focal point for the identification of local issues and aspirations on social inclusion, environmental protection, employment and economic development.

Local strategic partnerships, typically involving the police, local authorities, local health boards, and representatives from education, business and the voluntary sector organisations, are responsible for the achievement of locally set objectives.

Under the Crime and Disorder Act 1998 local authorities must have regard to the likely effect of the exercise of their functions on, and do all they can to prevent crime and disorder in the area. The Council will have particular regard to the likely impact of licensing on related crime and disorder in the County, particularly when considering the location, impact, operation and management of all proposed licence/permit applications, renewals and variations of conditions.

2.5 Integrating Strategies

There are many stakeholders involved in the leisure industry and many are involved in the promotion of the licensing objectives. A number of stakeholders’ plans and strategies deal with matters related to the licensing function. Where this is the case, the Authority will aim, as far as possible, to co-ordinate them.

The Authority recognises in particular the importance of the co-ordination and integration of the Gambling policy with other strategies aimed at the management of town centres and the night-time economy.

Relevant plans and strategies include:-

- ❖ Ceredigion Community Safety Partnership – The Council will fulfil its duty under section 17 of the Crime and Disorder Act 1998 to do all it reasonably can to prevent crime and disorder in the County.
- ❖ Health Social Care & Wellbeing Strategy
- ❖ Children and Young Persons Strategy
- ❖ The Area Planning Board for Substance Misuse’ strategy

3 DECISION MAKING

3.1 Administration, Exercise and Delegation of Functions

The powers and duties of the Authority under the Act may be carried out by the Licensing Committee, by a Sub-Committee or by one or more officers acting under delegated authority.

It is considered that many of the functions will be largely administrative in nature with no perceived areas of contention. In the interests of efficiency and cost effectiveness these will, for the most part, be carried out by officers.

The following schedule sets out the recommended delegation of functions and decisions by guidance. The Authority may, nevertheless, refer any matter to the Licensing Committee or Sub-Committee.

The schedule of delegation of licensing functions is attached at Appendix C.

3.2 Giving Reasons for Decisions

The Authority will give comprehensive reasons for its decisions. The Authority will address the extent to which decisions have been made with regard to any relevant Codes of Practice and guidance issued by the Gambling Commission, reasonably consistent with the licensing objectives and in accordance with this Policy Statement.

3.3 Licensing Reviews

The Licensing Authority will carry out a review of a Premises Licence where it has received a formal application for review in accordance with the Act that is relevant to one of more of the Licensing Objectives from a Responsible Authority or an interested party.

An application for review may be rejected if the Authority thinks that the grounds upon which it is sought:

- a) are frivolous;
- b) are vexatious;
- c) are not relevant to the principles that must be applied by the Authority (under Section 153 of the Act) (see paragraph 1.23(23) above)
- d) will not cause the Authority to revoke or suspend a licence or to remove, amend or attach conditions on the premises licence;
- e) are substantially the same as the grounds cited in a previous application relating to the same premises; or
- f) are substantially the same as representations made at the time the application for a premises licence was considered.

A Premises Licence may also be reviewed by the Authority of its own volition.

In relation to particular premises, the Authority may review any matter connected to the use made of the premises, if it has reason to suspect that licence conditions have not been observed, or for any other reason, which gives them course to believe that a review may be appropriate.

Although the policy statement should identify the factors to be considered, it should be clear that each application or review will be decided on its merits. Importantly, if an applicant for a premises licence can show how licensing objective concerns can be overcome, the licensing authority will need to take that into account in its decision making.

4 LOCAL STANDARDS

4.1 Licence Environment

The Guidance to Local Authorities and the Licence Conditions and Codes of Practice (LCCP) commencing October 2020, set out additional matters that the Authority should take into account when considering licence applications for Premises Licences.

<https://www.gamblingcommission.gov.uk/licensees-and-businesses/lccp/print>

The Authority will consider any application based on the provisions in these codes and guidance. These may be subject to change by the Gambling Commission from time to time.

Where gambling facilities are provided at premises as a supplementary activity to the main purpose of the premises; e.g. motorway service areas and shopping malls, the Authority will expect the gambling area to be clearly defined to ensure that customers are fully aware that they are making a choice to enter into the gambling premises, and that the premises is adequately supervised at all times.

The Authority, in line with the Commission, considers that it is not permissible and indeed is highly undesirable for Family Entertainment Centres or Unlicensed Family Entertainment Centres (FEC/uFECs) to have been granted for entire venues in that it exposes the public, and young people in particular, to the “ambient gambling” that the Act was designed to prevent (i.e. the removal of machines from food take-away premises, taxi offices, etc.).

Similarly, the Authority in line with the Commission, considers that it is not permissible for gaming machines which should be contained within **the uFEC or FEC premises, to be located in corridors and walkways which form part of the larger building. uFECs are premises which are ‘wholly or mainly’ used for making gaming machines available (S238 Gambling Act 2005 (opens in new tab)). As a result, it is generally not permissible for such premises to correspond to an entire shopping centre, airport, motorway service station or similar. Typically, the machines would be in a designated, enclosed area.**

Machines have been found in such venues without the requisite uFEC permit or FEC premises licence and as such the machines are being made available unlawfully and are not subject to the controls necessary to minimise gambling-related harm and protect children and vulnerable people.

The Authority will consider these and any other relevant factors in making its decision, depending on all the circumstances of the case.

The Gambling Commission's Guidance for relevant access provisions for each premises type is reproduced in Appendix D.

4.2 Applications

An application for a Premises Licence may only be made by persons (which includes companies or partnerships):

- who are aged 18 or over **and**
- who have the right to occupy the premises **and**
- who have an operating licence which allows them to carry out the proposed activity Details of operators that hold an operating licence are available on the Commission's website **or**
- who have applied for an operating licence to allow them to carry out the proposed activity. The premises licence cannot be determined until an operating licence has been issued.

Applications for the grant, transfer or variation of a Premises Licence must be accompanied by an assessment that demonstrates how the applicant will be reasonably consistent with all the Licensing Objectives in the form of a written Operating Schedule.

This should take the form of a written risk assessment submitted with such an application indicating how the applicant will demonstrate how they can be reasonably consistent with each of the licensing objectives. Applicants will be expected to maintain risk assessments where particular challenges to complying with their social responsibility obligations might appear at their premises, and in the context of local environmental risk factors. This is entirely consistent with the promotion of the licensing objectives. Licensees should share a copy of their risk assessments with the local Authority when applying for a variation to existing licensed premises, or otherwise at the request of the licensing authority.

The Licence Conditions and Code of Practice (LCCP) issued by the Gambling Commission commencing in October 2020 places further onus on premises to complete a risk assessment based on code 8, the social responsibility code. The Authority will have regard to this code when considering applications. This is covered in detail below in 4.3 of this statement.

The level of detail to be provided will be advised by the Authority and will be proportional to the scale and nature of the application made.

Definitions of "Responsible Authorities" and "Interested Parties" who are able to make representations under this Act can be found in the Glossary of Terms at 1.3 of this Policy.

4.3 Risk Assessments

Such risk assessments are required from new applicants, and from existing premises licensees seeking to vary a licence. The Code requires all operators of Adult Gaming Centres (AGC's), Bingo Premises, Family Entertainment Centres (FEC's), Betting

Shops and Remote Betting Intermediaries to assess local risks to the licensing objectives, and to have policies, procedures and control measures in place to mitigate those risks.

Operators are required by the LCCP Code to make the risk assessment available to licensing authorities when an application is submitted either for new Premises Licence or variation of a Premises Licence, or otherwise on request, and this will form part of the Authority's inspection regime and may be requested when officers are investigating complaints. The risk assessments should be retained at the premises and be available for inspection by Licensing officers.

The Code requires the Authority to set out matters they expect the operator to take account of in the risk assessment in its statement of policy and this Authority expects the following matters to be considered by operators when making their risk assessment:-

- Information held by the licensee regarding self-exclusions and incidences of underage gambling,
- Arrangement for localised exchange of information regarding self-exclusions and gaming trends.
- Urban setting such as proximity to schools, youth centres, commercial environment, factors affecting footfall,
- Known problems in the area such as problems arising from street drinkers, youths participating in anti-social behaviour, drug dealing activities, etc., including those identified in a licensing authority's statement of licensing policy.

The Authority expects the following matters to be considered by Operators when making their risk assessment:-

(i) Matters relating to children and young persons, including:-

- Institutions, places or areas where presence of children and young persons should be expected such as schools, youth clubs, parks, playgrounds and entertainment venues such as bowling alleys, cinemas, etc.
- Any premises where children congregate including bus stops, cafés, shops, and any other place where children are attracted,
- Areas that are prone to issues of youths participating in anti-social behaviour, including such activities as graffiti/tagging, underage drinking, etc
- Recorded incidents of attempted underage gambling

(ii) Matters relating to vulnerable adults, including;

- Information held by the licensee regarding self-exclusions and incidences of underage gambling,
- Gaming trends that may mirror days for financial payments such as pay days or benefit payments
- Arrangement for localised exchange of information regarding self-exclusions and gaming trends.

- Proximity of premises which may be frequented by vulnerable people such as hospitals, residential care homes, medical facilities, doctor's surgeries, Council Housing offices, addiction clinics or help centres, places where alcohol or drug dependant people may congregate, etc.

This list is not exhaustive and other factors not in this list that are identified must be taken into consideration.

A local area profile may be developed by the Licensing Authority following discussions with stakeholders. This could assist applicants in consideration of local issues. If and when this is developed it will be added to the Policy as a separate Appendix.

4.4 Assessment of Need

Unfulfilled demand is not a criterion that will be taken into consideration when determining an application for a Premises Licence under the Gambling Act 2005. Each application must be considered on its merits without regard to demand.

4.5 Conditions

Premises licences granted under the Gambling Act 2005 are subject to robust mandatory and default conditions. Any conditions attached to licences will be proportionate and will be:-

- Relevant to the need to make the proposed building suitable as a gambling facility;
- Directly related to the premises and the type of licence applied for;
- Fairly and reasonably related to the scale and type of premises; and
- Reasonable in all other respects.
- Only added where there is evidence of a particular risk to the licensing objectives that additional conditions will be considered.

Decisions upon individual conditions will be made on a case by case basis, although there will be a number of measures the Authority will consider utilising should there be a perceived need, such as the use of supervisors, appropriate signage for adult only areas, etc. There are specific comments made in this regard under some of the licence types below. The Authority will also expect the licence applicant to offer his/her own suggestions in relation to ways in which the licensing objectives can be met effectively.

The Authority will also consider specific measures, which may be required for buildings, which are subject to multiple premises licences. Such measures may include the supervision of entrances; segregation of gambling from non-gambling areas frequented by children and the supervision of gaming machines in non-adult gambling specific premises in order to pursue the licensing objectives. These matters are in accordance with the Gambling Commission's Guidance.

The Authority will also ensure that where category C or above machines are on offer in premises to which children are admitted:-

- All such machines are located in an area of the premises which is separated from the remainder of the premises by a physical barrier which is effective to prevent access other than through a designated entrance;
- Only adults are admitted to the area where these machines are located;
- Access to the area where the machines are located is supervised;
- The area where these machines are located is arranged so that it can be observed by the staff or the licence holder; and
- At the entrance to and inside any such areas there are prominently displayed notices indicating that access to the area is prohibited to persons under 18.

These considerations will apply to premises, including buildings where multiple premises licences are applicable.

The Authority is aware that tracks may be subject to one or more than one Premises Licence, provided each licence relates to a specified area of the track. As per the Gambling Commission's Guidance, this Authority will consider the impact upon the licensing objective of ***Protecting Children and Vulnerable persons from being harmed or exploited by gambling*** and the need to ensure that entrances to each type of premises are distinct and that children are excluded from gambling areas where they are not permitted to enter.

It is noted that there are conditions, which the Authority cannot attach to Premises Licences, namely:-

- Any condition on the Premises Licence which makes it impossible to comply with an Operating Licence condition;
- Conditions relating to gaming machine categories, numbers, or method of operation;
- Conditions which provide that membership of a club or body is required (the Gambling Act 2005 specifically removes the membership requirement for casino and bingo clubs and this provision prevents it being reinstated); and
- Conditions in relation to stakes, fees, winning or prizes.

4.6 Enforcement, Inspection and Prosecution

The Authority's principles are that it will be guided by the Gambling Commission's Guidance to local authorities, the Regulators Code and the Council's Enforcement Policy. It will endeavour to be:-

- **Proportionate:** regulators should only intervene when necessary, remedies should be appropriate to the risk posed, and costs identified and minimised;
- **Accountable:** regulators must be able to justify decisions, and be subject to public scrutiny;
- **Consistent:** rules and standards must be joined up and implemented fairly;
- **Transparent:** regulators should be open, keep regulations simple and user friendly, and
- **Targeted:** regulation should be focused on the problem, and minimise side effects.

The Authority will use appropriate enforcement to ensure location and operation of gaming machines. **Dealing with illegal poker or illegal/illegally sited machines in a specific premises often lends itself to a multi-agency coordinated approach with licensing authority officers leading the operation and the police and sometimes HMRC providing support, advice and expertise. Licensing officers should contact the Commission in the first instance to agree if such a multi-agency approach would be appropriate.**

4.7 Licensable Activities

Below is a list of Gambling Activities that this Authority can authorise;

Premises Licences (In association with a Licensed Operator licensed with the Gambling Commission)

- Adult Gaming Centre
- (Licensed) Family Entertainment Centres
- Bingo Premises
- Betting Premises

Provisional Statements

Developers may wish to apply to this Authority for provisional statements before entering into a contract to buy or lease property or land to determine whether a development is worth taking forward in light of the need to obtain a Premises Licence. There is no need for the applicant to hold an Operating Licence in order to apply for a provisional statement.

5 CRIME AND DISORDER

The Council will fulfil its duty under s17 of the Crime and Disorder Act 1998 to do all it reasonably can to prevent crime and disorder in the County, and for the purposes of this policy, prevent gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime.

A high standard of control is expected to be exercised by licence holders over licensed premises.

The Authority will, when determining applications, consider whether the grant or a Premises Licence will result in an increase in crime and disorder.

Applicants are encouraged to discuss the crime prevention procedures in their premises with the Council's Licensing Officers and Heddlu Dyfed-Powys Police before making a formal application.

In considering licence applications, the Authority will particularly take into account the following:-

- a) The design and layout of the premises
- b) Location insofar as the location relates to the licensing objectives
- c) The training given to staff in crime prevention measures appropriate to those premises;

- d) Physical security features installed in the premises. This may include matters such as the position of cash registers or the standard of CCTV that is installed;
- e) Where premises are subject to age restrictions, the procedures in place to conduct age verification checks;
- f) The likelihood of any violence, public order or policing problem if the licence is granted.
- g) In relation to the prevention of disorder, the Authority has the ability (under S169 of the Act) to impose licence conditions.
- h) The staff's awareness of Money Laundering legislation and the provision of a clear procedure for reporting any suspicious activity to senior management

6 ENSURING THAT GAMBLING IS CONDUCTED IN A FAIR AND OPEN WAY OBJECTIVE

Generally, the Commission would not expect licensing authorities to become concerned with ensuring that gambling is conducted in a fair and open way, as this will be a matter for either the management of the gambling business (and therefore relevant to the Operating Licence), or will be in relation to the suitability and actions of an individual (and therefore relevant to the Personal Licence). Both of these options fall under the purview of the Gambling Commission.

However, in relation to the licensing of tracks, the premises licence may need to contain conditions to ensure the environment in which betting takes place is suitable.

7 PROTECTION OF CHILDREN AND OTHER VULNERABLE PERSONS OBJECTIVE

7.1 Principles applied in designating a body competent to advise the Authority about the protection of children from harm

In designating, in writing a body competent to advise the Authority about the protection of children from harm, the Council has considered the views of the Strategic Directors as well as Heddlu Dyfed-Powys Police's Child Protection Team. Based on the following principles it has been decided that the Council's Children's Services is most competent to advise the Authority in relation to such matters.

- Whilst Schools Services has responsibility for the holistic well-being of children, Children's Services is actively involved in the protection of children from harm.
- Social Workers specialising in children's services are trained and experienced in assessing initiatives that could harm the essential and psychological health and well-being of children. These officers will also be able to identify situations in which children could be the subject of exploitation.

7.2 Access to Licensed Premises

With limited exceptions, children and young persons should not be permitted to gamble, and should be prevented from entering those gambling premises which are adult only environments.

The Authority will expect premises to have procedures in place for removing (from adult only premises) anyone who appears to be under age and who tries to access gambling facilities and cannot produce an acceptable form of identification.

To this end Premises Licence holders should consider an appropriate age verification policy. The Authority expects to be advised in writing of what this policy entails for each of the premises in its area.

The Authority will seek to limit the advertising for premises so that gambling products are not aimed at children or advertised in such a way that makes them particularly attractive to children. Particular care should be taken where premises are in the vicinity of schools, youth centres and other educational establishments.

The Authority considers that the ability to supervise customers on all gambling premises is essential for the pursuit of the licensing objectives, in particular that of protecting children and other vulnerable people from being harmed by gambling.

The Authority expects that existing and prospective licensees ensure that their policies and procedures take account of the structure and layout of their gambling premises regarding supervision.

The Authority expects existing and prospective licensees to ensure that their procedures for preventing access to gambling by self-excluded individuals take into account the structure and layout of their gambling premises.

The Authority will consult with Children's Services or Adult Services if any application indicates there may be concerns over access for children or vulnerable persons.

The Authority will consider the merits of each separate application before deciding whether to impose conditions to protect children on particular categories of premises.

This may include such requirements as:-

- a) Supervision of entrances/machine areas.
- b) Segregation of gambling areas from areas frequented by children
- c) Supervision of gaming machines in licensed family entertainment centres
- d) Adopt a proof of age scheme such as challenge 21 or think 21;
- e) Explain how any risks to children and vulnerable persons from gambling will be addressed
- f) CCTV. Applicants are advised to follow the guidance available from Dyfed-Powys Police regarding the standard and specifications.
- g) Physical separation of areas;
- h) Location of entry
- i) Notices/signage
- j) Specific opening hours.
- k) Self-exclusion schemes

- l) Provision of information leaflets/helpline numbers for organisations such as Gamcare

See also Appendix D.

7.3 Test Purchasing

The Authority supports the stance of the Gambling Commission in promoting operators to test the integrity of their age verification policies and procedures to prevent children from accessing gambling facilities. Each premises will be expected to inform their Primary Authority (where there are such agreements in place with specific operators) in writing of the approach they have adopted and share the results of such tests with the Authority annually with a view to working with the Authority to enhance robustness of procedures preventing children using gambling facilities.

Those who **do not** have such Primary Authority agreements are expected to share the results of such test purchases with this Licensing Authority.

7.4 Vulnerable Persons

The Authority does not seek to prohibit particular groups of adults from gambling in the same way that it seeks to prohibit children, but it will assume for regulatory purposes, that “vulnerable persons” include:

- a) People who gamble more than they want to;
- b) People who gamble beyond their means;
- c) People who may not be able to make an informed or balanced decision about gambling due to a mental impairment, or as a result of alcohol consumption or the use of illegal substances, e.g. drugs.

The Authority expects all Betting Premises and Adult Gaming Premises to put in place provisions to identify those customers potentially at risk of gambling-related harm, whether or not they are displaying obvious signs of, or overt, behaviour associated with problem gambling.

7.5 Bet-Watch

The Authority encourages and will support local operators to create and maintain an information sharing network to discuss issues of problem gamblers that are identified. This will also be an opportunity for operators to discuss issues with licensing officers.

7.6 Local Health Board Notification

The Licensing Authority will notify the Local Health Board of applications for gambling premises licences.

7.7 Good Practice Guidance

Premises operators, responsible authorities and decision makers are strongly advised to consider best practice guidance when assessing the impact of granting a licence. Particular reference should be made to the following reports:-

- Welsh Government Framework on Tacking the Night Time Economy
- The Relationship Between Alcohol and Gambling behaviours - Alcohol Concern Cymru (2015)
- Gambling with Our Health – Chief Medical Officer for Wales Annual Report 2016/17

7.8 Training

Premises operators are advised to provide staff with relevant training, which includes training on drug and alcohol related issues, particularly training on local policies for dealing with discarded needles and the risks of blood borne virus in order to protect staff. Training could also include awareness of the types of new and emerging drugs referred to as “New Psychoactive Substances” (previously “Legal Highs”) in order to better equip staff to handle use on premises.

Premises operators are also strongly advised to promote local help services for addressing gambling, drug and alcohol issues. Details of where to obtain relevant promotional material can be obtained from the licensing authority.

7.9 Safeguarding

Ceredigion County Council believes that the safeguarding of Children and Vulnerable persons is a priority.

Ceredigion’s Licensing Section in conjunction with agencies, including the Gambling Commission and Dyfed Powys Police is looking to work in partnership with licensees, their staff and other organisations to ensure that premises offering gambling activities, operate responsibly and with due regard to children and vulnerable persons.

As part of this initiative the group is working towards producing information and training material to raise awareness of safeguarding issues, including Child Sexual Exploitation and to provide local points of contact for advice and guidance as well as to report concerns.

The authority recommends that businesses offering gambling activities need to ensure that their staff have been adequately trained in relation to safeguarding matters in order to respond appropriately and quickly where issues arise. This advice is equally as important to operators of premises which offer gaming machines alongside the sale or supply of alcohol.

The authority strongly suggests that applicants for authorisations include information regarding their arrangements for staff safeguarding training as part of the application documents.

8 COMPLAINTS AGAINST LICENSED PREMISES

The Authority will investigate complaints against licensed premises in relation to matters relating to the licensing objectives for which it has responsibility. In the first

instance, complainants are encouraged to raise the complaint directly with the licence holder or business concerned to seek a local resolution.

Where an interested party has made either a valid representation about licensed premises or a valid application for a licence to be reviewed, the Authority may initially arrange a conciliation meeting to address and clarify the issues of concern.

This process will not override the right of any interested party to ask that the Licensing Committee consider their valid objections or for any licence holder to decline to participate in a conciliation meeting.

Due consideration will be given to all relevant representations unless they fit the exceptions outlined in 3.3 above.

9 DOOR SUPERVISORS

The Gambling Commission advises in its Guidance to Licensing Authorities that if a licensing authority is concerned that a premises may attract disorder or be subject to attempts at unauthorised access (for example by children and young persons) then it may require that the entrances to the premises are controlled by a door supervisor, and is entitled to impose a premises licence condition to this effect. Where it is decided that supervision of entrances/machines is appropriate for particular cases, a consideration of whether these need to be SIA licensed or not will be necessary. It will not be automatically assumed that they need to be licensed, as the statutory requirement for different types of premises vary (as per the Guidance, Part 33).

However, where an applicant chooses not to engage SIA registered door supervisors this Licensing Authority will expect the applicant to detail in their application and operator's local risk assessment, how they intend to: -

- a) Carry out Criminal Record checks (DBS) on each individual
- b) Provide details of their criminal convictions criteria
- c) Explain the proposed method of identifying these individuals when working in the capacity of door supervisors.
- d) Indicate the ratio of male and female operatives
- e) Provide details of the appropriate training for the role
- f) Provide a work register showing the duty time and date (same applies to SIA registered

10 DECLARATION

Ceredigion County Council in its capacity as licensing authority hereby declares that in producing this policy statement, it has had regard to the licensing objectives of the Gambling Act 2005, the Guidance issued by the Gambling Commission, and any responses received from those consulted on the policy document.

11 FURTHER INFORMATION

Further information about the Gambling Act 2005, this Statement of Gambling Policy or the application process can be obtained from:-

The Licensing Team

Ceredigion County Council, Policy, Performance and Public Protection, Neuadd
Cyngor Ceredigion, Penmorfa, Aberaeron, SA46 0PA

Tel: 01545 572179;

E-mail: licensing@ceredigion.gov.uk

Information is also available from:-

Gambling Commission Victoria Square House, Victoria Square, Birmingham, B2 4BP Tel:0121 230 6500, E-mail: info@gamblingcommission.gov.uk Website: www.gamblingcommission.gov.uk	The Department for Digital Culture, Media and Sport, 100 Parliament Street, London, SW1A 2BQ Telephone: 020 7211 2210 Website: www.culture.gov.uk
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12 APPENDICES

12.1 Appendix A – Map of Locality (Ceredigion)



12.2 Appendix B – List of Consultees

- Elected Members, Ceredigion County Council
- Community and Town Councils in Ceredigion
- One Voice Wales
- Chief Executive, Ceredigion County Council
- Corporate Director x 2 Ceredigion County Council
- Corporate Lead Officer Legal and Governance,, Ceredigion County Council
- Corporate Lead Officer Economy and Regeneration Services, Ceredigion County Council
- Corporate Lead Officer Policy, Performance and Public Protection, Ceredigion County Council
- Corporate Lead Officer, Porth Cynnal Children’s Services, Ceredigion County Council
- Corporate Lead Officer, Porth Gofal Adult Services, Ceredigion County Council
- Corporate Lead Officer, Schools and Culture Services, Ceredigion County Council
- Corporate Lead Officer, Porth Cymorth Cynnar, Community Wellbeing and Learning , Ceredigion County Council
- Development Control Manager Ceredigion County Council
- The Gambling Commission
- Heddlu Dyfed Powys Police and Police and Crime Commissioner
- Mid and West Wales Fire & Rescue Service
- The Local Area Health Board, Hywel Dda University Health Board
- Hafal Ceredigion
- Mind Aberystwyth
- West Wales Action for Mental Health
- Ceredigion Community Safety Partnership
- Association of British Bookmakers Ltd
- Licence Holders or the representatives of the holders of the various licences for premises in the Authority’s area who will be affected by this policy.
- Members of the public who will be affected by this policy.
- One or more persons who appear to the authority to represent the interests of persons carrying on gambling businesses in the authority’s area.
- One or more persons who appear to the authority to represent the interests of persons who are likely to be affected by the exercise of the authority’s functions under the Act.

Note: This list is not intended to be exclusive. Comments and observations will be welcome from anyone who will be affected by this policy

12.3 Appendix C – Table of Delegations of Licensing Functions

Matter to be dealt with	Full Council	Sub-Committee	Officers
Final Approval of the <u>Gambling</u> Policy Statement	X		
Policy not to permit casinos	X		
Fee Setting - when appropriate	X		
Fee Setting (if delegated by Full Council)		X	
Application for premises licences		X Where representations have been received and not withdrawn	X Where no representations received/ representations have been withdrawn
Application for a variation to a licence		X Where representations have been received and not withdrawn	X Where no representations received/ representations have been withdrawn
Application for a transfer of a licence		X Where representations have been received from the Commission	X Where no representations received from the Commission
Application for a provisional statement		X Where representations have been received and not withdrawn	X Where no representations received/ representations have been withdrawn
Review of a premises licence		X	

Application for club gaming/club machine permits		X Where representations have been received and not withdrawn	X Where no representations received/representations have been withdrawn
Cancellation of club gaming/club machine permits		X	
Applications for other permits			X
Cancellation of licensed premises gaming machine permits			X
Consideration of temporary use notice			X
Decision to give a counter notice to a temporary use notice		X	

X – Indicates at the lowest level to which decisions can be delegated.

12.4 Appendix D - Access to Premises

Adult Gaming Centre

- No customer should be able to access the premises directly from any other licensed gambling premises.

Betting Shops

- Access must be from a street or from another premises with a betting premises licence
- No direct access from a betting shop to another premises used for the retail sale of merchandise or services. In effect, there cannot be an entrance to a betting shop from a shop of any kind, unless that shop is itself a licensed betting premises e.g. it would not be permissible to have a betting shop at the back of a café; the whole area would have to be licensed.

Tracks

No customer should be able to access the premises directly from:

- a casino;
- an adult gaming centre.

Bingo Premises

No customer must be able to access the premises directly from:

- a casino;
- an adult gaming centre;
- a betting premises, other than a track.

Family Entertainment Centre

No customer must be able to access the premises directly from:

- a casino;
- an adult gaming centre;
- a betting premises, other than a track.

Part 7 of the Gambling Commission's Guidance to Licensing Authorities contains further guidance on this issue, which this Authority will also take into account in its decision-making.

12.5 Appendix E - Summary of Machine Provisions by Premises

Machine category							
Premises type	A	B1	B2	B3	B4	C	D
Large casino (machine/table ratio of 5-1 up to maximum)				Maximum of 150 machines Any combination of machines in categories B to D (except B3A machines), within the total limit of 150 (subject to machine/table ratio)			
Small casino (machine/table ratio of 2-1 up to maximum)				Maximum of 80 machines Any combination of machines in categories B to D (except B3A machines), within the total limit of 80 (subject to machine/table ratio)			
Pre-2005 Act casino (no machine/table ratio)				Maximum of 20 machines categories B to D (except B3A machines), or any number of C or D machines instead			
Betting premises and tracks occupied by pool betting				Maximum of 4 machines categories B2 to D (except B3A machines)			
Bingo premises¹		Maximum of 20% of the total number of gaming machines which are available for use on the premises categories B3 or B4			No limit on category C or D machines		
Adult gaming centre²		Maximum of 20% of the total number of gaming machines which are available for use on the premises categories B3 or B4			No limit on category C or D machines		
Licensed family entertainment centre³				No limit on category C or D machines			
Family entertainment centre (with permit)³				No limit on category D machines			
Clubs or miners' welfare institute (with permits)⁴				Maximum of 3 machines in categories B3A or B4 to D			
Qualifying alcohol-licensed premises				1 or 2 machines of category C or D automatic upon notification			
Qualifying alcohol-licensed premises (with licensed premises gaming machine permit)				Number of category C-D machines as specified on permit			
Travelling fair				No limit on category D machines			

¹ S.172(7), as amended, provides that the holder of a bingo premises licence may make available for use a number of category B gaming machines not exceeding 20% of the total number of gaming machines on the premises. For example, a premises

with a total of 25 gaming machines available for use can make five or fewer category B3 gaming machines available on that premises. Premises that were licensed before 13 July 2011 are entitled to make available eight category B gaming machines, or 20% of the total number of gaming machines, whichever is the greater. There are no restrictions on the number of category C or D machines that can be made available. Regulations state that category B machines at bingo premises are restricted to sub-category B3 (SI 2007/2158: Categories of Gaming Machine Regulations 2007 (but not B3A) and B4 machines. Licensing authorities should ensure that gambling machines are made available for use in a manner consistent with our guidance within Part 16. For the purpose of calculating the category B machine entitlement in gambling premises, gaming machines should only be counted if they can be played simultaneously by different players without physical hindrance. This includes tablets.

S.172(8) provides that the holder of a betting premises licence may make available for use up to four gaming machines of category B, C or D. Regulations state that category B machines at betting premises are restricted to sub-category B2, B3 and B4 machines (the terminals commonly in use are able to provide both B2 and B3 content).

² Gaming machine provisions by premises are set out at Appendix A. S.172(1) of the Act, as amended, provides that the holder of an AGC premises licence may make available for use a number of category B gaming machines not exceeding 20% of the total number of gaming machines which are available for use on the premises and any number of category C or D machines. For example, a premises with a total of 25 gaming machines available for use can make five or fewer category B3 gaming machines available on those premises.

Adult gaming centres are entitled to make available for use a number of category B gaming machines not exceeding 20% of the total number of gaming machines which are available for use on the premises and any number of category C or D machines. Where a premises licence was granted before 13 July 2011, they are entitled to make available four category B gaming machines, or 20% of the total number of gaming machines, whichever is the greater. Category B machines at adult gaming centres are restricted to sub-category B3 and B4 machines, but not B3A machines.

³ Only premises that are wholly or mainly used for making gaming machines available may hold an unlicensed FEC gaming machine permit or an FEC premises licence. Category C machines may only be sited within licensed FECs and where an FEC permit is in force. They must be in a separate area to ensure the segregation and supervision of machines that may only be played by adults. There is no power for the licensing authority to set a limit on the number of machines under the FEC permit.

⁴ Members' clubs and miners' welfare institutes with a club gaming permit or with a club machine permit, are entitled to site a total of three machines in categories B3A to D but only one B3A machine can be sited as part of this entitlement.

⁵ Commercial clubs with club machine or gaming permits are entitled to a total of three machines in categories B4 to D.

12.6 Appendix F - The meaning of ‘available for use’

Gambling Commission guidance to licensing authorities:

The meaning of ‘available for use’

16.16 S.242 of the Act makes it an offence for a person to make a gaming machine available for use, where they do not hold an operating licence or other permission covering gaming machines and where no other exemption applies.

16.17 The Act does not define what ‘available for use’ means, but the Commission considers that a gaming machine is ‘available for use’ if a person can take steps to play it without the assistance of the operator.

16.18 More than the permitted number of machines may be physically located on a premises but the onus is on licensees to demonstrate that no more than the permitted number are ‘available for use’ at any one time.

16.19 A machine that can operate at more than one category, which is operating at a lower category, does not contribute to the number of machines ‘available for use’ at a higher category until it switches to that category. Licensees must ensure no more than the permitted number are ‘available for use’ at any one time.

16.20 Systems in which a number of machines are networked so that the player can select which game and category they play are permitted but licensees must still adhere to any restrictions on the number of machines at a certain category.

16.21 Gaming machine entitlements in AGC or bingo premises set out that only 20% of machines can be category B machines in order to ensure a balanced offering of gambling products and restrict harder gambling opportunities.

16.22 Machine design has changed in recent years and space-saving gaming machines - in the form of tablets, multi-player units and narrow/in-fill machines - have become available. Some of these machines appear to have been designed primarily to maximise category B machine entitlements.

16.23 We updated our [‘available for use’ guidance¹¹](#) in 2019 to make it clear that for the purpose of calculating the category B machine entitlement in gambling premises, gaming machines should only be counted if they can be played simultaneously by different players without physical hindrance. For example, the Commission would consider that a multi-position machine that technically allows two or more players to play simultaneously but in reality requires those players to stand very closely together or adopt unnatural participation positions, to the effect that a second player would be discouraged from attempting to use the machine, could not be classed as two or more machines.

16.24 In relation to tablets, licensees should ensure that there is sufficient floorspace in the premises to permit counted tablets to be used simultaneously.

16.25 Electronic Bingo Terminals (EBTs) that offer gaming machine content in addition to bingo content are gaming machines and subject to adherence with the above principles. Licensees are reminded however that an EBT must only allow participation in one gambling activity at a time and should not therefore contain functionality which allows participation in bingo and gaming machine activity simultaneously.

16.26 We have published our 'available for use' guidance¹² on the Commission website, and provided additional information specifically in relation to when is a gaming machine 'available for use' in AGC or bingo premises under the 20% regulations.”

BY EMAIL ONLY
LICENSING SECTION
CEREDIGION COUNCIL

Please ask for: Richard Taylor
Direct Tel: 01482 590216
Email: rjt@gosschalks.co.uk
Our ref: RJT / MJM / 123267.00001
#GS4207256
Your ref:
Date: 15 November 2021

Dear Sirs,

Re: Gambling Act 2005 Policy Statement Consultation

We act for the Betting and Gaming Council (BGC) and are instructed to respond on behalf of the BGC to your consultation on the review of your Gambling Act 2005 Statement of Principles.

The Betting and Gaming Council

The Betting and Gaming Council (BGC) was created in 2019 as the new standards body for the UK's regulated betting and gaming industry. This includes betting shops, online betting and gaming businesses, bingo and casinos. Its mission is to champion industry standards in betting and gaming to ensure an enjoyable, fair and safe betting and gaming experience for all of its members' customers.

BGC members support 119,000 jobs and account for £4.5 billion to the Treasury annually in tax. Recent study also showed that BGC members contributed around £7.7 billion in gross value added to the UK economy in 2019.

The gambling industry is integral to the survival of sport. Betting companies spend over £40 million a year on the English Football League (EFL) and its clubs. Horse racing, an industry estimated to be worth £3.5 billion a year to the UK economy and which generates 85,000 jobs receives over £350 million per annum through the Horse Racing Industry Levy, media rights and sponsorship. Darts and Snooker receive in excess of £10 million per annum which represents 90 % of all sponsorship revenue.

The BGC has four principal objectives. These are to –

- **create a culture of safer gambling throughout the betting and gaming sector, with particular focus on young people and those who are vulnerable**
- **ensure future changes to the regulatory regime are considered, proportionate and balanced**

- **become respected as valuable, responsible and engaged members of the communities in which its members operate**
- **safeguard and empower the customer as the key to a thriving UK betting and gaming industry**

Before we comment on your draft policy document, it is important that the backdrop against which the comments are made is established.

Betting and Gaming in the UK

Betting and gaming is an incredibly important part of the UK leisure and hospitality industry, employing over 70,000 people, including 50,000 in betting, 13,000 in casinos and 10,000 people directly employed online. The betting and gaming industry contributes £8.7 billion Gross Value Added to the UK economy & contributes £3.2 billion to HM Treasury. In addition, casinos contribute over £120 million to the tourism economy each year.

Betting and gaming is widely enjoyed in the UK. Around 30 million people participate in some sort of gambling, whether that is on the National Lottery, placing a bet in betting shops, playing in casinos or at bingo. The overwhelming majority of these people do so safely without reporting any problems.

Any consideration of gambling licensing at the local level should also be considered within the wider context.

- the overall number of betting shops is in decline. The latest Gambling Commission industry statistics show that the number of betting offices (as of March 2020) was 7681. This is reducing every year and has fallen from a figure of 9137 in March 2014. Covid 19 had a devastating effect on the betting industry. The number of betting offices in June 2020 was down to 6461.
- planning law changes introduced in April 2015 have increased the ability of licensing authorities to review applications for new premises, as all new betting shops must now apply for planning permission.
- In April 2019 a maximum stake of £2 was applied to the operation of fixed odds betting terminals
- successive prevalence surveys and health surveys tells us that problem gambling rates in the UK are stable and possibly falling.

Problem Gambling

Problem gambling rates are static or possibly falling. The reported rate of 'problem gambling' (according to either the DSM-IV or the PGSI) was 0.8% of the adult population in 2015, in 2016 it was 0.7% and in 2018 it was 0.5% of the adult population.

Figures published by the Gambling Commission in October 2021 show that the rate of problem gambling in the year to September 2021 was 0.3%, having fallen from 0.6% the previous year.

We might finally be seeing a reduction in problem gambling due to the raft of measures that have been put in place recently both by the industry, the Gambling Commission and the Government – from a ban on credit cards, restrictions to VIP accounts, new age and identity verification measures and voluntary restrictions on advertising.

Whilst one problem gambler is too many, both the Government and regulator both say there is no evidence that problem gambling has increased in recent years.

During the Covid-19 period of lockdown, both the Gambling Commission and Government have acknowledged that problem gambling levels have not increased.

In June 2020, the BGC's five largest members committed to increasing the amount they spend on research, education and treatment (RET) services from 0.1 per cent to 0.25 per cent of their annual revenue in 2020, 0.5 per cent in 2021, 0.75 per cent in 2022 and 1 per cent in 2023. The five operators confirmed they will provide £100 million to GambleAware charity to improve treatment services for problem gamblers.

Rates of 'problem gambling' in the UK are low by international standards – compared to France (1.3%), Germany (1.2%), Sweden (2.2%) and Italy (1.27%).

The BGC supported the creation of the new NHS gambling treatment clinics who have promised 22 clinics, 3 of which are open now. We are pleased that the NHS have committed to work to increase the number of clinics in the UK in addition to existing services delivered by Gordon Moody Association and GamCare's 120 treatment centres located throughout the UK.

The BGC welcomes the Gambling Commission's National Strategy as a way of accelerating progress on responsible gambling and tackling problem gambling. Our members are fully committed to meeting this challenge and are working tirelessly to deliver new responsible gambling initiatives including technology that tackles problem gambling and supporting a statutory levy and increased funding for problem gambling clinics.

Underage participating by those aged 11-16 in any gambling activity has declined from 22% to 11% over the past decade; here, 'gambling activity' mainly relates to personal betting (e.g. playing cards with friends) and legal play of lotteries (e.g. participating with consent of parents / guardians). BGC members have a zero tolerance to those under the age of 18 attempting to use their products.

Working in partnership with local authorities

The BGC is fully committed to ensuring constructive working relationships exist between betting operators and licensing authorities, and that where problems may arise that they can be dealt with in partnership. The exchange of clear information between councils and betting operators is a key part of this and the opportunity to respond to this consultation is welcomed.

Differentiation between Licensing Act 2003 and Gambling Act 2005 applications

When considering applications for premises licences, it is important that a clear distinction is made between the regimes, processes and procedures established by Gambling Act 2005 and its regulations and those that are usually more familiar to licensing authorities – the regimes, processes and procedures relating to Licensing Act 2003.

Whilst Licensing Act 2003 applications require applicants to specify steps to be taken to promote the licensing objectives, those steps being then converted into premises licence conditions, there is no such requirement in Gambling Act 2005 applications where the LCCP provide a comprehensive package of conditions for all types of premises licence.

It should continue to be the case that additional conditions in Gambling Act 2005 premises licence applications are only imposed in exceptional circumstances where there are clear reasons for doing so. There are already mandatory and default conditions attached to any premises licence which will ensure operation that is consistent with the licensing objectives. In the vast majority of cases, these will not need to be supplemented by additional conditions.

The LCCP require that premises operate an age verification policy. The industry operates a policy called “Think 21”. This policy is successful in preventing under-age gambling. Independent test purchasing carried out by operators and submitted to the Gambling Commission, shows that ID challenge rates are consistently around 85%.

When reviewing draft statements of principles in the past, we have seen statements of principles requiring the operation of Challenge 25. Unless there is clear evidence of a need to deviate from the industry standard then conditions requiring an alternative age verification policy should not be imposed.

The BGC is concerned that the imposition of additional licensing conditions could become commonplace if there are no clear requirements in the revised licensing policy statement as to the need for evidence. If additional licence conditions are more commonly applied this would increase variation across licensing authorities and create uncertainty amongst operators as to licensing requirements, over complicating the licensing process both for operators and local authorities

Considerations specific to the draft Statement of Gambling Policy

In paragraphs 1.8 Bingo Premises, 1.9 Betting Premises, 1.10 Tracks, 1.16 Adult Gaming Centres and 1.17 Family Entertainment Centres there is the same sentence that reads, *“This licensing authority will expect applicants to come up with their own measures to meet the licensing objectives however appropriate measures/licence conditions should cover issues such as ...”* There then follows a list of bullet points.

These paragraphs should be redrafted to avoid any confusion with Licensing Act 2003 requirements and to make it clear that policies, procedures and mitigation measures to ensure operation that is consistent with the licensing objectives, should be detailed in the operator’s local area risk

assessment. It is very important that a distinction is made between applications made under Licensing Act 2003 and those made under Gambling Act 2005. Under Licensing Act 2003, applicants are expected/required to identify measures to be taken to promote the licensing objectives in the operating schedule. These are then converted into conditions. There is no similar facility or expectation under Gambling Act 2005.

Gambling Act 2005 premises licences are subject to mandatory and default conditions which are designed to be, and usually are, sufficient to ensure operation that is reasonable consistent with the licensing objectives. These sections and indeed the section which explains the Licensing Authority's approach to the imposition of conditions on premises licences (paragraph 4.5) would benefit from re-drafting in order to make this clear. These sections should be clear that additional conditions will only be imposed where there is clear evidence of a risk to the licensing objectives which is not already adequately addressed by the policies, procedures and mitigation measures described in an applicant's risk assessment.

It is important that these policies, procedures, and mitigation measures to meet the licensing objectives as required by paragraph 15.8 are dealt with via the risk assessment rather than by way of licence conditions (where possible) as the risk assessment is a dynamic document which (in accordance with SR Code Provision 10.1.2) must be reviewed if there is a significant change in local circumstances. As risk change or new risks are identified, the policies, procedures, and mitigation measures to address those identified risks may be changed very quickly. However, if the mitigation measures are the subject of premises licence conditions, then an application for variation of the premises licence will be required to change those conditions. This could delay any change and would cause unnecessary expense and administration for both operators and the Licensing Authority.

Paragraph 4.3 explains the requirement for operators to undertake local risk assessments. This paragraph contains lists of bullet points detailing matters that the Licensing Authority expects be taken into account by operators when undertaking local risk assessments. These lists need to be re-drafted to remove any bullet points that refer to matters that cannot be relevant to any assessment of risk to the licensing objectives.

For example, the first list of bullet points refers to *"known problems in the area such as problems arising from street drinkers, youths participating in antisocial behaviour, drug dealing activity etc."* None of these issues are relevant to any assessment of whether gambling will be a source of or associated with crime and disorder and therefore this bullet point should be removed.

Similarly, in the next two lists of bullet points, there are references to *"areas that are prone to issues of youths participating in antisocial behaviour, including activities such as graffiti/tagging, underage drinking etc"* and *"gaming trends that may coincide with days for financial payments such as paydays or benefit payments."* These two bullet points should be removed. The first bullet point refers to issues of low level anti-social behaviour and nuisance which have no bearing on any assessment of risk to the licensing objectives. The second bullet point can only be relevant if the Licensing Authority's view is that any person in receipt of benefits or indeed paid employment is to be considered automatically vulnerable. This cannot be the case.

Conclusion

On behalf of the BGC, we thank you for the opportunity to comment on your draft statement of principles and hope that these comments above are useful. The BGC will work with you to ensure that its members' operation of its premises will operate in accordance with the licensing objectives.

Yours faithfully,

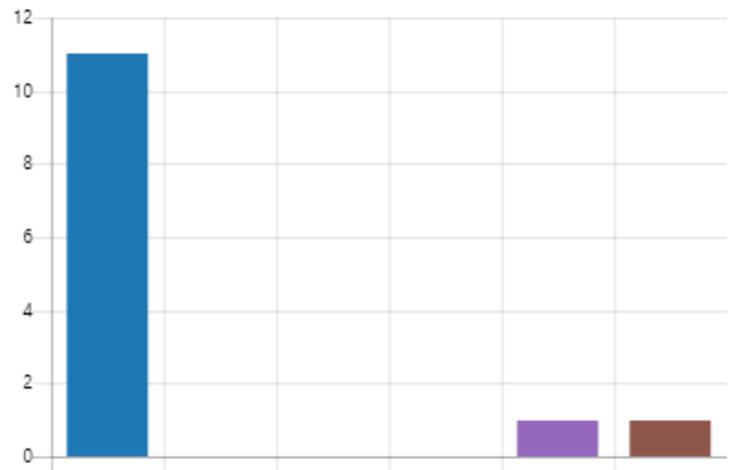
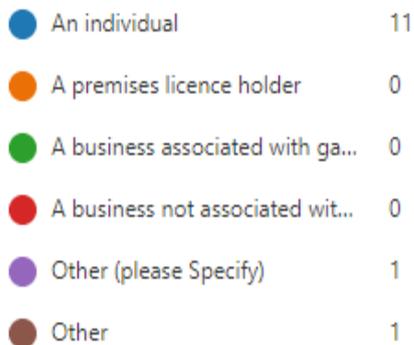
**GOSSCHALKS LLP**

Annex B – Gambling Policy Consultation Responses

Consultation Responses to Ceredigion County Council Statement of Gambling Policy 2022-2025

1. Are you responding primarily as:

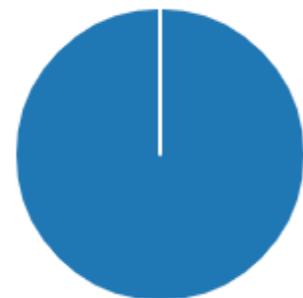
[More Details](#)



2. Are you a resident of Ceredigion

[More Details](#)

Insights



3. Have you read the draft policy

[More Details](#)



4. Having read the policy do you think there are any changes or additions that should be included

[More Details](#)

[Insights](#)



5. If you answered yes to Q 4 . Please explain what changes or additions should be considered.

2 Responses

ID ↑	Name	Language	Responses
1	anonymous	English (United Kingdom)	I think bingo halls & casinos should be allowed
2	anonymous	English (United Kingdom)	I believe that casinos should be allowed in Ceredigion. It's not for the council to set the no casino policy and the public should be asked for their views. I know of a lot of highly paid people who are gamblers who live in the area and regularly go on holiday to places where gambling is allowed. If you allowed gambling then their money would stay in the Ceredigion economy.

6. Are there any areas in your community where you experience problems specifically related to gambling.

[More Details](#)

[Insights](#)



7. If you answered Yes to Q6 please identify the area and describe the gambling related problems you experience.

4 Responses

ID ↑	Name	Language	Responses
1	anonymous	English (United Kingdom)	Online gambling is an issue that I have encountered through work and private life, the results of which can be devastating for individuals and families through finances, mental health and addiction issues.
2	anonymous	English (United Kingdom)	I think gambling is destructive, but so is this area with so little in the way of entertainment & things to do for young & old alike. I would support any new venture at this point that didn't just centre around drinking.
3	anonymous	English (United Kingdom)	There's an amusement arcade in Lampeter and it looks very unkempt and run down. They don't appear to have the relevant supervision arrangements in place as per the draft policy. Enforcement officers need to re-start site inspection visits.
4	anonymous	Cymraeg (Y Deyrnas Unedig)	Wedi gweld cydweithiwr wedi gorfod gwerthu ei dy oherwydd dyledion gamblo ar ceffylau.

8. Do you have any final comments about the Gambling Policy Statement of Licensing Principles? You may use this as an opportunity to make general points about gambling premises in Ceredigion

5 Responses

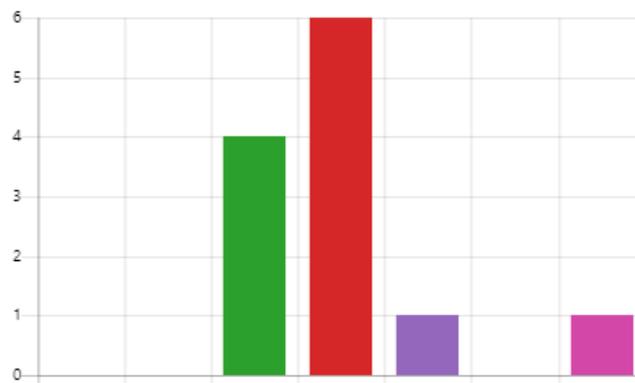
ID ↑	Name	Language	Responses
1	anonymous	English (United Kingdom)	no
2	anonymous	English (United Kingdom)	I think gambling is destructive, but so is this area with so little in the way of entertainment & things to do for young & old alike. I would support any new venture at this point that didn't just centre around drinking.
3	anonymous	English (United Kingdom)	People are going to find a way to gamble no matter what so it's better to provide a safe place locally rather than going away on holiday to gamble or online. At least if local there would be some welfare in place.
4	anonymous	English (United Kingdom)	N/A
5	anonymous	English (United Kingdom)	All gambling premises should prominently display posters showing where problem gamblers can get help.

9. Are you?

[More Details](#)

[Insights](#)

● Under 16 years of age	0
● 16-24	0
● 25-44	4
● 45-64	6
● 65-74	1
● 75 and over	0
● Prefer not to say	1



10. Are you

[More Details](#)

[Insights](#)

Male	6
Female	5
Prefer not to say	1
Other	0



11. Transgender: Is your gender the same now as when assigned at birth?

[More Details](#)

[Insights](#)

Yes	10
No	0
Prefer not to say	1



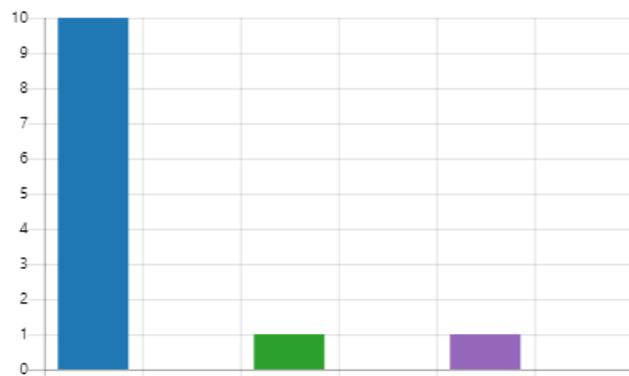
12. Only answer this question if you are over 16:

Sexual Orientation: Which of the following options best describes how you think of yourself?

[More Details](#)

[Insights](#)

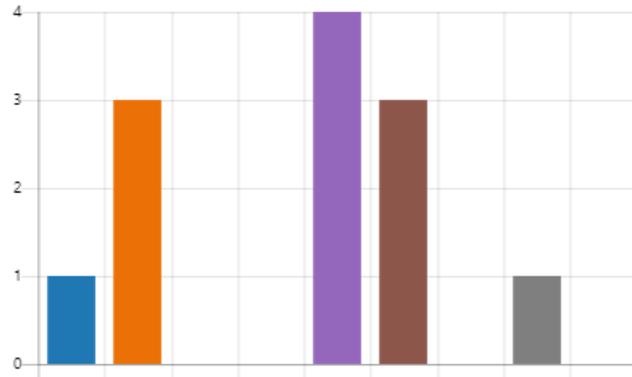
Heterosexual/Straight	10
Bi-sexual	0
Gay Man	1
Gay Woman/Lesbian	0
Prefer not to say	1
Other	0



13. Partnership: Which of the following describes your partnership status?

[More Details](#)

● Single	1
● Married	3
● Widowed	0
● Civil Partnership	0
● Living with partner	4
● Divorced	3
● Separated	0
● Prefer not to say	1
● Other	0

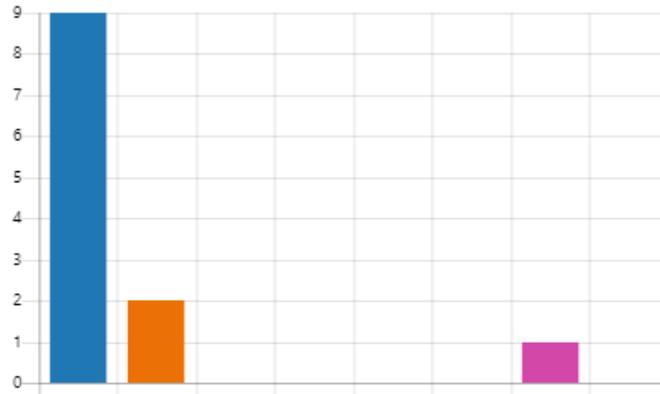


14. National Identity: How would you describe your national identity?

[More Details](#)

[Insights](#)

● Welsh	9
● British	2
● English	0
● Irish	0
● Scottish	0
● Northern Irish	0
● Prefer not to say	1
● Other	0

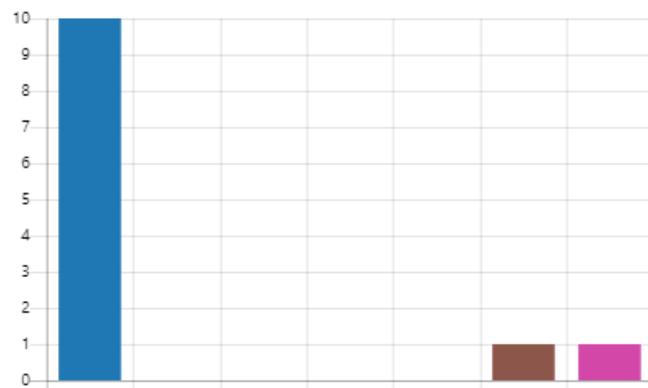


15. Race: What is your ethnic group? Choose one option that best describes your ethnic group or background.

[More Details](#)

[Insights](#)

● White	10
● Mixed	0
● Asian	0
● Gypsy/Travellers	0
● Black/African/Carribbean	0
● Prefer not to say	1
● Other	1



16. Language: What is your preferred language

[More Details](#)

[Insights](#)

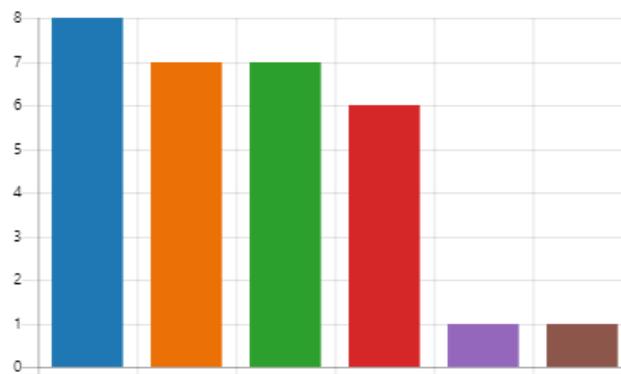
● Welsh	4
● English	6
● Prefer not to say	2
● Other	0



17. Can you understand, speak, read or write Welsh?

[More Details](#)

● Understand spoken Welsh	8
● Speak Welsh	7
● Write Welsh	7
● Read Welsh	6
● None of the above	1
● Prefer not to say	1



18. Disability: Do you have a long term physical or mental health condition or illness that reduces your ability to carry out day to day activities

[More Details](#)

[Insights](#)

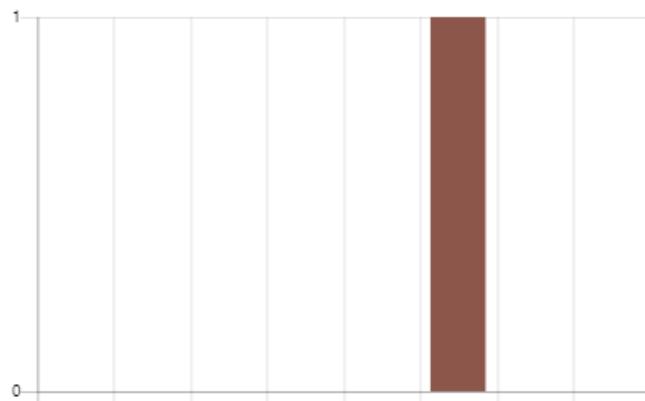
● Yes	1
● No	10
● Prefer not to say	1



19. If you answered 'Yes' please indicate which applies to you;

[More Details](#)

● Hearing Impairment	0
● Visual Impairment	0
● Speech Impairment	0
● Learning Difficulties	0
● Mental Health Issues	0
● Physical/Mobility Impairment	1
● Prefer not to say	0
● Other	0



20. Caring Responsibilities: Do you look after or give help or support to family members, friends, neighbours or others.

[More Details](#)

[Insights](#)

● Yes	4
● No	6
● Prefer not to say	1



21. Religion or Belief: What is your religion?

[More Details](#)

[Insights](#)

● Christian (all denominations)	7
● Buddhist	0
● Hindu	0
● Muslim	0
● Sikh	0
● Jewish	0
● Atheist	0
● No religion	3
● Prefer not to say	1
● Other	0

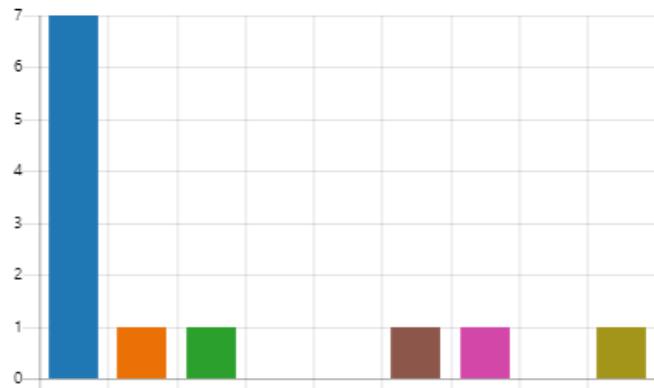


22. Which of the following categories best describes your employment status?

[More Details](#)

[Insights](#)

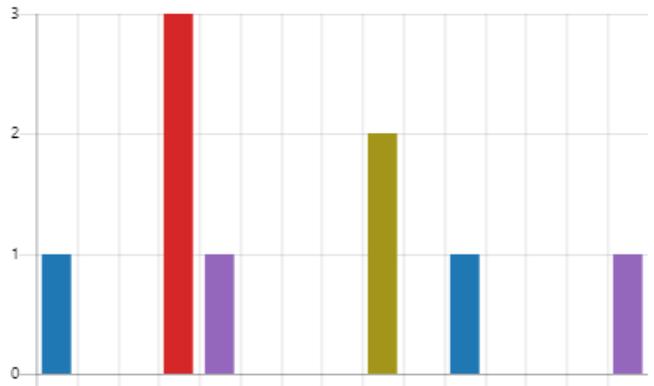
- Employed-Full time 7
- Employed-Part time 1
- Self-employed 1
- Unemployed, looking for work 0
- Unemployed, not looking for ... 0
- Retired 1
- Unable to work due to health ... 1
- On a government supported t... 0
- Other 1



23. Which of the following best describes your role in industry?

[More Details](#)

- Self-employed/Partner 1
- Corporate manager or director 0
- Upper management 0
- Trained Professional 3
- Middle Management 1
- Skilled Labourer 0
- Junior Management 0
- Consultant 0
- Administrative Staff 2
- Temporary Employee 0
- Support Staff 1
- Researcher 0
- Volunteer 0
- Student/Intern/Apprenticeship 0
- Other 1



24. The organisation you work for is in which of the following categories

[More Details](#)

[Insights](#)

● Public Sector (e.g. government)	8
● Private Sector (most businesse...	2
● Not for profit sector	0
● Don't know	0
● Other	1



Annex B - Ymatebion Ymgynghori ar Bolisi Gamblo

Ymatebion Ymgynghori i Ddatganiad Polisi Gamblo Cyngor Sir Ceredigion 2022-2025

1. Ydych chi'n ymateb yn bennaf fel

- Unigolyn
- Deiliad trwydded mangre
- Busnes sy'n gysylltiedig â deiliad trwydded gweithgaredd gamblo
- Busnes nad yw'n gysylltiedig â gweithgaredd gamblo
- Arall (Nodwch os gwelwch yn dda)
- Arall

2. Ydych chi'n byw yn Ceredigion

- Ydw
- Nac ydw

3. Ydych chi wedi darllen y polisi drafft

- Ydw
- Nac ydw

4. Ar ôl darllen y polisi, ydych chi'n meddwl y dylid cynnwys unrhyw newidiadau neu ychwanegiadau

- Ydw
- Nac ydw

5. Os gwnaethoch chi ateb ydw i Q 4.Esboniwch pa newidiadau neu ychwanegiadau y dylid eu hystyried.

Rhowch eich ateb

6. A oes unrhyw feysydd yn eich cymuned lle rydych chi'n profi problemau sy'n ymwneud yn benodol â gamblo.

- Oes
- Nac oes

7. Os gwnaethoch chi ateb Ydw i C6, nodwch yr ardal a disgrifiwch y problemau cysylltiedig â gamblo chi

Rhowch eich ateb

8. A oes gennych unrhyw sylwadau terfynol am y Datganiad Egwyddorion Trwyddedu Polisi Gamblo?
Gallwch ddefnyddio hwn fel cyfle i wneud pwyntiau cyffredinol am adeiladau gamblo yng Ngheredigion

Rhowch eich ateb

9. Ydych chi

- O dan 16 mlwydd oed
- 16-24
- 25-44
- 45-64
- 65-74
- 75 neu drosodd
- Gwell da chi ddim gweud

10. Ydych chi yn

- Gwrw
- Benyw
- Mae'n well gen i beidio â dweud

11. Trawsryweddol: A yw eich rhyw yr un peth nawr a gafodd ei aseinio adeg genedigaeth?

- Ydy
- Nac ydy
- Mae'n well gen i beidio â dweud

12. Atebwch y cwestiwn hwn dim ond os ydych chi dros 16 oed:

Cydeiriadedd Rhywiol : Pa un o'r opsiynau canlynol sy'n disgrifio orau sut rydych chi'n meddwl amdanoch chi'ch hun?

- Heterorywiol/syth
- Deurywiol
- Dyn Hoyw
- Menyw Hoyw/Lesbiaidd
- Mae'n well gen i beidio â dweud

This **Integrated Impact Assessment tool** incorporates the principles of the Well-being of Future Generations (Wales) Act 2015 and the Sustainable Development Principles, the Equality Act 2010 and the Welsh Language Measure 2011 (Welsh Language Standards requirements) and Risk Management in order to inform effective decision making and ensuring compliance with respective legislation.

1. PROPOSAL DETAILS: (Policy/Change Objective/Budget saving)

Proposal Title	Review of Ceredigion County Council's Statement of Gambling Policy
----------------	--

Service Area	Policy, Performance and Public Protection	Corporate Lead Officer	Alun Williams	Corporate Director	
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Name of Officer completing the IIA	Gareth Rees	E-mail	Gareth.rees@ceredigion.gov.uk	Phone no	01545572179
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Please give a brief description of the purpose of the proposal

It is a statutory requirement that the Authority's Statement of Gambling Policy is reviewed at least every three years. The policy is intended to provide clarity to officers and to businesses/individuals on the approach that the Authority is likely to take in relation to gambling activities within its area.

Who will be directly affected by this proposal? (e.g. The general public, specific sections of the public such as youth groups, carers, road users, people using country parks, people on benefits, staff members or those who fall under the protected characteristics groups as defined by the Equality Act and for whom the authority must have due regard).

Local businesses with a gambling element to their business, businesses from outside the County who conduct transactions in Ceredigion, for example, bookmakers that operate at local race and trotting events and consumers who undertake gambling activity.

VERSION CONTROL: The IIA should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development, Welsh language and equality considerations wherever possible.

Author	Decision making stage	Version number	Date considered	Brief description of any amendments made following consideration

COUNCIL STRATEGIC OBJECTIVES: Which of the Council's Strategic Objectives does the proposal address and how?

Boosting the Economy	The Statement of Gambling Policy is designed in such a way that enables the economy and local business to develop and prosper provided that they are minded to comply with legislative requirements. Officers will always attempt to educate local businesses to secure compliance. More formal sanctions are retained for
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	more serious and conduct inspections to gambling premises, occasionally with Gambling Commission Compliance Officers.
Investing in People’s Future	N/A
Enabling Individual and Family Resilience	The policy addresses family resilience through avenues of support such as Gamcare and Gamaware.
Promoting Environmental and Community Resilience	

NOTE: As you complete this tool you will be asked for **evidence to support your views**. These need to include your baseline position, measures and studies that have informed your thinking and the judgement you are making. It should allow you to identify whether any changes resulting from the implementation of the recommendation will have a positive or negative effect. Data sources include for example:

- *Quantitative data - data that provides numerical information, e.g. population figures, number of users/non-users*
- *Qualitative data – data that furnishes evidence of people’s perception/views of the service/policy, e.g. analysis of complaints, outcomes of focus groups, surveys*
- *Local population data from the census figures (such as Ceredigion Welsh language Profile and Ceredigion Demographic Equality data)*
- *National Household survey data*
- *Service User data*
- *Feedback from consultation and engagement campaigns*
- *Recommendations from Scrutiny*
- *Comparisons with similar policies in other authorities*
- *Academic publications, research reports, consultants’ reports, and reports on any consultation with e.g. trade unions or the voluntary and community sectors, ‘Is Wales Fairer’ document.*
- *Welsh Language skills data for Council staff*

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2. SUSTAINABLE DEVELOPMENT PRINCIPLES: How has your proposal embedded and prioritised the five sustainable development principles, as outlined in the Well-being of Future Generations (Wales) Act 2015, in its development?

Sustainable Development Principle	Does the proposal demonstrate you have met this principle? If yes, describe how. If not, explain why.	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to the principle?
Long Term Balancing short term need with long term and planning for the future.	The current policy has served the Authority well from January 2019 and it is anticipated that the proposed policy will serve us for the next three years now that it has been reviewed to reflect legislative and/or procedural changes. The Policy will be further reviewed	The current policy has served the authority well; therefore, there is no reason to believe that there will be any objections to the proposed policy.	

	during the next 3 years when the Governments White Paper is published.		
Collaboration Working together with other partners to deliver.	Whilst the draft policy has been prepared by Ceredigion officers with an emphasis on Ceredigion, a collaborative approach has been taken with meetings held with Service Managers with responsibility for licensing functions from Carmarthenshire, Pembrokeshire and Powys as well as representatives of the Gambling Commission.	Embedded into the policy are matters suggested by the Gambling Commission at the meeting with the four local authorities, for example, premises must offer self exclusion schemes, local authority registering a register of small society lotteries, changes in the Guidance to Local Authorities and Codes of Practice (October 2020) edition, Changes to Occasional use Notices, Changes to persons entitled to make applications for Premises Licences, entitlement of the holder of a Bingo Premises Licence to make available for use category B gaming machines not exceeding 20% of the total gaming machines on those premises.	
Involvement Involving those with an interest and seeking their views.	The Authority has recently consulted with interested parties as outlined in Appendix B of the report. The consultation took place over a six week period. Any responses will be considered by officers initially and if sensitive or contentious will be discussed with the Chair and Vice Chair of the	Public consultation responses; responses from interested parties.	Careful consideration has been given to any responses received to ensure that the proposed policy does not have a negative impact in relation of the licensing objectives.

	Licensing Committee prior to proceeding further through the democratic process.		
Prevention Putting resources into preventing problems occurring or getting worse.	Officers strive to work with local businesses to ensure compliance by several means including advice and support and reasonable time to comply if this is practically possible. The Council will have particular regard to the likely impact of licensing on related crime and disorder in the County, particularly when considering the location, impact, operation and management of all proposed licence/permit applications, renewals and variations of conditions.	Officers are confident that working proactively with new businesses reduces legislative infringements and non-compliance.	An emphasis by Service Managers and operational officers on 'prevention rather than cure' approach to compliance.
Integration Positively impacting on people, economy, environment and culture and trying to benefit all three.	The policy is intended to balance the positive impact on the economy that responsible gambling can bring.	The policy is the subject of a public consultation exercise and responses will be made available.	

3. WELL-BEING GOALS: Does your proposal deliver any of the seven National Well-being Goals for Wales as outlined on the Well-being of Future Generations (Wales) Act 2015? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. We need to ensure that the steps we take to meet one of the goals aren't detrimental to meeting another.			
Well-being Goal	Does the proposal contribute to this goal? Describe the positive or negative impacts:-	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to the goal?
3.1. A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs.	It is not expected that the proposal will place greater pressure on local business as businesses are required to comply with legislative requirements regardless of policy.	The proposed policy itself.	Service Managers to ensure consistency in compliance and enforcement.
3.2. A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change).			
3.3. A healthier Wales People's physical and mental wellbeing is maximised and health impacts are understood.	Irresponsible gambling can lead to mental health issues and on occasion this can result in cases of suicide. Ceredigion's draft Gambling Policy expects businesses to provide Information leaflets and helpline numbers for organisations such as Gamcare.	The proposed policy itself. Checked by officers when conducting an inspection of gambling premises.	Inspection visits will be conducted to ensure that self exclusion policies are being offered and recorded correctly.
3.4. A Wales of cohesive communities Communities are attractive, viable, safe and well connected.	The Licensing Authority in liaison with the Planning Authority will determine whether it is viable to have a gambling premises in close proximity to, for example, a school or a bank/building society insofar as the location relates to the licensing objectives. The Council will have particular regard to the likely impact of licensing on related crime and disorder in the County, particularly when considering the location, impact, operation and management of all	The proposed policy itself.	

	proposed licence/permit applications, renewals and variations of conditions.		
3.5. A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental well-being.			.

<p>3.6. A more equal Wales People can fulfil their potential no matter what their background or circumstances.</p> <p><i>In this section you need to consider the impact on equality groups, the evidence and any action you are taking for improvement.</i></p> <p><i>You need to consider how might the proposal impact on equality protected groups in accordance with the Equality Act 2010?</i></p> <p><i>These include the protected characteristics of age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, race, religion or beliefs, gender, sexual orientation.</i></p> <p>Please also consider the following guide: Equality Human Rights - Assessing Impact & Equality Duty</p>	<p>Describe why it will have a positive/negative or negligible impact.</p> <p><i>Using your evidence consider the impact for each of the protected groups. You will need to consider do these groups have equal access to the service, or do they need to receive the service in a different way from other people because of their protected characteristics. It is not acceptable to state simply that a proposal will universally benefit/disadvantage everyone. You should demonstrate that you have considered all the available evidence and address any gaps or disparities revealed.</i></p>	<p>What evidence do you have to support this view?</p> <p><i>Gathering Equality data and evidence is vital for an IIA. You should consider who uses or is likely to use the service. Failure to use <u>data</u> or <u>engage</u> where change is planned can leave decisions open to legal challenge. Please link to involvement box within this template. Please also consider the general guidance.</i></p>	<p>What action (s) can you take to mitigate any negative impacts or better contribute to positive impacts?</p> <p><i>These actions can include a range of positive actions which allows the organisation to treat individuals according to their needs, even when that might mean treating some more favourably than others, in order for them to have a good outcome. You may also have actions to identify any gaps in data or an action to engage with those who will/likely to be effected by the proposal. These actions need to link to Section 4 of this template.</i></p>
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<p>Age Do you think this proposal will have a positive or a negative impact on people because of their age? (Please tick ✓)</p>	<p><i>Guidance:</i> Equality & Impact Assessment Older People</p>	<p>Chapter 7 of the draft policy</p>									
<table border="1"> <tr> <td>Children and Young People up to 18</td> <td>Positive</td> <td>Negative</td> <td>None/ Negligible</td> </tr> <tr> <td></td> <td>✓</td> <td></td> <td></td> </tr> </table>	Children and Young People up to 18	Positive	Negative	None/ Negligible		✓					
Children and Young People up to 18	Positive	Negative	None/ Negligible								
	✓										
<table border="1"> <tr> <td>People 18-50</td> <td>Positive</td> <td>Negative</td> <td>None/ Negligible</td> </tr> <tr> <td></td> <td></td> <td></td> <td>✓</td> </tr> </table>	People 18-50	Positive	Negative	None/ Negligible				✓			
People 18-50	Positive	Negative	None/ Negligible								
			✓								
<table border="1"> <tr> <td>Older People 50+</td> <td>Positive</td> <td>Negative</td> <td>None/ Negligible</td> </tr> <tr> <td></td> <td></td> <td></td> <td>✓</td> </tr> </table>	Older People 50+	Positive	Negative	None/ Negligible				✓			
Older People 50+	Positive	Negative	None/ Negligible								
			✓								

<p>Disability Do you think this proposal will have a positive or a negative impact on people because of their disability? (Please tick ✓)</p>							
<table border="1"> <tr> <td></td> <td>Positive</td> <td>Negative</td> <td>None/</td> </tr> </table>		Positive	Negative	None/			
	Positive	Negative	None/				

Hearing Impairment			Negligible			
			✓			
Physical Impairment	Positive	Negative	None/ Negligible			
			✓			
Visual Impairment	Positive	Negative	None/ Negligible			
			✓			
Learning Disability	Positive	Negative	None/ Negligible			
			✓			
Long Standing Illness	Positive	Negative	None/ Negligible			
			✓			
Mental Health	Positive	Negative	None/ Negligible			
			✓			
Other	Positive	Negative	None/ Negligible			
			✓			

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Transgender Do you think this proposal will have a positive or a negative impact on transgender people? (Please tick ✓)						
Transgender	Positive	Negative	None/ Negligible			
			✓			

Marriage or Civil Partnership Do you think this proposal will have a positive or a negative impact on marriage or Civil partnership? (Please tick ✓)						
Marriage	Positive	Negative	None/ Negligible			
			✓			
Civil partnership	Positive	Negative	None/ Negligible			

			✓			
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Pregnancy or Maternity Do you think this proposal will have a positive or a negative impact on pregnancy or maternity? (Please tick ✓)						
Pregnancy	Positive	Negative	None/ Negligible			
			✓			
Maternity	Positive	Negative	None/ Negligible			
			✓			

Race Do you think this proposal will have a positive or a negative impact on race? (Please tick ✓)						
White	Positive	Negative	None/ Negligible			
			✓			
Mixed/Multiple Ethnic Groups	Positive	Negative	None/ Negligible			
			✓			
Asian / Asian British	Positive	Negative	None/ Negligible			
			✓			
Black / African / Caribbean / Black British	Positive	Negative	None/ Negligible			
			✓			
Other Ethnic Groups	Positive	Negative	None/ Negligible			
			✓			

Religion or non-beliefs Do you think this proposal will have a positive or a negative impact on people with different religions, beliefs or non-beliefs? (Please tick ✓)						
Christian	Positive	Negative	None/			

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			Negligible			
			✓			
Buddhist	Positive	Negative	None/ Negligible			
			✓			
Hindu	Positive	Negative	None/ Negligible			
			✓			
Humanist	Positive	Negative	None/ Negligible			
			✓			
Jewish	Positive	Negative	None/ Negligible			
			✓			
Muslim	Positive	Negative	None/ Negligible			
			✓			
Sikh	Positive	Negative	None/ Negligible			
			✓			
Non-belief	Positive	Negative	None/ Negligible			
			✓			
Other	Positive	Negative	None/ Negligible			
			✓			

Sex Do you think this proposal will have a positive or a negative impact on men and/or women? (Please tick ✓)						
Men	Positive	Negative	None/ Negligible			
			✓			
Women	Positive	Negative	None/ Negligible			
			✓			

Sexual Orientation Do you think this proposal will have a positive or a negative impact on people with different sexual orientation? (Please tick ✓)						
Bisexual	Positive	Negative	None/ Negligible			
			✓			
Gay Men	Positive	Negative	None/ Negligible			
			✓			
Gay Women / Lesbian	Positive	Negative	None/ Negligible			
			✓			
Heterosexual / Straight	Positive	Negative	None/ Negligible			
			✓			

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Having due regards in relation to the three aims of the Equality Duty - determine whether the proposal will assist or inhibit your ability to eliminate discrimination; advance equality and foster good relations.

3.6.2. How could/does the proposal help advance/promote equality of opportunity?
You should consider whether the proposal will help you to: ● Remove or minimise disadvantage ● To meet the needs of people with certain characteristics
 ● Encourage increased participation of people with particular characteristics

3.6.3. How could/does the proposal/decision help to eliminate unlawful discrimination, harassment, or victimisation?
You should consider whether there is evidence to indicate that: ● The proposal may result in less favourable treatment for people with certain characteristics ● The proposal may give rise to indirect discrimination ● The proposal is more likely to assist or impede you in making reasonable adjustments

The Authority will always have due regard to such characteristics when applying the policy.

3.6.4. How could/does the proposal impact on advancing/promoting good relations and wider community cohesion?
You should consider whether the proposal will help you to: ● Tackle prejudice ● Promote understanding

3.7. A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh Language are promoted and protected. <i>In this section you need to consider the impact, the evidence and any action you are taking for improvement. This in order to ensure that the opportunities for people who choose to live their lives and access services through the medium of Welsh are not inferior to what is afforded to those choosing to do so in English, in accordance with the requirement of the Welsh Language Measure 2011.</i>				Describe why it will have a positive/negative or negligible impact.	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to positive impacts?
Will the proposal be delivered bilingually (Welsh & English)?	Positive	Negative	None/ Negligible	As with all of the Council's policies, this policy will be available bilingually.	The draft policy is available on the Council's website under the 'Consultation' heading. Once adopted, the policy will be permanently available on the council's website and hard copy format bilingually.	
	✓					
Will the proposal have an effect on opportunities for persons to use the Welsh language?	Positive	Negative	None/ Negligible			
			✓			
Will the proposal increase or reduce the opportunity for persons to access services through the medium of Welsh?	Positive	Negative	None/ Negligible			
			✓			
How will the proposal treat the Welsh language no less favourably than the English language?	Positive	Negative	None/ Negligible	The policy will be available in bilingual format on the Authority's website.	Ceredigion County Council website	
	✓					
Will it preserve promote and enhance local culture and heritage?	Positive	Negative	None/ Negligible			
			✓			

4. STRENGTHENING THE PROPOSAL: If the proposal is likely to have a negative impact on any of the above (including any of the protected characteristics), what practical changes/actions could help reduce or remove any negative impacts as identified in sections 2 and 3?

4.1 Actions.

What are you going to do?	When are you going to do it?	Who is responsible?	Progress

4.2. If no action is to be taken to remove or mitigate negative impacts please justify why.
(Please remember that if you have identified unlawful discrimination, immediate and potential, as a result of this proposal, the proposal must be changed or revised).

4.3. Monitoring, evaluating and reviewing.

How will you monitor the impact and effectiveness of the proposal?

The policy will be reviewed every three years as required by the Gambling Act 2005 and earlier if there are changes of sufficient significance.

5. RISK: What is the risk associated with this proposal?

Impact Criteria	1 - Very low	2 - Low	3 - Medium	4 - High	5 - Very High
Likelihood Criteria	1 - Unlikely to occur	2 - Lower than average chance of occurrence	3 - Even chance of occurrence	4 - Higher than average chance of occurrence	5 - Expected to occur

Risk Description	Impact (severity)	Probability (deliverability)	Risk Score
			<i>Probability x Impact e.g. 3 x 5 = 15</i>

Does your proposal have a potential impact on another Service area?

No

6. SIGN OFF

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Position	Name	Signature	Date
Service Manager	Anne-Louise Davies		
Corporate Lead Officer	Alun Williams		
Corporate Director			
Portfolio Holder	Cllr. Gareth Lloyd		

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CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 3rd March 2022

Title: West Wales Population Assessment 2022

Purpose of the report: To provide a summary of the outcomes within the Population Needs Assessment.

For: Information

**Cabinet Portfolio and Cllr Alun Williams and Cllr Catherine Hughes
Cabinet Member:**

1. Under Part 2 of the Social Services and Wellbeing (Wales) Act, regional partners are required to produce Population Assessments providing an assessment of need for care and support and the support needs of carers in their area; an assessment of the extent to which those needs are not being met; details of the range and level of services required to meet those needs and required preventative services; and details of how these services will be provided through the medium of Welsh.

2. Population Assessments must be published once within each local government electoral cycle. West Wales published its first Population Assessment (PA) in March 2017, which is being refreshed during 2022.

3. Welsh Government issued supplementary advice for RPBs regarding the production of the 2022 PA. This included the need to align the PA with new, regional Market Stability Reports, required from 2022.

4. The report attached sets out the process to develop and the key findings of the 2022 West Wales Population Assessment refresh.

The assessment has included a range of areas of need and the attached report provides an overview and key messages of each area as well as identifying gaps and areas for improvements.

The key areas considered are:

Older People

Dementia

Unpaid Carers

Learning Disability

Autism

Children and Young People

Mental Health

Health and Physical Disabilities

Sensory Impairment

Substance Misuse
Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV).

The summary report was presented to Cabinet on the 22nd February 2022
The full Population Needs Assessment report will be presented to Cabinet and Council when finalised.

Wellbeing of Future Generations: **Has an Integrated Impact Assessment been completed? No**
If, not, please state why
Summary:
Long term:
Collaboration:
Involvement:
Prevention:
Integration:

Recommendation(s): **For Information only**

Reasons for decision: **N/A**

Overview and Scrutiny:
Policy Framework:

Corporate Priorities:

Finance and Procurement implications: N/A
Legal Implications:

Staffing implications: N/A

Property / asset implications: N/A

Risk(s):

Statutory Powers: Part 2 of the Social Services and Wellbeing (Wales) Act

Background Papers: West Wales Population Overview Report

Appendices:

Corporate Officer: **Lead**
Donna Pritchard, CLO Porth Gofal

Reporting Officer: Donna Pritchard, CLO Porth Gofal

Date: 8th February 2022

February 2022

West Wales Population Assessment 2022

Summary of report and key issues

1. The West Wales Care Partnership (WWCP) brings together partners from local government, the NHS, third and independent sectors with users and carers with the aim of transforming care and support services in the region.
2. The West Wales region covers the area of Hywel Dda University Health Board (HDdUHB) and includes the council areas of Carmarthenshire, Ceredigion and Pembrokeshire
3. In March 2017 West Wales Care Partnership published the first Population Assessment (PA) for West Wales.
4. Required under Section 14 of the Social Services and Well-being (Wales) Act, this assessment was carried out jointly by the three local authorities and Hywel Dda University Health Board with input from users, carers and colleagues in the third and independent sectors. It provides a detailed analysis of care and support needs, and support needs of carers in the region, the range and level of services required and the extent to which those needs are currently being met
5. The PA is required by Welsh Government to look at the specific needs of the following population groups:
 - Carers
 - Children and Young People
 - People with Physical Disabilities
 - People with a Learning Disability and people with Autism
 - People with a Mental Health condition
 - Older people
 - People with a sensory impairment
 - People involved in Substance Misuse
 - People experiencing Violence Against Women, Domestic Abuse and Sexual Violence
6. PAs must be published once within each local government electoral cycle, so must now be reviewed and published in April 2022.

7. The 2022 PA must take into account the impact of COVID 19. Also, as well as the above population groups the PA must give attention to

- Autism
- Dementia

As specific population groups

8. Welsh Government issued supplementary advice for Regional Partnership Boards regarding the production of the 2022 assessment. This included the need to also produce a separate Market Stability Report (MSR).

9. The MSR will provide:

- An assessment of the sufficiency of care and support in meeting the needs and demand for care and support
- An assessment of the stability of the market for regulated services providing care and support

10. The MSR is subject of a separate report which will detail the findings for consideration and endorsement prior to publication

11. We are then required to produce an Area Plan setting out how we will work together to address the findings and recommendations of our PA and MSR.

12. The West Wales RPB will publish the PA and MSR on [online data portal](#) for the region This contains summary information from the existing PA and Area Plan, alongside core data sets included within the Population Assessment. These are updated on a regular basis.

13. This report provides an executive summary of the finding of the 2022 PA. The report sets out the approach taken and summarises the key findings for each population group.

Recommendations

1. The key findings of West Wales Population Assessment are endorsed
2. The approach to publication is agreed

Approach

1. To complete the 2022 PA, we have built upon the learning from the creation of the 2017 PA and the existing structures and planning activities of the Regional Partnership Board.

This includes utilising:

- Well-established relationships with the three Public Services Boards (PSBs) and a shared commitment to align the development of the Population Assessments and Wellbeing Assessments
 - The evidence base of population and service data, held on the [online data portal](#), which reduced the need for extensive additional data collection
 - Existing population based planning groups to facilitate engagement and consultation events.
 - The results from the Population Assessment survey.
 - The available evidence in relation to the impact of Covid-19, including the initial analysis approved by the RPB in October 2019.
2. We commissioned the Tritech Institute [Home Page - TriTech Institute \(nhs.wales\)](#) to undertake the production of the PA.
 3. This work has been overseen by the Regional Commissioning Programme Group with oversight and scrutiny from all partners. Regular updates have been provided to the Regional Partnership Board
 4. On the 7th December 2022 an Extraordinary meeting of the Regional Partnership Board, in a workshop format shared the initial findings of the PA and the approach taken with members and the approach endorsed.
 5. The PA will be a public document, published on the West Wales Care Partnership website on behalf of Regional Partners.
 6. The PA will be bi-lingual, providing a full report, including all data, analysis and appendices. The PA will also provide a summary & easy read version to ensure it is accessible.

Summary of findings

1. Population overview

According to the Office for National Statistics (ONS) by 2025, the population of the West Wales region is estimated at 389,719, an increase of 1.34% since the 2017 population assessment was undertaken.

- 48.8% of the population in the region live in Carmarthenshire, 18.7% in Ceredigion and 32.5% live in Pembrokeshire.
- 40% of adults in Carmarthenshire; 49% of adults in Ceredigion and 22% of adults in Pembrokeshire speak Welsh.
- 2021 estimates from ONS indicate that people over 65 make up 24.1% of the population in Carmarthenshire, 26.2% in Ceredigion and 26.7% in Pembrokeshire and as large parts of West Wales are both rural and coastal, the area attracts high levels of inward migration of people over 65.

By 2043, current Welsh Government population projections predict an increase in the total population of West Wales to 396,000, with a predicted rise in those aged over 65 to 124,587 or 31.5% of the total population.

2. OLDER PEOPLE

Overview and key messages

West Wales has a higher proportion of older people than average across Wales, with inward migration a major accelerating factor for the growth of the older population. Pembrokeshire has an older population than Carmarthenshire and Ceredigion, with a projected regional increase in those 85 and over of 28% by 2030, with variation as follows: Carmarthenshire=25%; Ceredigion=26% and Pembrokeshire=33%.

People are living longer with increasingly complex issues, whilst wanting to remain in their own homes as independently as possible for as long as possible. COVID-19 has had a significant impact on the physical and mental wellbeing of older people. This is as a result of long periods of social isolation, lack of access to health and care services as well as the direct impact of contracting COVID-19.

Care and support arrangements should be designed with older people, should be flexible and include a range of community, digital and technology-based solutions.

Gaps and areas for improvement

Include:

- Involving older people and their carers in assessment and care planning, including discharge planning
- Helping people to remain independent in their homes for longer through continuing development of digital and telehealth support particularly for those in very rural areas and where transport is an issue
- Providing additional support for carers managing multiple and complex conditions
- Continuing development of community connectivity, well-being and resilience services that address a range of needs including loneliness and isolation
- Increasing supply of alternative accommodation options such as extra-care schemes.
- Ensuring older people and their families can access services through their language of choice and the active offer through the medium of Welsh is available.

The impact of COVID -19:

The COVID-19 has led to widespread social isolation, with lasting implications on mental health of older people. People have delayed seeking help during the pandemic and now are presenting with much more complex health issues.

Due to the reported mortality rates in residential care older people are now far more reluctant to go into residential care creating a greater demand for alternative accommodation.

3. DEMENTIA

Overview and key messages

As life expectancy and inward migration of older people impacts on the percentage of older people in the region, the number of People Living with Dementia (PLwD) in West Wales is expected to increase in the coming decades.

The Dementia Action Plan for Wales (DAP) 2018 – 2022 sets out a clear vision for “Wales to be a dementia friendly nation that recognises the rights of people with dementia to feel valued and to live as independently as possible in their communities.”

Our West Wales Regional dementia strategy is being produced and will inform the development of person-centred dementia pathways, co-produced with users and carers. *(a link to which will be included once it has been approved).*

Key messages are as follows:

- The incidence of dementia on the Quality Assurance and Improvement Framework (QAIF) disease register in Hywel Dda in 2019-20 was 0.7%, in line with the Welsh national average of 0.7%
- In 2016-17 dementia diagnosis rates were one of the lowest in Wales at 45.6% indicating that prevalence rates are likely to be closer to 1.4% although, the number of those diagnosed has increased an average of 3% per annum to 2947 in 2020.
- Over thirty genetic, medical, lifestyle, cultural and societal factors have been identified, which impact the risk of cognitive decline differently depending on gender. Some of these factors increase risk more dramatically in women than in men.

Gaps and areas for improvement

Include:

- Continuing to improve awareness, identification, and diagnosis of dementia, including onset of dementia in younger people
- to ensure timely diagnosis and access to appropriate care and support
- Improving co-production of services by including PLwD
- Increasing diagnosis rates in non-specialist community settings by:
 - Improving training and awareness of new evidence-based best practice dementia models within primary care, based on the Good Work Framework
 - Supporting GPs, allied health professionals (AHPs) and nurses to make assessments
 - Improving quality of referrals into specialist care for those requiring it
- Developing more consistent rights-based person-centred care and support
- Continuing improvements in community support, training and help for PLwD to discuss their diagnosis, navigate/co-ordinate services, to build resilience and maintain balance across all aspects of their life
- Ensuring equal access to physical health services and treatment for PLwD
- Ensuring advance care planning and end of life care is fully embedded in wider inclusive, person-centred care and wellbeing planning
- Improving research into dementia by involving care homes in the region in current research opportunities
- Continuing the development of a "hub" or single point of contact approach for PLwD to access information and support.

The impact of COVID -19:

COVID-19 has had a disproportionately negative impact on PLwD, with dementia being shown as an age-independent risk factor for severity and death in COVID-19 patients.

Although the exact impact on the diagnosis and incidence rate of dementia is unclear, stakeholders have identified that COVID-19 has impacted timely diagnosis due to late presentations.

Full information on the impact of COVID-19 upon those with dementia and their carers is not yet available. However, there is some concern that it may cause damage to the brain in the longer term.

4. UNPAID CARERS

Overview and key messages

2011 ONS Census data indicates there are more than 47,000 known unpaid carers across West Wales, of which, 3,436 were Young Carers (defined as 5-17 years old), representing 12.5% of residents. It is recognised also that there is a considerable number of 'hidden' carers who do not define themselves as such.

Early identification and self-identification of unpaid carers is vital to ensure they access the right help and support at the right time, as well as maintain their own health, well-being and independence.

Support for unpaid carers in West Wales is driven through the West Wales Carers Development Group (WWCDG), a formal sub-group of the West Wales Regional Partnership Board (RPB) and a partnership between Hywel Dda University Health Board, the three Local Authorities of Carmarthenshire, Ceredigion and Pembrokeshire, Third and Voluntary sector organisations and representatives of service users and Carers in West Wales.

The Regional Partnership Board published their Carers Strategy in November 2020. [WWCDG West Wales Carers Strategy 2020-2025](#) The West Wales Carers Development Group (WWCDG) are responsible for ensuring that an annual action plan is in place to respond to the key priority areas.

Gaps and areas for improvement

Highlighted during the engagement session include:

- Continuing improvements in the consistency of approach, information, advice and assistance provided across the region, within a more integrated system
- Reviewing information provided to carers to ensure it is current, relevant, more accessible and easier to find
- Extending use of social media and technology to identify and provide information to carers and maintain regular contact, particularly for young carers
- Developing a single point of contact to help people navigate the system
- Ensuring respite care fits the needs of both the carer and the cared for
- Addressing the challenges of accessing support in rural areas
- Improving the statutory carers assessment process, which can be challenging, often takes too long and may not always consider carers needs appropriately
- Improving delivery of the “active offer” through the medium of Welsh. Carers want to feel comfortable using their preferred language of choice, including languages other than English and Welsh

Young carers report:

- They struggle to have a break, are not seeing their friends and don't have their own space.
- They find it difficult to balance schoolwork, homework and their caring role and can feel stressed, worried and anxious at school, as they are away from the person that relies on them for care
- They may require extra support for their mental health and wellbeing.

The impact of COVID -19:

Caring is such an important part of life and the role of unpaid Carers has become increasingly prominent. A significant number of unpaid carers have sought support with their caring role and in an on-line survey circulated as part of the process to develop the PA, many carers reported:

- Feeling isolated during the pandemic
- Being cautious of people coming into their homes due to the risk in virus transmission, with many choosing to suspend domiciliary care, putting further strain on their wellbeing and mental health
- Experiencing financial pressure, as they have had to take more time off work to support the person they care for
- Concern over the adverse effect of limited social contact on the well-being of loved ones in hospitals and care homes, due to strict visiting restrictions
- Young carers missed the break from caring and social interaction with peers that schooling (suspended during lockdown) usually provides

- Improved access to support due to the increased availability of on-line services in response to the pandemic.

5. LEARNING DISABILITY

Overview and key messages

The population of People with a Learning Disability (PwLD) in West Wales is projected to remain relatively stable. However, projections suggest the number of people diagnosed with severe or profound and multiple learning disabilities (PMLD) is expected to grow by 1.8% each year. The number of older people with a learning disability is set to increase.

PwLD often have additional diagnoses and/or co-existing conditions such as: autism; physical disabilities; sensory and communication impairment. They are more likely to experience poorer physical and mental health and multiple morbidities, often linked to poor diet, low levels of physical activity, smoking, alcohol use and difficulties in accessing preventative health services.

Through the Regional Improving Lives Partnership, PwLD have worked together with partners to develop the [West Wales Charter](#) – a simple list of things they expect, and need, to live fulfilling lives, which is supported by the Welsh Government; County Councils of Carmarthenshire, Ceredigion and Pembrokeshire, Hywel Dda University Health Board and a range of community and 3rd sector organisations.

Gaps and areas for improvement

Include:

- Improving awareness of the needs of PwLD and through training and education of service providers, healthcare workers, families and carers
- Improving the quality of communication with and information for PwLD (easy read)
- Widening access to supported accommodation in a location of choice
- Strengthening access to education, volunteering and paid work opportunities in local communities
- Improving processes for managing transition between children's and adult services and specialist health services
- Supporting self-advocacy for PwLD
- Increasing planning and resources for PMLD and their carers.

The impact of COVID -19:

COVID-19 has had a particular effect on mental health, well-being, health and feeling of isolation for PwLD and their care and support network. There has been a significant impact upon services and care available, such as day opportunities and short breaks which has significantly impacted their health and wellbeing.

Many PwLD have been required to shield during the pandemic, limiting their opportunities to contribute to many of the consultations and planning events around services in LD, including the development of the PA.

6. AUTISM

Overview and key messages

Autism is a term used to describe people with a group of complex neuro developmental symptoms, of variable severity which affects how people communicate and interact with the world. Autism is generally described as a spectrum and can cover a wide range of behaviours and needs. Autism was covered under the Learning Disability chapter in the 2017 PA however, in response to the introduction of the Autism Code of Practice in 2021, a separate Autism chapter is being developed.

The term 'autistic people' rather than 'people with autism', reflects the language preferences expressed by autistic people. The term 'people' refers to children, young people and adults.

Estimates of the prevalence of autism spectrum disorders suggest rates of around 1% in the general population. This would suggest there are about 4000 autistic people living in West Wales. However, there is much debate and the suggestion that not all individuals are identified¹

New services for adult diagnosis have been set up across Wales at a time of rising awareness of the spectrum of autism experiences; however, until recently no studies have examined adult autism prevalence in Wales

Increased rates of diagnosis and more prevalence of autism will require more specialist support in the community.

Feedback from engagement meetings across the region identified the following:

Gaps and areas for improvement:

- Improve waiting times for diagnosis and diagnosis rates for both children and adults
- Improve access to information and advice for Autistic people and their families, including the autism strategy and the associated support services available in West Wales.

¹ (Brugha et al., 2011, 2016; Chiarotti & Venerosi, 2020; Fombonne et al., 2021; Lyall et al., 2017).

- Improve awareness of Autism and the Autistic Spectrum Conditions across health, social care services, education and all public services.
- Greater emphasis on user engagement and coproduction in service development
- Improving the transition for Autistic Young people when they leave school
- Increasing opportunities for volunteering, work experience, employment opportunities and networking for autistic people.

The impact of COVID -19:

The pandemic has impacted on the care and support available for autistic people as many support services were paused. In addition, the uncertainty and frequent changes to routines and rules will, in some cases have had a significant impact upon people’s mental-health and wellbeing. This has placed increased pressure on family members and carers.

For Autistic People the resumption of and reintegration to activities such as education following prolonged periods of lock down has also presented significant challenges.

7. CHILDREN AND YOUNG PEOPLE

Overview and key messages

There are over 82,000 children and young people in the region, approximately 22% of the total population. Although the population of children and young people up to the age of 25 will remain relatively stable, the number of children aged 10-15 in the region is expected to decline by 8% by 2031. It is estimated that 6,105 children and young people live with a long-term condition or disability.

31% of Children in Wales a living in poverty, where families are unable to buy food, clothing and provide a safe place to live. West Wales has seen a dramatic rise in child poverty during the last five years as result of stagnating family incomes, increase of rent and the COVID-19 pandemic. The rate of children living in poverty across the region are:

Area	Rate 2019/20	% Point change since 2014/15
Carmarthenshire	31.3%	2.4%
Pembrokeshire	32.4%	2.1%
Ceredigion	31.8%	2.7%

The region has a lower number of looked After Children (LAC) than the national average. The Capped 9-point score (Year 11 pupils' best 9 results from qualifications available in Wales) is 361.7, above the Wales average of 353.8.

At 14%, the number of young people not in education, employment or training in West Wales is marginally lower than the Welsh average.

Gaps and areas for improvement:

Include:

- Further integration with early years services
- Involvement of children and young people, including care experienced young people and those with complex needs such as disability in the planning of services.
- Further development of preventative and early intervention services, building on established programmes such as Family Information Services, Families First and Team Around the Family and trauma informed models of support
- Considering the importance of physical, mental and emotional wellbeing of children and the key role of community services play in achieving this
- Enhancing partnership working to deliver a '*No Wrong Door*' approach to services so that children and young people receive the support they need regardless of where they enter the system.
- Developing resilience and wellbeing in families to enable children and young people to remain within their families and/ or communities so long as it is safe for them to do so
- Continuing development of multi-agency and individualised approach to supporting children with complex needs
- Developing a regional transition process for children and young people into adult services where appropriate.

The impact of COVID -19:

Children and Young People's Mental Health and Wellbeing has been significantly affected during the pandemic. School closures, quarantine periods, fear of becoming unwell and impact upon older relatives are factors that have contributed to a decline in their Mental Health and Wellbeing.

In addition, Children and Young People from areas of poverty were subject to increased risk of poor Mental Health and Wellbeing. Contributing factors included the increased worry of parent financial insecurity, lack of social support, housing quality and poor nutrition.

Children's Social Services have maintained face-to-face contact for children identified as at risk throughout the pandemic. However, enforced absences from school and time at home has presented significant challenges in identifying and responding to risk.

The region has experienced a rise Children and Young People seeking support with complex emotional and mental health difficulties, including behaviours that challenge.

8. MENTAL HEALTH

Overview and key messages

Our mental health affects how we think, feel and act. A healthy outlook can reduce both the intensity and duration of illnesses, whereas poor mental health can have the opposite effect. It has been shown that depression and its symptoms are major risk factors in the development of coronary heart disease and death after myocardial infarction. Stigma surrounding mental illness is common and can play a role in people potentially hiding issues surrounding their mental health rather than seeking help, which can be mitigated through increasing the information, education and public awareness.

According to the Welsh Government's Together for Mental Health Strategy:

- 1 in 4 adults experience mental health problems or illness at some point in their lifetime.
- 1 in 6 adults are experiencing symptoms at any one time.
- 1 in 10 children between the ages of 5 and 16 has a mental health problem, and many more have behavioural issues.
- Approximately 50% of people who go on to have serious mental health problems will have symptoms by the time they are 14 and many at a much younger age.

The Hywel Dda Mental Health Quality and Outcomes Framework (QOF) register records approximately 4,100 patients in 2019.

Through a range of facilitated engagement sessions we were able to identify:

Gaps and areas for improvement

- Improving integration and communication between services, so that patients with multiple issues have access to the range of support and care needed
- Improving processes for those experiencing crisis, to reduce instances where patients in crisis have difficulty accessing services
- Promoting and supporting self-management by educating people on how to manage their conditions, live more independently and make their own choices.

- Shifting the emphasis to community-based services
- Recognising the effect of COVID-19 and the resulting increased demand for mental health services.

The impact of COVID -19:

COVID-19 has led to increased isolation and a disruption of normal life, which could have short term effects on mental health. It is not clear what the long-term effects of COVID on mental health and wellbeing might be however, in the period immediately before the pandemic, it was reported that 11.7% of Welsh people suffered from severe mental health issues, which reportedly climbed to 28.1% in April 2020.

COVID-19 has also had a worse effect on particular on those groups who already experience poor mental health outcomes, including those from black and minority ethnic backgrounds, those with existing physical or learning disabilities and those in areas of high poverty.

9. HEALTH AND PHYSICAL DISABILITIES

Overview and key messages

Most people in the West Wales region between the age 18 to 64 will not access care and support for a specific need or protected characteristic. Instead, they are served by public health information and national and local programmes designed to encourage healthy lifestyles and practices. These programmes are aimed at reducing specific health risk factors such as cardiovascular disease, often achieved by strategies to reduce obesity and smoking and improve diets.

There are a proportion of people who have a range of specific needs because of physical disability or chronic health conditions that may require extra support to enable them to live as independently as possible.

Gaps and areas for improvement

identified through engagement include:

- Involving people with a range of disabilities at the planning and design phase of new developments and accommodation, to ensure they are easy to use and accessible.

- Improving early identification, treatment and management of preventable and chronic conditions including diabetes, heart disease and respiratory illness, to improve long term well-being and reduce complications.
- Improving appropriate access to a range of information, advice and assistance.
- Increasing use of assistive technology, such as telecare to transform domiciliary care and supported living services
- Improving access support for assisted living. Many of the current rules and regulations about supporting and helping people with disabilities are too rigid.
- Improving access to and communication of financial support such as personal independence payments, disabled facilities grant, direct payments
- Improving the process for home improvements and modifications.
- Increasing the flexibility of step up and down provision to respond to changing needs
- Improving access to transport.

The impact of COVID -19:

COVID-19 has led to widespread social isolation, with lasting impact on physical and mental health for those people having to shield during the pandemic.

People will struggle to access or delay seeking help during and are now presenting later, with much more complex health issues often resulting in worsening comorbidities and prolonged illness.

10. SENSORY IMPAIRMENT

Overview and key messages

Sensory impairment is inevitable with ageing. As sensory impairment can be a significant life-limiting condition, the challenges associated with the condition are likely to grow over the coming decades.

People with sensory impairment are more likely to feel lonely and isolated. Research by RNID in 2000 found that 66% of deaf and hard of hearing people feel isolated due to their condition excluding them from everyday activities.

Sensory impairment is something that cuts across system wide services; it is important that sensory impairment awareness and services are embedded in the whole system of provision.

The combination of two sensory impairments can mean that a deafblind person will have difficulty, or find it impossible, to utilise and benefit fully from services for deaf people or services for blind people. Meeting the needs of deafblind people therefore needs a different approach.

Apart from the day-to-day difficulties, people with sensory impairment also have poorer health outcomes, higher rates of poverty and lower educational achievements than people free from disability.

- Both visual and hearing impairment are projected to increase in West Wales over the coming years
- Accelerating factors for sight loss include diabetes and obesity
- Sensory impairment is associated with increased risk of falls and fear of falling has a major impact on people's ability to remain independent.

Gaps and areas for improvement

- Improving awareness and understanding of sensory impairment
- Improving the accessible implementation standard and developing a process to audit implementation
- Improving provision of accessible information e.g., braille letters
- Extending provision of the interpretation service outside 9-5 and increasing availability of interpreters
- Enhancing record systems such as Welsh Patient Administration System (WPAS) to be able to record more than one impairment

The impact of COVID -19:

The COVID pandemic has contributed to communication difficulties for both hearing and visually impaired people. Access to information has been more difficult to obtain for the visually impaired e.g., reduced access to braille in surgeries. Where services have shifted from face to face to video consultations, they don't work for sight impaired people, who prefer phone conversations.

The pandemic has also led to challenges for hearing impaired people around communication e.g., face masks make lip reading impossible. People with sensory impairment are more likely to suffer from isolation and loneliness, which has been exacerbated by the COVID pandemic.

11. SUBSTANCE MISUSE

Overview and key messages

Welsh Government has recently launched its new [Substance Misuse \(drug and alcohol\) Delivery Plan for 2019 - 2022](#). The new plan builds on the progress made during the lifetime of the 2008-2018 strategy and is a key reference for the PA.

Gaps and areas for improvement

- Improving prevention and harm reduction
- Reducing smoking prevalence levels
- Supporting individuals to improve health and aid maintain recovery
- Supporting and protecting families
- Tackling availability of substances and protecting individuals and communities
- Developing stronger partnerships, workforce development and service user involvement.
- Developing accommodation provision in response to care and support needs

The impact of COVID -19:

The effect of COVID-19 pandemic may have had a significant impact on substance misuse however, at present data is not available.

12. VAWDASV

Overview and key messages

Violence against Women, Domestic Abuse and Sexual Violence (VAWDASV) is a major public health problem, a criminal justice issue, and a violation of human rights. It causes harm to individuals and families, and its impact can be felt across whole communities, societies, and economies and can impact on victims in many ways. For example, sexual violence can lead to a multitude of health consequences including physical, reproductive, and psychological harm.

The Violence against Women, Domestic Abuse and Sexual Violence (Wales) Act 2015, together with the statutory guidance on commissioning sets the conditions and expectations for service developments in Wales, with [progress reported](#) annually.

Gaps and areas for improvement

- Increasing awareness of violence against women, domestic abuse and sexual violence
- Enhancing education about healthy relationships and gender equality
- Ensuring professionals are trained to provide effective, timely and appropriate responses to victims and survivors
- Providing equal access to appropriately resourced high quality, needs led, strength based, gender responsive services
- Improving prevention focussed initiatives e.g. IRIS/Ask Me.

The impact of COVID -19:

Emerging literature suggests that levels of VAWDASV have been impacted by the COVID-19 public health restrictions, including lockdown, shielding and social distancing regulations (Snowdon et al., 2020). Whilst the full picture of how the pandemic has impacted on VAWDASV is still to fully emerge, it appears likely that both the scale and nature of VAWDASV may have worsened, with rising helpline contacts for all forms of VAWDASV and increased reports to emergency services for domestic abuse in some areas (Hohl and Johnson, 2020). Many prevention strategies and programmes have been put on hold or been forced to adapt during the pandemic because of restrictions on movement, face to face interactions and public events. Given the increasing number of reports of VAWDASV during the pandemic, it is more important than ever to promote prevention through the transformation of norms, attitudes and stereotypes that accept and normalise violence.

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CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 3rd March 2022

Title: West Wales Market Stability Report 2022: Executive Summary

Purpose of the report: To provide a summary of the outcomes within the Market Stability Report 2022

For: Information

Cabinet Portfolio and Cabinet Member: Cllr Alun Williams and Cllr Catherine Hughes

Welsh Government requires local authorities, acting together with health boards, to produce Market Stability Reports (MSRs) on a regional partnership board basis. Such reports must assess the sufficiency of care and support services. In addition, the reports must also assess the stability of services regulated by Care Inspectorate Wales (CIW). The publication deadline is 30th June 2022.

Recommendations

Committee is asked to note the MSR, which has been produced on a regional basis to enhance understanding of the regional market for care and support, in line with legislative requirements.

The Market Stability Report is set out under 2 specific Headings:

Sufficiency assessment

Considering first the sufficiency assessment, this must consider:

- An overview of sufficiency against the previous Population Assessment (backward view)
- The extent to which current levels of care and support services are meeting existing demand (current state)
- Issues likely to affect sufficiency over the coming five years (future)

Relevant issues will include:

- Changing patterns of demand
- Expectations of users
- Trends, challenges, risks and opportunities

Welsh Government intend that the sufficiency assessment addresses the needs applying to the defined Population Groups within the Population Needs Assessment and suggest the sufficiency assessment is cross referenced accordingly.

Stability assessment

Secondly, a stability assessment must be undertaken as an additional requirement – but only for regulated services. The stability assessment must assess, for regulated services, the following five aspects:

- Sufficiency (see relevant paragraphs above)
- Quality: inspections, contract monitoring, etc
- Trends (current and developing): user expectations, TEC, demography, etc
- Challenges (current and developing): transparency and mitigation
- Impacts of commissioning and resourcing decisions: funding, fee levels; regional and county approaches; pooled funding

The key areas considered by the report are aligned to those within the Population Needs Assessment:

Older People

Dementia

Unpaid Carers

Learning Disability

Autism

Children and Young People

Mental Health

Health and Physical Disabilities

Sensory Impairment

Substance Misuse

Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV).

This summary report was presented to Cabinet on the 22nd February 2022

The final report will be presented to Cabinet/Council once completed and finalised.

Wellbeing of Future Generations:	<p>Has an Integrated Impact Assessment been completed? If, not, please state why <i>Summary:</i> Long term: Collaboration: Involvement: Prevention: Integration:</p>
Recommendation(s):	Council is asked to note the MSR, which has been produced on a regional basis to enhance understanding of the regional market for care and support, in line with legislative requirements.
Reasons for decision:	N/A
Overview and Scrutiny:	
Policy Framework:	

Corporate Priorities:

Finance and Procurement implications: N/A
Legal Implications:

Staffing implications: N/A

Property / asset implications: N/A

Risk(s):

Statutory Powers: Part 2 of the Social Services and Wellbeing (Wales) Act

Background Papers: West Wales Market Stability Report 2022: Executive Summary

Appendices:

Corporate Lead Officer: Donna Pritchard, CLO Porth Gofal

Reporting Officer: Donna Pritchard, CLO Porth Gofal

Date: 8th February 2022

WEST WALES MARKET STABILITY REPORT



February 2022

West Wales Market Stability Report 2022: Executive Summary¹

Summary of report and key issues

Welsh Government requires local authorities, acting together with health boards, to produce Market Stability Reports (MSRs) on a regional partnership board basis. Such reports must assess the sufficiency of care and support services. In addition, the reports must also assess the stability of specified services regulated by Care Inspectorate Wales (CIW). The publication deadline is 30th June 2022.

Recommendations

Committee is asked to note the MSR, which has been produced on a regional basis to enhance understanding of the regional market for care and support, in line with legislative requirements.

The West Wales Market Stability Report (MSR): Executive Summary

This report is structured into the following sections:

1. Context and legislative requirements
2. Approach and method
3. Findings and implications:
 - regulated services
 - population groups
4. Recommendation

1. Introduction: context and legislative requirements

The Social Services and Wellbeing (Wales) Act has been amended by Regulation to require local authorities to work together, and with health partners, through Regional Partnership Boards, to undertake a Market Stability Assessment (MSA) and to produce a regional Market Stability Report (MSR), which also reflects county circumstances².

¹ This executive summary draws on the commissioned work undertaken by the Institute of Public Care and was produced by Dr Kevin Pett of the WWCP. Use is also made of the Code of Practice and Statutory Guidance on the exercise of social services functions and partnership arrangements in relation to market stability reports. See: <https://gov.wales/code-practice-and-guidance-under-social-services-and-well-being-wales-act-2014>

Considered broadly, MSRs are concerned with the supply of care and support³ and, therefore, in principle, a response to the demand identified through Population Needs Assessments (PNAs). Put another way, PNAs identify 'what', whereas MSRs inform the 'how' of care and support. The Market Stability Report must be published by 30th June 2022.

Though a single report, the regulations require MSRs to comprise two distinct assessments⁴: firstly, an assessment of the sufficiency of care and support services⁵; and secondly, a stability assessment for regulated services. In practice, the second aspect applies as an additional element – but only in relation to regulated services.

Market Stability Reports: two key elements

Sufficiency assessment

Considering first the sufficiency assessment, this must consider:

- An overview of sufficiency against the previous Population Assessment (backward view)
- The extent to which current levels of care and support services are meeting existing demand (current state)
- Issues likely to affect sufficiency over the coming five years (future)

Relevant issues will include:

- Changing patterns of demand
- Expectations of users
- Trends, challenges, risks and opportunities

Welsh Government intend that the sufficiency assessment addresses the needs applying to the defined *Population Groups* within PNAs⁶ and suggest the sufficiency assessment is cross referenced accordingly⁷.

Stability assessment

Secondly, a stability assessment must be undertaken as an additional requirement – but only for 'regulated services'⁸. The stability assessment must assess, for regulated services⁹, the following five aspects:

- Sufficiency (see relevant paragraphs above)

³ All population groups (support services only for carers).

⁴ In undertaking MSRs, local authorities must pay 'due regard' to a range of duties (e.g., equality duty) and conventions (e.g., UN convention on the rights of the child) – see code of practice (page 16).

⁵ 'Care and support' is broadly conceived, to include preventative services, but excluding that provided informally or by family. Wellbeing services, including those offered by GP clusters, should not be overlooked.

⁶ LD, sensory impairment, older people, unpaid carers, disability, mental health, dementia, children and young people, autism, VAWDASV

⁷ The code of practice suggests that the MSR process can be used to meet duties under part 6 of the Act in relation to the sufficiency of accommodation for Looked After Children.

⁸ Care homes, secure accommodation (children), residential family centre, adoption service, fostering, adult placement, advocacy, domiciliary support service.

⁹ In addition, the Welsh language dimension of these five aspects must be considered, alongside the impact of non-regulated services on regulated services (and vice versa).

- Quality: inspections, contract monitoring, etc
- Trends (current and developing): user expectations, TEC, demography, etc
- Challenges (current and developing): transparency and mitigation
- Impacts of commissioning and resourcing decisions: funding, fee levels; regional and county approaches; pooled funding

The above paragraphs describe the main elements needed for undertaking the 'sufficiency' and 'stability' exercises. The code of practice outlines that the MSR 'should', or in some cases 'must' cover a number of other aspects¹⁰.

The relationship between the MSR and other relevant strategic documents is expressed in the diagram overleaf:



* Statutory requirement under the 2014 Act.

2. Approach and method

Following decision at the Integrated Executive Group (IEG)¹¹, The Institute of Public Care (IPC) was appointed to undertake the assessment of market stability on behalf of the West Wales Care Partnership (WWCP)¹². This work culminated in the MSR

¹⁰ See the code of practice from page 27. Examples of additional duties include assessing the contribution of social value and the impact of Direct Payments on regulated services.

¹¹ It was agreed to extend the existing contract in place with IPC for the delivery of an MSR for older adult care homes.

¹² WWCP is the Regional Partnership Board for West Wales.

that accompanies this paper. The MSR has been shaped by five main sources of evidence:

- Analysis of data, both from published sources and bespoke data collections from the three counties and Hywel Dda Health Board.
- Review of key policy documents, strategies, and plans.
- Surveys of providers (administered bilingually online).
- Interviews and focus groups with commissioners and providers.
- Intelligence from the engagement programmes that informed the PNA and well-being assessments - including engagement with citizens, individuals with care and support needs and their carers.

Together these provide a strong evidence base. Working with the teams responsible for the PNA and Well-being Assessments has helped to maximise synergies and avoid duplication.

3. Findings and implications

In January 2021 the Welsh Government (WG) published a White Paper setting out an ambition to rebalance care and support. 'Rebalancing' includes an explicit commitment to a mixed economy of provision 'so that there is neither an over reliance on the private sector (including the voluntary and charity sector), nor a monopoly in the other direction'. The findings from the MSR support active pursuit of this policy direction.

In general, the MSR confirms that the ongoing pandemic has exposed some of the frailties of an already fragile health and care system. In combination with sustained public sector austerity, the pandemic is compounding pressures on the whole system. Market uncertainty is inhibiting private investment and increasing levels of complexity are not being matched by corresponding workforce capacity, placing further pressure upon market stability.

It is unrealistic for this report to encapsulate the detailed findings of the MSR in its entirety. This section therefore draws out only key points.

Sufficiency: population groups¹³

Implications	County variations (where relevant)
Children	
The number of children 0-15 is expected to decline 8% over the next decade (to 2031). There are therefore likely to be sufficient universal services, however, demand for specialist support and services such as CAMHs and residential care which are already hard to source locally may increase. User voice, co-	There is a decline in all counties, with variation as follows: Carmarthenshire=6% Ceredigion=11% Pembrokeshire=10%

¹³ For further detail, please refer to the draft PNA.

production, and integration, including more seamless transitions to adult services, remain key areas for development.	
Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV)	
Incidents of violence against women have increased during the pandemic whilst victims may have found it harder to access services. The complex funding arrangements are a significant risk to ensuring sufficiency of support. There is a growing issue of supporting older victims of domestic abuse.	-2994 incidents were reported across the region in 2018: Carmarthenshire=1215 Ceredigion=1062 Pembrokeshire=717
Unpaid carers	
The amount of care and support given by unpaid carers is projected to increase significantly over the next 10 years as the population grows older. Key issues for the region include improving digital inclusivity of unpaid carers and access to all-age unpaid carer support services and support, especially within rural communities. Young carers need more mental health and emotional support and services. The pandemic has had a significant negative impact upon young carers in terms of increased isolation and mental health / emotion stress.	-The number of requests for support in the region has increased by 2073 in 2020-21: Carmarthenshire=6,071 (was 4,613) Ceredigion=1,092 (was 825) Pembrokeshire=2,918 (was 2,570)
Learning Disability (LD)	
The numbers of people with LD who are more likely to present themselves to health and care services is predicted to remain relative consistent going forwards over the next 10 years – although the number of older people with LD is expected to increase significantly reflecting an improvement in life expectancy. There will be demand for more Shared Lives and supported living accommodation.	-Prevalence is estimated at 0.5% across the Region
Autism	
The PNA identified many people with autism had a general feeling of being unsupported with a need for improved and accessible signposting across the region. Projections suggest numbers will remain stable to 2030. Issues include significant waiting times for diagnosis and limited access to subsequent services and support. The Housing LIN report has identified significant demand for specialist housing in the region for people with Learning Disability and Autism.	-It is estimated that there are around 4,000 people with Autism in the region, broken down as follows: Carmarthenshire=2,000 Ceredigion=750 Pembrokeshire=1,500
Mental Health	
The pandemic is likely to have had a severe impact on mental wellbeing. The long-term impact is difficult to predict not least because the pandemic is ongoing. However, there is a significant risk that there will be a	

legacy of increased mental health problems. The housing needs assessment identifies a need for significant additional units of accommodation over the next two decades.	
Physical disability	
Ensuring access to specialist services for people with a range of more complex needs is particularly challenging in rural areas. This is compounded by existing barriers relating to design and accessibility. Evidence about the sufficiency of specialist services and services for conditions and needs is limited and further work is needed to identify and tackle gaps.	
Sensory impairment	
The numbers are expected to grow significantly in line with an ageing population. A range of support will be needed, including specialist services and equipment, to enable people to access opportunities, including (for those working age) employment.	
Dementia	
The number of people living with dementia is expected to increase significantly with impacts on care and support services ¹⁴ . Locally available bespoke support for early onset dementia may be needed.	-There is a projected regional increase of 41% to 2030 (severe dementia), with variation as follows: Carmarthenshire=41% Ceredigion=37% Pembrokeshire=44%
Older people	
The aging population means that there will be an increasing demand for care and support services including a range of housing options. The complexity of needs will also continue to grow as the number of people living with dementia and multiple co-morbidities increases. The need to grow community support ¹⁵ is even greater given the fragility of the markets for regulated services highlighted in the stability assessments.	-There is a projected regional increase in those 85 and over of 28% by 2030, with variation as follows: Carmarthenshire=25% Ceredigion=26% Pembrokeshire=33%

Stability: regulated services

The Code of Practice defines market stability in terms of a set of characteristics of a well-functioning market for care and support:

- Demand and supply are broadly balanced – i.e. there is sufficient provision of quality care and support to meet demand.

¹⁴ Including support services for unpaid carers.

¹⁵ Including strengthening support for unpaid carers.

- There is a diverse provider base and an element of competition, with no over-reliance on any one provider or sector.
- Individuals who need care and support have a real say and choice over how their care and support needs are met, and providers are readily able to respond to changing demand and expectations.
- Providers are able to access reliable information about the market in order to plan for the future and make investments.
- There is a healthy competitive equilibrium between price and quality.
- There are sufficient levels of suitably trained and motivated staff providing quality care and support across providers.
- Commissioners and purchasers have confidence that providers are financially viable and sustainable, and any risks are clearly identified.
- Entry and exit of providers to and from the market takes place in an orderly fashion without individuals who need care and support being disadvantaged.
- The market is robust enough to withstand shocks, and contingency plans are in place so that the market can respond effectively when providers (especially large or specialist providers) fail or experience operational difficulties.

Implications	County variations
Care homes for children and young people	
<ul style="list-style-type: none"> • The market for children’s homes is not functioning well nationally or regionally. There are currently insufficient places available, partly because of placements made by ‘out of region’ authorities • The WG goal of eliminating private profit from the market is creating uncertainty for both providers and commissioners • A significant shift towards in-house or third sector provision will be required over the next decade to meet the ‘rebalancing’ agenda. This has investment implications • In parallel, investment in evidence-based preventative services can successfully reduce the need for children to be looked after away from their families 	<p>-Carmarthenshire has the fewest children in care homes</p> <p>-Looked After Children are increasing in Ceredigion and Pembrokeshire but declining in Carmarthenshire.</p> <p>-Pembrokeshire has the most placements available (49), then Carmarthenshire (44), and Ceredigion has none.</p> <p>-In house capacity is highest in Carmarthenshire (3 units)</p>
Fostering	
<ul style="list-style-type: none"> • Increased numbers of looked after children regionally¹⁶ and nationally are making it harder to place children • There is considerable uncertainty in the market with the WG commitment to eliminate ‘for profit’ provision and the impact of the 	<p>-Looked After Children are increasing in Ceredigion and Pembrokeshire but declining in Carmarthenshire.</p>

¹⁶ Carmarthenshire has seen a reduction.

<p>pandemic. Growing in-house capacity may be necessary as well as desirable</p> <ul style="list-style-type: none"> • The ultimate constraint is recruiting sufficient foster carers with the skills and motivation to care for children and young people who have typically experienced significant trauma and adversity • Alongside growing in-house capacity, engagement with IFA providers offering placements in West Wales is crucial, both to begin planning for the likely transition to a not-for-profit model, and to make the most of local capacity for West Wales children • Investment in preventative, respite and edge of care services can help reduce the need for children to be looked after away from their families 	<p>-Pembrokeshire has increased in-house fostering places in recent years, with the opposite being true of Carmarthenshire and Pembrokeshire</p>
<p>Adoption</p>	
<ul style="list-style-type: none"> • There is no independent sector involvement in the regional market, but 3rd sector agencies are involved with placement in some cases¹⁷ • Enhancing support to adoptive families will be beneficial to children and will reduce the risk of breakdowns of adoptive placements. West Wales should consider the recommendations from the national evaluation of adoption support 	<p>-Adoption services are provided regionally (including Powys) -Numbers are small (less than 20 in 2021)</p>
<p>Secure accommodation</p>	
<ul style="list-style-type: none"> • Provision is extremely specialist for which there is very little demand from the Region¹⁸. On the rare occasions when a West Wales child needs secure accommodation it may not be available in Wales as there is only one secure unit (Neath) • WG should be alerted if there are concerns about the sufficiency of secure accommodation 	<p>-County variation cannot be discerned (numbers very low)</p>
<p>Residential family centres</p>	
<ul style="list-style-type: none"> • There is insufficient demand for residential family placements to justify commissioning dedicated regional provision 	<p>-County variation cannot be discerned (numbers very low)</p>

¹⁷ If placement cannot be identified in-region, a search will be made through Adoption Register Wales. Those adopters may have been approved by a Voluntary Adoption Agency, another regional adoption service, or an adoption agency in England. The Adopting Together scheme is utilised where children have very complex needs.

¹⁸ Typically, only one or two placements may be required – none in some years

<ul style="list-style-type: none"> Increasing regional parent and child fostering capacity, either in house or commissioned from an IFA will mean residential assessments are even rarer, and would provide local capacity over which commissioners have significantly more influence in terms of cost and quality 	
Domiciliary care services	
<ul style="list-style-type: none"> There is chronic under-supply and the outlook is worsening as complexity increases The domiciliary care market is critical to helping people to live independently and reduce / delay the need for acute health services and residential care. However, it is arguably the sector under the greatest pressure - risking both stability and sufficiency of supply Commissioners and providers need to collaborate to address significant workforce issues across the sector. Ongoing engagement with providers is also needed to develop new models and promote innovation Fee methodologies should reflect issues relating to costs (such as national commitment to the Real Living Wage) Further exploration of investing into community preventative and early intervention solutions to offset demand and increasing levels of complexity is encouraged. There is potential to expand upon community-based early intervention and preventative services 	<p>-Research suggests greatest pressures are in Ceredigion and Pembrokeshire (waiting lists and hand backs)</p> <p>- Carmarthenshire has the most in-house provision (over 50% of hours delivered) and this is growing. Pembrokeshire's in-house provision has gone from 0% to 17% over the last 3 years, (Ceredigion=very limited).</p> <p>-Pembrokeshire had seen an expansion of micro-enterprises to 30</p>
Adult placement (Shared Lives)	
<ul style="list-style-type: none"> Adult placement has growth potential, subject to sufficiency of carer availability Shared Lives is an excellent fit with the challenges and opportunities faced by West Wales The Development Plan should be revisited, and additional resources invested if necessary to overcome any delays caused by the pandemic Consider making an expression of interest for a pilot Homeshare scheme to complement an expanded and diversified Shared Lives service 	<p>-76% of people supported are from Carmarthenshire (plans have been agreed to increase numbers across the Region)</p>
Care homes for working aged adults	

<ul style="list-style-type: none"> • The vast majority of placements accommodate people with learning disability and/ or mental health needs • A more strategic approach to commissioning care homes for younger adults is needed to increase the availability of local provision, including further investment to develop and scale up alternative community provision • Commissioners may wish to consider offering any “spare” in-house provision to other West Wales councils • Investment in dedicated resources and projects for younger adults has the potential to return substantial improvements in quality and better value for money in the longer term, as well as securing capacity • Better data about quality, including the user voice should be a priority 	<p>-Ceredigion has the highest proportion of out of county placement (though also high for Carmarthenshire and Pembrokeshire)</p>
Care homes for older people	
<ul style="list-style-type: none"> • The number of people requiring residential care is unlikely to rise in line with demographic changes but the trend of residents having greater needs will continue • Uncertainty combined with escalating workforce pressures are major barriers to investment and transformation • Market conditions are unlikely to incentivise sufficient investment without more active market shaping and intervention • In-house provision offers control over supply and ensures local authorities retain expertise and capability (critical when risk of provider failure). In-house also offers a context for trialling innovative practice • More specialist and nursing provision especially for people with dementia will be needed. Options include: <ul style="list-style-type: none"> ○ incentivise investment through contracts which share occupancy risks, providing sites, facilitating planning consents and supporting workforce initiatives ○ Consider whether to acquire homes which are at risk of closure either to sustain provision, repurpose for other uses which support people to remain independent, 	<p>-In-house provision is proportionately highest in Ceredigion and lowest in Pembrokeshire</p> <p>-Fee rates differ across the Region and are highest in Pembrokeshire, followed by Ceredigion¹⁹</p>

¹⁹ Except Nursing EMI rates, where Ceredigion’s rate is lowest.

<p>such as supported living, or release the capital to reinvest in new provision</p> <ul style="list-style-type: none"> ○ Consider the business case to develop in-house nursing provision (including taking due regard to registration requirements) to rebalance the market and address market failures ○ Develop in-reach and out-reach models with residential homes at the centre of their communities (also referenced as Hub and Spoke models) 	
Advocacy	
<ul style="list-style-type: none"> • There is a wide spectrum of formal and informal advocacy but only advocacy for children who need care and support or are looked after are regulated • Ensure that the service continues to be promoted through the active offer • Build capacity in wider advocacy services across West Wales to strengthen the voices of user and carers and ensure a diverse pool of skilled advocates • Consider piloting advocacy for parents to complement the statutory offer. • Make the most of learning from advocacy through streamlined reporting processes 	<p>-Regionally commissioned service</p>

4. Recommendation

Committee is asked to note the MSR, which has been produced on a regional basis to enhance understanding of the regional market for care and support, in line with legislative requirements.

CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 03/03/2022

Title: Membership of the Local Access Forum

Purpose of the report: To consider the appointment of members to the Local Access Forum for the period of 3 years from the Summer of 2022.

For: Decision

**Cabinet Portfolio and
Cabinet Member:** Cllr Rhodri Evans

1. Background.

The Council is required to establish a Local Access Forum under the provisions and of the Countryside and Rights of Way Act 2000 associated Regulations (The Countryside Access (Local Access Forums) (Wales) Regulations 2001).

The Forum performs the function of advising the local authority, Natural Resources Wales and others as to the improvement of public access to land in that area for the purposes of open-air recreation and the enjoyment of the area (Section 94(4), CROW Act 2000). In carrying out this function, the Forum should have regard to:

- The needs of land management;
- The desirability of conserving the natural beauty of the area, including its wildlife, geology and landform; and
- Guidance given by the National Assembly for Wales.

2. Forum Membership

The Ceredigion Local Access Forum (LAF) was originally established in April 2002. The Forum membership is for a three-year period, and the Council (as the 'appointing authority') must now appoint members to sit on the Forum for the period 2022 to 2025. Existing LAF members are eligible for reappointment.

The Forum should comprise between 10 and 22 members, including the Chair and Vice Chair (who are selected from LAF members by the Forum itself). In appointing Forum members, the authority must ensure that there is a reasonable balance between:

- a. the interest of users of rights of way and access land; and
- b. the owners and occupiers of access land or land over which public rights of way subsist.

In addition, the authority should seek to ensure that fair balance between persons of different genders, races, ages, disabilities and other characteristics.

The Regulations also provide for observers from the Welsh Assembly Government and Natural Resources Wales to attend Forum meetings. In addition, the Chair can invite other observers to Forum meetings to advise on specialist topics or to represent particular interests.

3. Appointment of LAF members, 2022-25

The appointment process was widely publicised, following both the Councils own guidance on public engagement, and statutory requirements under the Countryside and Rights of Way Act 2000. A total of 19 applications were received for membership of the Forum (see Appendix 1); one applicant subsequently withdrew citing a lack of capacity to fulfil the role.

In accordance with Regulation 6(1) & 6(2) of The Countryside Access (Local Access Forums) (Wales) Regulations 2001, one Council Member will be nominated to sit as member of the Forum. The nomination will have occurred at the beginning of the new administration.

The selection criteria adopted for the appointment of LAF members were:

- a. Local Access Forum members should:
 - be committed to the function of the Forum (the function of the Forum will be to advise the local authority, Natural Resources Wales and others as to the improvement of public access in the area for the purposes of open-air recreation and the enjoyment of the area);
 - be willing and able to play a full part in all aspects of a LAFs work; persons who are only willing or able to represent a narrow specific interest may not be suitable members.
- b. It is desirable that a LAF member will:
 - have a wide range of experience of access issues in the area;
 - have experience of working on, and contributing to, similar Forums in the past;
 - reside in, be particularly familiar with, or have any other interests especially relevant to, the area of the Forum;
 - be able to network with a wide range of organisations and individuals, with an aim to disseminating the LAFs work.
 - be able to attend all meetings of the Forum (deputies will not be permitted).

A limited number of places should be held open to allow the authority to consider the need for additional appointments e.g. to cover particular skills and knowledge in relation to specific issues. Members who fail to attend 3 consecutive forum meetings may be asked to vacate their position on the Forum. Casual Vacancies to the Forum can be filled at an time during the 3 year term provided the maximum number of 22 members is not exceeded.

Has an Integrated Impact Assessment been completed? If, not, please state why N/A – this is not a policy or service change

Wellbeing of Future Generations:
Summary:
Long term:
Collaboration:
Involvement:
Prevention:
Integration:

Recommendation(s):	The applicants, 1-18 indicated in Appendix 1 be appointed to the Local Access Forum for the period 2022-2025
Reasons for decision:	To satisfy the statutory requirements under the Countryside & Rights of Way Act 2000. The Countryside Access (Local Access Forums) (Wales) Regulations 2001
Overview and Scrutiny:	N/A
Policy Framework:	Countryside & Rights of Way Act 2000. The Countryside Access (Local Access Forums) (Wales) Regulations 2001
Corporate Priorities:	Boosting the Economy Promoting Environmental and Community Resilience
Finance and Procurement implications:	Secretarial and running costs of Forum to be met through PROW team budget – Economy and Regeneration
Legal Implications:	None
Staffing implications:	To be met through PROW team budget – Economy and Regeneration
Property / asset implications:	None
Risk(s):	None
Statutory Powers:	Countryside & Rights of Way Act 2000. The Countryside Access (Local Access Forums) (Wales) Regulations 2001
Background Papers:	None
Appendices:	Appendix 1 – List of LAF applicants Appendix 2 - The Countryside Access (Local Access Forums) (Wales) Regulations 2001
Corporate Lead Officer:	Russell Hughes-Pickering
Reporting Officer:	Eifion Jones
Date:	31/01/2022

No.	Name	Address	Occupation	Previous Forum Member	Interest in being Chair/Vice Chair Y/N	Interests/Experience
1	Helen Donnan	Bridgend	Access Field Officer Wales BHS	No	No	Equestrian
2	Aeron Jenkins	Lampeter	Farmer	Yes	No	Land Owning/Management Farming
3	Mrs Chris Thomas	Aberaeron,	Farmer, Business Owner	No	Yes possibly	Horse rider Land owner Tourism business owner
4	Application withdrawn					
5	Felicity Wills	Bacn y Darren	Retired	Yes	No	Walking Equestrian Cycling Land Owning/Management
6	Glyn Davies	Llanrhytud	Farmer	Yes	No	Land Owning/Management

						Farming Volunteering
7	David Beale	Tre'r Ddol	Retired	No	No	Volunteer (Adopt a Path) Walker Member of Community Council Cycling Environmental
8	Richard Evans	Abermagwr	Retired	No		Running Walking Volunteering
9	Dawn Drewitt	Llandysul	Retired	No	No	Walker Volunteer (Adopt a Path)
10	Emma Davies	Lampeter	FUW County Executive Officer	No	No	Land owning interests
11	James Williams	Llanybydder	Retired	No	No	Walking Volunteer
12	Mari Davies	Lampeter	FUW Deputy County Executive	No	No	Land owning interests

			Officer			
13	Robert Griffiths	Waunfawr	Retired	No		Walking Volunteering
14	Maurice Kyle	Comins Coch	Retired	No	No	Walking Volunteering
15	Peter White	Lledrod	Retired	No	Yes	History Archaeology Walker
16	Richard Price	Bow Street	Independent financial advisor	No	No	Tourism business owner Walking Nature Cycling Volunteer
17	Robin Young	Blaenporth	Retired	No	Yes	Walker Volunteer Community Council
18	Raymond Rickets	Penparcau,	Part time butcher	No	Yes	Walker Chair of Devils Bridge walking club Amateur Radio Society Volunteer
19	William Bobbett	Abermeuirg	Retired	No	No	Walker Wildlife/Conservation

	Local Authority member					Nominated and confirmed at Full Council meeting 3rd March
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Experience Categories

Walking	13
Equestrian	3
Carriage Driving	0
Cycling	3
Mechanically Propelled Vehicles	0
Access for All	1
Land Owning/Management/Farming	6
Tourism Business owner	2
Conservation	2
Volunteering	9
Access to water	0

STATUTORY INSTRUMENTS

2001 No. 4002 (W.330)

COUNTRYSIDE, WALES

The Countryside Access (Local Access Forums) (Wales)
Regulations 2001

Made

13th December 2001

Coming into force

1st January 2002

The National Assembly for Wales makes the following Regulations in exercise of the powers conferred on it by sections 94 and 95 of the Countryside and Rights of Way Act 2000^[1] and all other powers enabling it in that behalf :

Citation, commencement and application

1. - (1) These Regulations may be cited as The Countryside Access (Local Access Forums) (Wales) Regulations 2001 and shall come into force on 1st January 2002.

(2) These Regulations apply to Wales.

Interpretation

2. - (1) Unless otherwise stated, in these Regulations:

"access land" ("*tir mynediad*") has the meaning given in section 1(1) of the Act;

"the Act" ("*y Ddeddf*") means the Countryside and Rights of Way Act 2000;

"annual report" ("*adroddiad blynyddol*") means the report prepared by the relevant authority under regulation 16(1);

"appointing authority" ("*awdurdod penodi*") has the meaning given in section 94(2) of the Act but includes, where the context so requires, one or more appointing authorities acting jointly with respect to a forum established under regulation 3(5) in accordance with such arrangements as are agreed between the relevant appointing authorities for that purpose;

"forum" ("*fforwm*") means a local access forum established under section 94(1) of the Act and includes a joint access forum similarly established;

"local rights of way" ("*hawliau tramwy lleol*") has the meaning

given in section 95(3) of the Act;
"the National Assembly" ("*y Cynulliad Cenedlaethol*") means
the National Assembly for Wales;
"person presiding" ("*y person sy'n llywyddu*") has the meaning
given in regulation 15(3).

(2) Unless the context otherwise requires, in these Regulations any reference to a numbered regulation is a reference to the regulation bearing that number in these Regulations and any reference in a regulation to a numbered paragraph is a reference to the paragraph bearing that number in that regulation.

Establishment of a forum

3. - (1) Subject to paragraph (3), an appointing authority must establish a forum or forums for the whole of the area for which it is the appointing authority.

(2) An appointing authority may either establish a single forum for the whole of the area for which it is the appointing authority or, alternatively, a number of forums, each for such part of the area for which it is the appointing authority as it thinks fit.

(3) The duty imposed on an appointing authority by paragraph (1) does not apply to the area for which it is the appointing authority or to a part of that area if there is in force in relation to that area or that part of that area a direction given by the National Assembly under section 94(8) of the Act.

(4) The appointing authority must discharge the duty imposed by paragraph (1) within one calendar year of the date on which these Regulations come into force.

(5) An appointing authority may, with respect to any area for which it is the appointing authority or part of that area, discharge the duty imposed by paragraph (1) by appointing a forum jointly with one or more other appointing authorities, in accordance with such arrangements as it may make with such other appointing authority or authorities, in respect of an area which includes that area or part of that area.

(6) Where the appointing authority considers it appropriate to establish a forum for part of its area, it must, in considering the area which that forum is to cover, consult with such local authorities and other bodies as it thinks fit.

Membership of a forum

4. - (1) A forum must consist of a Chair and Deputy Chair, appointed in accordance with regulation 12, and a Secretary, together with not less than 10 and not more than 20 other members (or such other number of members outside that range as the National Assembly may authorise in writing).

(2) A forum is to be regarded as having been established on the date specified by the appointing authority in the letters of appointment it sends to persons who are to be appointed as members of that forum, that date being the date of the first meeting of the forum.

(3) A person's membership of a forum continues until the expiry of the period of 3 years from the date of the first meeting of the forum, or such shorter period as is specified by the appointing authority in the letters of appointment referred to in paragraph (2), unless that person's membership terminates in accordance with regulation 14.

(4) A person who ceases to be a member of a forum is eligible for re-appointment.

5. - (1) An appointing authority may, in addition to appointing members in order to fill casual vacancies in the membership of a forum, at any time appoint further members to a forum provided the total number of members, excluding the Chair and Deputy Chair, does not as a result exceed 20 (or such other number as may be authorised by the National Assembly pursuant to regulation 4(1)).

(2) When a casual vacancy arises in the membership of a forum, the appointing authority may refrain from appointing a member to fill that vacancy provided the membership of the forum, excluding the Chair and Deputy Chair, does not as a result fall below 10 (or such other number as may be authorised by the National Assembly pursuant to regulation 4(1)).

(3) Before an appointing authority exercises its power under paragraph (1) to appoint a further member or members of a forum in addition to any required to fill a casual vacancy, or its power under paragraph (2) to refrain from appointing a member to fill a casual vacancy in the membership of a forum, it must consult the forum and such other bodies as it thinks fit.

6. - (1) Where the area of a forum falls entirely within the area of the appointing authority, that authority must appoint one (but may not appoint more than one) member to a forum who is either an officer or member of the appointing authority.

(2) Where the area of a forum falls within the area of more than one appointing authority and there are -

(a) two appointing authorities, each appointing authority in respect of that forum must appoint one (but may not appoint more than one) member of the forum who is either an officer or member of that appointing authority;

(b) more than two appointing authorities, the appointing authorities in respect of that forum must appoint, in accordance with arrangements as shall have been agreed by those appointing authorities at the time the forum is established, no more than a total of two members of the forum who are either officers or members of appointing authorities.

7. When considering what persons to appoint as members of a forum, an appointing authority:

(a) must consult such individuals and organisations having an interest in the functions of the forum as it thinks fit;

(b) must place an advertisement in a newspaper circulating in the locality of the forum giving persons an opportunity of expressing an interest in becoming a member of a forum;

(c) may invite any organisation having an interest in the functions of the forum to nominate a person for consideration by the appointing authority for membership of the forum;

(d) must have regard to the desirability of appointing persons who reside in, or are otherwise particularly familiar with, or who have any other interests especially relevant to, the area of the forum;

(e) must ensure that the membership of the forum achieves a reasonable balance between the interests of users of local rights of way or the rights of access conferred by section 2(1) of the Act and of owners and occupiers of access land or land over which local rights of way subsist;

(f) must have regard to the need to ensure, so far as is reasonably practicable, a fair balance between persons of different genders, races, ages, disabilities and other characteristics.

8. An appointing authority must not appoint as a member of a forum

any person who appears to the authority to have or to be likely to have such pecuniary or other interest in the matters on which the forum is required to advise as is likely to have a substantially adverse effect on the ability of that person properly and effectively to discharge the function of a member of the forum.

9. Before appointing a person as a member of a forum the appointing authority must require that person to provide it with such information as it may reasonably require for the purpose of assessing that person's suitability to be a member of that forum.

Administration of a forum

10. - (1) The appointing authority must in relation to each forum appoint a person (who shall not be a member of the forum) to act as its Secretary and to be responsible for the administration of a forum.

(2) Notwithstanding the generality of paragraph (1), the duties of the Secretary include -

(a) arranging meetings and the drawing-up, keeping, production and submission to the next meeting, of minutes;

(b) managing any financial resources provided to the forum for its use in the exercise of its functions;

(c) ensuring that -

(i) notice of a proposed meeting;

(ii) a copy of the agenda drawn up by the Secretary in consultation with the Chair and Deputy Chair and specifying the principal business proposed to be transacted at a meeting; and

(iii) any other papers relevant to a meeting;

are delivered, either in person or by post to such address as a member may specify for the purpose, to each member of the forum so as to be received (or in the case of delivery by post so as to be delivered in the normal course of posting) at least seven clear days before the date of a meeting;

(d) drawing to the attention of the forum the provisions of any national codes of practice, guidance issued by the Countryside Council for Wales or the National Assembly for Wales and statutory requirements to which the forum is to have regard

when exercising its functions;

(3) The Secretary must be present at all meetings of a forum and may attend meetings of any committee established under regulation 13.

(4) In the event of the temporary incapacity of the Secretary the appointing authority must appoint an Acting Secretary to discharge the duties of the Secretary during the period of that incapacity.

11. The appointing authority must defray all reasonable expenses incurred by a forum in discharging its functions including such expenses (other than loss of earnings and other costs directly related to a person's employment) reasonably and necessarily incurred by the Chair, Deputy Chair and members of the forum in attending meetings.

Appointment of Chair and Deputy Chair

12. - (1) The Secretary must -

(a) at the first meeting of the forum held after the meeting at which the appointment of all members of the forum takes effect (whether upon establishment of the forum or upon the appointment of members after the membership of all members ceases under regulation 4(3)), ensure that the first item of business to be conducted is the election of the Chair and Deputy Chair; and

(b) on a subsequent vacancy in the post of Chair or Deputy Chair, ensure that the first item of business to be conducted at the next meeting of the forum is the election of a Chair and/or Deputy Chair, as required.

(2) The Chair and Deputy Chair shall be members of the forum to which they are to be elected Chair and Deputy Chair and shall be elected by the other members of the forum by secret ballot.

(3) The Secretary must preside at any meeting of the forum until the Chair and Deputy Chair have been elected and must conduct the election of the Chair and Deputy Chair.

(4) If the result of the first or any subsequent ballot is that a candidate receives the votes of more than one-half of the members voting the Secretary must declare that person elected.

(5) If the result of the first or any subsequent ballot is that no candidate receives the votes of more than one-half of the members voting the Secretary must conduct a further ballot excluding the

candidate who received the lowest number of votes at the previous ballot.

(6) In the event that on any ballot there is an equality of votes between two candidates and the number of votes which they each receive is less than that received by any other candidate the Secretary must determine by lot which of them is to be excluded from any further ballot.

Establishment of a committee by a forum

13. - (1) The members of a forum may, with the agreement of the Chair, establish such committee or committees of members as they think fit.

(2) Subject to anything contained in these Regulations to the contrary, where a committee is established, the manner in which it is chaired, the appointment of its members, and its terms of reference are to be decided by the members of the forum which established it.

Termination of membership

14. - (1) A person's membership of a forum, including that of the Chair and Deputy Chair, terminates on the happening of any of the following events:

- (a) the expiration of the term of membership;
- (b) the death of the member;
- (c) the receipt by the Secretary of written notice of resignation of a member;
- (d) the giving by the appointing authority of written notice to a member that, in the opinion of the authority, the circumstances are such that had the authority been considering whether to appoint that person as a member of the forum it would have been prevented from doing so by the provisions of regulation 8;
- (e) the giving by the appointing authority, after having consulted the forum as to the proposed action, of written notice to a member of specified circumstances which, in the opinion of the authority, make it desirable in the interests of the effective conduct of the functions of the forum that the person in question should cease to be a member;
- (f) the election of the member as a member of the appointing authority or the appointment of the member as an officer of the

appointing authority or, where a forum has been established by more than one appointing authority, of any of those authorities;

(g) the failure of a member to attend any meeting of a forum, or meeting of any committee of the forum, over a continuous period of 12 months unless the member has, following a written request to the appointing authority made within that period and specifying the reasons for the request, been granted leave of absence by the appointing authority for such period as the appointing authority may think fit in which case the period of 12 months specified in this paragraph is not to include any period to which such leave of absence relates.

(2) The Secretary must notify the appointing authority of any vacancy in the membership of the forum of which the appointing authority are not or may not otherwise be aware and an appointing authority which becomes aware of any such vacancy must, subject to regulation 5, appoint a person to fill that vacancy.

(3) If a member of a forum is elected Chair or Deputy Chair of that forum the appointing authority must, subject to regulation 5, appoint a person as a member of the forum as if the person elected Chair or Deputy Chair had ceased to be a member of the forum.

Conduct of meetings of a forum

15. - (1) The first meeting of a forum after the meeting at which the appointment of all members of the forum takes effect (whether upon establishment of the forum or upon the appointment of members after the membership of all members ceases under regulation 4(3)), is to take place at such time and place as may be decided by the appointing authority, its agenda is to be decided by the appointing authority, and the Secretary is to preside over it, but thereafter the forum may meet at such intervals as it considers appropriate, but must meet at least twice in each twelve-month period calculated by reference to the date on which it was established.

(2) Meetings of the forum may be held on such days and at such places as may be agreed by the members and shall be open to the public unless the person presiding rules that a particular item of business to be considered at a meeting makes it appropriate for the public to be excluded during consideration of that item of business.

(3) At any meeting of the forum, the person who is to preside (the "person presiding") is, subject to regulation 12(3), -

(a) if present, the Chair;

(b) if the Chair is absent, the Deputy Chair; or

(c) if the Chair and Deputy Chair are absent, such member as the members present choose.

(4) No business may be conducted by a forum unless the number of members present, excluding the person presiding, exceeds one-third of the total membership.

(5) Subject to anything contained in these Regulations to the contrary, or to any guidance given by the National Assembly under section 94(6)(c) of the Act, a forum may regulate its own procedure.

(6) The proceedings of any meeting shall not be invalidated if any person so entitled fails to receive any notice or other documents relevant to the meeting concerned which are otherwise required to be delivered or sent under these Regulations.

(7) The minutes of the proceedings of a meeting (which shall include the names of those members present and absent) shall be drawn-up, submitted for agreement at the next meeting and be signed by the person presiding at that next meeting.

(8) The Chair may invite observers and/or advisers to a meeting, and those invited may, if the person presiding considers it appropriate, contribute to the proceedings of the forum.

(9) A representative of the National Assembly and/or the Countryside Council for Wales, and any officer of an authority which (in respect of the forum concerned) is an appointing authority, may attend any meeting of the forum, or of a committee established by that forum, as an observer.

(10) When the person presiding considers it appropriate to put any question to a vote, the person presiding must formulate that question, in writing if requested, and any vote is to be by show of hands of those members present (except that the person presiding shall not be entitled to vote unless there is an equality of votes, in which case the person presiding is to have a casting vote).

Annual reports

16. - (1) An appointing authority must, in relation to each forum for which it is the appointing authority, prepare and approve, as soon as reasonably practicable after 31 March in each year, an annual report.

(2) An annual report prepared under paragraph (1) must include -

(a) information relating to the performance of the forum's functions during the twelve-month period ending on the date referred to in paragraph (1); and

(b) a programme of works which has been agreed between the forum and the appointing authority which the forum plans to undertake during the twelve months commencing immediately after that date.

(3) A copy of the annual report must, when it has been approved, be made available for inspection by members of the public at the offices of the appointing authority during normal office hours free of charge.

(4) An appointing authority must, on application by any member of the public, provide that person with a copy of any annual report prepared and approved under this Regulation, or of any part thereof, on payment of the cost of postage and such further sum not exceeding 10 pence per page as the appointing authority may require.

Notification of appointments etc.

17. The appointing authority must:

(a) notify the Countryside Council for Wales (the Council) of the names and addresses of all persons appointed to be members (including Chairs and Deputy Chairs) of forums and of any changes in the membership of those forums;

(b) send to the Council a copy of each annual report when approved; and

(c) provide the Council on request with such other information as to the activities of any forum as the Council may reasonably require.

Signed on behalf of the National Assembly for Wales under section 66(1) of the Government of Wales Act 1998^[2].

D. Elis-Thomas

The Presiding Officer of the National Assembly

13th December 2001

EXPLANATORY NOTE

(This note does not form part of the Regulations)

Section 94(1) of the Countryside and Rights of Way Act 2000 ("the Act") requires a local access forum ("forum") to be established by local highway authorities or, where the area to be covered by a forum is the responsibility of a National Park, the National Park authority ("appointing authorities").

Where a forum is established for part of its area, the authority establishing it is under a duty to establish a further forum or forums for the remaining part or parts of that area.

A joint local access forum may be established by two or more appointing authorities if they consider it appropriate to do so.

Local access forums will advise bodies exercising functions conferred by the Act on issues concerning the improvement of public access to land and such other matters as may be prescribed by future Regulations.

Sections 94 and 95 of the Act empower the National Assembly for Wales to make regulations to provide for the establishment and operation of a forum.

In exercise of these powers, these Regulations provide the procedure to be followed by the appointing authority in establishing, and for the appointment of members to, a forum, and provide rules governing the procedures of forums.

Regulation 3 lays down the procedures under which appointing authorities are required to establish forums.

Regulation 4 fixes the limits to the size of forums.

Regulations 5 enables an appointing authority to vary the size of a forum during its term.

Regulations 6 to 9 set out the provisions relating to the appointment of members of forums.

Regulations 10 and 11 provide for the administration of a forum and for the appointment of a Secretary for this purpose and for the provision of financial support for the activities of forums.

Regulation 12 lays down the procedure for the election of a Chair and Deputy Chair of a forum.

Regulation 13 provides for the establishment by a forum of committees.

Regulation 14 deals with the circumstances under which a person's membership of a forum terminates and provides for the filling of casual vacancies.

Regulation 15 sets out the procedures and requirements to be followed with regard to the conduct of a forum's meetings.

Regulation 16 provides for annual reports to be prepared in relation to forums.

Regulation 17 provides for the provision to the National Assembly of information relating to the membership and activities of forums.

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CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 3rd March 2022

Title: Community Housing Proposal

Purpose of the report: To consider proposals for the introduction of a Community Housing Scheme that will provide younger generations with a better pathway to home ownership.

For: Decision

Cabinet Portfolio and Cabinet Member: Cllr Rhodri Evans, Cabinet Member for Economy and Regeneration

BACKGROUND:

On the 29th November 2021 the Independent Group presented a paper setting out a vision towards creating a pathway to Home Ownership for the Younger Generation of Ceredigion. The vision had been drafted in response to the economic situation facing young people in Ceredigion and the lack of opportunities to enable them to purchase their first home.

Evidence was presented to show that due to the economy in Ceredigion there are limited opportunities for young people to be able to purchase a first home.

The Committee were supportive of the proposal and all recognised the need to develop a scheme that would support and enable young people to purchase their first property that would also benefit the County's economy and culture. It was therefore agreed that:

(i) the 'Vision towards creating a pathway to Home Ownership for Younger Generation of Ceredigion' was supported and passed to Officers to work up the viability of the scheme;

(ii) following consideration of the scheme, Officers revert to the committee with their recommendations;

(iii) if the scheme was ultimately approved by Council, the preferred funding option was to be modelled into the annual budget setting.

A report has subsequently been considered by the Corporate Resources Overview and Scrutiny Committee on the 7th February and by Cabinet at its meeting dated 22 February and recommended for approval by Council.

KEY POINTS IN THE VISION

That some form of shared equity scheme would assist people accessing the market. Whilst existing affordable housing meets a wide range of needs in the County there is insufficient stock or mechanisms to help meet all needs. There is also an intermediate need because existing affordable housing is inaccessible due to social rented accommodation being prioritised to those most in need and being unable to meet existing eligibility criteria for affordable houses to purchase.

Eligibility criteria for a new option centred around:

- New properties with a value of less than £250k
- To occupiers not being able to borrow 20% more than the value of the house
- To the house being an occupiers sole property
- To the occupier having a local connection through birth, schooling, employment and the length of time they've resided in the County
- This to be managed in a similar way to existing purchasers of affordable housing.
- That a share of equity was controlled by way of a charge on the property.

Options were put forward to finance the scheme that included an annual premium of £200K from Revenue Support Grant (RSG). The £200K can be used to guarantee the repayments on a bank loan. A figure of £200K would raise £2m (based on each £100k = capacity to borrow £1m). Other options included use of Social Housing Grant funding, S106 planning payments and Second and Empty Homes premiums.

The Council could also consider re-introducing a scheme to help with mortgages by offering mortgages with a deposit guarantee scheme. The previous scheme supported people to obtain a mortgage for up to 80% of the purchase price with only a 5% deposit from the potential buyer, with the council guaranteeing the remainder of the 15% deposit for up to 5 years.

The paper concluded that whilst Ceredigion certainly has an affordable housing needs issue, it is worth noting that a significant amount of work has already been undertaken and remains ongoing to service these needs. There are 4000 affordable homes county-wide available (approximately 12% of total housing stock) and an additional (on average) 45 delivered every year. At present a Strategic Viability Assessment is being conducted county-wide by the Housing Policy team, to identify where and how much affordable housing contributions can be considered within the Local Development Plan Review document (LDP2). They are working with the Economy and Regeneration team to complete a strategy for self-build and live/work units on council-owned land. The Housing team are considering alternative models of delivery including the re-introduction of a local Home Buy scheme and working with the development bank of Wales to secure finance for self-builders.

The introduction of any future schemes will be of benefit to the residents of Ceredigion, as it widens the scope and availability of affordable products in helping the youngsters of Ceredigion to access homes.

APPRAISAL OF PROPOSAL

Need

The evidence provided with the paper to the Scrutiny Committee in November has been updated. The conclusions remain the same: there are significant challenges within the County for those seeking to access housing in particular those looking to buy in the open market for the first time.

Recent trends, and in particular the increase in demand for properties in the county combined with limited supply, have created a housing boom with house prices reaching record levels. The 'evidence of need' for further support is clear, particularly in relation to affordability and in creating opportunities for people to live and stay in the county. Tackling these issues through schemes such as community-led housing aligns closely to the local housing priorities of the Council and the Future Generations Commissioner.

Options

Officers have reviewed the proposal and other options for tackling these issues. These include shared equity, rent to own and self-build options and undertaken some initial financial modelling to assist forming a view. The following information captures the current view on those options.

a) Shared Equity

A form of shared equity scheme similar to that proposed would be possible subject to some amendments. There are already some similar approaches available in the County e.g. Help to Buy Wales, Home Buy schemes supported by Welsh Government and Registered Social Landlords.

An approach which has previously been successful in Ceredigion and in line with Welsh Government policy ambitions and future intentions of the housing team, would be to create a local 'homebuy' scheme. Eligible potential buyers get a mortgage for 60-80% of the purchase price and the council owns the remaining share. At agreed intervals the occupants can at a pre-determined price stair case up to purchase more and more of the share of the home. Alternatively at some future point when they chose to move on and sell the house the initial percentage share of the value at sale becomes payable to the Local Authority.

The Council introduced a similar low cost ownership scheme in the mid-1990s. Individuals purchased their own properties with standard mortgages and then alongside that the Council gave an interest free loan for up to 30% of the purchase price. Loan repayment crystallises on sale, with repayment based on the original loan %age against the original purchase price then being applied to the sale price. (e.g. £15k loan against £50k purchase results in a repayment of £60k if it's now sold for £200k).

There are still x28 properties on our Low Cost Home Ownership Register with original loan values totalling £375k and now likely to be worth at least 4 times this amount. These are treated as Deferred Capital Receipts on the Balance Sheet and

result in a real Capital Receipt when repayment crystallises.

Experience to date shows a track record of loans remaining in place for long periods of time so Council benefits from long term property market movements.

Funding for a trial could come from the existing Second Home Owner Premiums reserve, this should be sufficient to fund around 7 to 10 loan facilities. Further funding could then be added by using future premiums or other sources.

Caps and eligibility would need to be developed further but are likely to be similar to those in the proposal. It is however suggested that occupancy criteria mirrors that of the existing affordable housing schemes in order to ensure those in genuine need are utilising it and it complies with legislative requirements such as the Equalities Act 2010. (See Appendix 1).

As demand could outstrip supply, having a capped number or pot would be necessary to manage demand. Over time the shares of the dwelling the Council owns should increase in value thus ensuring no loss of capital and when returned can be recycled to provide to support others (albeit experience has shown recycling funds to be slow).

It is understood such a scheme would operate legally as a 2nd charge on the property and therefore no S106 agreement would be required. It is a straightforward process to start, thus offering a simple to manage quick win. Furthermore, it relies on existing and new-build housing market stock – offering opportunities for young people to access the house of their choice in the location of their choice.

b) Rent to Own

A Rent to Own approach has been trialed in a number of locations by different housing agencies with various models. Essentially offering a part rent part purchase option. With people paying a portion of rent to the scheme manager and a portion to a regular mortgage company; in time building a nest egg from the rental income to use as further deposit to staircase up to a higher percentage of ownership.

Welsh Government and other bodies have tried to operate a similar scheme; however, this has now ceased. Effectively the occupants paid a mortgage and a rent, and after 2 years and before 5 years in the property they could staircase up to full ownership by building a deposit through the rent paid for the additional mortgage borrowing. These properties tend to be new build to limit maintenance requirements of the 'landlord', and thus availability of such units is limited to new developments in certain locations.

In reality, such schemes prove difficult to manage and maintain viability, with many occupiers choosing not to staircase up and / or rent arrears causing significant problems. Viability of such schemes has also proved difficult as counties such as Ceredigion have traditionally areas of high and low rent with viability very geographically spread and the scheme being aimed at Intermediate tenures (effectively part owners). This means that they are usually not eligible for Local Housing Allowance (LHA) even if they were given the variability of rental levels across Ceredigion suggests in a number of locations LHA would not cover their

costs.

In order to proceed with a rent to own type scheme, detailed viability work will be required and a mechanism for addressing staircasing and payment of rent as well as outlining what percentage of rent is effectively savings. Situations where applicants are unable to staircase up and / or become in rent arrears would also need to be addressed. The Local Authority would need to be mindful that there would be a resource implication with such a scheme in managing tenancies, managing savings for the deposits, supporting tenants in a staircasing up / rent arrears scenario and if in time eligible occupiers were unable to staircase up – acting as a landlord with maintenance implications in perpetuity.

c) Self Build

Developing a self -build pathway for affordable home ownership is an existing priority of the Economy and Regeneration Team and a pilot project has been introduced to outline the key issues in managing such a model. Further council owned sites have been identified that could be made available for self-build plots and work on such a scheme remains ongoing including utilising the Land and Building Development Fund to bring forward such schemes. However, it is a longer-term ambition, as delivery partners, planning and detailed viability work is required to ensure the merit of such schemes.

CONCLUSIONS

The Paper presented to the previous scrutiny committee rightly highlights the challenges facing the County and the need for additional options for people to access housing they need.

It is recognised that whilst there is existing stock of over 4000 affordable homes (over 12% of the total housing stock countywide) across Ceredigion of varying tenures, including over 400 'Intermediate Tenure' products delivered over the last 15 years, it simply isn't enough to meet demand. As set out, the existing properties are generally restricted to those people in most need (Social rented) and those people eligible to purchase under the Affordable Housing scheme. There remains a group of people who we may consider in 'intermediate need' who wish to purchase or rent properties in their local communities who are 'priced out of the market' due to the increasing demand for rural properties and availability of affordable units in rural settlements. Therefore supporting these young people to remain in their communities is where 'community housing' could assist.

By pursuing the Shared Equity model outlined above the Local Authority could support people to find suitable accommodation from the existing stock amounting to over 30,000 homes in the location of their choice. Whilst the Council would in effect be offering an interest free loan, which may take time to crystallise, the approach would mutually beneficial for the Council and the sellers.

The Council could consider a 2-strand approach:

1. Short to medium term reinvigorate/pilot. This would be a shared equity type product using existing £650k + from the Second Homes Premium with the

addition of whatever is added to the pot this year. This could potentially support the equity share at up to 40% of average market values to 8 applicants.

2. Medium to longer term: To potentially pursue a goal to do more specific work around Council owned sites, aiming to release them for intermediate housing. This would be within the confines of Housing Revenue Account and an understanding of internal capacity in managing such schemes. Such a project would need dedicated officer time to secure consents and manage the process but this is already being considered as part of the Asset Development Panel remit.

Approaching matters in this way would see a phased approach to implementing the Independent Groups vision to help people in the County with the details of the shared equity scheme worked up and agreed within 12 months of the Council decision. Work on extending the options available to help local people would take place concurrently with the aim of agreeing details and implementing those in years 2 and 3 of the new political administration.

Has an Integrated Impact Assessment been completed? If not, please state why	An IIA is pending subject to further discussions when the scheme is drawn up.
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Wellbeing of Future Generations:

Summary:
Long term:
Collaboration:
Involvement:
Prevention:
Integration:

Recommendation(s): That Council consider the report and agrees that:

1. The Council decision 24/3/16 Minute 12) Report of the Deputy Chief Executive upon the Council Tax Premiums for long-term empty homes and second homes, point 4 be amended as follows:

“4.a) The level of Council Tax Second Homes Premium charged to be set at 25% (with effect from 1 April 2017); and,

b) that all monies raised from the 25% Council Tax Second Homes Premium (net of the Council Tax refunds), be ring-fenced and used to support the Community Housing Scheme.”

2. That all monies raised from the 25% Council Tax Second Homes Premium between the period 1/4/17 to 31/3/22 (net of Council Tax refunds), to be ring-fenced and used to support the Community Housing Scheme.
3. That all monies raised from the 25% Council Tax Second Homes Premium from 1/4/22 (net of the Council Tax refunds), to be ring-fenced and used to support the Community Housing Scheme.
4. That from 1/4/22, all monies raised from the 25% Council Tax Empty Homes Premium (net of the Council Tax refunds), be ring-fenced and used to support the Community Housing Scheme.
5. That Council decision 16/3/17 minute 8.b) Council Tax Premiums on Second Homes, be revoked.
6. That details of a shared equity element of the scheme are prepared and agreed within 12 months of the Council decision and that work continues on the other options.
7. The possibility of establishing a Community Benefit Scheme be deferred for one year.

Reasons for decision:

1. In order to prepare and implement a Community Housing Scheme that acts on the vision set out by the Independent Group.
2. To implement a scheme that supports people within the County to access housing that meets their needs.

Overview and Scrutiny:

Papers have been presented to the Corporate Resources Overview and Scrutiny Committee on the 29th November 2021 and 7th February 2022.

Policy Framework:	Housing and Planning Legislation and Guidance
Corporate Priorities:	Corporate Strategy Priorities 1 to 4.
Finance and Procurement implications:	To consider as scheme is developed
Legal Implications:	To consider as scheme is developed
Staffing implications:	To consider as scheme is developed
Property / asset implications:	To consider as scheme is developed
Risk(s):	To consider as scheme is developed
Statutory Powers:	
Background Papers:	Reports to the Corporate Resources Overview and Scrutiny Committee 29/11/2021 and 07/02/2022. Community Housing – Evidence of Need December 2021
Appendices:	Appendix 1 - Eligibility Criteria
Corporate Lead Officer:	Russell Hughes-Pickering, Economy and Regeneration
Reporting Officer:	Russell Hughes-Pickering
Date:	08/02/2022

Appendix 1 – Eligibility Criteria

Properties

- Those up to £250k

Loan

- Owner to take 60-80% Mortgage in the Property
- Remainder to be made up of 20-40% interest free loan
- Loan to be repaid on sale on proportionate basis to any increase in value (e.g. a 10% increase in the value of the house from say £200k to £220k over a 5 period would result in a corresponding increase in the share to £55k where an initial £50k sum was invested by the Council).

Occupancy Criteria

- As per those defined in the Local Development Plan (See below)

Notes:

It is recommended that the planning policy team manage the eligibility of the community housing rather than a third party on the basis that no banding assessment. The criteria would also be the same as those applied currently and managed by the planning policy staff.

When undertaking eligibility certification no value judgements are made it is a simple process of determining whether an applicant qualifies or not, when third sector organisations are involved a complex interplay of local politics can come into play, thus internal management of the eligibility ensures that a fair unbiased assessment is made of eligibility only. It is important to ensure in the eligibility criteria (as has been done for planning gain affordable housing) that the legislation as set out in the Equalities Act 2010 are respected. It is therefore not possible to set eligibility criteria that discriminate on for example marital status, Welsh Language Ability, age etc.

In order to ensure that the planning delivered affordable homes in Ceredigion genuinely are occupied by people in affordable need we expect occupiers to obtain a certificate issued by the planning policy team whereby they demonstrate that they meet the 3 eligibility criteria set out below:

These eligibility criteria have been developed to ensure they comply with the Equalities Act 2010 and are able to secure mortgages on by working within the guidelines set out by the Council for Mortgage Lenders (CML). It is worth noting we do have some mortgage-ability issues with our existing Affordable products as there are only a subset of national lenders (approx. 3) willing to lend on them in CCC at present.

In a shared equity scenario it would most likely not be necessary to implement a S106 agreement and therefore mortgage-ability is less of a concern so differing criteria could be applied for the scheme and it would be worthwhile investigating what the previous scheme utilised in the 1990's.

For the planning gain Affordable Housing the following criteria apply:

1. Financial Qualification:

In Respect of Discounted For Sale Affordable Housing:

A (combined) ability to borrow not more than the amount required to purchase the property at its discounted price plus 10% of that price. In respect of plots for self-build the 'discounted price' will be based on an off-plan estimate of the value of the unit.*

In Respect of Intermediate Rent Affordable Housing:

It is important that the Intermediate Rent affordable housing scheme should reach its target audience, that is:

- those who are realistically unlikely to be able to access housing through the Common Housing Register who may have little option but to choose to spend a higher proportion of their income as rent than is deemed 'affordable' (i.e., >35%).

Intermediate Rental properties will be 'banded' by size and applicable intermediate rent level.

The specifics will change over time as a function of rent and wage levels in the county and the property size / rental value bandings from time to time will be set out in SPG.

Eligibility to occupy Intermediate Rent Affordable Housing needs to satisfy the following requirements:

- Applicant is a household with at least one member working full time (defined for the purpose of this scheme as 35 hours per week)
- Intermediate Rental property applied for will not be 'under-occupied' by the household (that is, it meets the needs of the household as confirmed by the Affordable Housing Officer).
- The applicant cannot access market rented properties to meet their needs at 35% or less of their gross earned household income

2. Residency Qualification

In the current LDP (under the past UDP it was 10 out of 20 years but this was considered un-mortgage-able by the Council for Mortgage Lenders CML)

In Respect of Discounted For Sale and Intermediate Rent Affordable Housing:

i. A local connection in that the applicant must at some time in their life have lived in Ceredigion or an adjoining town/community council area (or a combination of the two) for a continuous period of 5 years.

Or

ii. A need to live in Ceredigion to substantially care for or be cared for by a close relative where the relative meets the requirements of paragraph "2(i)" above and the relative's property is incapable (whether as it stands or subject to extension) of meeting the needs of the combined household.

Or

iii. A need to be in Ceredigion for employment purposes as a key worker on a full time (35 hours) permanent basis. For the purposes of the LDP, a key worker is defined as follows:

a A teacher in a school or in a further education establishment or sixth form college;

b A nurse or other skilled health worker in the National Health Service;

c A police officer;

d A probation service worker;

e. A social worker;

f An educational psychologist;

g An occupational therapist employed by the local authority;

h A fire officer;

i Any other person whose employment fulfils an important role in the provision of key services in Ceredigion where recruitment from within the County has proven difficult.

3. Occupancy As Sole Residence:

In respect of Discounted For Sale and Intermediate Rent Affordable Housing:

The applicant will be expected to occupy the property as their sole residence and will be required to confirm that they do not own other residential property. Where the applicant is returning to Ceredigion and has unsold property which they previously occupied then a period of grace of not more than 12 months will be extended to allow the sale of the property to take place.



Community Housing Project

Evidence of need for a Community Housing Project in Ceredigion



December 2021



HEADLINE DATA: EVIDENCE OF NEED FOR COMMUNITY HOUSING IN CEREDIGION

£22,028

Average median earnings in Ceredigion
(£1,637 lower than the national average across Wales)



6.97

Housing Affordability Ratio
(4th highest nationally in 2020, consistently in the top 5 nationally since 2000)

15.2%

Increase in house prices in Ceredigion over the last 12 months
(At September 2021)



£228,032

Average house price in Ceredigion
(Highest on record)

21%

Projected decrease in the 20-29 age group up to 2029
(A loss of 2,595 people)



61%

Of 17-24 year olds identified affordable housing opportunities as the thing they value the most in a Prosperous Ceredigion
(Assessment of Local Well-being)

Longer-term impact on:

- Culture
- Language
- Demographics
- Local Economy



The opportunities created by a Community Housing Project align with:

- The Council's Corporate Priorities
- The National Well-being Goals
- The Well-being and Improvement Objectives
- The Council's Housing and Economic Strategies

Sources:

Office for National Statistics, Annual Survey of Hours and Earnings 2020
Office for National Statistics, House price to workplace-based earnings ratio
HM Land Registry, House Price Index, September 2021
Office for National Statistics, 2018-based Sub-National Population Projections

Background

This document brings together the evidence in support of the need for a community housing project in Ceredigion at November 2021. This is the first stage in the development of the project, and aims to present the current situation drawing on the data that is available to us, the trends emerging from the Covid-19 pandemic and in doing so, highlight the challenges faced by younger people and first time buyers in affording properties in the county.

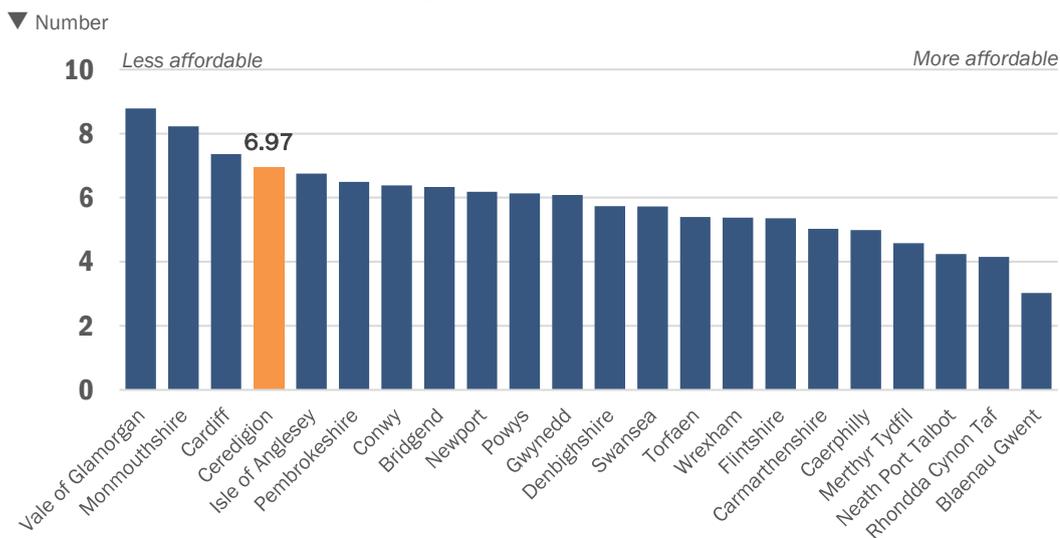
The Ceredigion Public Services Board (PSB) has recently completed the draft PSB Assessment of Local Well-being, and this report draws on the Assessment to demonstrate how the issue of housing affordability plays a critical role in the well-being of Ceredigion’s residents and communities. It concludes by considering how such a project would align with the Council’s local priorities and the wider national policy framework.

The Housing Market

Much of the evidence available comes from trends in the housing market, and in particular, the issue of housing affordability. Whilst it is true that housing affordability affects every local authority in Wales, the issue is particularly acute in Ceredigion due to consistently high demand, limited stock¹ and lower than average earnings. For example, the Housing Affordability Ratio, which is the ratio of median house price to median gross annual work placed based earnings has consistently ranked one of the highest across Wales for the last twenty years, never dropping out of the top 5 during that time. Put simply, a high ratio equals less affordable and vice versa, so this trend demonstrates one of the ongoing features of the market in Ceredigion. The latest data for 2020 shows that this trend is continuing as Ceredigion ranks 4th highest nationally, as seen in Fig.1.1 below.

Fig.1.1: Housing Affordability Ratio

Ratio of median house price to median gross annual workplace-based earnings



Office for National Statistics, House price to workplace-based earnings ratio

Demand for properties in Ceredigion has also increased noticeably over the last 18 months, and average house prices in Ceredigion are currently at their highest level on record, reaching £228,032 by

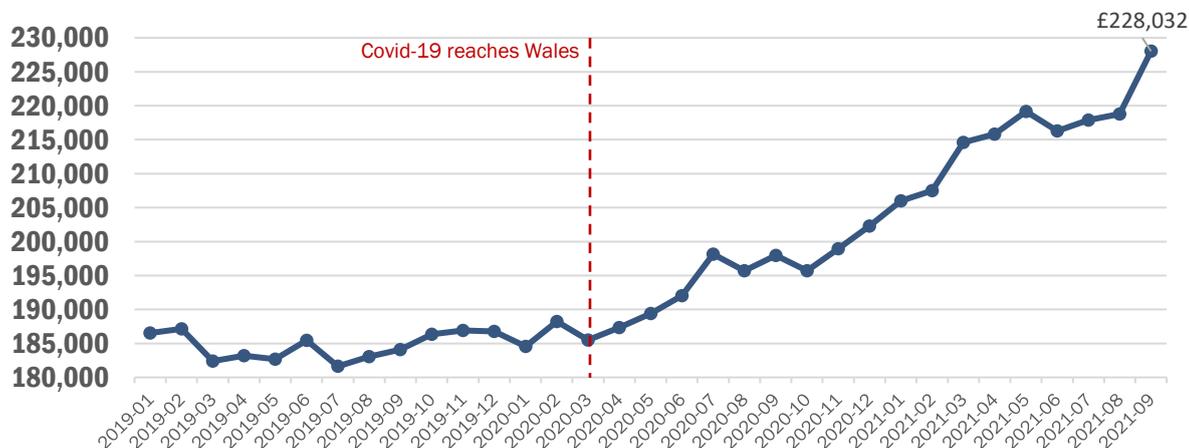
¹ See Appendix 1 for the latest housing stock figures in Ceredigion.

September 2021, rising from £185,484 in March 2020. In the previous year (2019), prices remained relatively stable between £182,000 and £187,000. However, immediately following the arrival of the Covid-19 pandemic, prices started to increase as demand for properties in the county grew as demonstrated in Fig.1.2.

Fig.1.2: Average Property Prices in Ceredigion

Average property prices in Ceredigion for all property types

▼ £'s



HM Land Registry, House Price Index, September 2021

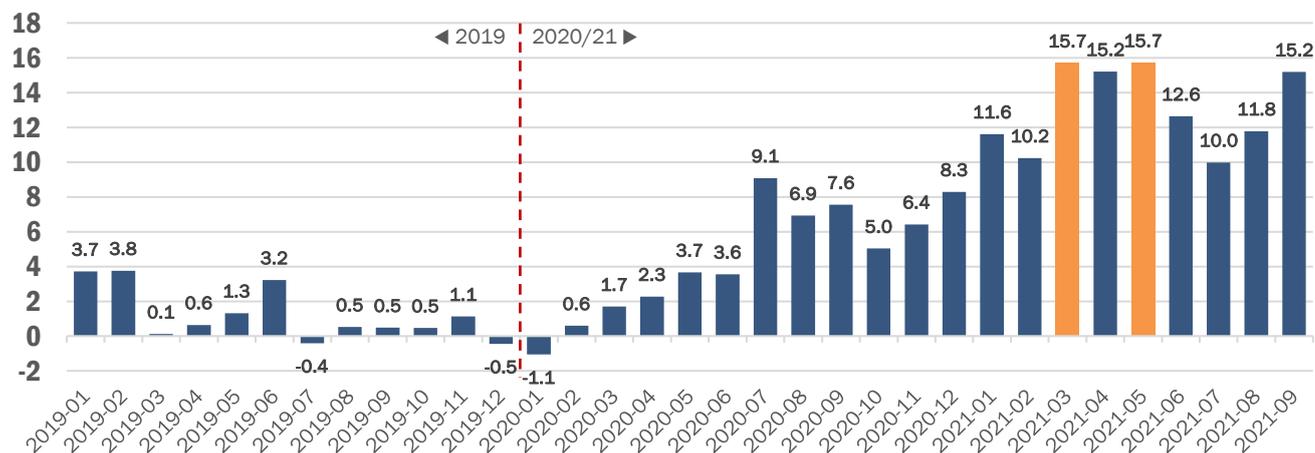
During the Covid-19 pandemic, Ceredigion has also seen some of the highest increases in house prices nationally, consistently exceeding 10% during 2021. Since then, Wales as a whole has seen an increase in prices, and this 'housing boom' looks set to continue as the imbalance of demand versus supply continues to push prices up and place additional pressure on the housing market both local and nationally.

The extent of the increase in Ceredigion is perhaps better reflected in the yearly percentage change in prices, which shows that in March and May 2021 property prices in Ceredigion had increased by 15.7% compared to just twelve months earlier. To put this into perspective, this was the highest increase in Ceredigion for over a decade. Fig 1.3 displays the rolling twelve month percentage increase in property prices for Ceredigion since the beginning of 2019, and the recent increases are clearly visible from the spring of 2020 onwards.

Fig.1.3: Percentage Change in Property Prices

Percentage change (yearly) for all property types in Ceredigion

▼ Percentage



To put the pressures of affordability into perspective for those looking to buy in Ceredigion, and particularly for first time buyers, we also need to factor in relative earnings and income. Some areas in Wales, for example Cardiff, Newport, and Monmouthshire have higher than average property prices, but also higher than average earnings. However, in Ceredigion the opposite is true – average earnings are below average compared to the rest of Wales at £22,028, which is £1,637 lower than the national average and the 3rd lowest nationally. This is demonstrated in Table 1.1 which compares the relative earnings of the South West Wales region, and as can clearly be seen the region as a whole has lower than average earnings.

Table 1.1: Comparison of Average Earnings across the South West Wales Region

Area	Annual gross pay (Median)	Annual gross pay (Mean)
Ceredigion	£22,028	£24,412
Carmarthenshire	£23,669	£27,250
Pembrokeshire	£22,062	£26,466
Powys	£22,534	£24,244
Swansea	£23,164	£25,227
Wales	£23,665	£26,805
UK	£25,780	£31,590
Ceredigion as % of Earnings in Wales	93%	91%
Difference between Ceredigion and Wales	-£1,637	-£2,393

Source: ONS ASHE 2020, Table 8.7a Annual gross pay for all employee jobs by place of residence.

Lower than average earnings are one of the characteristics often associated with predominantly rural economies. When the level of average annual earnings is mapped alongside property prices we find that Ceredigion is very firmly in the 'High House Price and Low Earnings' category, and has the 'worst' ratio between house prices and earnings nationally, i.e. the highest house prices and the lowest earnings, see Fig.1.4.

Fig.1.4: Average House Prices compared with Average Earnings across Wales



Office for National Statistics, Annual Survey of Hours and Earnings 2020
 HM Land Registry, House Price Index, September 2021

Even when we consider 'overall income' compared to average property prices, rather than just earnings, a similar trend is visible. It shows that Ceredigion is one of the least affordable counties in Wales – overall incomes in the county are below average nationally but house prices are the fourth highest. It also has the highest average house prices amongst counties with a below average overall income, and mean annual incomes represent only 15.4% of current house prices, the second lowest nationally behind Monmouthshire, see Table 1.2. (Overall income is income not only from paid employment, but also from pensions and other investments).

Table.1.2: Most and Least Affordable Counties in Wales

	Average Property Price	Mean Income	Median Income
Blaenau Gwent	£116,221	£29,636	£23,340
Merthyr Tydfil	£128,360	£30,657	£23,950
Rhondda Cynon Taf	£135,729	£32,840	£25,854
Neath Port Talbot	£142,165	£32,478	£25,841
Caerphilly	£164,404	£34,782	£27,849
Swansea	£169,435	£34,666	£27,458
Bridgend	£176,352	£36,430	£29,287
Torfaen	£181,514	£35,699	£28,821
Denbighshire	£181,532	£35,069	£28,119
Carmarthenshire	£187,841	£34,821	£28,186
Wrexham	£188,334	£35,458	£28,280
Gwynedd	£189,103	£33,397	£26,831
Flintshire	£190,836	£38,994	£31,803
Conwy	£203,010	£36,286	£29,473
Newport	£207,764	£36,682	£29,063
Pembrokeshire	£208,309	£35,531	£28,841
Isle of Anglesey	£211,081	£36,035	£29,078
Powys	£217,509	£35,489	£28,770
Ceredigion	£228,032	£35,068	£28,595
Cardiff	£239,580	£40,913	£33,209
The Vale of Glamorgan	£273,981	£43,365	£35,697
Monmouthshire	£312,935	£45,193	£37,595

*House Prices: UK House Price Index September 2021, HM Land Registry
Mean and Median Income: CACI Paycheck 2020*

Younger People and First Time Buyers

Whilst these are issues that affect all of us, evidence has long pointed to specific challenges faced by younger people in the local housing market in Ceredigion, and one of the reasons why some look to move away from the area. Since the last census in 2011, the population of Ceredigion has shown a marked decline, particularly in the 16-64 age profile. In short, Ceredigion has experienced outward migration of young people, partly as a result of a decline in public sector jobs, which have always been an important part of the Ceredigion economy, but also in search of career opportunity and higher value jobs.

The 18-24 population, for example, has decreased by 3.7% or 3,198 during this period, and these trends are projected to continue. Of particular note is the 20-29 age group, which is projected to decrease by

21% by the end of the decade, which equates to the loss of 2,595 people. The impact is of course more than just economic, it has longer-term implications for culture, language and the demographics of the Welsh heartlands.

In January 2020, Ceredigion County Council engaged with its younger residents on economic and employment related issues.² The findings lent considerable weight to the importance of jobs and housing in the local economy, as both **employment opportunities** and availability of **affordable housing** were two of the top three priorities identified, as show in Fig 1.5 below.

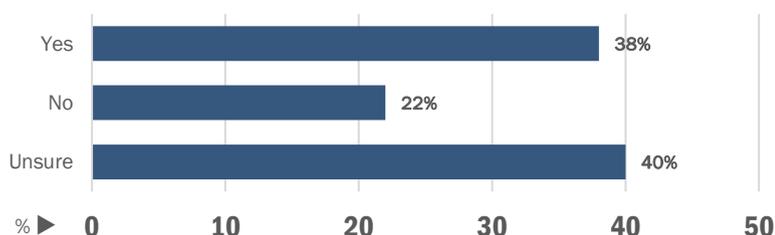
Fig. 1.5: Younger Persons Economic Survey 2020 – Top Three Priorities



When asked directly about their intentions following school or further education, more than a third (38%) said that they intended to leave Ceredigion, with less than a quarter saying they did not, see Fig.1.6.

Fig. 1.6: Young People's Intentions after School / Further Education

'Following finishing your time at School or Further Education do you intend to leave Ceredigion?'



Similar themes were also visible in the recent consultation on the draft Ceredigion Economic Strategy during the winter of 2020/21, with accessibility and affordability of housing, along with the need to create opportunities for younger people highlighted in the feedback, a selection of which is shown in Table 1.3 overleaf³. It is not surprising therefore, that the new Ceredigion Economic Strategy identifies these trends and which heavily influences its interventions within the 'Place' theme.

² "Consultation on Developing a New Ceredigion Economic Strategy 2020-2035: Feedback Report". Ceredigion County Council, 18th February 2020.

³ "Boosting Ceredigion's Economy: A Strategy for Action 2020-35 Consultation Feedback Report". Ceredigion County Council, February 2021.

Table 1.3: Sample comments from the Consultation on the draft Ceredigion Economic Strategy 2020-35

"Strongly agree with the need to attract young people to stay in the area."	"A need to support and help the people who currently live here."
"Keeping young people in rural areas is vital if Ceredigion is to maintain a productive and competitive agricultural industry. It is imperative that the next generation are given the opportunities to work on farms and develop their skills as they build their careers in food and farming, but for this to happen, affordable rural housing at their place of work is a must."	"Affordable housing options in rural areas need to be considered in addition to within towns and villages."

Source: *Boosting Ceredigion's Economy: A Strategy for Action 2020-35 Consultation Feedback Report. February 2021.*

The Impact of Covid-19

The Covid-19 pandemic and the subsequent lockdowns in Wales have also played their part in the growing need for action in tackling the challenges faced in accessing the housing market. Two of the main themes emerging from the pandemic are the way which young people have been disproportionately impacted, particularly in relation to employment, and the way in which the concerns over housing affordability have been exacerbated. Both of which are being monitored regularly by the Ceredigion PSB's 'Poverty Sub Group'.

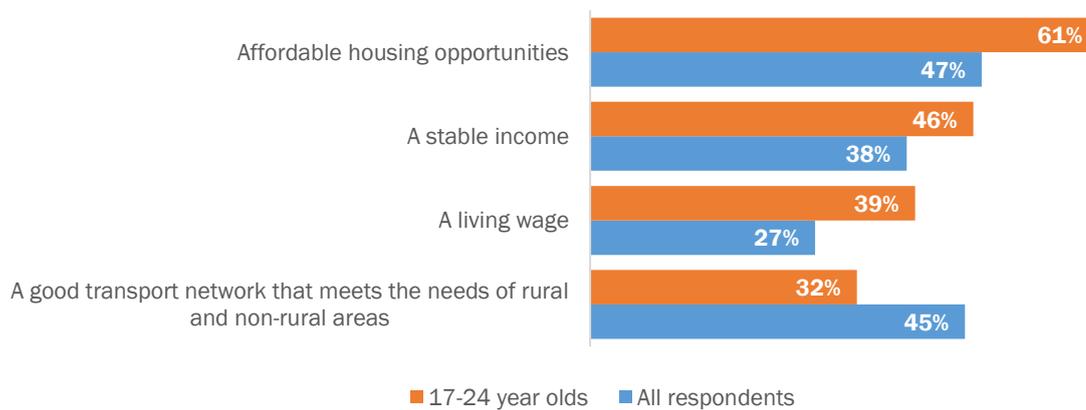
For example, the increase in demand for properties in Ceredigion since the pandemic began, and the subsequent increase in house prices highlight the struggle many first time buyers face in trying to gain a footing on the housing ladder. Although Wales as a whole is witnessing a housing boom, the growth in the more rural and coastal regions during the pandemic has been profound - Carmarthenshire, Ceredigion, Gwynedd and Anglesey have all witnessed significant growth during this period. At the height of the second lockdown in December 2020, average house prices in Ceredigion broke the £200,000 barrier and exceeded its previous peak just prior to the global financial crisis of 2008/09. During 2020, Wales also saw the largest increase in first time buyers' deposits across all regions of the United Kingdom at 25%. In cash terms this was an increase of £6,634, although the number of first time buyers in Wales also decreased from 15,890 to 12,190 between 2019 and 2020, see Appendices 2 and 3.

Link with the Ceredigion Assessment of Local Well-being

During the summer of 2021, the Ceredigion Public Services Board undertook extensive engagement with individuals and communities in Ceredigion on all aspects of well-being, to support the delivery of the draft PSB Assessment of Local Well-being. The results of the engagement, which included a well-being survey, stakeholder events and workshops, highlighted the importance of affordable housing opportunities to one's well-being, and also demonstrated how this issue has rapidly ascended the agenda in the county in recent years.

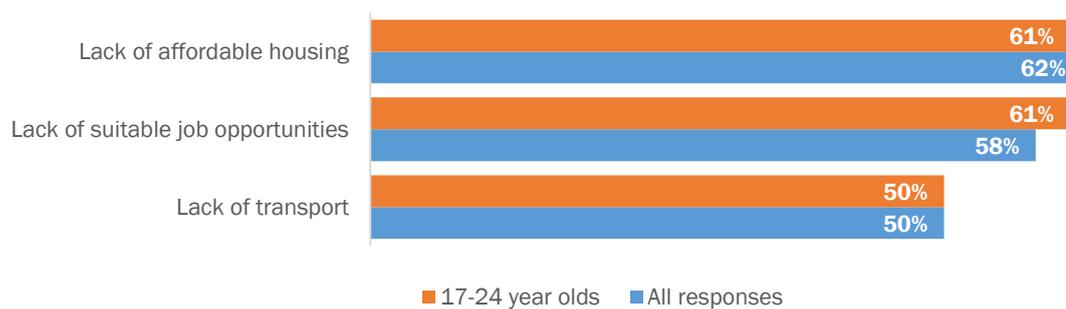
For example, when asked which three things they valued the most in relation to a Prosperous Ceredigion, the majority (61%) of those aged 17-24 identified *affordable housing opportunities*, over and above a stable income and a living wage. The importance placed on the ability to access and afford decent accommodation was highlighted by the fact that this was noticeably higher than the result for all respondents at 47% (Fig.1.7).

Fig.1.7: Which three things do you value most in a prosperous community?



When looking ahead to the future, the *lack of affordable housing* was also identified by those aged 17-24 as being the biggest concern in relation to a Prosperous Ceredigion (jointly with lack of suitable job opportunities), see Fig.1.8.

Fig.1.8: Looking ahead, what concerns you the most about prosperity in the county?



The written comments to the engagement provide a greater insight into some of these issues. Some highlighted the need for additional support for first time buyers, some highlighted the need for more affordable homes, some focused on the need for affordable rental accommodation and others highlighted the concern over second homes and holiday homes in the county. A sample of these comments are shown in Table 1.4.

Table 1.4: Sample Comments from the Well-being Survey

"Hoffwn fynd i fyw i dy rhatach i'w brynu a'i gadw ond nid oes lleoedd tebyg i'w cael. Mae angen tai fforddiadwy i bobl 50+ yn ogystal a'r ifanc - 'first and last time housing' "	"Some houses in the village have doubled in price in 4 years. Whenever they do come on the market or renters leave, they get turned into holiday homes and AirBnbs."
"If you don't stop people buying up all the property for second homes/holiday lets there will be no need for your plans. Younger people will have nowhere to live and older people can't downsize freeing up houses for younger people/families."	"Provide funding schemes to assist local first time buyers to buy a home in the area - too many homes in Wales are being sold to people from outside the area and that is damaging the language and the communities."
"If we really want to build a fairer society we need to ensure that there are houses available for all e.g. all new	"We really need affordable rented accommodation particularly for single people."

developments are £150k+ 2-storey detached houses. This makes it especially difficult for people from other backgrounds, because normally they can't afford to live in a nice area and are forced to either move away or struggle to survive financially without having time and opportunity to integrate and share their culture."

Similar comments were raised throughout the engagement and strongly point to housing affordability becoming one of the critical issues affecting well-being in the county, along with poverty, population change and environmental awareness. In fact, the high housing costs were identified in the draft Assessment of Local Well-being as one of the key drivers of poverty in Ceredigion.

Alignment with Local and National Priorities

The strategic alignment of a community housing project in Ceredigion would support the fulfilment of local priorities, both the Council's Corporate Priorities and the Improvement and Well-being Objectives, along with the wider policy framework of the National Well-being Goals and the Well-being of Future Generations (Wales) Act 2015. Some of examples of its alignment with key strategies and legislation are outlined in the paragraphs that follow. The long-term themes running through each of these documents, and to which the community housing project align, are:



The **Council's Corporate Strategy 2017-22** is clear about its aims for housing and its understanding of the issues, for under its Enabling Individual and Family Resilience priority it states the following aims:

- *"The unemployment levels coupled with the low income levels has placed increased difficulties on the ability of people to access safe, affordable housing." (p.11)*
- *"The Council will increase the focus on our quality and affordable housing policy to ensure suitable housing stock is available to meet the needs of our citizens." (p.11)*
- *"Outcomes sought: Improved choice and quality of local housing." (p.12)*
- *"How do we know we will have made a difference? Safe affordable housing will be available to vulnerable families and to households with lower incomes." (p.12)*

It will be no surprise that it also aligns very closely to the objectives in the new **Ceredigion Economic Strategy 2020-35**, which directly focuses on creating the opportunities for people, particularly younger people, to stay, live and work in the county. The objectives contained in the strategy recognise not only the provision of affordable and accessible homes, but also the wider social and economic benefits of these opportunities:

- *"Creating opportunities to retain young people in the county and retain their skills in the workforce" (p.7)*
- *"Our ambition is to see young people who wish to stay and develop a career in Ceredigion realise the opportunities to do so" (p.9)*
- *"Our ambition is to reverse population decline in the young and working-age population, and we want to see the people of Ceredigion able to confidently express their uniqueness in communities with strong identities, culture and language." (p.9)*
- *"The need to provide affordable and accessible housing that meets the needs of a changing demographic and workforce." (p.12)*
- *"Enterprise-led innovation will lead to new job opportunities for skilled young people educated and trained in our schools, colleges and universities." (p.4)*
- *"Young people who wish to stay in Ceredigion, as well as those who may want to return to live and work here or move here for the first time, will see Ceredigion as a place of opportunity." (p.4)*

The Council's **Improvement and Well-being Objectives** were updated in 2020 to provide a greater focus on the response and recovery from the Covid-19 pandemic, but are still clear about their aims in relation to housing. They emphasize the importance of affordability and accessibility to all of Ceredigion's citizens and the resulting impact on the well-being of Ceredigion's citizens:

- *"3.1 Promote the well-being of individuals and families within safe, affordable and accessible homes."*

The **Council's Housing Strategy**, "Housing for All 2018-2023", also recognises that high housing costs and low wages along with finance and affordability are specific challenges in Ceredigion. But it goes one stage further, by demonstrating the wider impact that these issues can have on the county's cultural heritage and the importance of providing housing options for young people. This is the same core theme seen in many of the Council's strategies, and one that is central to the case for a community housing scheme in Ceredigion:

- *"The supply and availability of affordable housing is also set in the context of the present decline in Welsh speakers in Ceredigion and the role housing has in enabling our younger people in particular, educated through our local bi-lingual education system, to remain within the county." (p.3)*
- *"The Council will continue with their efforts to ensure that affordable housing is available in the County so that young people who wish to can establish themselves in the county." (p.23)*
- *"It is no longer the case that private renting is a temporary solution primarily for young people waiting to save enough to buy a home. Driven by necessity more than choice, growing numbers of Ceredigion residents now live in rented housing and will continue to do so unless housing affordability changes." (p.27)*

The **Well-being of Future Generations (Wales) Act 2015** is clear that "Having a good quality home that meets our needs is vital". In May 2020 the Future Generations Commissioner published a 5-point plan highlighting investment to support a Green Recovery from the Covid-19 pandemic and included recommendations for all public bodies, including Welsh Government, to focus on:

- Increasing the supply of the right type of affordable homes

- Rising to the challenge of the housing crisis
- Seeing housing as a driver of well-being
- Improving the way we plan and design houses
- Decarbonising our homes

An integral part of this plan recognises the specific impact on younger people and the ongoing challenges they face to entering home ownership, whilst also reflecting the longer term demographic changes that will place further pressure on the housing stock in Wales for future generations:

“Due to the significant increase in house prices and stricter lending rules since 2008, many young people are not able to afford to buy a home themselves. As a result, they are not able to leave their family home or are being driven into privately rented accommodation. Evidence shows that young people are unlikely to be able to buy a house without their parents’ help and one in five young people in the UK have sofa-surfed in 2017 with almost half of them have done so for more than a month. Meanwhile more and more households have become single occupancy households due to an increase in the aging population.”⁴

The Future Generations Commissioner, in setting the vision for homes in 2050, focuses on the involvement of local people in driving new housing opportunities, “people and communities are effectively involved in how, what and where new homes are built”.⁵ Community housing schemes provide one such way of tackling these issues, through providing a mechanism for local people to play a central role in creating housing that *directly* meets their needs. There are currently several schemes already operational across Wales, including in the neighbouring counties of Gwynedd and Powys. Although there are many types of different community led housing, the premise always puts people and communities at the heart of their design and purpose. Some of the ways in which these schemes align with, and support the delivery of, the Future Generations Commissioner’s priorities are highlighted in Fig.1.10, while Appendix 4 details the full references to housing priorities in the Commissioner’s report.

Fig.1.10: Alignment of Community Housing Schemes in delivering the FG Commissioner’s Priorities for Housing



⁴ “The Future Generations Report 2020: Let’s create the future together”. The Future Generations Commissioner for Wales. 2020. 16.

⁵ “The Future Generations Report 2020: Let’s create the future together”. The Future Generations Commissioner for Wales. 2020. 7.

Following the Senedd election in May 2021, the Welsh Government published their **"Programme for Government"**⁶, setting out the commitments to be delivered over the next five years. Along with reform of homelessness services, they see a strong correlation between housing and language, and have pledged to deliver a **Welsh Language Communities Housing Plan** as part of the drive towards achieving a million Welsh speakers and protecting the nation's culture and heritage for future generations. Furthermore, they intend to directly **support cooperative housing, community-led initiatives**, and community land trusts, as part of the pledge to make Wales' cities, towns and villages better places in which to live and work. Both of these commitments ensure that tackling the housing challenges outlined in this report will remain at the forefront of national policy over the next term, and also demonstrate how the benefits of community housing align closely that of the Welsh Government.

Conclusion

The evidence presented in this report outlines some of the main challenges faced by many younger people and first time buyers in Ceredigion in trying to find suitable accommodation and buy into the housing market. Recent trends, and in particular the increase in demand for properties in the county combined with limited supply, have created a housing boom with house prices reaching record levels. The 'evidence of need' for further support is clear, particularly in relation to affordability and in creating opportunities for people to live and stay in the county. Tackling these issues through schemes such as community led housing aligns closely to the local housing priorities of the Council and the Future Generations Commissioner.

⁶ "Programme for Government". Llywodraeth Cymru Welsh Government. Cardiff, 2021.

Appendix 1: Dwelling stock in Ceredigion

Dwelling stock estimates by local authority and tenure	Number	%
Local Authority*	0	0%
Registered Social Landlord	3,352	9%
Owner occupied	26,402	74%
Privately rented	5,906	17%
All tenures	35,660	100%

* LA stock transferred to Tai Ceredigion RSL 30 November 2009

Source: StatsWales, Dwelling stock estimates by local authority and tenure

Appendix 2: Average first-time buyer deposits

First time buyer deposits	First time buyer deposits		Increase in first time buyer deposits compared with 2019	
	2019	2020	%	Cash terms
North East	£23,788	£29,563	24%	£5,775
Yorkshire and the Humber	£28,008	£33,313	19%	£5,305
North West	£29,519	£34,347	16%	£4,829
East Midlands	£33,268	£39,052	17%	£5,783
West Midlands	£34,008	£42,062	24%	£8,054
East Anglia	£43,474	£51,126	18%	£7,652
Wales	£26,029	£32,663	25%	£6,634
South West	£42,504	£51,397	21%	£8,893
South East	£54,654	£64,910	19%	£10,256
London	£110,145	£130,357	18%	£20,211
Northern Ireland	£25,327	£29,523	17%	£4,196
Scotland	£30,101	£35,745	19%	£5,644

Source: Halifax, 12 months to December 2020, UK Finance⁷

⁷ <https://www.lloydsbankinggroup.com/media/press-releases/2021/halifax/soaring-house-prices-failed-to-deter-first-time-buyers-2020.html>

Appendix 3: Number of first time buyers

	2010	2015	2019	2020
North	8,060	13,120	16,010	13,985
Yorkshire and the Humber	14,800	23,660	29,950	25,683
East Midlands	13,220	21,700	27,210	23,894
East Anglia	6,920	10,230	12,420	11,006
Greater London	33,370	42,510	40,720	38,320
South East	38,030	59,700	68,070	60,960
South West	15,030	24,110	28,210	24,588
West Midlands	15,230	24,590	31,460	26,400
North West	18,870	29,680	37,900	33,113
Wales	7,880	12,550	15,890	12,190
Scotland	17,170	28,430	32,530	25,826
N. Ireland	4,550	7,790	10,790	8,347
UK	193,940	298,080	351,260	304,657

Source: UK Finance and Halifax estimate for 2020⁸

Appendix 4: Further References to Support Community Housing in the Future Generations Report 2020

The Future Generations Report 2020 – Chapter 5 – Areas of Focus – Housing⁹

“The current renewed focus on housing is UK wide, and is being driven by the public as well as political leadership. This is due to the obvious need to decarbonise our homes to meet emission targets. But, also because housing shortages are impacting many more people than before - unaffordability, lack of social housing, the insecure private rented sector and homelessness are issues that have become more visible and arguably have arisen because long-term thinking planning and a focus on preventing problems from occurring has been absent or not done effectively”

Trends to watch:

- The number of households assessed as being homeless in Wales has increased slightly.
- The number of households threatened with homelessness in Wales has also increased.
- The number of people sleeping rough in Wales has increased by 17% in the past year.
- There has been an increase in the amount of bed space being offered to rough sleepers by local authorities.
- The number of households living in fuel poverty is on the decrease – it has decreased from 332,000 households in 2008 to 155,000 in 2018. This is a decrease of 14 percentage points from 26% in 2008 to 12% in 2018.
- The private rented sector in Wales has more than doubled in since 2001.

⁸ <https://www.lloydsbankinggroup.com/media/press-releases/2021/halifax/soaring-house-prices-failed-to-deter-first-time-buyers-2020.html>

⁹ “The Future Generations Report 2020: Let’s create the future together”. The Future Generations Commissioner for Wales. 2020.

- The **number** of households in temporary accommodation in Wales had increased by 8% between 2018 and 2019. This is the highest since the Housing (Wales) Act was introduced in April 2015.
- The **number** of households is increasing faster than the number of available Properties.
- The growing pressure to meet housing demands has led to an increasing **number** of new homes being built in areas at risk from flooding.
- Welsh housing stock is not **increasing** with the speed that is needed to meet demand – every year less than half the new homes we need are constructed.
- An **ageing workforce** with 22% of the workers over 50 and a poor pipeline of young people entering the profession.
- Approximately 8% of **Welsh emissions** come from housing currently, of which 97% arises from the fuel used for heating and cooking. This is a 34% decrease since 2005.
- Emissions from the construction sector decreased by nearly a third between 1990 and 2016 but speed of further decrease in recent years has slowed and may even be **reversing**.

Predictions for a possible future:

- More than 90% of today's stock is **predicted** to remain in use by 2050.
- The **number** of households in Wales is projected to grow faster than the overall population. This would lead to smaller household sizes. The number of single person households is predicted to rise by over 30% in the next 20 years.
- In contrast, there is likely to be **less** suitable land available for development as flood plains and other lower lying land becomes increasingly prone to flooding.
- The **number** of second homes and vacant dwellings is projected to continue to increase with 11,000 properties in total by 2031, which will, in turn, lead to a decrease in the number of dwellings available for the predicted increase of household demand.
- Smart sustainable technology and multi-purpose spaces are on the **rise** and are likely to become the standard in the next 30-40 years.
- General **shifts** in generational living behaviours now mean that houses will have to become flexible spaces that can comfortably hold an ageing population.

The vision for our homes in 2050 – communities fit for future generations

- Welsh Government and public bodies will continue to see housing as a priority issue, ensuring sufficient resources are available to effectively plan, develop and deliver the homes and communities needed in the future.
- Cross-government budgets ensure there will be enough affordable, homes, which meet the needs of our population and effective systems to enable people to access them, reducing homelessness in Wales.
- We will have re-furbished and re-purposed empty buildings helping to bring back into use the 27,000 empty homes currently in Wales. (A More Equal Wales, A Healthier Wales, a Wales of Cohesive Communities, A Prosperous Wales).
- People and communities are effectively involved in how, what and where new homes are built. There is access to a wider range of housing options, supported by a culture change in Wales which widens people's views of how and where to live.
- The private rented sector is more affordable, professional and reliable, and the associated legislation in Wales gives tenants the security they need to see renting as a viable option. There is a wide range within types of housing. This includes intergenerational residences, co-living (private room and shared spaces/facilities) and

co-housing (private home and shared spaces/facilities), reducing isolation and loneliness for the increasing numbers of single and older people. (A Healthier Wales).

- Houses across all tenures, are of a consistent quality standard (A More Equal Wales). Homes have more generous space standards and adaptable interior structures to maximise the use of space and to adapt to people changing needs and lifestyles, as our population spend more time in their homes (including working from home) and less in traffic congestion and in offices. (A Wales of Cohesive Communities).
- Housing, transport and planning are integrated in order to ensure that people have access to greenspace, services and leisure facilities locally. Communities are designed to reflect the heritage of the area and actively help link people to the cultural activities of the area (A Wales of Vibrant Culture and Thriving Welsh Language). All housing developments include environmental benefits, such as space for nature, renewable energy generation, and water management and offers well-connected resilient environments for everyone in Wales. (A Resilient Wales).
- Housing is supported by, and integrated with, a modern planning system, which is in line with Planning Policy Wales 10. This considers the wider social, economic, environmental and cultural factors in a plan area in order to ensure the creation of sustainable places and cohesive communities. The planning system is agile and forward thinking, considering current and future population housing needs for local areas. Land is made available for house building for the type of tenure required for the right type of housing, in the right places - close to local amenities, transport links and accessible plots for land and development opportunities for small and medium enterprises (A Prosperous Wales).
- Our homes are energy-efficient and carbon positive and produce their own electricity – some will be covered in solar paint which harvests energy from the sun. They are also resilient to a changing climate and extreme weather. More buildings collect rainwater and manage their own water use. Most importantly, our homes are part of a well-connected community (A Prosperous Wales, A Resilient Wales and A Wales of Cohesive Communities). Because of increased energy efficiency and renewable energy systems, energy is virtually free, thus reducing fuel poverty (A More Equal Wales).
- Housing goes beyond reducing and eventually eliminating emissions in its own sector – it helps tackle climate change and reduce overall emissions from other sectors through environmentally friendly choices such as green infrastructure, sustainable materials and local supply chains. (A Prosperous Wales and A Globally Responsible Wales).
- The construction sector invests in the development of new skills and ways of working, increasing skill resource in Wales and locally. (A Prosperous Wales).
- Higher quality housing improves people's health and well-being, with knock-on benefits for public services, such as the NHS, which will see a significant reduction in accidents, emergencies and life-long health problems caused by poor quality housing. Circular economy is embedded, reducing waste, saving money and improving connections between people. (A Globally Responsible Wales, A Healthier Wales).
- Technology is integrated throughout our homes making life easier, especially for those with additional support needs. The increased technology, together with adaptable interiors, enables people to live independently for longer, reducing the demand on state support services. (A More Equal Wales and A Healthier Wales).

Challenges and opportunities for change

What future generations need:

Current and future generations need more high quality, low carbon, truly affordable homes, in connected communities, which meet local population needs and improves the local environment. This needs to be done quickly and on a large scale – with the focus shifting from house building to building communities. Proposals such

as Sero Homes, Parc Hadau or the 'Biophilic Living Mixed Use Development' show us what we could be aiming for.

We need everyone in Wales to be adequately housed. This is about collaboration and reallocating the existing stock. We need consistency of practice across all areas of Wales and not necessarily additional resources. We need housing to become a statutory service like education and health otherwise it will take a back seat and housing allocation will continue to respond to emergencies.

Developments should be planned with or around other amenities, services and (critically) public transport, embracing the concept of place-making (see the section on Land Use Planning) and in line with Planning Policy Wales 10.

This states that "effective planning supports and enables the provision of a range of well-designed and located homes which are well connected to existing retail and commercial centres situated at the heart of our communities and job opportunities."

Increasing the supply of affordable, adequate, low carbon homes within cohesive communities must remain a policy priority in the long-term. We need to understand the issues which contributed to current housing shortages in the first place to prevent them from happening again, for example, the largescale financialisation of housing and land, and housing systems that treat housing as a commodity. We need Welsh Government to undertake ongoing monitoring to keep up with the changing trends and needs, of the population and climate.

Where are we now:

Research published in 2019 by Tai Pawb, the Chartered Institute of Housing Cymru and Shelter Cymru confirmed that 'Wales, as other devolved nations, is experiencing not only high levels of homelessness, an increase in rough sleeping, but also a shortage of affordable housing, severe lack of suitably adapted and accessible accommodation for disabled people, lack of security of tenure and issues with substandard accommodation.'

The problems with supply are exacerbated by the number of properties projected in planning developments granted by local authorities and the number actually built. According to Stats Wales, over the last decade, developments that have been approved by local authorities should have delivered 13,355 affordable houses. However, only 6,746 of these have been built.

The number of single person households is predicted to rise by over 30% in the next 20 years. Recent trends in house building indicate that the number of properties available [may not keep up with this rise in households](#). The situation regarding our limited affordable housing supply is exacerbated, because whilst housing need in Wales is growing faster than the number of available properties, there is likely to be less suitable land available for development as flood plains and other lower lying land becomes increasingly prone to flooding.

A number of public bodies have objectives or steps which focus on tackling empty properties, but only one Public Services Board, despite them having objectives and steps about viable, safe, attractive communities. And evidence obtained by the Committee suggests that barriers again lie in leadership at a local level and in resourcing for implementation on the ground

Young people not able to leave home or driven into private rented accommodation

Due to the significant increase in house prices and stricter lending rules since 2008, many young people are not able to afford to buy a home themselves. As a result, they are not able to leave their family home or are being driven into privately rented accommodation. Evidence shows that young people are unlikely to be able to buy a house without their parents' help and one in five young people in the UK have sofa-surfed in 2017 with almost half of them have done so for more than a month. Meanwhile more and more households have become single occupancy households due to an increase in the aging population.

The demands on our limited social housing stock, mean young people are less likely to be able to access it, due to the allocation system which must prioritise vulnerable people. As a result, young people are facing greater 'unaffordable' rents that eat up to 30% of their salary, in comparison to approximately 8% for over 60's.

There are also concerns regarding the true cost of so-called, 'affordable homes.' Rents are often too high for young people, people working part-time or on low incomes. The Joseph Rowntree Foundation states that rent is 'affordable' when it takes up no more than 28% of a household's net income. Yet, there are tenants in Wales paying a much higher percentage of their net income on rent.

While Welsh Government has committed to delivering 20,000 new 'affordable homes', use of the term currently includes homes owned through the shared equity scheme 'Help to Buy'. In 2016, 40% of the homes sold through 'help to buy' were sold for over £200,000, which is unaffordable for many people, especially when the average income in Wales is £22,575, after deductions.

Welsh Government should use financial levers through the social housing grant and Innovative Housing Programme to encourage innovation in developing intergenerational housing and communities and use taxation levers to incentivise intergenerational house sharing.

Beyond the suitability of homes, the government should also develop policy and funding using the opportunities (such as those presented by Planning Policy Wales 10, the Community Hubs Programme and the Re-imagining School Review) to:

- Consider how they can open-up care homes to become centres for community activities, services and facilities
- Create and support the development of centres for all ages by 2030 as places to mix and share activities and experiences
- Opening schools longer - at evenings, weekends and holidays - as shared community spaces for all ages
- Encourage local authorities to create streets for play - using residential streets as spaces for play, fun and togetherness.

The Affordable Housing Review sought views for tenants on what was important to them both inside and outside their home which can be summarised as:

- Space was the most significant aspect inside the home. One of the common themes was the importance of a having a kitchen with space for dining, separate to the living room
- Outside of the home, security came out as the biggest priority for tenants. It was also seen as essential to have a garden space or a balcony with a flat, to provide access to an outside space to support mental health and well-being

- Digital access was also seen as a high priority, particularly for those accessing benefits, engaging with the Job Centre or seeking employment.

However, many people are trapped in the private rented sector due to our shortage of social housing. Renters in the private sector already face higher rents and lower levels of support services and now, unless the same requirements and timescales are put on privately rented homes, then people in the private rented sector will have less energy efficient properties and higher fuel bills.

Devolved housing policy, together with the requirements and ambitions set out in the Well-being of Future Generations Act, gives Wales the chance to be innovative and bold in overcoming the housing crisis and choosing an approach which is fit for the future.

Recent policy reviews have set out how Welsh Government can make more progress on delivering the aspirations in the Well-being of Future Generations Act

Welsh Government has completed a number of policy area reviews namely: [The Independent Review of Affordable Housing Supply](#), the [Decarbonisation of Existing Homes in Wales](#) report and the report of the Homelessness Action Group on 'The framework of policies, approaches and plans needed to end homelessness in Wales (What ending homelessness in Wales looks like)'

Affordable Housing Review:

"The Panel was acutely conscious of how housing in general, and affordable housing in particular, contributes to other social and economic priorities in Wales, including health, education, employment, social cohesion, environment, future generations and opportunity. Good housing is inextricably linked to all of these.

"It was evident that the focus on annual funding (grant/rent policy) decisions and the planning that flowed from this have a limiting effect on the capacity to maximise output from the investments being made whether from public or private sources. The Panel has recommended that the affordable housing regime adopt longer term horizons bringing greater certainty to the system and enhancing the opportunities for more efficient and effective supply planning, expenditure and processes"

Independent Review on Decarbonising Welsh Homes:

"Members of the Advisory Group shared the emerging recommendations with the Future Generations Commissioner for Wales to check alignment with the Well-being of Future Generations' five ways of working and seven well-being goals. An overview of short, medium and long-term benefits can be found in the tables below. The mapping demonstrates that a new 30-year retrofit programme offers enormous opportunity to deliver widespread and profound benefits including: reducing fuel poverty; creating sustainable growth, substantial numbers of jobs, training schemes and supply chains particularly in local communities; promoting good health and wellbeing for everyone; and building more cohesive communities with better environments"

Homeless Action Group:

A key recommendation of the Homelessness Action Group is for housing to become a fundamental human right. The report of the Human Rights Council states:

'The right to housing should be defined as the right to live in a home in peace, security and dignity, and include security of tenure, availability of services, affordability, habitability, accessibility, appropriate location and cultural adequacy.

Those in need of housing or related social benefits should be treated as rights holders and as experts in what is required for a dignified life, not recipients of charity. They are entitled to participate actively, freely and meaningfully in the design and implementation of programmes and policies affecting them.

“The Minister for Housing and Local Government has confirmed that she is considering whether to place a requirement on all local authorities to have “due regard” to adequate housing which could be achieved through the forthcoming Local Government (Wales) Bill”

Housing as a driver of wider well-being

Where we are now:

Public bodies and Public Services Boards are increasingly recognising the connections between housing and wellbeing through their well-being objectives, but more could be done to join all the dots.

Objectives on housing set by public bodies are beginning to shift from a narrow focus on increasing the numbers of affordable housing to an appreciation that housing is the cornerstone of our well-being and has links to health, educational attainment, employment and vulnerability.

Within rural areas, affordability is particularly emphasised within well-being objectives, seeking to ensure that future generations will be able to continue to live within their communities.

Public bodies and Public Services Boards have also made connections between poverty and housing. The issue of ‘affordability’ continues to be the most associated with housing within well-being objectives and steps and the impact of fuel poverty is also recognised. However, some public bodies are going further, considering the impact that housing has on poverty (and vice versa), towards identifying opportunities for developing housing fit for the future whilst also developing skills and local employment.

As set out throughout this report, there are more opportunities for public bodies to be making the connections between their objectives. Housing provides an opportunity to meet each of the well-being goals and many of the objectives set by public bodies.

For example, there is potential for more public bodies and Public Services Boards to link their aspirations around housing to:

- Providing skills locally (see below and the section on Skills for the Future in Chapter 5), given increased demand for skills in the ‘green economy’ and for homes that are low carbon, energy efficient and built in a zero waste way
- Building houses and communities which are proactive in enhancing and restoring nature can help to address the decline in biodiversity
- Building communities not just homes which can help to tackle loneliness and isolation and keep people well
- Working with housing providers provides an excellent opportunity to identify and respond to Adverse Childhood Experiences

More could be done to make the connection between housing and skills:

The shortage in the skilled trades for house building, is becoming more serious.

The Construction Industry Training Board has estimated that the housing and construction industry needs 44,690 new entrants per annum to maintain the sector. In 2015, just 7,280 construction apprentices completed their training across all trades. One of the factors contributing to this shortage is the number of non-British workers we have been relying on in these trades but due to the implications of Brexit 36% of non-British workers in the UK are thinking about leaving by 2022.

The percentage of small and medium-sized house builders saying that a shortage of skilled workers is a major barrier to their ability to build more new homes, rose to 44% (up from 42% in 2017).

There are some examples of public bodies recognising the links between housing and skills for example Bridgend County Borough Council (referenced earlier on in this chapter) and Caerphilly County Borough Council have linked their objectives on housing to developing skills locally through their steps to: 'Create apprenticeships and work placements in the Housing Repair Operations team linked to succession planning and skill gap practices. Create apprenticeships, employment opportunities and work placements as part of the Welsh Housing Quality Standards investment programme'.

However, not enough public bodies make the links between the local skills required to bring existing properties up to standard and building new homes fit for the future, to the objectives they have set on education and employment. There are missed opportunities in considering what needs different areas have and matching those with the skills of local people – such as jobs in the green and circular economies.

This suggests, that as set out elsewhere in this report, that there is a need for better integration between well-being objectives and the roles of other bodies boards and partnerships, in this case Regional Skills Partnerships.

Improve the way we plan, design and build houses

What future generations need:

We must recognise the significance of good housing and communities as a route to physical and mental well-being of people, building cohesive communities, meeting our carbon emissions targets and providing opportunities for jobs and the development of new skills.

Where we are now:

Planning Policy Wales 10 provides the right context to build communities not just houses.

There is a unique opportunity for Wales to prevent the problems of the past where building housing units has been permitted without building communities. We have seen clusters of houses in remote locations, isolated from local services and infrastructure, resulting in households relying on cars, commuting out of the area they live in to find work and access amenities and vitally, without any sense of community.

In rural areas, I am often told of people's quality of life feels inequitable to that of people living in more urban areas due to limited public transport infrastructure and difficulties accessing the internet.

It is clear we need to do more to focus on creating communities not just building houses and this must remain our focus despite the housing shortage otherwise we risk building homes today which will not be fit for our needs in 2030, let alone 2050.

However, due to the current reform of the planning system in Wales there is a real opportunity to focus on building communities in Wales. The new Planning Policy Wales (edition 10) published in 2018, embraces the idea of sustainable planning and embeds the principles of the Well-being of Future Generations Act. Welsh Government is currently in the process of developing the National Development Framework and consulting on the new Local Development Plan Manual (See the section on Land Use Planning).

I would also expect to see wider consideration of 'placemaking'. Public bodies and Public Services Boards are not yet explicitly discussing housing that's protected from future challenges like extreme weather, reducing raw material consumption, creating better access to green spaces, more imaginative solutions to demographic change (like younger people house-sharing with older people) and a more explicit link to a placemaking approach.

There is no question that if we are to change people's travel habits and reduce our carbon emissions, we need homes in communities that are fit for the future, so well-being objectives on 'housing' should really be about well-connected environments, that help people move around their communities sustainably.

"To overcome shortages in housing supply, coupled with reducing skills pool, the industry needs to consider forms of construction beyond traditional methods of housing that are both sustainable and of high quality"

Recommendations

Advice on setting well-being objectives for all public bodies and boards covered by the Well-being of Future Generations Act (including Welsh Government)

Please refer to the chapter on Setting Good Objectives, but in setting their objectives specifically in relation to transport all public bodies and boards covered by the Well-being of Future Generations Act (including Welsh Government) should:

- Ensure they reflect future trends especially demographic changes and the climate and nature emergencies
- Clearly demonstrate the connections between their well-being objectives and steps on housing, and other areas, such as tackling inequality and poverty, the natural environment, fair work, skills, health and well-being.
- Consider the recommendations of the Affordable Housing Review, the Independent Review on Decarbonising Welsh Homes and the report from the Homelessness Action Group.

In setting their steps, public bodies and boards covered by the Well-being of Future Generations Act (including Welsh Government) should focus on the following areas and should:

- Set out how their steps to meet their objectives on housing can align with their objectives on skills, particularly in relation to the construction industry, and development of skills in modern methods of construction, including low carbon build.

Recommendations for all public bodies and boards covered by the Well-being of Future Generations Act (including Welsh Government)

Process Recommendations

In their day to day actions they should start:

- Embedding values of kindness compassion in their work on housing and ensure these values are embraced by their workforce.
- Ensuring local housing market assessments specifically include well-being assessments conducted by Public Services Boards as part of the data they use.
- Working with housing associations to share and implement innovative practice.
- Considering how they can require zero waste construction through their procurement processes.
- Putting in place a clear plan for addressing climate change displacement (see the recommendation from the Resilient Wales section of Chapter 3).
- Involving the housing sector in the work of the Public Services Boards, including inviting them to join the board.
- Considering housing as one of the wider determinants of health.
- Ensuring Local Development Plans and social housing developments meet the needs of the ageing population.

Cyngor Sir CEREDIGION County Council

REPORT TO: Council

DATE: 3rd March 2022

LOCATION: Virtual Meeting

TITLE: Community Housing Proposals

PURPOSE OF REPORT: To provide feedback from the Corporate Resources Overview and Scrutiny Committee meeting held on 7 February 2022

BACKGROUND:

On the 29th November 2021, the Independent Group presented a report setting out a vision towards creating a pathway to Home Ownership for the Younger Generation of Ceredigion. The vision was drafted in response to the economic situation facing the young people in Ceredigion and the lack of opportunities that they have to get on the housing ladder and be able to stay within their own communities.

Evidence demonstrates that there are limited opportunities for young people to be able to purchase a first home due to the economic constraints within the County.

Committee Members were all supportive of the proposal and agreed that the 'Vision towards creating a pathway to Home Ownership for Younger Generation of Ceredigion' was referred to relevant Officers to work up the viability of the scheme. Officers would then return to Committee with their recommendations and if the scheme was ultimately approved by Cabinet/Council, the preferred funding option would be modelled into the annual budget setting.

The Council Tax Premium Task and Finish Group comprising Councillors and Officers at its 26th January 2022 meeting unanimously agreed to recommend that the local housing proposal is presented to Scrutiny and were supportive.

Committee Members considered the report contents' which sets out the Key Points in the Vision, the Appraisal of Proposal and Conclusion.

The report can be viewed via the following link:

<https://council.ceredigion.gov.uk/ieListDocuments.aspx?CId=141&MId=261&Ver=4&LLL=0>

Committee Members then had the opportunity to ask questions which were answered in turn by Officers. The Committee discussed various issues and opportunities that could be considered and developed further by the new administration following the Local Elections in May 2022. There was consensus that the proposals were appropriate for the first phase of a longer term plan to support young people in Ceredigion.

Committee Members were then asked to consider the following recommendations:

RECOMMENDATION/S:

For the Corporate Resources Overview and Scrutiny Committee to recommend to Council that:

- 1) The Council decision 24/3/16 Minute 12) Report of the Deputy Chief Executive upon the Council Tax Premiums for long-term empty homes and second homes, point 4 be amended as follows:
“4)a)The level of Council Tax Second Homes Premium charged to be set at 25% (with effect from 1 April 2017), and,

b) that all monies raised from the 25% Council Tax Second Homes Premium (net of the Council Tax refunds), be ring-fenced and used to support the Community Housing Scheme.”
- 2) That all monies raised from the 25% Council Tax Second Homes Premium between the period 1/4/17 to 31/3/22 (net of Council Tax refunds), to be ring-fenced and used to support the Community Housing Scheme.
- 3) That all monies raised from the 25% Council Tax Second Homes Premium from 1/4/22 (net of the Council Tax refunds), to be ring-fenced and used to support the Community Housing Scheme.
- 4) That from 1/4/22, all monies raised from the 25% Council Tax Empty Homes Premium (net of the Council Tax refunds), be ring-fenced and used to support the Community Housing Scheme.
- 5) That Council decision 16/3/17 minute 8)b) Council Tax Premiums on Second Homes, be revoked.
- 6) That details of a shared equity element of the scheme are prepared and agreed within 12 months of the Council decision and that work continues on the other options.

An additional recommendation was suggested and agreed by Committee members:

- 7) The possibility of establishing a Community Benefit Scheme be deferred for one year.

Following consideration, Committee Members agreed to recommend that Council agree and adopt points 1,2,3,4,5, 6 and 7 listed above.

The Chairman thanked the Officers for the comprehensive report and for their support during this process.

Councillor Ivor Williams
Chairman of the Corporate Resources Overview and Scrutiny Committee

Cyngor Sir CEREDIGION County Council

REPORT TO:	Council
DATE OF MEETING:	3 March 2022
LOCATION:	Remotely via Video Conference
TITLE:	Report on changes to the Council's Constitution
PURPOSE OF REPORT:	To make changes to the Council's Constitution and ensure appropriate delegations are in place
FOR:	Decision & Information
Cabinet Portfolio and Cabinet Member:	Cllr. Ray Quant MBE, Deputy Leader of the Council and Cabinet Member for Customer Contact, Legal & Governance, People & Organisation

BACKGROUND:

The Constitution is published on the Council's website, and is a live document. The Monitoring Officer is authorised to make minor amendments to the Constitution, and update as necessary. The current published version of the Council's Constitution is available at:

<https://www.ceredigion.gov.uk/your-council/about-the-council/the-councils-constitution/>

Most recently, changes to the Constitution were approved by Council on 23rd September 2021 (see Report and Meeting Minutes at:

<https://council.ceredigion.gov.uk/ieListDocuments.aspx?CId=149&MId=161&Ver=4&LLL=0>)

Proposals

Since the 23rd September 2021 Meeting, Meetings of the Council's Cross Party Constitution Working Group ('the Working Group') were held on 8th November 2021 and 11th February 2022, in which the Working Group agreed to recommend the following Constitution changes to Council, and which were proposed to the Working Group following discussions with relevant Officers:

A. Head of Democratic Services/Statutory Officers

The Head of Democratic Services has been added to the list of Statutory Officers at Article 4.4.12 in Draft Part 2 Articles (at **Appendix 1**).

B. Cabinet Portfolios

Part 3.4 Table 4 in Part 3 (at **Appendix 2**) ('Responsibility for Cabinet Functions') lists the External Bodies, Partnerships/Joint Committees/Agencies and Internal panels/working groups/fora relating to Cabinet portfolios. Internal Panels are managed by the relevant Service area.

Some of the bodies have ceased to exist, relate to non-Cabinet Member roles/ 'local representation' or require re-allocation following Cabinet re-structure. The bodies referenced have therefore been updated, following consultation with Cabinet Members and consideration by Democratic Services, to reflect factual accuracy i.e. bodies on which Cabinet Members are currently sitting due to their status as a Cabinet Member.

The correct Cabinet Title for Porth Gofal, Early Intervention, Well-being Hubs and Culture has also been updated.

C. Whistleblowing

Part 3.5D Delegations to CLO Legal & Governance/Monitoring Officer (at **Appendix 3**) has been updated to reference the CLO's duties regarding Whistleblowing (acting as the lead Officer in the Council's Whistleblowing Policy).

D. Part 3.5G Delegations to CLO Policy, Performance and Public Protection

Proposed changes to Part 3.5G (at **Appendix 4**) include:

- Updating 'Head of Service' to 'Corporate Lead Officer';
- Amending the wording from 'qualified person' to 'Senior officer with responsibility over the Internal Review process under FOIs and EIRs' and confirming the CLO is the senior contact officer with the ICO and PSOW;
- Re-formatting/styling of delegations including insertion of table with area/function/legislation for ease of reference (to include review of legislation);
- New section relating to Civil Contingencies & Business Continuity;
- New section relating to current Trading Standards & Licensing Manager being Chief Inspector of Weights & Measures;
- Separating the CLO's Senior Responsible Officer role (Proceeds of Crime Act 2002) and the CLO's Proper Officer role in relation to the Public Health (Control of Disease) Act 1984.

E. Part 3.5J Delegations to CLO Porth Cynnal Specialist Through Age Service and Porth Gofal Targeted Intervention

Proposed amendments to Part 3.5J (at **Appendix 6**) include:

- Separating and re-formatting the sections relating to the different functions of the CLO Porth Cynnal Specialist Through Age Service and the CLO Porth Gofal Targeted Intervention.
- New reference to Social Services and Well-Being (Wales) Act 2014 relating to the role of Statutory Director of Social Services and Social Services function.
- Reference to role of both CLOs regarding the West Wales Regional Partnership Board and West Wales Care Partnership (see also below).

F. The West Wales Regional Partnership Board ('WWRPB') and the West Wales Care Partnership ('WWCP')

In addition to new wording at Part 3.5J Delegations to the CLO Porth Gofal Targeted Interventions and CLO Porth Cynnal Specialist Through Age Services (at **Appendix 6**), new wording is proposed for insertion in Section 4 Regional Partnerships, Part 7.

G. Part 3.5 L delegations to CLO Finance and Procurement

Proposed amendments to Part 3.5L (at **Appendix 8**) include reference to the CLO Finance and Procurement's status as Chief Finance Officer Growing Mid Wales Board and Mid Wales Corporate Joint Committee and relevant duties, and clarification of status as Ceredigion Chief Finance Officer.

H. Mid Wales Education Partnership

Reference to the Mid Wales Education Partnership has been included in Section 4 of Part 7 (at **Appendix 12**) as it has been agreed that Powys and Ceredigion continue to work together as the Mid Wales Education Partnership (see the Report to Cabinet and Meeting Minutes at

<https://council.ceredigion.gov.uk/ieListDocuments.aspx?CId=148&MId=175&Ver=4&LLL=0>

I. Ethics & Standards Committee & Governance and Audit Committee

In the 23rd September 2021 Report to Council, amendments to the Constitution were proposed to reflect the requirements of the Local Government and Elections (Wales) Act 2021 ('the 2021 Act') affecting these Committees and changes to be made from May 2022 (when relevant sections of the 2021 Act come into force).

Additional/amended wording is now proposed in relation to these May 2022 changes, including further changes to the Committees' terms of reference (see Articles 9.1.7.10-

9.1.7.14 and 9.2.1.8 – 9.2.1.10 Draft Part 2 Articles (at **Appendix 1**) and Part 3 (at **Appendix 2**)).

J. Welsh in Education

A new function 25C in Part 3.2 Table 2, Part 3 (at **Appendix 2**) and new reference to Wales in education in Part 3.5K Delegations to the CLO Schools and Culture (at **Appendix 7**) are proposed.

K. Planning

Further to receipt of Audit Wales's review of the Council's Planning Service (Report to Council's Governance and Audit Committee on 17th January 2022 including Audit Wales Report and Council Response form available at

<https://council.ceredigion.gov.uk/documents/s2445/WAO%20Planning%20review%20Combined%20s.pdf?LLL=0>) the following changes to the Constitution are proposed:

- New Member's Protocol of Good Practice in Planning (to become a new Part 5 Document Q (at **Appendix 5(b)**), and update to Part 5 Contents page (at **Appendix 5(c)**);
- New Part 4 Document I – The Development Management Committee Operational Procedures (at **Appendix 5(d)**) (formerly Members of the Public addressing the Development Control Committee);
- Updated Terms of Reference (see Draft Part 2 Articles (at **Appendix 1**) and Part 3 Responsibility for Council Functions (at **Appendix 2**);
- Updated scheme of delegations (at **Appendix 5(a)**) for inserting into Part 3.5H Delegations to the CLO Economy & Regeneration; and
- Change of name from Development Control Committee to Development Management Committee.

L. Size of Committees from May 2022

On 27th January 2022 Council agreed to reduce the membership of certain Committees from 5th May 2022 and amend the Constitution accordingly (see Report to Council and draft Minutes at

<https://council.ceredigion.gov.uk/ieListDocuments.aspx?CId=149&MId=164&Ver=4&LLL=0>).

Changes to the Constitution to reflect changes to Committee sizes are proposed for Part 2 Articles (at **Appendix 1**), Part 3 Responsibility for Council Functions (at **Appendix 2**) and Part 4 Document E Overview and Scrutiny Procedure Rules (at **Appendix 10**).

M. Minor Changes

Any minor changes made by the CLO Legal and Governance/Monitoring Officer are confirmed to the Working Group and are contained in the Appendices to this Report and include:

- Stylistic/formatting changes e.g. from he/she to they (see Part 4 Document A Council Procedure Rules (at **Appendix 9**) and Part 4 Document E Overview and Scrutiny Procedure Rules (at **Appendix 10**), and formatting amendments to Part 3.5 D (at **Appendix 3**)
- An update in Part 4 Document E Overview and Scrutiny Procedure Rules at 15.1 to 'Corporate Director' and 'Corporate Lead Officer' (at **Appendix 10**) and removal of word 'for' (at 10. Agenda Items, **Appendix 10**);
- Removal of 'integration of' relating to Regional Partnership arrangements (Social Services and Well-being Act 2014 under functions/areas of responsibility of CLO Porth Cynnal Specialist Through Age Services (see Draft Part 2 Articles (at **Appendix 1**)).
- Part 4 Document E Overview and Scrutiny Procedure Rules - removal of word 'for' at 10. Agenda Items, and removal of wording 'from Cabinet' at 17.3 (at **Appendix 10**).
- Part 6 – update of Organisational Structure (at **Appendix 11**)

The above proposals are shown in **Appendices 1-12** attached-to be inserted into the Constitution.

The above proposals have been approved by the Council's Cross-Party Constitution Working Group meetings on 8th November 2021 and 11th February 2022.

RECOMMENDATIONS:

That the Council resolves to:

1. Change of name of the Development Control Committee to Development Management Committee
2. Note the contents of the report (in particular paras. A-M);
3. Approve the changes to the Constitution (at **Appendices 1-12**);
4. Authorise the CLO Legal & Governance/Monitoring Officer to update the Council's Constitution to reflect the above changes;

REASON FOR RECOMMENDATIONS: Ensuring that the Constitution is fit for purpose, that the correct references to Officers are in the Constitution and that appropriate delegations and responsibilities are in place.

WELLBEING OF FUTURE GENERATIONS:

Has an Integrated Impact Assessment been completed? No
If, not, please state why

Summary: *This report does not represent a change in policy or strategy.*

Long term:	To ensure that the Constitution remains updated and fit for purpose for the long term benefit of the Council and citizens of Ceredigion.
Integration:	N/A
Collaboration:	N/A
Involvement:	N/A
Prevention:	To ensure that the Constitution remains updated and fit for purpose.

Overview and Scrutiny: n/a

Policy Framework: Constitution

Corporate Priorities: Cross cutting theme to ensure that services are fit for purpose.

Finance and Procurement implications: None

Legal Implications: None

Staffing implications: None

Property / asset implications: None

Risk(s): Without these changes the Constitution will not be updated and fit for purpose

Statutory Powers: Local Government and Elections (Wales) Act 2021:
<https://www.legislation.gov.uk/asc/2021/1/enacted>
 Mid-Wales Corporate Joint Committee Regulations 2021:
<https://www.legislation.gov.uk/wsi/2021/342/made>
 Corporate Joint Committees (General) (Wales) Regulations 2021:
<https://www.legislation.gov.uk/wsi/2021/327/made>
 CJC (Amendment to Schedule 6 of Welsh Language (Wales) Measure 2011 Regs 2021:
<https://www.legislation.gov.uk/wsi/2021/341/contents/made>
[e](#)

Minister for Housing and Local Government, Welsh Government, 23 February 2021 Written Statement: Laying Statutory Instruments to establish Corporate Joint Committees:

<https://gov.wales/written-statement-laying-statutory-instruments-establish-corporate-joint-committees>

CJC (Transport Functions) (Wales) Regs 2021

Background Papers:

Report to Council – 23rd September 2021 and Meeting Minutes available at:

<https://council.ceredigion.gov.uk/ieListDocuments.aspx?CId=149&MId=161&Ver=4&LLL=0>

Appendices:

Appendix 1 – Draft Part 2 Articles

Appendix 2 - Draft Part 3 Responsibility for Council Functions

Appendix 3 – Draft Part 3.5D Delegations to CLO Legal & Governance Services

Appendix 4 - Draft Part 3.5G Delegations to CLO Policy, Performance & Public Protection

Appendix 5(a) - Draft Scheme of Delegations (Planning)

Appendix 5(b) - Member's Protocol of Good Practice in Planning (new Part 5 Document Q)

Appendix 5(c) – Part 5 Contents Page

Appendix 5(d) - The Development Management Committee Operational Procedures

Appendix 6 - Draft Part 3.5J Delegations to CLO Porth Cynnal and CLO Porth Gofal Targeted Intervention

Appendix 7 – Draft Part 3.5K Delegations to CLO Schools and Culture

Appendix 8 - Draft Extract Part 3.5 L Delegations to CLO Finance & Procurement

Appendix 9 – Draft Part 4 Document A Council Procedure Rules

Appendix 10 – Draft Part 4 Document E Overview and Scrutiny Procedure Rules

Appendix 11 – Draft Part 6 Management Structure

Appendix 12 - Draft Part 7 Consultative and Advisory For
a

Corporate Lead Officer: Elin Prysor-Corporate Lead Officer: Legal & Governance
Services (& Monitoring Officer)

Reporting Officer: Elin Prysor

Date: 11 February 2022

PART 2

ARTICLES OF THE CONSTITUTION

Updated ~~June 2024~~February 2022

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Updated ~~June 2024~~[February 2022](#)

ARTICLE 1 – THE CONSTITUTION

1.1 POWERS OF THE COUNCIL

The Council will exercise all its powers and duties in accordance with the law and this Constitution.

1.2 THE CONSTITUTION

This Constitution, and all its appendices, is the Constitution of the Ceredigion County Council.

1.3 PURPOSE OF THE CONSTITUTION

The purpose of the Constitution is to:

- 1.3.1 enable the Council to provide clear leadership to the community in partnership with citizens, businesses and other organisations;
- 1.3.2 provide a framework for good governance;
- 1.3.3 support the active involvement of citizens in the process of local authority decision-making;
- 1.3.4 help Councillors represent their constituents more effectively;
- 1.3.5 enable decisions to be taken efficiently and effectively;
- 1.3.6 create a powerful and effective means of holding decision-makers to public account;
- 1.3.7 ensure that no one will review or scrutinise a decision in which they were directly involved;
- 1.3.8 ensure that those responsible for decision-making are clearly identifiable to local people and that they explain the reasons for decisions; and
- 1.3.9 provide a means of improving the delivery of services to the community.

1.4 INTERPRETATION AND REVIEW OF THE CONSTITUTION

Where the Constitution permits the Council to choose between different courses of action, the Council will always choose that option which it thinks is closest to the purposes stated above.

The Council will monitor and evaluate the operation of the Constitution as set out in Article 14.

ARTICLE 2– MEMBERS OF THE COUNCIL

2.1 COMPOSITION AND ELIGIBILITY

2.1.1 Composition.

The Council will comprise 42 members, otherwise called Councillors who are elected by the voters of each electoral division in accordance with a scheme drawn up by the Boundary Commission in Wales and approved by the National Assembly.

2.1.2 Eligibility

Only registered voters of the County Council or those living or working in the area will be eligible to hold the office of Councillor (in accordance with the provisions of the Local Government Act 1972).

2.2 ELECTION AND TERMS OF COUNCILLORS

The ordinary election of Councillors will normally be held on the first Thursday in May once every five years. The terms of office of Councillors will start on the fourth day after being elected and will end on the fourth day after the date of the next ordinary election.

2.3 ROLES AND FUNCTIONS OF ALL COUNCILLORS

2.3.1 Key roles. All Councillors will:

- 2.3.1.1 collectively be the ultimate policy-makers and carry out a number of strategic and corporate management functions;
- 2.3.1.2 represent their communities and bring their views into the Council's decision-making process, i.e. become the advocate of and for their communities;
- 2.3.1.3 deal with individual casework and act as an advocate for constituents in resolving particular concerns or grievances;
- 2.3.1.4 balance different interests identified within the electoral division and represent the electoral division as a whole;
- 2.3.1.5 contribute to the continual improvement of Council services;
- 2.3.1.6 be involved in decision-making;
- 2.3.1.7 be available to represent the Council on other bodies; and
- 2.3.1.8 maintain the highest standards of conduct and ethics.

2.3.2 Rights and duties

2.3.2.1 Councillors will have such rights of access to such documents, information, land and buildings of the Council as are necessary for the proper discharge of their functions and in accordance with the law and this Constitution.

2.3.2.2 Councillors will not make public, information which is confidential or exempt without the consent of the Council, or divulge information given in confidence to anyone other than a Councillor or officer entitled to know it.

2.3.2.3 For these purposes, "confidential" and "exempt" information are defined in the Access to Information Rules in Part 4 of this Constitution.

2.3.2.4 Councillors are entitled to serve on School Governing Bodies.

2.4 CONDUCT

Councillors will at all times observe the Members' Code of Conduct and the Protocol on Member/Officer Relations set out in Part 5 of this Constitution.

In the event that consideration is to be given to the grant of an indemnity to an individual member, who is subject to misconduct proceedings under the Local Government Act 2000, the Council has resolved to introduce a cap of £20,000 on the level of indemnity granted to members.

2.5 SALARIES

Councillors will be entitled to receive salaries in accordance with the Schedule of Member Remuneration which is available on the Council website <http://www.ceredigion.gov.uk/English/Your-Council/Councillors-Committees/Members-Allowances/Pages/default.aspx>

The Schedule is produced annually, in exercise of powers conferred by the Local Government (Wales) Measure 2011, as amended by the Local Government Democracy Wales Act 2013. Account is also taken of the Independent Review Panel Regulations, and relevant determinations.

ARTICLE 3 – CITIZENS AND THE COUNCIL

3.1 CITIZENS RIGHTS

Citizens have the following rights. Their rights to information and to participate are explained in more detail in the Access to Information Rules in Part 4 of this Constitution:

3.1.1 **Voting and petitions.** Citizens on the electoral roll for the area have the right to sign a petition to request a referendum for an elected mayoral form of Cabinet and the right to vote in any such referendum.

3.1.2 **Information.** Citizens have the right to:

3.1.2.1 attend meetings of the Council, the Cabinet and Committees except where exempt or confidential information is likely to be disclosed, and the meeting is therefore held in private;

3.1.2.2 find out from the forward work programme what decisions will be taken by the Cabinet or Council and which issues the Overview and Scrutiny Committees will be considering, and when these matters will be discussed;

3.1.2.3 see reports and background papers, and any records of decisions made by the Council, the Cabinet and Committees unless exempted from discussion for any legal reason; and

3.1.2.4 inspect the Council's accounts and make their views known to the external auditor.

3.1.3 **Complaints.** Citizens have the right to complain:

3.1.3.1 to the Council itself under its Corporate Complaints Procedure;

3.1.3.2 to the Ombudsman about any injustice they have suffered as a result of maladministration, but they are encouraged to use the Council's own Corporate Complaints Procedure first;

3.1.3.3 to the Ombudsman where they believe a Member or Co-opted Member of the Council has breached the Member's Code of Conduct.

3.1.3.4 To the Social Services Complaints Officer where appropriate.

3.1.4 Welsh Language

Under the Council's Welsh Standards, citizens have the right to receive Council services of the same standard in Welsh and English.

3.1.5 The Rights of the Child

3.1.5.1 The Council has adopted the United Nations Convention on The Rights Of The Child ("the UNCRC") when exercising its functions. This means that the Council will consider how any decision it will make relates to the rights and obligations in the UNCRC.

3.1.5.2 All children will be supported and encouraged to learn Welsh and use the language and customs of their families, whether these are shared by the majority of people in the country or not.

3.2 CITIZENS' RESPONSIBILITIES

Citizens must not be violent, abusive or threatening to Councillors or officers and must not wilfully harm things owned by the Council, Councillors or officers.

ARTICLE 4 – THE FULL COUNCIL

4.1 THE FOLLOWING PLANS AND STRATEGIES ARE:

4.1.1 Required by the Local Authority Executive Arrangements (Functions and Responsibilities) (Wales) Regulations 2007 (as amended) to be adopted by the Council, namely:

- Ceredigion Local Well-being Plan*
- Local Transport Plan (Regional Transport Plan)
- Local Development Plan
- Welsh Language Standards
- Youth Justice Plan
- Housing Strategy
- Rights of Way Improvement Plan

4.1.2 The Monitoring Officer in accordance with the Forward Work Programme will recommend from time to time the plans and strategies which should be adopted by the Council.

Statutory policies and policies relating to Council functions will be adopted by Council. Other policies will be approved by Cabinet.

Strategies will be adopted by Council. Policies and Strategies can be found on the Ceredigion County Council Website.

4.2 PARTNERSHIP STRATEGIES AND PLANS

The Ceredigion Local Well-being Plan marked with an asterisk in 4.1.1 above is prepared by the Public Service Board of which the Council is a statutory partner.

4.3 BUDGET

The budget includes the allocation of financial resources to different services and projects, proposed contingency funds, the Council tax base, setting the Council tax and decisions relating to the control of the Council's borrowing requirement, the control of its capital expenditure and the setting of virement limits. The Council will adopt the Treasury Management Policy Statement, the Capital Programme and the Revenue Budget.

4.4 FUNCTIONS OF THE FULL COUNCIL

Only the Council will exercise the following functions:

- 4.4.1 adopting and making major changes to the Constitution with changes to reflect legislative structural and minor matters to be effected by the Monitoring Officer;
- 4.4.2 approving or adopting the policy framework and the budget, and setting the Council Tax;
- 4.4.3 subject to the Urgency Procedure contained in the Access to Information Procedure Rules in Part 4 of this Constitution, making decisions about any matter in the discharge of a Cabinet function which is covered by the policy framework or the budget where the decision maker is minded to make it in a manner which would be contrary to the policy framework or contrary to/or not wholly in accordance with the budget;
- 4.4.4 agreeing and/or amending the terms of reference for Committees, deciding on their composition and making appointments to them;
- 4.4.5 appointing the Leader;
- 4.4.6 noting the appointment of Cabinet Members by the Leader;
- 4.4.7 appointing representatives to outside bodies unless the appointment is a Cabinet function or has been delegated by the Council;
- 4.4.8 adopting a Schedule of Member Remuneration under Article 2.5;
- 4.4.9 adopting or revising a Code of Conduct for Members of the Council;
- 4.4.10 all the non-Cabinet functions set out in Table 1 in Part 3 of this Constitution which the Council decides should be undertaken by itself rather than a Committee, namely:
 - 4.4.10.1 making, amending, revoking, re-enacting or adopting bylaws;
 - 4.4.10.2 promoting or opposing the making of local legislation or personal bills;
 - 4.4.10.3 the approval of the Council's statement of accounts, income and expenditure and balance sheet or record of receipts and payments (as the case may be);
 - 4.4.10.4 making standing orders and standing orders as to contracts;
 - 4.4.10.5 the consideration of adverse reports from the Public Services Ombudsman for Wales with recommended compensation over the level of £1,000 or from the Children's Commissioner, the Care and Social Services'

- Inspectorate the Older People's Commissioner for Wales, the Welsh Language Commissioner or Audit Wales;
- 4.4.10.6 functions relating to sea fisheries;
- 4.4.10.7 changing the name of the County;
- 4.4.10.8 changing the name of a community;
- 4.4.10.9 conferring the title of honorary alderman or to admit to be an honorary freeman;
- 4.4.10.10 petition for a charter to confer County borough status;
- 4.4.10.11 appointing an electoral registration officer;
- 4.4.10.12 the dissolution of Community Councils;
- 4.4.10.13 making of orders to group Community Councils and for dissolving groups and separating Community Councils from groups;
- 4.4.10.14 appointing a returning officer for local government elections;
- 4.4.10.15 submitting proposals to the Secretary of State for an order under section 10 (pilot schemes for local elections in England and Wales) of the Representation of the People Act 2000;
- 4.4.10.16 functions relating to local government pensions and the firemen's pension scheme.
- 4.4.10.17 Consideration of Cabinet decisions called in, following recommendation by the relevant Scrutiny Committee, limited to circumstances the Call-In procedures (part 6).
- 4.4.11 appointing the Head of Paid Service (Chief Executive), Corporate Directors and Corporate Lead Officers;
- 4.4.12 Appointing statutory officers, including Section 151 Officer, Monitoring Officer, Director of Social Services, ~~and~~ Chief Education Officer, and Head of Democratic Services;
- 4.4.13 Determining the level, and any change in the level, of the remuneration of Chief Officers;
- 4.4.14 all local choice functions set out in Part 3 of this Constitution which the Council decides should be undertaken by itself rather than Cabinet;
- 4.4.15 all other matters which, by law, must be reserved to Council.

4.5 COUNCIL MEETINGS

There are four types of Council meeting:

- 4.5.1 the First Annual Meeting
- 4.5.2 the Annual meeting;
- 4.5.3 Ordinary meetings;
- 4.5.4 Special meetings.

and they will be conducted in accordance with the Council Procedure Rules in Part 4 of this Constitution.

4.6 RESPONSIBILITY FOR FUNCTIONS

The Council will maintain the tables in Part 3 of this Constitution setting out the responsibilities for the Council's functions which are not the responsibility of the Cabinet.

Plans and strategies which the Council has adopted as a matter of local choice can be found on the Council's website at www.ceredigion.gov.uk and CeriNet Home Page.

ARTICLE 5 – CHAIRING THE COUNCIL

5.1 ROLE AND FUNCTION OF THE CHAIRPERSON OF THE COUNCIL

The Chairperson of Council and in his/her absence, the Vice-Chairperson will have the following roles and functions:

The Chairperson will be elected by the Council annually at the annual meeting.

The Chairperson will have the following responsibilities:

- 5.1.1 to uphold and promote the purposes of the Constitution, and to interpret the Constitution when necessary;
- 5.1.2 to preside over meetings of the Council so that its business can be carried out efficiently and with regard to the rights of Councillors and the interests of the community;
- 5.1.3 to ensure that the Council meeting is a forum for the debate of matters of concern to the local community and the place at which members who are not on the Cabinet are able to hold the Cabinet and Committee chairmen to account;
- 5.1.4 to promote public involvement in the Council's activities;
- 5.1.5 to be the conscience of the Council; and
- 5.1.6 to attend such civic and ceremonial functions as they and the Council ~~and he/she~~ determines appropriate.

5.2 CHAIRPERSONSHIP OF COMMITTEES

The Chairperson and Vice-Chairperson of the Council shall not serve concurrently as Chairperson or Vice-Chairperson of any Committee of the Council.

Chairpersons and Vice-Chairpersons of Committees shall serve for a term of two municipal years and may hold one Chairperson and one Vice-Chairperson post concurrently and may not seek re-election for the succeeding term in relation to the relevant committee/s of which they hold Chairpersonship.

ARTICLE 6 – OVERVIEW AND SCRUTINY COMMITTEES

6.1 TERMS OF REFERENCE

The Council will appoint the Overview and Scrutiny Committees set out in the left hand column of the table below to discharge the functions conferred by Section 21 of the Local Government Act 2000 in relation to the matters set out in the right hand column of the same table.

Committee	Scope
Co-ordinating Committee (10 Members)	Transformation of services, collaboration, partnership working. Ceredigion Public Service Board, Ceredigion Local Well-being Plan, Corporate Strategy & Well-being Objectives Safeguarding, communication, equalities and crime and disorder matters
Corporate Resources (1713 Members)	Corporate Services (to include human resources, customer services, ICT, treasury management and legal services), Inclusion/Equal Opportunities, Civil Contingencies, Business Continuity, Estates Management and Civil Registration.
Healthier Communities (1713 Members)	Social Services, Integrated Care Services, Housing services, Leisure and Recreation Facilities, Environmental Health, Public Protection and Licencing.
Learning Communities (1713 Members)	Lifelong Learning, Children and Young People, Schools, Training, Youth Services and Cultural Services.
Thriving Communities (1713 Members)	Economic Development, Regeneration, Tourism, Marketing, Stronger Communities, European Grant Aid, Business Support, Capital Programme, Transport and Highways Infrastructure, Town and Country Planning and Sustainability, Coast and Countryside and Waste and other Municipal Services

6.2 GENERAL ROLE

Within their scope and terms of reference, Overview and Scrutiny Committees will:

- 6.2.1 review and/or scrutinise decisions made or actions taken in connection with the discharge of any of the Council's functions;
- 6.2.2 make reports and/or recommendations to the full Council and/or the Cabinet and/or any joint committee in connection with the discharge of any functions;
- 6.2.3 consider any matter affecting the area or its inhabitants; and
- 6.2.4 exercise the right to call-in, for reconsideration, decisions made but not yet implemented by the Cabinet.
- 6.2.5 The role of the Overview and Scrutiny Co-ordinating Committees be extended :
 - (a) To review or scrutinise decisions made, or other actions taken by the Public Services Board ("the P.S.B"), in the exercise of its functions;
 - (b) To review and scrutinise the PSB's governance arrangements;
 - (c) To make reports or recommendations to the PSB with respect to the PSB's functions or governance arrangements;
 - (d) To consider such matters relating to the PSB as the Welsh ministers may refer to it and to report to the Welsh ministers accordingly;
 - (e) To carry out such other functions in relation to the PSB as are imposed on it by the Well-being of Future Generations (Wales) Act 2015.
 - (f) To report/make recommendations to the appropriate fora (including Cabinet, the PSB and relevant sub-groups).

6.3 SPECIFIC FUNCTIONS

6.3.1 **Policy development and review.** Overview and Scrutiny Committees may:

- 6.3.1.1 assist the Council and the Cabinet in the development of its budget and policy framework by in-depth analysis of policy issues;
- 6.3.1.2 conduct research, community and other consultation in the analysis of policy issues and possible options;

- 6.3.1.3 consider and implement mechanisms to encourage and enhance community participation in the development of policy options;
 - 6.3.1.4 question members of the Cabinet and/or Committees and chief officers about their views on issues and proposals affecting the area or any matter under consideration; and
 - 6.3.1.5 liaise with other external organisations operating in the area, whether national, regional or local, to ensure that the interests of local people are enhanced by collaborative working.
- 6.3.2 **Scrutiny.** Overview and Scrutiny Committees are expected to:
- 6.3.2.1 review and scrutinise the decisions made by and performance of the Cabinet and/or Committees and Council officers both in relation to individual decisions and over time;
 - 6.3.2.2 review and scrutinise the performance of the Council in relation to its policy objectives, performance targets and/or particular service areas;
 - 6.3.2.3 question members of the Cabinet and/or Committees and appropriate officers about their decisions and performance, whether generally in comparison with business plans and targets over a period of time, or in relation to particular decisions, initiatives or projects;
 - 6.3.2.4 make recommendations to the Cabinet and/or appropriate Committee and by way of, and in accordance with good practice to inform Council decision making arising from the outcome of the e scrutiny process;
 - 6.3.2.5 review and scrutinise the performance of other public bodies in the area and invite reports from them by requesting them to address the Overview and Scrutiny Committee and local people about their activities and performance;
 - 6.3.2.6 question and gather evidence from any person (with their consent).
- 6.3.3 **Finance.** Overview and Scrutiny Committees may exercise overall responsibility for the finances made available to them.
- 6.3.4 **Annual report.** Overview and Scrutiny Committees must report annually to full Council on the work undertaken by each of the Committees and make recommendations for future work programmes and amended working methods if appropriate.
- 6.3.5 **Work Programme.** Overview and Scrutiny Committees must exercise overall responsibility for the work programme.

6.4 PROCEEDINGS OF OVERVIEW AND SCRUTINY COMMITTEES

Overview and Scrutiny Committees will conduct their proceedings in accordance with the Overview and Scrutiny Procedure Rules set out in Part 4 of this Constitution. The Leader of the Council and Cabinet Members are to attend meetings of the appropriate Overview and Scrutiny Committees as an approved duty under Section 174 Local Government Act 1972 as they are automatically required to attend a meeting of an overview or scrutiny committee by the relevant Chairperson.

Full details of the Overview and Scrutiny Protocol can be found in Part 5.

6.5. PUBLIC ENGAGEMENT PROTOCOL

The Council has endorsed the Overview and Scrutiny Public Engagement Protocol, full details of which can be found in Part 5.

ARTICLE 7 – CABINET

7.1 ROLE

Cabinet will carry out all of the Council's functions which are not the responsibility of any other part of the Council, whether by law or under this Constitution.

7.2 FORM AND COMPOSITION

The Cabinet will consist of the Leader together with at least 6, but not more than 9, Councillors appointed to a Cabinet by the Leader, the appointments to be reported to Council at its next meeting for information purposes.

7.3 LEADER

The Leader will be a Councillor elected to the position of Leader by the Council. The Leader will hold office until:

- 7.3.1 ~~he/she/they~~ resigns from the office; or
- 7.3.2 ~~they he/she is/are~~ suspended from being a Councillor under Part III of the Local Government Act 2000 (although ~~they he/she~~ may resume office at the end of the period of suspension); or
- 7.3.3 ~~they he/she is/are~~ no longer a Councillor; or
- 7.3.4 ~~they he/she is/are~~ removed from office by resolution of the Council passed by at least 75% of members present at the meeting; or
- 7.3.5 ~~they are he/she is~~ removed from office by resolution of the Council in the event of a change in political control of the Council.

7.4 OTHER CABINET MEMBERS

Other Cabinet members shall hold office until:

- 7.4.1 they resign from office; or
- 7.4.2 they are suspended from being Councillors under Part III of the Local Government Act 2000 (although they may resume office at the end of the period of suspension); or
- 7.4.3 they are no longer Councillors; or
- 7.4.4 they are removed from office by the Leader who must give written notice of any removal to the Proper Officer. The removal will take effect two working days after receipt of the notice by the Proper Officer; or

7.4.5 they are removed from office, either individually or collectively, by resolution of the Council in the event of a change in political control of the Council.

7.5 PROCEEDINGS OF THE CABINET

Proceedings of the Cabinet shall take place in accordance with the Cabinet Procedure Rules set out in Part 4 of this Constitution.

7.6 RESPONSIBILITY FOR FUNCTIONS

The Leader will maintain a list in Part 3 of this Constitution which will be reported to the next available Council meeting for information setting out which individual members of the Cabinet, Committees of the Cabinet, officers or joint arrangements are responsible for the exercise of particular Cabinet functions.

ARTICLE 8 – REGULATORY COMMITTEES

8.1 The Council will appoint the Committee set out in the left hand column of Part 3.3 (Table 3) of this Constitution to discharge the functions described in column 3 of that table. Their terms of reference are also set out in column 2 of that Table.

8.2 **Development ~~Control-Management~~ Committee**

8.2.1 Role, purpose and responsibilities

The Development Management Committee's role, purpose and responsibilities are set out in the Terms of Reference of the Development Control Committee (see Part 3.3 (Table 3), Part 3.1 Table 1 (Part A) and items 3 and 4, Part I in Part 3.1 Table 1 of this Constitution).

The Development Management Committee's Terms of reference and functions of Part 3.3 (Table 3) are set out below, as follows:

1. Functions relating to town and country planning and development control as specified in Part A of Part 3.1 Table 1 above ('Functions relating to town and country planning and development control), together with functions under items 3 and 4 of Part I of Table 1 ('Miscellaneous functions').
2. To carry out the Authority's statutory planning functions in relation to the determination of applications and allied issues relating to development and the regulation of uses and activities.
3. To consider and determine applications, so as to advance and contribute to the Council's Corporate Strategy and Priorities through thorough consideration of major developments county-wide.
4. To make planning decisions based on sound material planning considerations, and not personal circumstances, opinions or feelings.
5. To take into account the sustainable development principle in determining planning applications.
6. The power to act, all the powers and duties of the Authority relating to the consideration of planning, listed building and conservation area applications, notification schemes, tree preservation orders, the control of development and the enforcement of such control, and other consultation schemes where appropriate.
7. To receive reports from time to time from the Chief Executive or Corporate Lead Officer for Economy and Regeneration and other Officers on the exercise of any functions relating to the control of development which may have been delegated to them.
8. To deal with all applications:
 - a. made by the Council as landowner;
 - b. relating to major developments;
 - c. made by a Member or close personal associates; or

d. made by;

I. Chief Officers (Chief Executive, Corporate Directors and Corporate Lead Officers);

II. All staff employed by the Planning Service(s) including development management and Forward Planning; and

III. Any other Staff closely linked to the planning services or a particular planning application

or by their close personal associates.

9. To prioritise making sound planning judgements in line with all relevant national and local planning policy that advances the corporate strategies and priorities of the Council unless there are other material considerations.

10. To determine applications in accordance with the Local Development Plan, the central tenants of the Well-being of Future Generations (Wales) Act 2015, and to deliver the Council's Corporate Priorities:

o Corporate Priority 1 – Boosting the Economy;

o Corporate Priority 2 – Investing in People's Future;

o Corporate Priority 3 – Enabling individual and Family Resilience; and

o Corporate Priority 4 – Promoting Environmental and Community Resilience.

8.2.2 Proceedings of the Committee

Proceedings of the Development Management Committee shall take place in accordance with the Development Management Committee Operational Procedures set out in Part 4 Document I of this Constitution.

8.2.3 Member's Protocol of Good Practice in Planning

The Member's Protocol of Good Practice in Planning (see Part 5 Document Q of this Constitution) sets out the way in which the Authority will expect Members to deal with planning applications and related matters relevant to the Development Management Committee (and respective standards of conduct).

Quorum

~~No business is to be transacted at a meeting of a Development Control Committee unless a least half of the total number of members of the committee, rounded up to the nearest whole number, is present.~~

~~8.2.2 Simple Majority~~

~~Unless this Constitution provides otherwise, any matter decided by the Committee will be decided by a simple majority of those Committee members voting and present in the meeting at the time the recommendation or proposal was made.~~

~~8.2.3 Chairperson's Casting Vote~~

~~If there are equal numbers of votes for and against, the Chairperson will have a second or casting vote. There will be no restriction on how the Chairperson chooses to exercise a casting vote.~~

8.3 Licensing Committee

8.3.1 Simple Majority

Unless this Constitution provides otherwise, any matter decided by the Committee will be decided by a simple majority of those Committee members voting and present in the meeting at the time the recommendation or proposal was made.

8.3.2 Chairperson's Casting Vote

If there are equal numbers of votes for and against, the Chairperson will have a second or casting vote. There will be no restriction on how the Chairperson chooses to exercise a casting vote.

ARTICLE 9 – THE ETHICS AND STANDARDS COMMITTEE AND GOVERNANCE AND AUDIT COMMITTEE

9.1 ETHICS AND STANDARDS COMMITTEE

The Council has an Ethics and Standards Committee in accordance with the Standards Committee (Wales) Regulations 2001 as amended (“the Regulations”).

9.1.1 COMPOSITION OF ETHICS AND STANDARDS COMMITTEE

9.1.1.1 Membership of Ethics and Standards Committee

The Ethics and Standards Committee is composed of nine members. Its membership comprises:

- 9.1.1.1.1** Five ‘independent’ members, who are not Councillors or Officers or the spouse of a Councillor or an officer of this Council or any other relevant authority as defined by the Regulations, appointed in accordance with the procedure set out in the Regulations;
- 9.1.1.1.2** Two County Councillors (other than the Leader of the Council and any member of the Cabinet);
- 9.1.1.1.3** Two members of Town and Community Councils wholly or mainly in the Council’s area (‘Community Committee members’).

9.1.2 Term of Office for Ethics and Standards Committee

- 9.1.2.1** Independent members are appointed for a term of not less than four nor more than six years. They may be re-appointed for one further consecutive term not exceeding four years.
- 9.1.2.2** Members of the Council who are members of the Ethics and Standards Committee have a term of office until the next ordinary local government election following their appointment. They may be reappointed for one further consecutive term.
- 9.1.2.3** A Community Committee member has a term of office until the next ordinary local government election following their appointment. They may be reappointed for one further consecutive term.

9.1.3 Quorum - A meeting of the Ethics and Standards Committee is only quorate when:

- 9.1.3.1** at least three members are present; and
- 9.1.3.2** at least half the members present (including the Chairperson) are Independent Members

9.1.4 Voting - Independent Members and Community Committee members are entitled to vote at meetings

9.1.4.1 Majority

Unless this Constitution provides otherwise, any matter will be decided by a simple majority of those Committee members voting and present in the meeting at the time the recommendation or proposal was made.

9.1.4.2 Chairperson’s Casting Vote

If there are equal numbers of votes for and against, the Chairperson will have a second or casting vote. There will be no restriction on how the Chairperson chooses to exercise a casting vote.

9.1.5 Community Committee Members - A Community Committee member does not take part in the proceedings of the Ethics and Standards Committee when any matter relating to their Community Council is being considered;

9.1.6 Chairing the Ethics and Standards Committee

9.1.6.1 An Independent Member must chair the Ethics and Standards Committee.

9.1.6.2 The Chairperson is elected by the members of the Ethics and Standards Committee for whichever is the shorter of the following periods:-

9.1.6.2.1 a period of not less than four nor more than six years; or

9.1.6.2.2 until the term of office of that person as an independent member of the Ethics and Standards Committee comes to an end.

9.1.6.3 The election of a Chairperson is the first item of business for the Ethics and Standards Committee at its first meeting and thereafter at the end of the period of office of the incumbent Chairperson.

9.1.6.4 If the Chairperson is absent from a meeting of the Ethics and Standards Committee then the Vice-Chairperson of the Committee, if present, shall preside.

9.1.6.5 If both the Chairperson and the Vice-Chairperson of the Ethics and Standards Committee are absent from a meeting of that Committee, such independent member of the Ethics and Standards Committee as the members of the Committee present shall choose shall preside.

9.1.7 ROLE AND FUNCTION OF ETHICS AND STANDARDS COMMITTEE

The Ethics and Standards Committee has the following roles and functions:

- 9.1.7.1 promoting and maintaining high standards of conduct by Councillors, Co-opted Members and church and parent governor representatives;
- 9.1.7.2 assisting the Councillors, Co-opted Members and church and parent governor representatives to observe the Members' Code of Conduct;
- 9.1.7.3 advising the Council on the adoption or revision of the Members' Code of Conduct;
- 9.1.7.4 monitoring the operation of the Members' Code of Conduct;
- 9.1.7.5 advising, training or arranging to train Councillors, co-opted members and church and parent governor representatives on matters relating to the Members' Code of Conduct;
- 9.1.7.6 granting dispensations to Councillors, Co-opted Members and church and parent governor representatives from requirements relating to interests set out in the Members' Code of Conduct; (81(4) & (5) LGA 2000 and the Standards Committees (Grant of Dispensation)(Wales) Regulations 2001 (2001/2279)
- 9.1.7.7 dealing with any reports from a case tribunal or interim case tribunal, and any report from the Monitoring Officer on any matter referred to that officer by the Public Services Ombudsman for Wales; (section 73(1) LGA 2000 and the Local Government Investigations (Functions of Monitoring Officers and Standards Committees)(Wales) Regulations 2001))(2001 2281)
- 9.1.7.8 the exercise of 9.1.7.1 to 9.1.7.7 above in relation to the Community Councils wholly or mainly in its area and the members of those Community Councils;(Section 56(1) LGA 2000)
- 9.1.7.9 to appoint an appeals panel of three, with a majority of independent members, one of whom would act as Chairperson, with regard to complaints made by members of the public under the Council's complaints procedure.
- 9.1.7.10 Developing and applying any local resolution protocols.
- 9.1.7.11 Working with Political Group Leaders to promote and maintain high standards of conduct by the Group members.
- 9.1.7.12 Monitoring compliance by Leaders of Political Groups with their duty to:
 - 9.1.7.12.1 take reasonable steps to promote and maintain high standards of conduct by members of the Group; and
 - 9.1.7.12.2 co-operate with the Council's Ethics and Standards Committee (and any sub-committee of the Committee) in exercise of the Ethics and Standards Committee's functions.

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9.1.7.13 Advising, training or arranging to train leaders of political groups on the Council about matters relating to their duties under 9.1.7.12.1 and 9.1.7.12.2 above.

9.1.7.14 Making an annual report to the Council.

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9.2 GOVERNANCE AND AUDIT COMMITTEE

The Council has a Governance and Audit Committee in accordance with the Local Government (Wales) Measure 2011 (as amended), the Accounts and Audit Regulations (Wales) 2014 and the Accounts and Audit (Wales) (Amendment) Regulations 2018.

9.2.1 ROLE AND FUNCTION OF GOVERNANCE AND AUDIT COMMITTEE

The Governance and Audit Committee has the following roles and functions, which are expanded upon in the Terms of Reference of the Governance and Audit Committee of Part 3.3 (Table 3):

- 9.2.1.1 To provide an independent and high-level focus on the Council's audit, assurance and reporting arrangements;
- 9.2.1.2 To independently review and advise the Council and Cabinet, and their respective Committees and Officers, on matters regarding good governance, financial oversight, risk management control, complaints procedures/handling and internal control in the delivery of the Council's services and functions;
- 9.2.1.3 To ensure the Council's systems of governance and internal control are effective, including arrangements for ensuring value for money, supporting standards and ethics and for managing the authority's exposure to the risks of fraud and corruption, and to ensure that the Council's internal audit services operates in accordance with agreed procedures;
- 9.2.1.4 To review, scrutinise and issue reports and recommendations in relation to the Council's financial affairs;

- 9.2.1.5** To review, scrutinise and issues reports and recommendations on the appropriateness of the Council's risk management, internal control and corporate governance arrangements;
- 9.2.1.6** To oversee the Council's internal and external audit arrangements and the Council's relationship with other regulators, including supporting the effective relationships between external and internal audit, reviewing the external auditor's opinion and reports to members, and monitoring management action in response to the issues raised by external audit;
- 9.2.1.7** To oversee the Council's financial reporting and review its financial statements;
- 9.2.1.8** To review and assess the Council's draft annual Self-Assessment report and make any necessary recommendations to Council for changes to:
- 9.2.1.8.1** the conclusions; or
- 9.2.1.8.2** to anything included in the report relating to what actions the Council intends to take, or any actions it has already taken, with a view to increasing the extent to which the Council will meet the performance requirements in the financial year following the financial year to which the report relates
- 9.2.1.9** To consider the Panel Performance Assessment Report, review the Council's draft response to the report of the Panel and make any necessary recommendations for changes to the statements made in the draft response.
- ~~9.2.1.89.~~**9.2.1.10**To consider any Auditor General Report following a special inspection of the Council, review the Council's ~~and~~ draft response to any ~~the~~ Auditor General Report and make any necessary recommendations for changes to the statements made in the Council's draft response relating to what action, if any, the Council intends to take in response to the Auditor General's recommendations; and
- ~~9.2.1.99.~~**9.2.1.11** To adhere to accountability arrangements, including reporting on the arrangements and performance of the Governance and Audit Committee, and publish an annual report on the Committee's work.

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9.2.2 COMPOSITION OF GOVERNANCE AND AUDIT COMMITTEE

9.2.2.1 Membership of Governance and Audit Committee

The Governance and Audit Committee membership is currently composed of 6 County Councillors and ~~4~~³ Lay ~~Member~~^{Persons};

9.2.2.2 Chairing the Governance and Audit Committee

The Governance and Audit Committee Chair and Vice-Chair are currently County Councillors of the Opposition Group.

9.2.3 Quorum

A meeting of the Governance and Audit Committee is only quorate when at least three members are present.

9.2.4 Voting

9.2.4.1 Majority

Unless this Constitution provides otherwise, any matter will be decided by a simple majority of those Committee members voting and present in the meeting at the time the recommendation or proposal was made.

9.2.4.2 Chairperson's Casting Vote

If there are equal numbers of votes for and against, the Chairperson will have a second or casting vote. There will be no restriction on how the Chairperson chooses to exercise a casting vote.

ARTICLE 10 – JOINT ARRANGEMENTS

10.1 ARRANGEMENTS TO PROMOTE WELL BEING

The Council or the Cabinet, in order to promote the economic, social or environmental well-being of its area, may:

10.1.1 enter into arrangements or agreements with any person or body;

10.1.2 co-operate with, or facilitate or co-ordinate the activities of, any person or body; and

10.1.3 exercise on behalf of that person or body any functions of that person or body.

10.2 JOINT ARRANGEMENTS

10.2.1 The Council may establish joint arrangements with one or more local authorities and/or Health Boards and/or their Executives to exercise functions which are not Executive functions in any of the participating authorities, or to advise the Council. Such arrangements may involve the appointment of Joint Committees, or Regional Health Partnership Boards with these local authorities and/or Health Boards.

10.2.2 The Cabinet may establish joint arrangements with one or more local authorities to exercise functions which are Executive functions. Such arrangements may involve the appointment of Joint Committees, or Regional Health Partnership Boards with these other local authorities and/or Health Boards.

10.2.3 Except as set out below, the Cabinet may only appoint Cabinet members to a Joint Committee and those members need not reflect the political composition of the local Council as a whole.

10.2.4 The Cabinet may appoint members to a Joint Committee from outside the Cabinet where the Joint Committee has functions for only part of the area of the Council, and that area is smaller than two-fifths of the Council by area or population. In such cases, the Cabinet may appoint to the Joint Committee any Councillor who is a member for an electoral division which is wholly or partly contained within the area. The political balance requirements do not apply to such appointments.

10.2.5 Details of any joint arrangements including any delegations to Joint Committees will be found in the Council's scheme of delegations in Part 3 of this Constitution.

10.3 ACCESS TO INFORMATION

10.3.1 The Access to Information Rules in Part 4, Document B of this Constitution apply.

10.4 DELEGATION TO AND FROM OTHER LOCAL AUTHORITIES

10.4.1 The Council may delegate non-executive functions to another local authority or, in certain circumstances, the executive of another local authority.

10.4.2 The Cabinet may delegate executive functions to another local authority or the executive of another local authority in certain circumstances.

10.4.3 The decision whether or not to accept such a delegation from another local authority shall be reserved to the Council meeting.

10.5 CONTRACTING OUT

The Council or Executive may arrange for the Council to contract out to another body or organisation functions which may be exercised by an officer. Contracting out to another local authority can be arranged under Section 101 of the Local Government Act 1972 and Section 2 of Part 1 Local Government Act 2000. Special statutory provisions permit joint arrangements with Health Bodies, but otherwise there may be a need for an order under Section 70 of the Deregulation and Contracting Out Act 1994, unless the contracting arrangements provide that the contractor acts as the Council's agent under usual contracting principles (and provided there is no delegation of the Authority's discretionary decision-making).

ARTICLE 11– OFFICERS

11.1 MANAGEMENT STRUCTURE

11.1.1 The Organisational Chart can be found at Part 6 of this document and also on the Council website

11.1.2 General. The full Council may engage such staff (referred to as officers) as it considers necessary to carry out its functions.

11.1.3 Chief Officers. The full Council will engage persons for the following posts, who are designated Chief Officers and Deputy Chief Officers as defined in Paragraph 3 of Part 2 of Schedule 3 of the Local Authorities (Standing Orders) (Wales) Regulations 2006, as amended.

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
Chief Executive		<ul style="list-style-type: none"> • Acting Returning Officer for Parliamentary Elections • Counting Officer for European Elections • Counting Officer for Referenda • Electoral Registration Officer • If appointed by the Lord Chancellor, to act as Secretary to the Lord Chancellor's Advisory Committee on Magistrates for Ceredigion. • Overall corporate management and operational responsibility (including overall management responsibility for all officers); • Representing the Council on partnership and external bodies (as required by statute or the Council); and • Returning Officer for Local Government Elections including Community Councils and National Assembly for Wales Elections • Service to the whole Council, on a politically neutral basis. • The provision of professional and impartial advice to all parties in the decision-making process - the Leader and Cabinet, Overview and Scrutiny Committees, the full Council and other Committees; • To act as Joint Clerk to the Lord Lieutenancy for their activities in Ceredigion. <ul style="list-style-type: none"> • To be Proper Officer for the Coroner Service. • Together with the Proper Officer responsibility for a system of record keeping for all the Council's decisions (Executive or otherwise); • Police Area Returning Officer

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
Corporate Directors		<p>Working with the Chief Executive and the wider Senior Leadership Team provide strategic leadership across Ceredigion - promoting the County as a place to live, work, invest and visit.</p> <p>Lead on the strategic health and wellbeing agenda; providing strategic direction to a partnership-led approach to the delivery of children and adults support services and safeguards those who are vulnerable, throughout Ceredigion.</p> <p>Principal Accountabilities</p> <p>1. Strategic Leadership</p> <p>Lead the strategic direction of the various functions; ensuring Ceredigion is a place that supports and values its citizens, safeguards those who are vulnerable and provides appropriate care and protection.</p> <p>affording them maximum opportunity to reach academic and skills development to contribute to the economic and social growth of the County.</p> <p>2. Thematic Performance</p> <p>Monitoring Council wide performance of services, within the role's span of control.</p> <p>Assess performance against plans to ensure the services are delivered effectively and efficiently and to the highest standards; including financial, performance, risk, people and change management.</p> <p>Lead and motivate management and staff to develop a climate of high performance and customer/community focus.</p>

	<p>Deliver performance improvements by driving modernisation and managing change, ensuring read through to corporate objectives.</p> <p>Facilitate change and transformation programmes across the Council, supporting senior managers in delivering excellent services through the provision of pragmatic and effective advice.</p> <p>3. Political Engagement</p> <p>Lead political and democratic engagement in relation to the relevant thematic areas; establishing and maintaining procedure around democratic services and scrutiny.</p> <p>Develop strong working relationships with elected members; providing high level advice and support to maintain and improve Council performance.</p> <p>4. Stakeholder Engagement</p> <p>Engage local partners from the public, private and community sectors in the delivery of Corporate priorities; forging a broad network of contacts across the public and private sector to develop Ceredigion as a place to live, work, invest and visit.</p> <p>5. Communication</p> <p>Communicate the vision and values of the organisation to a broad range of stakeholders; building support among them in order to deliver better public services.</p>
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Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Schools and Culture *Chief Education Officer	<ul style="list-style-type: none"> • School Improvement, including use of statutory notices within mainstream schools and pupil referral units. • Curriculum Support • Assessment, pupil progress and accountability measures • Leadership in schools • Post 16 provision in schools • Early years Education in non-maintained settings • Childcare provision • School Improvement Services including advisory service • Governing Body support • Welsh in Education Strategic Plan • Canolfannau Iaith • English/Welsh as an additional language • Additional Learning Needs including pre-school • Inclusion and well-being School exclusion appeals • Monitoring of elective home education • Pupil admissions • Pupil voice • Child Performance Licences • School attendance • School modernisation Programme • Infrastructure and Resources • Catering Service • Music Service • Theatre Felin Fach • Cered • Museum

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Porth Cymorth Cynnar	<ul style="list-style-type: none"> • Behaviour Services (Through Age) • HCT (Work Based Learning) • Dysgu Bro (Adult Community Learning) • Post 14 Learning and Skills • Alternative Curriculum • Leisure • Active Young people • NERS • Disability Sport • Youth Services • NEETs • Post 16 Services (Cam Nesa' Project) • Work Experience (Extended) • Workways+ • Communities for Work+ • Flying Start • Pathfinder Project • Play • Carers • Team Around the Family • Tim Teulu • Penparcau Family Centre • Families First • Youth Justice Prevention Service • Day/Evening opportunities • Porth y Gymuned • Community Connectors • Channel (Channel Chair)

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Finance & Procurement * Section 151 Officer	Core Finance (Deputy 151) <ul style="list-style-type: none"> • Medium Term Financial Planning • Statement of Accounts • Capital Programme • Financial Information Systems • Insurances • Sundry Debtors • Community Grants • Taxation • Treasury Management & Income Accounting • Care Home charging Service Finance <ul style="list-style-type: none"> • Financial Management • Accountancy • Budget setting and control • Final Accounts • Grant claims • Financial Management support to Schools • External funding Revenues & Financial Assessment <ul style="list-style-type: none"> • Council Tax Billing, Collection and Recovery • NNDR Billing, Collection and Recovery • Discretionary rates and Hardship relief • Council Tax Support • Housing Benefits • Financial Assessments • Revenues systems • Discretionary Housing Payments • Free School Meals & Pupil Access Grant Procurement and Payments <ul style="list-style-type: none"> • Ordering • Quotations and tenders • Payments • Procurement advice and control • Commissioning of service contracts • Proceeds of Crime Act 2002

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Democratic Services *Head of Democratic Services	<ul style="list-style-type: none"> • Cabinet Support • Democratic Services • Deputy Electoral Registration Officer • Deputy Acting Returning Officer for Parliamentary Elections • Deputy Returning Officer for Local Government Elections including Community Councils and National Assembly for Wales Elections • Police Area Deputy Local Returning Officer • Member Support • Scrutiny Support • Translation Services • Communication and Engagement • Electoral Services • Corporate Services Support • Welsh Language Standards

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer People & Organisation	<ul style="list-style-type: none"> • Authorised and Authorising Officer: Regulation of Investigating Powers Act 2000 • Human resources (HR) Advice and Administration • Payroll and Benefits • HR Systems • Organisational Development • Corporate Learning and Development • Corporate Health and Safety. • Staff engagement and well-being • Employee Equality

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Porth Cynnal Specialist Through Age Services * Statutory Director of Social Services *Responsible Individual	<ul style="list-style-type: none"> • Adoption • Disabled Children and Adults • Care leavers • Looked After Children • Adults Planned Care Services • Safeguarding Service Children and Adults to include Independent Reviewing Service • Children in Need of Care and Support • Substance Misuse Service • Contracts Monitoring.(Social Care) & Quality Assurance • Integration of Regional Partnerships arrangements (Social Services and Well-being Act 2014) • Authorised and Authorising Officer: Regulation of Investigatory Powers Act 2000 • Mental Well-being Services • Agency Decision Maker - Children

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Porth Gofal Targeted Intervention Services Deputy Statutory Director of Social Services	<ul style="list-style-type: none"> • Porth Gofal Intake & Triage • Integrated Community Equipment Stores • Targeted Intervention Services Adults and Children • Assessment of Care and Support needs Adults and Children • Direct Services (In-House Residential Care/Home Care/Equipment) • Domicilliary Care Co-ordination • Porth Gofal • Fostering Services • Housing • Common Housing Register • Homelessness and Housing Options • Disabled Facilities Grants • Home Energy Efficiency • Housing Standards (HMO's, Landlord Accreditation and Letting Agencies) • Emergency Out of Hours Services

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	<p>Corporate Lead Officer</p> <p>Policy, Performance & Public Protection</p> <p>*Proper Officer – Public Health Control of Disease Act 1984</p>	<ul style="list-style-type: none"> • Civil Contingency/Business Continuity and Local Resilience Forum • Strategic Partnerships, including Public Service Board and Community Safety. • Engagement and Equalities • Policy, Risk Management and Community Cohesion • Freedom of Information, Corporate Complaints, Compliments and Improvements • Business Planning and Improvement • Corporate Performance and Research • Licensing • Public Protection Services • Animal Health • Food Safety and Food Standards • Trading Standards) • Health & Safety (Regulatory) • Environmental Control • Statutory Nuisance • Dyfed Area Planning Board (Substance Misuse) • Public Health • Senior Authorising Officer for Proceeds of Crime Act 2002 • Authorised and Authorising Officer: Regulation of Investigatory Powers Act 2000 • Public Health Funerals • Private burials • Filthy and verminous premises • Drainage • Private Water Supplies • Air Quality • Refugee Re-settlement

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Highways and Environmental Services	<ul style="list-style-type: none"> • Central Wales Infrastructure Collaboration /North and Mid Wales Trunk Road Agent • Climate Change • Design Services (Highways) • Flooding and Coastal • Highways/Bridges • Operational Delivery in the areas of Highways, & Waste • Public Transport • Regional Transport Collaboration (TraCC) • Road Safety • Traffic Management • Civil parking Enforcement • Transport (to include Corporate Passenger Transport Unit) • Transport Planning (Local and Regional) • Waste • Highways Maintenance • Local Environment Services • Highways Development • Transport Services

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Economy & Regeneration	<ul style="list-style-type: none"> • Economic Development • Economic and Community Regeneration; • Funding and Grants; • Business Grants; • Food Centre Wales • Farmers Market & Markets • Planning Policy • Growing Mid Wales Partnership • Regional Engagement • Regional Planning • Tourism and marketing: • Tourist Information Centres; Wildlife, Coast and Countryside • Footpaths, bridleways and byways • Proper Officer – s78 Building Act 1984 (dangerous buildings) • Development Control (Planning) • Town & Country Planning • Conservation • Planning Enforcement & Building Control • Estates/ Development • Property Services • Asset Management • Project Management • All Buildings & Buildings Maintenance • Civil Enforcement

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Customer Contact *SIRO *Proper Officer for Civil Registration	<ul style="list-style-type: none"> • Archives & Modern Records • Corporate & Education ICT Support & Development • Customer Information Centres • Customer Contact / Community Well-being • Data Protection inc GDPR • ICT • CLIC, inc Family info support Services • DEWIS • Civil Registration • Public Access Requests • Information Management • Library Services • Reprographics Unit • Senior Information Risk Owner

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Legal & Governance Services *Monitoring Officer	<ul style="list-style-type: none"> • Head of Legal Services / Chief legal Officer Coroner Service • Internal Audit • External Audit & Regulators • Welsh Audit Office Relationship • Corporate Governance • Constitution • Access to Informations • Deputy Electoral Registration Officer • Ethics and Standards • Monitoring Officer • Notices of Motion • Code of conduct & PSOW Referrals/Investigations • Senior Responsible Officer: Regulation of Investigating Powers Act 2000

11.1.4 Statutory Posts.

The Council will designate the following statutory posts as shown:

Post	Designation
Chief Executive	Head of Paid Service
Corporate Lead Officer Finance & Procurement	Chief Finance Officer Section 151 Officer
Corporate Lead Officer Legal & Governance Services	Monitoring Officer
Corporate Lead Officer Democratic Services *	Head of Democratic Services
Corporate Lead Officer Schools & Culture	Chief Education Officer
Corporate Lead Officer Porth Cynnal Specialist Through Age Services	Statutory Director Of Social Services

*Designated by the Democratic Services Committee.

Such posts will have the functions described in Article 11.2–11.8 below.

11.1.5 Structure. The Head of Paid Service will determine and publicise a description of the overall departmental structure of the Council showing the management structure and deployment of officers. This is set out at Part 7 of this Constitution.

11.2 FUNCTIONS OF THE HEAD OF PAID SERVICES

11.2.4 Discharge of functions by the Council. The Head of Paid Service will report to full Council on the manner in which the discharge of the Council's functions is co-ordinated, the number and grade of officers required for the discharge of functions, organisation of officers and the appointment and proper management of officers.

11.2.5 Restrictions on functions. The Head of Paid Service may not be the Monitoring Officer but may hold the post of Chief Finance Officer if a qualified accountant.

11.3 FUNCTIONS OF THE MONITORING OFFICER

11.3.4 Maintaining the Constitution. The Monitoring Officer will maintain an up-to-date version of the Constitution and will ensure that it is widely available for consultation by members, staff and the public.

11.3.5 Ensuring lawfulness and fairness of decision-making. After consulting with the Head of Paid Service and Chief Finance Officer, the Monitoring Officer will report to the full Council or to Cabinet in relation to a Cabinet function if ~~he or she~~they considers that any proposal, decision or omission would give rise to unlawfulness or if any decision or omission has given rise to maladministration. Such a report will have the effect of stopping the proposal or decision being implemented until the report has been considered.

11.3.6 Supporting the Ethics and Standards Committee. The Monitoring Officer and Deputy Monitoring Officer will contribute to the promotion and maintenance of high standards of conduct through provision of support to the Ethics and Standards Committee.

11.3.7 Receiving reports. The Monitoring Officer will receive and act on reports made by the Ombudsman and decisions of the case tribunals or interim case tribunals.

11.3.8 Conducting investigations. The Monitoring Officer will conduct investigations into matters referred to him/her by the Ombudsman and make reports or recommendations in respect of them to the Ethics and Standards Committee

11.3.9 Proper Officer for access to information. The Monitoring Officer will ensure that Executive decisions, together with the reasons for those decisions and relevant officer reports and background papers are made publicly available as soon as possible

11.3.10 Advising whether decisions of Cabinet are within the budget and policy framework. The Monitoring Officer will advise whether

decisions of Cabinet are in accordance with the budget and policy framework.

11.3.11 Providing advice. The Monitoring Officer will, in conjunction with the Chief Finance Officer, provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues to all Councillors and relevant officers.

11.3.12 Restrictions on functions. The Head of Paid Service may not be the Monitoring Officer or the Head of Democratic Services but may hold the post of Chief Finance Officer if a qualified accountant. The Head of Democratic Services may not be the Monitoring Officer or the Chief Finance Officer.

11.4 FUNCTIONS OF THE CHIEF FINANCE OFFICER/SECTION 151 OFFICER

11.4.1 Ensuring lawfulness and financial prudence of decision-making.

After consulting with the Head of Paid Service and the Monitoring Officer, the Chief Finance Officer will report to the full Council or to the Cabinet in relation to a Cabinet function and the Council's external auditor if ~~he or she~~they considers that any proposal, decision or course of action will involve incurring unlawful expenditure, or is unlawful and is likely to cause a loss or deficiency or if the Council is about to enter an item of account unlawfully.

11.4.2 Administration of financial affairs. The Chief Finance Officer will have responsibility for the administration of the financial affairs of the Council.

11.4.3 Contributing to corporate management. The Chief Finance Officer will contribute to the corporate management of the Council, in particular through the provision of professional financial advice.

11.4.4 Providing advice. The Chief Finance Officer will, in conjunction with the Monitoring Officer, provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues to all Councillors and will support and advise Councillors and officers in their respective roles. Give financial information. The Chief Finance Officer will provide financial information to the media, members of the public and the community as appropriate.

11.5 FUNCTIONS OF THE HEAD OF DEMOCRATIC SERVICES

11.5.1 to provide support and advice:

- to the Council in relation to its meetings
- to committees of the Council and the members of those committees
- to any Joint Committee which the Council is responsible for organising and the members of that Joint Committee
- in relation to the functions of the Council's Overview and Scrutiny Committees, to members of the Council, members of the Cabinet and officers
- to each member of the Council in carrying out the role of member of the Council
- to promote the role of the Council's Overview and Scrutiny Committees
- to make reports and recommendations in respect of the number and grades of staff required to discharge democratic services functions and the appointment, organisation and proper management of those staff
- any other functions prescribed by the Welsh Ministers.

11.6 FUNCTIONS OF THE CHIEF EDUCATION OFFICER

11.6.1 To undertake the statutory duties required of a Chief Education Officer as outlined in section 532 of the 1996 Education Act

11.7 FUNCTIONS OF THE STATUTORY DIRECTOR OF SOCIAL SERVICES

11.7.1 The Functions of the Statutory Director of Social Services are set out in Part 4 Document P

11.8 DUTY TO PROVIDE SUFFICIENT RESOURCES TO THE STATUTORY OFFICERS

11.8.1 The Council will provide the Monitoring Officer, Chief Finance Officer /Section 151 Officer, statutory Director of Social Services, Chief Education Officer and Head of Democratic Services with such officers, accommodation and other resources as are in their opinion sufficient to allow their duties to be performed.

11.9 CONDUCT

Officers will comply with the Officers' Code of Conduct and the Protocol on Officer/Member Relations set out in Part 5 of this Constitution.

11.10 EMPLOYMENT

The recruitment, selection and dismissal of officers will comply with the Officer Employment Rules set out in Part 4 of this Constitution.

ARTICLE 12 – DECISION-MAKING

12.1 RESPONSIBILITY FOR DECISION-MAKING

The Council will issue and keep up to date a record of what part of the Council or individual has responsibility for particular types of decisions or decisions relating to particular areas or functions. This record is set out in Part 3 of this Constitution.

12.2 PRINCIPLES OF DECISION-MAKING

All decisions of the Council will be made in accordance with the following principles:

- 12.2.1 Proportionality (i.e. any action taken must be proportionate to the aim being pursued);
- 12.2.2 due consultation and the taking of professional advice from officers;
- 12.2.3 respect for equality and human rights;
- 12.2.4 a presumption in favour of openness; and
- 12.2.5 clarity of aims and desired outcomes.
- 12.2.6 Proper recording of reasons for the decision, any personal and prejudicial interests declared as well as any dispensations to speak granted by the Council's Ethics and Standards Committee
- 12.2.7 Taking all reasonable steps and/or having due regard to:
 - 12.2.7.1 meeting the principles and goals set out in the Well-Being of Future Generations (Wales) Act 2015, in carrying out its functions;
 - 12.2.7.2 the desirability of reducing inequalities of outcome which result from socio-economic disadvantage (pursuant to the Equality Act 2010); and
 - 12.2.7.3 the Council's Anti-Slavery Policy and Anti-Slavery Annual Statement (pursuant to the Modern Slavery Act 2015).

12.3 DECISIONS RESERVED TO FULL COUNCIL

Decisions relating to the functions listed in Article 4.1 will be made by the full Council and not delegated.

12.4 DECISION-MAKING BY THE FULL COUNCIL

Subject to Article 12.8 and to Part 3.5 in relation to urgent action, the Council meeting will follow the Council Procedures Rules and other relevant Procedures set out in Part 4 of this Constitution when considering any matter.

12.5 DECISION-MAKING BY THE CABINET

Subject to Article 12.8, the Cabinet will follow the Cabinet Procedures Rules and other relevant procedures set out in Part 4 of this Constitution when considering any matter.

12.6 DECISION-MAKING BY OVERVIEW AND SCRUTINY COMMITTEES

Overview and Scrutiny Committees will follow the Overview and Scrutiny Procedures Rules and other relevant procedures set out in Part 4 of this Constitution when considering any matter.

12.7 DECISION-MAKING BY OTHER COMMITTEES AND SUB-COMMITTEES ESTABLISHED BY THE COUNCIL

Subject to Article 12.8, other Council Committees and Sub-Committees will follow those parts of the Council Procedures Rules and other relevant procedures set out in Part 4 of this Constitution as apply to them.

12.8 DECISION-MAKING BY COUNCIL BODIES ACTING AS TRIBUNALS

The Council, a Councillor or an officer/s acting as a tribunal or in a quasi judicial manner or determining/considering (other than for the purposes of giving advice) the civil rights and obligations or the criminal responsibility of any person will follow a proper procedure which accords with the requirements of natural justice and the right to a fair trial contained in Article 6 of the European Convention on Human Rights.

ARTICLE 13 – FINANCE, CONTRACTS AND LEGAL MATTERS

13.1 FINANCIAL MANAGEMENT

The management of the Council's financial affairs will be conducted in accordance with the financial rules set out in Part 4 of this Constitution.

13.2 CONTRACTS

Every contract made by the Council will comply with the Contract Procedure Rules set out in Part 4 of this Constitution.

13.3 LEGAL PROCEEDINGS

Corporate Lead Officer Legal & Governance Services is authorised to institute, defend or participate in any legal proceedings in any case where such action is necessary to give effect to decisions of the Council or in any case where the Corporate Lead Officer Legal & Governance Services considers that such action is necessary to protect the Council's interests.

13.4 AUTHENTICATION OF DOCUMENTS

Where any document is necessary to any legal procedure or proceedings on behalf of the Council, it will be signed by the Corporate Lead Officer Legal & Governance Services, and/or other person authorised by the Council unless any enactment otherwise authorises or requires.

All contracts shall be administered in accordance with the Contract Procedure Rules.

13.5 COMMON SEAL OF THE COUNCIL

The Common Seal of the Council will be kept in a safe place in the custody of the Corporate Lead Officer Legal & Governance Services. A decision of the Council, or of any part of it, will be sufficient authority for sealing any document necessary to give effect to the decision. The Common Seal will be affixed to those documents which in the opinion of the Corporate Lead Officer Legal & Governance Services, the Corporate Lead Officer for Democratic Services, the Monitoring Officer or the Chief Executive should be sealed. The affixing of the Common Seal will be attested by the Corporate Lead Officer Legal & Governance Services, the Corporate Lead Officer Democratic Services, the Monitoring Officer or the Chief Executive or some other person authorised by the Council.

ARTICLE 14 – REVIEW AND REVISION OF THE CONSTITUTION

14.1 DUTY TO MONITOR AND REVIEW THE CONSTITUTION

The Monitoring Officer and the Corporate Lead Officer Democratic Services will monitor and review the operation of the Constitution to ensure that the aims and principles of the Constitution are given full effect and to make any minor amendments to the Constitution as required.

14.2 A key role for the Monitoring Officer and the Corporate Lead Officer Democratic Services is to be aware of the strengths and weaknesses of the Constitution adopted by the Council. The Monitoring Officer will effect any minor changes and to make recommendations for ways in which it could be amended in order better to achieve the purposes set out in Article 1. In undertaking this task the Monitoring Officer may:

- 14.2.1 observe meetings of different parts of the member and officer structure;
- 14.2.2 undertake an audit trail of a sample of decisions;
- 14.2.3 record and analyse issues raised with them by members, officers, the public and other relevant stakeholders;
- 14.2.4 compare practices in this Council with those in other comparable authorities, or national examples of good practice.

14.3 CHANGES TO THE CONSTITUTION

Changes to reflect legislative, structural and minor matters

- 14.3.1 Changes (other than minor matters) to the constitution will be approved by the Council after consideration of the proposal by the Monitoring Officer, in consultation with the Council's Cross-Party Constitution Working Group, as necessary (see Section 2 Part 7).
- 14.3.2 Where change from a Leader and Cabinet form of Executive to a Mayoral Form of Executive or Vice Versa is proposed, the Council must take reasonable steps to consult with local electors and other interested persons in the area.

14.4 MAINTAINING THE CONSTITUTION

The Monitoring Officer and Corporate Lead Officer Democratic Services will maintain an up-to-date version of the Constitution and will ensure that it is widely available for reference and inspection by Members, staff and the public. A copy of the Council Constitution will be published on the Council's Website.

ARTICLE 15 – SUSPENSION, INTERPRETATION AND PUBLICATION OF THE CONSTITUTION

15.1 SUSPENSION OF THE CONSTITUTION

This Article ensures that the articles of the Constitution may not be suspended. This provides certainty and stability to the fundamental aspects of the Council's governance.

It does however provide for Rules of Procedure to be suspended provided this is to achieve an effect consistent with the purposes of the Constitution set out in Article 1.

- 15.1.1 The Articles of this Constitution may not be suspended. The Council Procedure Rules specified below may be suspended in whole or in part by the full Council to the extent permitted within those Rules and the law.
- 15.1.2 A motion to suspend any rules will not be moved without notice unless at least one half of the whole number of Councillors are present. The extent and duration of suspension will be proportionate to the result to be achieved, taking account of the purposes of the Constitution set out in Article 1.
- 15.1.3 Any Council Procedure Rules save for those which are defined as mandatory in the Local Authorities (Standing Orders) Regulations 1993 may be suspended in accordance with Article 15.1.

15.2 INTERPRETATION

- 15.2.1 Where the Constitution permits the Council to choose between different courses of action, the Council will always choose that option which it thinks is closest to the purpose stated in Article 1.
- 15.2.2 The ruling of the Chairperson of Council as to the construction or application of this Constitution or as to any proceedings of the Council shall not be challenged at any meeting of the Council. Such interpretation will have regard to the purposes of this Constitution contained in Article 1 and any guidance or advice of the Monitoring Officer.
- 15.2.3 The following words, phrases and terms shall have the meanings ascribed to them unless the context requires or it is otherwise provided at law.

Word, phrase or term	Meaning
Access to Information Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Article	An Article of this Constitution
Budget and Policy Framework Procedure Rules	The rules so titled as set out in Part 4 of the Constitution
Call in	The referral of an executive decision in accordance with the Overview and Scrutiny Procedure Rules
Cabinet	The Council's Cabinet as defined in section 11 of the Local Government Act 2000
Cabinet Decision	A decision made for the purpose of discharging an Executive Function
Cabinet Members	The Leader and Deputy Leader of the Council and any Councillor appointed by the Leader of the Council pursuant to section 11 (3) (b) of the Local Government Act 2000 and notified by the Leader to the County Council
Cabinet Portfolio	An area of County Council activity allocated by the Leader of the Council to a Cabinet Member and notified by the Leader to the Council
Cabinet Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Chairperson	The person elected as the Chair of a Committee or appointed as the Chair of a sub-committee or in his or her absence the Vice Chair of such committee or sub-committee where one has been elected or appointed or the person presiding at the meeting of a committee or sub-committee
Chief Executive	The person designated as such by the Council who shall also be the "Head of Paid Service" under Section 4(1) of the Local Government and Housing Act, 1989
Chief Officer	A person designated as such by the Council
Clear Days	The number of days between the day when the document is first made available for inspection or dispatched to Councillors and the date of the meeting to which it relates but includes any intervening date when the document is available for public inspection
Committee	A committee or sub-committee of the Council

Word, phrase or term	Meaning
Committee Meeting Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Confidential information	Confidential information as defined by section 100A(3) of the Local Government Act 1972 as more particularly set out in Paragraph 10.4 of Document B in Part 4 of this Constitution (Access to Information Procedure Rules)
Constitution	This constitution, as amended
Contract Procedure Rules	The Contract Standing Orders and Procurement Rules set out in Part 4 of the Constitution
Council	Ceredigion County Council acting by any means which they may lawfully adopt
Council Meeting	The Council meeting together in accordance with Schedule 12 of the Local Government Act 1972
Council Procedure Rules	The rules set out in Part 4 of the Constitution
Councillor	A member of the Council
County	County of Ceredigion
Employee	An employee of the Council
Employment Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Executive Function	A function of the Council which is determined to be an executive function in accordance with section 13 of the Local Government Act 2000
Exempt information	Information of a nature described in Schedule 12A of the Local Government Act 1972 as amended more particularly set out in Article 10.4 of Document B in Part 4 of this Constitution (Access to Information Procedure Rules)
Financial Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Forward Plan	The agreed plan of business for Cabinet, to be published on a quarterly basis, setting out all the business to be undertaken by Cabinet for a 12 month period
Head of Paid Service	The officer of the Council designated by the Council under section 4 of the Local Government and Housing Act 1989

Word, phrase or term	Meaning
Leader	Cabinet leader as defined in section 48 of the Local Government Act 2000
Majority Group	a political group to which belong either – (a) more than half of the members of the Council; or (b) exactly half of the number of members of the Council, including the Chair
Meeting	A meeting of the Council or a committee as the case may be
Member	Unless otherwise stated means a member of the committee or body to which the rule or requirement applies
Members Code of Conduct	The Code of Conduct adopted by the Council in accordance with section 51 of the Local Government Act 2000
Monitoring Officer	The officer of the Council designated by the Council under section 5 of the Local Government and Housing Act 1989
Number of members	In relation to the Council, the number of persons who may act at the time in question as members of the Council, and in relation to a committee, the number of persons who may act at the time in question as voting members of that body
Ombudsman	Public Service Ombudsman for Wales
Overview and Committees	Those committees of the Council appointed in accordance with Article 6
Policy Framework	The plans and strategies referred to in Article 4 paragraph 4.1 of the Constitution
Political Group	a political group as defined in the Local Government (Committees and Political Groups) Regulations 1990 as amended by the (Amendment) Regulations of 1991 and 1993
Proper Officer	For all purposes (excluding Civil Registration and where otherwise specified) the Head of Democratic Services and in absence the Monitoring Officer will be deemed to be the Proper Officer

Word, phrase or term	Meaning
Regulatory committee	Any committee with statutory recognised regulatory functions, for example, Governance and Audit Committee, Licensing Committee, Development Control Committee.
Schedule of Member Remuneration	The scheme referred to in Part 6 of the Constitution
Scrutiny Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Statutory Officer	(For the purpose of this Constitution, the Head of Paid Service, the Monitoring Officer / Proper Officer, the Chief Finance Officer (Section 151), the Head of Democratic Services.
Corporate Director	A person designated as such by the Council
The Cabinet	The Council's Cabinet as defined in section 11 of the Local Government Act 2000
The Deputy Leader	a member selected to deputise for the Leader of the Council
The Local Councillor(s)	means the Councillor(s) for any electoral area(s) to which a Council matter under consideration relates
The 1972 Act	The Local Government Act 1972
The 1989 Act	The Local Government and Housing Act 1989
The 2000 Act	The Local Government Act 2000
Working Day	Means any day on which the main offices of the Council are open for usual business and for the avoidance of doubt the phrase 'clear working days' shall exclude the day when notice is given or documents are made available for inspection or is dispatched to Councillors as the case may be and the date of the meeting or event to which it relates
Writing	A requirement that something shall be submitted in writing will be satisfied by the submission by email to an address designated by the Proper Officer for that purpose provided that it is transmitted by the Councillor concerned from the Councillor's email address and in such circumstances will be deemed to have been signed by the Councillor concerned

Word, phrase or term	Meaning
Any reference in any Council Procedure Rule to a numbered paragraph is, unless the context otherwise requires, a reference to the paragraph of that Council Procedure Rule bearing that number.	

- 15.2.4 Reference to any statute or statutory provision includes a reference to:
 - 15.2.4.1 that statute or statutory provision as from time to time amended, extended, re-enacted or consolidated; and
 - 15.2.4.2 all statutory instruments or orders made pursuant to it.
- 15.2.5 Words denoting the singular number only shall include the plural and vice versa.
- 15.2.6 Words denoting any gender include all genders.
- 15.2.7 The headings in this document are inserted for convenience only and shall not affect the construction or interpretation of this Constitution.
- 15.2.8 References to a designated employee of the Council includes (except where the law prescribes that the function, action or the like must be taken by that person alone) a person duly authorised to act for or on behalf of that person provided that the employee designated for the purposes of the Constitution shall remain responsible to the Council.
- 15.2.9 References to a post or designation shall be deemed to include a reference to the employee for the time-being performing those functions where the post or designation name is altered or the functions are reallocated and where there is a reference to a generic title (e.g. Corporate Director, Corporate Lead Officer) such reference will be deemed to include other posts whatever their designation or name but being within the same tier of management or responsibility.

15.3 PUBLICATION OF CONSTITUTION

- 15.3.1 The Monitoring Officer ensure that each member of the Council will have access to an electronic or printed copy of this Constitution upon delivery to him/her of that individual's declaration of acceptance of office on the member first being elected to the Council.
- 15.3.2 The Monitoring Officer will ensure that copies are available for inspection at Council offices, and other appropriate locations and is published on the Council's website, and can be purchased by

members of the local press and the public on payment of a charge representing no more than the cost of providing the copy.

PART 3
RESPONSIBILITY FOR COUNCIL
FUNCTIONS

| Updated ~~June-October~~2021

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Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS

A. Functions relating to town and country planning and development control			
Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
1. Power to determine applications for planning permission.	Sections 70(1)(a) and (b) and 72 of the Town and Country Planning Act 1990.	Development Control <u>Management</u> Committee	Corporate Lead Officer Economy & Regeneration,
2. Power to determine applications to develop land without compliance with conditions previously attached.	Section 73 of the Town and Country Planning Act 1990.		
3. Power to grant planning permission for development already carried out.	Section 73A of the Town and Country Planning Act 1990.		
4. Power to decline to determine application for planning permission.	Section 70A of the Town and Country Planning Act 1990.		
5. Duties relating to the making of determinations of planning applications.	Sections 69, 76 and 92 of the Town and Country Planning Act 1990 and Articles 8, 10 to 13, 15 to 22 and 25 and 26 of the Town and Country Planning (General Development Procedure) Order 1995 (S.I. 1995/419) and directions made there under.		
6. Power to determine applications for planning permission made by a local authority, alone or jointly with another person	Section 316 of the Town and Country Planning Act 1990 and the Town Country Planning General Regulations 1992 (S.I. 1992/1492).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

A. Functions relating to town and country planning and development control

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
<p>7. Power to make determinations, give approvals and agree certain other matters relating to the exercise of permitted development rights.</p> <p>8. Power to enter into planning obligation, regulating development or use of land.</p>	<p>Parts 6, 7, 11, 17, 19, 20, 21 to 24, 30 and 31 of Schedule 2 to the Town and Country Planning (General Permitted Development) Order 1995 (S.I. 1995/418).</p> <p>Section 106 of the Town and Country Planning Act 1990.</p>	<p>Development Control <u>Management</u> Committee</p>	<p>Corporate Lead Officer Economy & Regeneration,</p>
9. Power to issue a certificate of existing or proposed lawful use or development.	Sections 191(4) and 192(2) of the Town and Country Planning Act 1990.		
10. Power to serve a completion notice	Section 94(2) of the Town and Country Planning Act 1990.		
11. Power to grant consent for the display of advertisements.	Section 220 of the Town and Country Planning Act 1990 and the Town and Country Planning (Control of Advertisements) Regulations 1992.		
12. Power to authorise entry onto land.	Section 196A of the Town and Country Planning Act 1990.		
13. Power to require the discontinuance of a use of land.	Section 102 of the Town and Country Planning Act 1990.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

A. Functions relating to town and country planning and development control

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
14. Power to serve a planning contravention notice, breach of condition notice or stop notice.	Sections 171C, 187A and 183(1) of the Town and Country Planning Act 1990.	Development Control <u>Management</u> Committee	Corporate Lead Officer Economy & Regeneration,
15. Power to issue an enforcement notice.	Section 172 of the Town and Country Planning Act 1990.		
16. Power to apply for an injunction restraining a breach of planning control.	Section 187B of the Town and Country Planning Act 1990.		
17. Power to determine applications for hazardous substances consent, and related powers.	Sections 9(1) and 10 of the Planning (Hazardous Substances) Act 1990 (c. 10).		
18. Duty to determine conditions to which old mining permissions, relevant planning permissions relating to dormant sites or active Phase I or II sites, or mineral permissions relating to mining sites, as the case may be, are to be subject.	Paragraph 2(6)(a) of Schedule 2 to the Planning and Compensation Act 1991, paragraph 9(6) of Schedule 13 to the Environment Act 1995 (c. 25) and paragraph 6(5) of Schedule 14 to that Act.		
19. Power to require proper maintenance of land.	Section 215(1) of the Town and Country Planning Act 1990.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

A. Functions relating to town and country planning and development control

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
20. Power to determine applications for listed building consent, and related powers.	Sections 16(1) and (2), 17 and 33(1) of the Planning (Listed Buildings and Conservation Areas) Act 1990 (c. 9).	Development Control <u>Management</u> Committee	Corporate Lead Officer Economy & Regeneration,
21. Power to determine applications for conservation area consent.	Section 16(1) of the Planning (Listed Buildings and Conservation Areas) Act 1990, as applied by section 74(3) of that Act.		
22. Duties relating to applications for listed building consent and conservation area consent.	Section 13(1) of the Planning (Listed Buildings and Conservation Areas) Act 1990 and regulations 3 to 13 of the Planning (Listed Buildings and Conservation Areas) Regulations 1990 and paragraph 127 of the Welsh Office circular 61/96: Planning and the Historic Environment: Historic Buildings and Conservation Areas.		
23. Power to serve a building preservation notice, and related powers.	Sections 3(1) and 4(1) of the Planning (Listed Buildings and Conservation Areas) Act 1990.		
24. Power to issue a listed building enforcement notice.	Section 38 of the Planning (Listed Buildings and Conservation Areas) Act 1990.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd			
A. Functions relating to town and country planning and development control			
Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
25. Powers to acquire a listed building in need of repair and to serve a repairs notice.	Sections 47 and 48 of the Planning (Listed Buildings and Conservation Areas) Act 1990.	Development Control Management Committee	Corporate Lead Officer Economy & Regeneration,
26. Power to apply for an injunction in relation to a listed building.	Section 44A of the Planning (Listed Buildings and Conservation Areas) Act 1990.		
27. Power to execute urgent works.	Section 54 of the Planning (Listed Buildings and Buildings in Conservation Areas) Act 1990.		
28. Power related to mineral working.	Schedule 9 of the Town and Country Planning Act 1990.		
29. Power related to footpaths and bridleways.	Section 257 of the Town and Country Planning Act 1990.		
30. Power as to certification of appropriate alternative development.	Section 17 of the Land Compensation Act 1961 (c. 33).		
31. Duties in relation to purchase notices.	Sections 137-144 of the Town and Country Planning Act 1990.		
32. Powers related to blight notices.	Sections 149-171 of the Town and Country Planning Act 1990.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd			
B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule)			
1. Power to issue licences authorising the use of land as a caravan site ("site licences").	Section 3(3) of the Caravan Sites and Control of Development Act 1960 (c. 62).	Council	Corporate Lead Officer Policy, Performance and Public Protection,
2. Power to license the use of moveable dwellings and camping sites.	Section 269(1) of the Public Health Act 1936 (c. 49).		
3. Power to license hackney carriages and private hire vehicles.	(a) as to hackney carriages, the Town Police Clauses Act 1847 (10 & 11 Vict. c. 89), as extended by section 171 of the Public Health Act 1875 (38 & 39 Vict. c. 55), and section 15 of the Transport Act 1985 (c. 67); and sections 47, 57, 58, 60 and 79 of the Local Government (Miscellaneous Provisions) Act 1976 (c. 57); (b) as to private hire vehicles, sections 48, 57, 58, 60 and 79 of the Local Government (Miscellaneous Provisions) Act 1976.		
4. Power to license drivers of hackney carriages and private hire vehicles.	Sections 51, 53, 54, 59, 61 and 79 of the Local Government (Miscellaneous Provisions) Act 1976.		
5. Power to license operators of hackney carriages and private hire vehicles.	Sections 55 to 58, 62 and 79 of the Local Government (Miscellaneous Provisions) Act 1976.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
6. Power to register pool promoters.	Schedule 2 to the Betting, Gaming and Lotteries Act 1963 (c. 2).	Council	Corporate Lead Officer Policy, Performance and Public Protection,
7. Power to grant track betting licences.	Schedule 3 to the Betting, Gaming and Lotteries Act 1963.		
8. Power to license inter-track betting schemes.	Schedule 5ZA to the Betting, Gaming and Lotteries Act 1963.		
9. Power to grant permits in respect of premises with amusement machines.	Schedule 9 to the Gaming Act 1968 (c. 65).		
10. Power to register societies wishing to promote lotteries.	Schedule 1 to the Lotteries and Amusements Act 1976 (c. 32).		
11. Power to grant permits in respect of premises where amusements with prizes are provided.	Schedule 3 to the Lotteries and Amusements Act 1976.		
12. Power to issue entertainments licences.	Section 12 of the Children and Young Persons Act 1933 (c. 12)		
13. Power to license sex shops and sex cinemas.	The Local Government (Miscellaneous Provisions) Act 1982, section 2 and Schedule 3.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
14. Power to license performances of hypnotism.	The Hypnotism Act 1952 (c. 46).	Council	Corporate Lead Officer Policy, Performance and Public Protection,
15. Power to register	Sections 13 to 17 of the Local		
(Cont'd) premises for acupuncture, tattooing, ear-piercing and electrolysis. Power to issue permits / permission.	(Cont'd) Government (Miscellaneous Provisions) Act 1982.		
16. Power to license pleasure boats and pleasure vessels.	Section 94 of the Public Health Acts Amendment Act 1907 (c. 53).		
17. Power to license market and street trading.	Part III of and Schedule 4 to, the Local Government (Miscellaneous Provisions) Act 1982.	Delegated to Corporate Lead Officer Economy & Regeneration,	
18. Duty to keep list of persons entitled to sell non-medicinal poisons.	Sections 3(1) (b) (ii), 5, 6 and 11 of the Poisons Act 1972 (c. 66).	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection,
19. Power to license dealers in game and the killing and selling of game.	Sections 5, 6, 17, 18 and 21 to 23 of the Game Act 1831 (c. 32); sections 2 to 16 of the Game Licences Act 1860 (c. 90), section 4 of the Customs and Inland Revenue Act 1883 (c. 10), section 27 of the Local Government Act 1894 (c. 73), and section 213 of the Local Government Act 1972 (c. 70).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
20. Power of register and license premises for the preparation of food.	Section 19 of the Food Safety Act 1990 (c. 16).	Licensing Committee	Corporate Lead Officer Policy, Performance, and Public Protection,
21. Power to license scrap yards.	Section 1 of the Scrap Metal Dealers Act 1964 (c. 69).		
22. Power to issue, amend or replace safety certificates (whether general or special) for sports grounds.	The Safety of Sports Grounds Act 1975 (c. 52).		
23. Power to issue, cancel, amend or replace safety certificates for regulated stands at sports grounds.	Part III of the Fire Safety and Safety of Places of Sport Act 1987 (c. 27).		
24. Duty to promote fire safety	Section 6 of the Fire and Rescue Services Act 2004 (c. 21)		
25. Power to license premises for the breeding of dogs.	Section 1 of the Breeding of Dogs Act 1973 (c. 60) and section 1 of the Breeding and Sale of Dogs (Welfare) Act 1999 (c. 11).		
26. Power to license pet shops and other establishments	Section 1 of the Pet Animals Act 1951 (c. 35); section 1 of the Animal Boarding Establishments		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd			
B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd			
Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
(Cont'd) where animals are bred or kept for the purposes of carrying on a business.	(Cont'd) Act 1963 (c. 43); the Riding Establishments Acts 1964 and 1970 (1964 c. 70 and 1970 c. 70); section 1 of the Breeding of Dogs Act 1973 (c. 60), and sections 1 and 8 of the Breeding and Sale of Dogs (Welfare) Act 1999.	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection.
27. Power to register animal trainers and exhibitors.	Section 1 of the Performing Animals (Regulation) Act 1925 (c. 38).		
28. Power to license zoos.	Section 1 of the Zoo Licensing Act 1981 (c. 37)		
29. Power to license dangerous wild animals.	Section 1 of the Dangerous Wild Animals Act 1976 (c. 38).		
30. Power to enforce regulations in relation to animal by-products	Regulation 49 of the Animal By-products (Wales) Regulations 2006 (S.I 1292 (W.127))		
31. Power to license the employment of children.	Part II of the Children and Young Persons Act 1933 (c. 12), byelaws made under that Part, and Part II of the Children and Young Persons Act 1963 (c. 37).	Corporate Lead Officer Schools and Culture; Corporate Lead Officer Legal & Governance Services	

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
32. Power to approve premises for the solemnisation of marriages and the registration of civil partnerships.	Section 46A of the Marriage Act 1949 (c. 76), section 6A of the Civil Partnership Act 2004 (c. 33) and the Marriages and Civil Partnerships (Approved Premises) Regulations 2005 (S. I. 2005/3168).	Proper Officer for Civil Registrations (Corporate Lead Officer Customer Contact)	
33. Power to register common land or town or village greens, except where the power is exercisable solely for the purpose of giving effect to— 33(a) an exchange of lands effected by an order under section 19(3) of, or paragraph 6(4) of Schedule 3 to, the Acquisition of Land Act 1981 (c. 67) or 3(b) an order under section 147 of the Inclosure Act 1845 (c. 8 & 9 Vict. c. 118).	Regulation 6 of the Commons Registration (New Land) Regulations 1969 (S.I. 1969/1843).	Development Control Management Committee	Corporate Lead Officer Economy & Regeneration,
34. Power to register variation of rights of common.	Regulation 29 of the Commons Registration (General) Regulations 1966 (S.I. 1966/1471).	Development Control Management Committee	Corporate Lead Officer Economy & Regeneration
35. Power to issue a permit to conduct charitable collections.	Section 68 of the Charities Act 1992.	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection.
36. Power to grant consent for the operation of a loudspeaker.	Schedule 2 to the Noise and Statutory Nuisance Act 1993 (c. 40).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
37. Power to grant a street works licence.	Section 50 of the New Roads and Street Works Act 1991 (c. 22).	Corporate Lead Officer Highways & Environmental Services,	
38. Duty to register the movement of pigs.	Regulations 21(3) and (4) of the Pigs (Records Identification and Movement) (Wales) Order 2004 (S.I 2004/996 (W.104).	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection.
39. Power to enforce regulations in relation to the movement of pigs.	Regulation 27(1) of the Pigs (Records, Identification and Movement (Wales) Order 2004/996 (W.104).		
40. Power to issue a licence to move cattle from a market.	Article 5(2) of the Cattle Identification Regulations 1998 (S.I. 1998/871).		
41. Power to sanction use of parts of buildings for storage of celluloid.	Section 1 of the Celluloid and Cinematograph Film Act 1922 (c. 35).		
42. Duty to enforce and execute Regulations (EC) No. 852/2004 and 853/2004 in relation to food business operators as further specified in regulation 5 of the Food (Hygiene) (Wales) Regulations 2006.	Regulation 5 of the Food (Hygiene) (Wales) Regulations 2006.	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection.
43. Functions in respect of establishing a Licensing Committee.	Section 6 of the Licensing Act 2003 (c. 17).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd		
C. Functions relating to health and safety at work		
Functions under any of the "relevant statutory provisions" within the meaning of Part I (health, safety and welfare in connection with work, and control of dangerous substances) of the Health and Safety at Work etc. Act 1974, to the extent that those functions are discharged otherwise than in the authority's capacity as an employer	Part I of the Health and Safety at Work etc. Act 1974 (c. 37).	Delegated to the Corporate Lead Officer Policy, Performance and Public Protection.

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd			
D. Functions relating to elections			
Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
1. Duty to appoint an electoral registration officer.	Section 8(2A) of the Representation of the People Act 1983 (c. 2).	Council	Save for the functions delegated to the Chief Executive
2. Power to assign officers in relation to requisitions of the registration officer.	Section 52(4) of the Representation of the People Act 1983.		
3. Power to dissolve community councils.	Section 28 of the Local Government Act 1972.		
4. Power to make orders for grouping communities.	Section 29 of the Local Government Act 1972.		
5. Power to make orders for dissolving groups and separating community councils from groups.	Section 29A of the Local Government Act 1972.		
6. Duty to appoint returning officer for local government elections.	Section 35 of the Representation of the People Act 1983.		
7. Duty to provide assistance at European Parliamentary elections.	Section 6(7) and (8) of the European Parliamentary Elections Act 2002.		
8. Duty to divide constituency into polling districts.	Section 18 of the Representation of the People Act 1983.		
9. Power to divide electoral divisions into polling districts at local government elections.	Section 31 of the Representation of the People Act 1983.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd			
D. Functions relating to elections			
Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
10. Powers in respect of holding of elections.	Section 39(4) of the Representation of the People Act 1983.	Council	Save for the functions delegated to the Chief Executive
11. Power to pay expenses properly incurred by electoral registration officers.	Section 54 of the Representation of the People Act 1983.		
12. Power to fill vacancies in the event of insufficient nominations.	Section 21 of the Representation of the People Act 1985.		
13. Duty to declare vacancy in office in certain cases.	Section 86 of the Local Government Act 1972.		
14. Duty to give public notice of a casual vacancy.	Section 87 of the Local Government Act 1972.		
15. Power to make temporary appointments to community councils.	Section 91 of the Local Government Act 1972.		
16. Power to determine fees and conditions for supply of copies of, or extracts from, elections documents.	Rule 48(3) of the Local Elections (Principal Areas) Rules 1986 (S.I.1986/2214) and rule 48(3) of the Local Elections (Parishes and Communities) Rules 1986 (S.I. 1986/2215).		
17. Power to submit proposals to the Secretary of State for an order under section 10 (pilot schemes for local elections in England and Wales) of the Representation of the People Act 2000.	Section 10 of the Representation of the People Act 2000 (c. 2).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd		
E. Functions relating to name and status of areas and individuals		
1. Power to change the name of a county or county borough.	Section 74 of the Local Government Act 1972.	Council
2. Power to change the name of a community.	Section 76 of the Local Government Act 1972.	
3. Power to confer title of honorary alderman or to admit to be an honorary freeman.	Section 249 of the Local Government Act 1972.	
4. Power to petition for a charter to confer county borough status.	Section 245A of the Local Government Act 1972.	
F. Power to make, amend, revoke or re-enact byelaws	Any provision of any enactment (including a local Act), whenever passed, and section 14 of the Interpretation Act 1978 (c. 300).	
G. Power to promote or oppose private Bills.	.Sections 52 and 53 Of the Local Government (Democracy) (Wales) Act 2013	
H. Functions relating to pensions etc.		
1. Functions relating to local government pensions, etc.	Regulations under section 7, 12 or 24 of the Superannuation Act 1972 (c. 11).	Council
2. Functions relating to pensions, allowances and gratuities.	Regulations under section 18 (3A) of the Local Government and Housing Act 1989 (c. 42).	
3. Functions under existing pension schemes as respects persons employed by the fire and rescue authorities pursuant to section 1 of the Fire and Rescue Service Act 2004	Sections 34 and 36 of the Fire and Rescue Services Act 2004.	

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd			
I. Miscellaneous functions			
Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
1. Duty to approve authority's statement of accounts, income and expenditure and balance sheet or record of receipts and payments (as the case may be).	The Accounts and Audit (Wales) Regulations 2005.	Council	
2. Functions relating to sea fisheries.	Sections 1, 2, 10 and 19 of the Sea Fisheries Regulation Act 1966 (c. 38).	Council	
3. Powers relating to the preservation of trees.	Sections 197 to 214D of the Town and Country Planning Act 1990 and the Town and Country Planning (Trees) Regulations 1999 (S.I. 1999/1892).	Development Control Management Committee	Corporate Lead Officer Economy & Regeneration,
4. Powers relating to the protection of important hedgerows.	The Hedgerows Regulations 1997 (S.I. 1997/1160).	Council	
5. Power to make standing orders.	Section 106 of, and paragraph 42 of Schedule 12 to, the Local Government Act 1972	Council	
6. Appointment and dismissal of staff	Section 112 of the Local Government Act 1972 and sections 7 and 8 of the Local Government and Housing Act 1989.	Council	Delegated to Chief Executive and all Officers nominated by the Chief Executive subject to the Officer Employment Rules

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd			
I. Miscellaneous functions Cont'd			
Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
7. Power to make standing orders as to contracts.	Section 135 of the Local Government Act 1972.	Council	
8. Power to consider reports from the Public Services Ombudsman for Wales.	Section 19 of the Public Services Ombudsman (Wales) Act 2005 (c. 10).	Council	Monitoring Officer
9. Power to make an order identifying a place as a designated public place for the purposes of police powers in relation to alcohol consumption.	Section 13(2) of the Criminal Justice and Police Act 2001 (c. 16).	Council	
10. Powers in respect of registration of motor salvage operators.	Part 1 of the Vehicles (Crime) Act 2001 (c. 3).	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection.
11. Power to appoint officers for particular purposes (appointment of "proper officers").	Section 270(3) of the Local Government Act 1972 (c. 42).	Council	
12. Duty to designate an officer as the head of the authority's paid service, and to provide staff, etc.	Section 4(1) of the Local Government and Housing Act 1989 (c. 42)		
13. Duty to designate an officer as the monitoring officer and to provide staff, etc.	Section 5(1) of the Local Government and Housing Act 1989.		
14. Duty to determine affordable borrowing limit.	Section 3 of the Local Government Act 2003 (c. 22).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd			
I. Miscellaneous functions Cont'd			
Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
15. Approval of annual investment strategy in accordance with guidance.	Section 15 of the Local Government Act 2003.	Council	
16. Duty to make arrangements for proper administration of financial affairs	Section 151 of the Local Government Act 1972 (c. 11).	Council	Section 151 Officer
17. Power to make or revoke an order designating a locality as an alcohol disorder zones	Section 16 of the Violent Crime Reduction Act 2006 (now repealed)		
18. Functions relating to Family Absence of Local Authority Members	The Family Absence for Members of Local Authorities (Wales) Regulations 2013		

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS

Function	Decision-making body	Membership	Delegation of functions
1. Any function under a local Act other than a function specified or referred to in Schedule 1.	Cabinet	All Cabinet Members	None
2. The determination of an appeal against any decision made by or on behalf of the authority.	Council	All Members of the Council	Save for the functions delegated to the Appeals Panel
3. Functions in relation to the revision of decisions made in connection with claims for housing benefit or council tax benefit and for appeals against such decisions under section 68 of and Schedule 7 to the Child Support, Pensions and Social Security Act 2000	Cabinet	All Cabinet Members	
4. The making of arrangements in relation to appeals against the exclusion of pupils in maintained schools under section 52 of the Education Act 2002.	Cabinet	All Cabinet Members	Corporate Lead Officer Schools and Culture; Corporate Lead Officer Legal & Governance Services;
5. The making of arrangements pursuant to section 94(1), (1A) and (4) of, and Schedule 24 to, the School Standards and Framework Act 1998 (admission appeals).			
6. The making of arrangements pursuant to section 95(2) of the School Standards and Framework Act 1998 (children to whom section 87 applies: appeals by governing bodies).			
7. The making of arrangements under section 20 (questions on police matters at council meetings) of the Police Act 1996 for enabling questions to be put on the discharge of the functions of a police authority.	Council	All Members of the Council	

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
8. The making of appointments under paragraphs 2 to 4 (appointment of members by relevant councils) of Schedule 2 (police authorities established under section 3) to the Police Act 1996.	Council	All Members of the Council	Joint Committee appointed under Paragraph 2(2) of Schedule 2 to the Police Act 1996
9. The conducting of best value reviews in accordance with the provisions of any order for the time being having effect under section 5 (best value reviews) of the Local Government Act 1999 or action under the Wales Improvement Measure as appropriate.	Cabinet	All Cabinet Members	Cabinet Members, Corporate Directors and Corporate Lead Officers
10. Any function relating to contaminated land.	Council	All Members of the Council	Corporate Lead Officer Policy, Performance and Public Protection, Corporate Lead Officer Highways and Environmental Services
11. The discharge of any function relating to the control of pollution or to the Declaration of an Air Quality Management Area	Council	All Members of the Council	Corporate Lead Officer Policy, Performance and Public Protection.
12. The service of an abatement notice in respect of a statutory nuisance.	Cabinet	All Cabinet Members	Corporate Lead Officer Policy Performance and Public Protection.
13. The passing of a resolution that Schedule 2 to the Noise and Statutory Nuisance Act 1993 should apply in the authority's area.	Council	All Members of the Council	
14. The inspection of the authority's area to detect any statutory nuisance.	Cabinet	All Cabinet Members	Corporate Lead Officer Policy, Performance and Public Protection, Corporate Lead Officer Highways and Environmental Services
15. The investigation of any complaint as to the existence of a statutory nuisance.			

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
16. The obtaining of information under section 330 of the Town and Country Planning Act 1990 as to interests in land.	Cabinet	All Cabinet Members	Corporate Lead Officer Policy, Performance and Public Protection, Corporate Lead Officer Highways and Environmental Services
17. The obtaining of particulars of persons interested in land under section 16 of the Local Government (Miscellaneous Provisions) Act 1976	Cabinet	All Cabinet Members	All Corporate Directors and Corporate Lead Officers
18. Any of the following functions in respect of highways -			
(a) the making of agreements for the execution of highways works.	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services,
(b) The functions contained in the following provisions of Part III of the Highways Act 1980 (Creation of Highways) –			
(i) Section 25 – creation of footpath, bridleway or restricted byway by agreement;	Cabinet	All Cabinet Members	Corporate Lead Officer Economy & Regeneration, Corporate Lead Officer Highways & Environmental Services
(ii) Section 26 – compulsory powers for creation of footpaths, bridleways or restricted byways;	Council	All Members of the Council	Corporate Lead Officer Economy & Regeneration

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
(c) The functions contained in the following provisions of Part V111 of the Highways Act 1980 (stopping up and diversion of highways etc.) -			
(i) Section 116 – power of magistrates' court to authorise stopping up or diversion of highway;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(ii) Section 117 – application for order under section 116 on behalf of another person;			
(iii) Section 118 – stopping up of footpaths, bridleways and restricted byways;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(iv) Section 118ZA – application for a public path extinguishment order;			
(v) Section 118A – stopping up of footpaths, bridleways and restricted byways crossing railways;			

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
(vi) Section 118B – stopping up of certain highways for purposes of crime prevention etc.;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(vii) Section 118C – application by proprietor of school for special extinguishment order;			
(viii) Section 119 – diversion of footpaths, bridleways and restricted byways;			
(ix) Section 119ZA – application for a public path diversion order;			
(x) Section 119A – diversion of footpaths, bridleways and restricted byways crossing railways;			
(xi) Section 119B – diversion of certain highways for purposes of crime prevention etc.;			

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
(xii) Section 119C – application by proprietor of school for special diversion order;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(xiii) Section 119D – diversion of certain highways for protection of sites of special scientific interest;			
(xiv) Section 120 – exercise of powers of making public path extinguishment and diversion orders;			
(xv) Section 121B – register of applications;			
(d) the functions contained in the following provisions of Part IX of the Highways Act 1980 (lawful and unlawful interference with highways and streets)-			
(i) Section 130 – protection of public rights;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(ii) Sections 139 – control of builders' skips;	Cabinet		

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
(iii) Section 140 – removal of builders' skips;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(iv) Section 140A(7) – builders' skips: charges for occupation of the highway;			
(v) Section 142 – licence to plant trees, shrubs etc. in a highway;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services
(vi) Section 147 – power to authorise erection of stiles etc. on footpath or bridleway;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration and Corporate Lead Officer Porth Gofal Targeted Intervention Services
(vii) Section 147ZA – agreements relating to improvements for benefit of persons with mobility problems;			
(viii) Section 149 – removal of things so deposited on highways as to be a nuisance etc.;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Policy Performance and Public Protection

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
(ix) Section 169 – control of scaffolding on highways;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(x) Section 171 – control of deposit of building materials and making of excavations in streets			
(xi) Section 171A and regulations made under that section – works under s169 or s171: charge for occupation of the highway;			
(xii) Section 172 – hoardings to be set up during building etc.;			
(xiii) Section 173 – hoardings to be securely erected;			
(xiv) Section 178 – restriction on placing of rails, beams etc. over highways;			
(xv) Section 179 – control of construction of cellars etc. under street;			
(xvi) Section 180 – control of openings into cellars etc. under streets, and pavement lights and ventilators			

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
(e) exercising functions under section 35 of the Wildlife and Countryside Act 1982 (limestone pavement orders); and (f) exercising functions under section 53 of the Wildlife and Countryside Act 1981 (duty to keep definitive map and statement under continuous review)	Cabinet	All Cabinet Members	Corporate Lead Officer Economy & Regeneration
19. The appointment of any individual (a) to any office other than an office in which he is employed by the authority; (b) to anybody other than — (i) the authority; (ii) a joint committee of two or more authorities; or (c) to any committee or sub-committee of such a body, and the revocation of any such appointment.	Council in relation to Council-related functions Cabinet in relation to Cabinet-related functions	All Members of the Council or Cabinet where appropriate	None
20. Power to make payments or provide other benefits in cases of maladministration etc.	Council	All Members of the Council	Monitoring officer in relation to payments of £1,000 or below
21. The discharge of any function by an authority acting as a harbour authority.	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
22. Functions in respect of the calculation of council tax base in accordance with any of the following— (a) the determination of an item for T in section 33(1) and 44(1) of the Local Government Finance Act 1992; (b) the determination of an amount for item TP in sections 34(3), 45(3) 48(3) and 48(4) of the Local Government Finance Act 1992; (c) the determination of an amount required for determining an amount for the item mentioned in paragraph (a) or (b) above.	Cabinet	All Cabinet Members	None
23. Licensing functions in accordance with Part 2 of the Licensing Act 2003 except section 6.	Council	All Members of the Council	Licensing Committee
24a. Functions in respect of gambling under the following provisions of the Gambling Act 2005 – (i) Section 29 – licensing authority information; (ii) Section 30 – other exchange of information;	Council	All Members of the Council	Corporate Lead Officer Policy Performance and Public Protection

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
(iii) Section 284 – removal of exemption; (iv) Section 304 – authorised persons; (v) Section 346 – prosecutions by licensing authority; (vi) Section 350 – exchange of information; (vii) Part 5 of Schedule 11 – registration with local authority			
24b. Functions in respect of gambling under the following provisions of the Gambling Act 2005 – (i) Section 166 – resolution not to issue casino licences; (ii) Section 349 – three-year licensing policy;	Council	All Members of the Council	
24c. Functions in respect of gambling under the following provisions of the Gambling Act 2005 – (i) Section 212 and regulations made under that section – fees;	Cabinet	All Members of Cabinet	
25a. Functions in respect of approval by a local authority under section 51 or a determination by a Local Authority under section 53 of the School Standards and Organisation (Wales) Act 2013 (i) Section 41 proposals to establish mainstream schools (ii) Section 43: proposals to discontinue mainstream schools (iii) Section 44: proposals to	Council	All Members of the Council	

Ceredigion County Council Constitution - Part 3 Responsibility for Council Functions
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<p>a) establish a new community special school b) to discontinue such a school</p>			
<p>25b. Functions in respect of approval by a local authority under section 51 or a determination by a Local Authority under section 53 of the School Standards and Organisation (Wales) Act 2013</p> <p>(ii) Section 42 proposals to alter mainstream schools (iii) Section 44-proposals to make a regulated alteration to a community special school (iv) Section 45 proposals to change a school category</p>	<p>Cabinet</p>	<p>All Cabinet Members</p>	
<p><u>25c. Functions in respect of approval of the Council's Welsh in education strategic plan for submission to the Welsh Ministers for approval, for publication and implementation by the Council under sections 84 and 85 of the School Standards and Organisation (Wales) Act 2013</u></p> <p><u>(i) S.84 Preparation of Welsh in education strategic plans;</u></p> <p><u>(ii) S.85 Approval, publication and implementation of Welsh in education strategic plans</u></p>	<p><u>Cabinet</u></p>	<p><u>All Cabinet Members</u></p>	

Part 3.3 (Table 3) COMMITTEES OF THE COUNCIL

Committee	Functions	Delegation of Functions
<p>Development Control Management Committee (21-15 Members (may include Cabinet Members))</p>	<p><u>Development Management Committee – Terms of Reference</u></p> <ol style="list-style-type: none"> 1. <u>Planning and conservation</u> – Functions relating to town and country planning and development control as specified in Part A of <u>Part 3.1 Table 1 above</u> ('<u>Functions relating to town and country planning and development control</u>'), together with functions under items 3 and 4 of Part I of <u>Table 1</u> ('<u>Miscellaneous functions</u>'). 2. <u>To carry out the Authority's statutory planning functions in relation to the determination of applications and allied issues relating to development and the regulation of uses and activities.</u> 3. <u>To consider and determine applications, so as to advance and contribute to the Council's Corporate Strategy and Priorities through thorough consideration of major developments county-wide.</u> 4. <u>To make planning decisions based on sound material planning considerations, and not personal circumstances, opinions or feelings.</u> 5. <u>To take into account the sustainable development principle in determining planning applications.</u> 6. <u>The power to act, all the powers and duties of the Authority relating to the consideration of planning, listed building and conservation area applications, notification schemes, tree preservation orders, the control of development and the enforcement of such control, and other consultation schemes where appropriate.</u> 7. <u>To receive reports from time to time from the Chief Executive or Corporate Lead Officer for Economy and Regeneration and other Officers on the exercise of any functions relating to the control of development which may have been delegated to them.</u> 	<p>See <u>Part 3.1 Table 1 (Part A) above</u> ('<u>Functions relating to town and country planning and development control</u>')</p>

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	<p><u>8. To deal with all applications:</u></p> <ul style="list-style-type: none"> <u>a. made by the Council as landowner;</u> <u>b. relating to major developments;</u> <u>c. made by a Member or close personal associates; or</u> <u>d. made by</u> <ul style="list-style-type: none"> <u>I. Chief Officers (Chief Executive, Corporate Directors and Corporate Lead Officers);</u> <u>II. All staff employed by the Planning Service(s) including development management and Forward Planning; and</u> <u>III. Any other Staff closely linked to the planning services or a particular planning application</u> <p><u>or by their close personal associates.</u></p> <p><u>9. To prioritise making sound planning judgements in line with all relevant national and local planning policy that advances the corporate strategies and priorities of the Council unless there are other material considerations.</u></p> <p><u>10. To determine applications in accordance with the Local Development Plan, the central tenants of the Well-being of Future Generations (Wales) Act 2015, and to deliver the Council's Corporate Priorities:</u></p> <ul style="list-style-type: none"> <u>o Corporate Priority 1 – Boosting the Economy;</u> <u>o Corporate Priority 2 – Investing in People's Future;</u> <u>o Corporate Priority 3 – Enabling individual and Family Resilience; and</u> <u>o Corporate Priority 4 – Promoting Environmental and Community Resilience.</u> 	
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Committee	Functions	Delegation of Functions
Licensing Committee (15-11 Members)	<p>Licensing and Registration Functions as specified in Part B of Table 1 above, together with functions under item 10 of Part I of Table 1.</p> <p>Licensing Functions and Functions in respect of Gambling as specified in Table 2 above, Functions 23 & 24).</p> <p>To recommend to the Council additions and/or amendments to policy in relation to the functions of the Committee.</p> <p>To determine suspension/revocation of personal licences pursuant to s132 of the Licensing Act 2003</p> <p>To determine contentious applications for the initial granting or renewal of licences to drive a hackney carriage or a private hire vehicle.</p> <p>To determine contentious applications for the initial grant or renewal of operators licences.</p> <p>To determine contentious applications and requests for licence reviews under the Licensing Act 2003 and the Gambling Act 2005. To determine applications for permits for house to house and street collections. To suspend, vary, revoke or refuse house to house, street collections, drivers, operators and vehicle licences.</p> <p>To determine contentious applications under the Motor Salvage Operators' Registration Scheme.</p> <p>To hear representations and determine relevant applications under the Scrap Metal Dealers Act 2013 as appropriate.</p> <p>Licensing Sub Committee to determine applications for the grant of 3 or more gaming machines on alcohol licensed premises, or applications which are subject to objection</p>	<p>See Table 1 (Parts B and I) and Table 2 above.</p>

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Committee	Functions	Delegation of Functions
Ethics and Standards Committee (9 Members: 2 County Councillors, 2 Town and Community Members and 5 Independent Members)	As set out in Article 9 of Part 2 to the Constitution	None

Committee	Functions	Delegation of Functions
<p>Governance and Audit Committee</p> <p>(6 County Councillors and 1 Lay Member)</p>	<p>Governance and Audit Committee – Terms of Reference 2018 <u>Statement of Purpose</u></p> <ol style="list-style-type: none"> 1 The Governance and Audit Committee is a key component of the Council’s corporate governance framework. It provides an independent and high-level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards. 2 The purpose of the Governance and Audit Committee is to provide independent assurance to full Council and management of the adequacy of the risk management framework and the internal control environment. It provides an independent review of the Council’s governance, risk management and control frameworks and oversees the financial reporting and annual governance processes. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place. <p><u>Governance Risk and Control</u></p> <ol style="list-style-type: none"> 3 To maintain an overview of the Council’s Constitution in respect of: Contract Procedure Rules, Finance Regulations and Code of Conduct. 4 To review the Council’s corporate governance arrangements against the governance framework, including the ethical framework and consider the local code of governance. 5 To review the Annual Governance Statement prior to approval and consider whether it properly reflects the risk environment and supporting assurances, taking into account internal audit’s opinion on the overall adequacy and effectiveness of the Council’s framework of governance, risk management and control. 6 To consider the Council’s arrangements to secure value for money and review 	None

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	<p>assurances and assessments on the effectiveness of these arrangements.</p> <p>7 To consider the Council's framework of assurance and ensure that it adequately addresses the risks and priorities of the Council.</p> <p>8 To monitor the effective development and operation of risk management in the Council.</p> <p>9 To monitor progress in addressing risk-related issues reported to the Committee.</p> <p>10 To consider reports on the effectiveness of internal controls and the implementation of agreed actions.</p> <p>11 To review the assessment of fraud risks and potential harm to the Council from fraud and corruption.</p> <p>12 To monitor the counter-fraud strategy, actions and resources.</p> <p>13 To review the governance and assurance arrangements for significant partnerships or collaborations, where applicable.</p> <p>14 To consider the Corporate Risk Register.</p> <p>15 To consider the Council's Annual Improvement Report.</p> <p>16 To review and assess the performance assessment of the Council.</p> <p><u>17 To consider review and assess the Council's draft annual Self-Assessment Report and make any necessary recommendations to Council for changes to:-</u> <u>(a) the conclusions; or</u> <u>(b) anything included in the report relating to what actions the Council intends to take, or actions it has already taken, with a view to increasing the extent to which the Council will meet the performance requirements in the financial year following the financial year to which the report relates.</u></p> <p><u>18 To consider the Panel Performance Assessment Report, review the Council's draft response to the report of the Panel, and make necessary recommendations for changes to the statements made in the draft response.</u></p> <p><u>19 To consider any Auditor General Report following a special inspection of the Council, review and assess the Council's</u></p>	
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draft response to any Auditor General Report and make any recommendations for changes to the statements made in the Council's draft response relating to what action, if any, the Council intends to take in response to the Auditor General's recommendations.

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Internal Audit

~~18~~20 To approve the Internal Audit Charter.

~~19~~21 To consider proposals made in relation to the appointment of any external providers of internal audit services.

2022 To approve the risk-based Internal Audit Plan, including Internal Audit's resource requirements, the approach to using other sources of assurance and any work required to place reliance upon those other sources.

~~21~~23 To approve significant interim changes to the risk-based Internal Audit Plan and resource requirements.

~~22~~24 To make appropriate enquiries of both management and the Head of Internal Audit ("Chief Internal Auditor") to determine if there are any inappropriate scope or resource limitations.

~~23~~25 To consider reports from the Head of Internal Audit on internal audit's performance during the year, including the performance of any external providers of internal audit services. These will include:

- a. Updates on the work of Internal Audit including key findings, issues of concern and action in hand as a result of internal audit work.
- b. Regular reports on the results of the Quality Assurance and Improvement Programme.
- c. Reports on instances where the internal audit function does not conform to the Public Sector Internal Audit Standards and Local Government Application Note, considering whether the non-

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	<p>conformance is significant enough that it must be included in the Annual Governance Statement.</p> <p>2426 To consider the Head of Internal Audit's annual report regarding:</p> <p>d. The statement of the level of conformance with the Public Sector Internal Audit Standards and Local Government Application Note and the results of the Quality Assurance and Improvement Programme that support the statement - these will indicate the reliability of the conclusions of internal audit.</p> <p>e. The opinion on the overall adequacy and effectiveness of the Council's framework of governance, risk management and control together with the summary of the work supporting the opinion - these will assist the committee in reviewing the Annual Governance Statement.</p> <p>2527 To consider summaries of specific Internal Audit reports as requested.</p> <p>2628 To receive reports outlining the action taken where the head of internal audit has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions.</p> <p>2729 To contribute to the Quality Assurance and Improvement Programme and in particular, to the external quality assessment of internal audit that takes place at least once every five years.</p> <p>2830 To consider a report on the effectiveness of Internal Audit to support the Annual Governance Statement, where required to do so by the Accounts and Audit (Wales) Regulations 2014</p> <p>2931 To support effective communication with the head of audit.</p> <p>3032 To commission work from Internal Audit</p>	
External Audit & Regulators		

	<p>3133 To consider the external auditor's annual letter, relevant reports and the report to those charged with governance.</p> <p>3234 To consider specific reports as agreed with the external auditor.</p> <p>3335 To comment on the scope and depth of external audit work and to ensure it gives value for money.</p> <p>3436 To commission work from external audit.</p> <p>3537 To advise and recommend on the effectiveness of relationships between external and internal audit and other inspection agencies or relevant bodies.</p> <p>3638 To consider reports from external regulators (including but not exclusive to: WAO, PSOW, GRO, CSIW, Estyn).</p> <p>3739 Consider any Report received from the Auditor General, and the Council's draft response.</p> <p><u>Financial Reporting</u></p> <p>3840 To review the annual statement of accounts and related reports. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.</p> <p>3941 To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.</p> <p><u>Accountability Arrangements</u></p> <p>4042 To report to those charged with governance on the Audit Committee's findings, conclusions and recommendations concerning the adequacy and effectiveness of their governance, risk management and internal control frameworks, financial reporting arrangements, and internal and external audit functions.</p>	
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	<p>4143 To report to full Council on the Audit Committee's performance in relation to the terms of reference and the effectiveness of the Committee in meeting its purpose.</p> <p>4244 To publish an annual report on the work of the Committee.</p> <p><u>Performance Reporting</u></p> <p>4345 To consider reports on compliments, complaints and Freedom of Information activity.</p> <p>46 To review and assess the Council's ability to handle complaints effectively.</p> <p>4447 <u>To make reports and recommendations in relation to the Council's ability to handle complaints effectively.</u></p>	
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Committee	Functions	Delegation of Functions
Democratic Services Committee (6 members)	<p>To carry out the local authority's function of designating the Head of Democratic Services (HDS).</p> <p>Keep under review the provision of staff, accommodation and other resources made available to the HDS, in order to ensure that it is adequate for the responsibilities of the post.</p> <p>Make reports, at least annually, to the full council in relation to these matters.</p> <p>To consider, and make recommendations to the Council, concerning the timing of meetings.</p> <p>To oversee the training and development of Members.</p>	None
Appeals Panel (3 Members out of a pool of 7 members)	<p>To determine appeals by members of staff in accordance with the Council's policies and procedures save for those referred to in Part 4 Document H.</p>	
Short-listing Committee (7 Members)	<p>To produce a shortlist of qualified applicants for Head of Paid Service, Corporate Director and Corporate Lead Officer Posts, to include interviewing of such applicants if needs be, for recommending to Council.</p>	

Committee	Functions	Delegation of Functions
Language Committee (7 Members)	<p>To provide direction for the promotion and facilitation of the Welsh Language in Ceredigion. The Committee may require any member or officer of the Council to attend before it to answer questions and may invite other persons to attend meetings of the Committee.</p> <p>The committee is responsible for fulfilling the following functions:</p> <ul style="list-style-type: none"> • To set strategic direction in response to the Language Standards set by the Welsh Language Commissioner, • Monitor progress with the implementation of the Welsh Language Standards • Agree an annual report on progress with the Welsh Language Standards to the Welsh Language Commissioner • Play an active role in the development of other key areas of work relating to the Welsh Language - Welsh Language in Education Strategy; 'More than Just Words' Strategic Framework, Local Development Plan • To receive progress reports on the work of Cered (Menter Iaith Ceredigion) and Theatr Felinfach • To offer recommendations to promote and increase the use of the Welsh language in all aspects of the Council's work • To review the implementation of the Ceredigion Language Strategy, paying attention to the Council's work and any partnership work or joint working • Receiving information / consultations on matters relating to the Welsh Language as required and respond as appropriate. <ul style="list-style-type: none"> • Make recommendations to Cabinet and/or Council as appropriate 	None

Committee	Functions	Delegation of Functions
Trustee Charity Committee (10 members: 5 voting and 5 non-voting)	<p>To act as trustee in respect of all property assets held by the Council on charitable trusts.</p> <p>To make decisions in relation to charitable assets in the best interests of the charity.</p> <p>To receive reports on charitable issues and to ensure the requirements of the Charity Commission and charity law are adhered to in so far as they relate to the charitable assets held by the Council on trust.</p>	
Overview and Scrutiny Committees	<p>See Article 6 above</p>	

Part 3.4 (Table 4) RESPONSIBILITY FOR CABINET FUNCTIONS

Cabinet functions comprise all the functions of the Council, with the exception of;

- 3.4.1 Council functions set out in Table 1 above;
- 3.4.2 Those local choice functions allocated to the Council set out in Table 2 above;
- 3.4.3 Functions that cannot be the sole responsibility of the Cabinet as set out in Article 4 of Part 2 of the Constitution;
- 3.4.4 Potential decisions that conflict with;
 - the Council's budget or borrowing plans;
 - Financial Regulations or financial standing orders;
 - the Council's overall strategy or policy framework.

and in such cases the Cabinet must pass the decision to the Council for final determination.

- 3.4.5 Article 7.1 of the Constitution provides that all of the Council's functions which are not the responsibility of any other part of the Council whether by law or under the Constitution will be carried out by Cabinet. This section sets out:
 - the role of Cabinet Members within their respective portfolios,
 - the allocation of service responsibilities to individual Cabinet Members, and
 - those Cabinet Functions which have been delegated to individual Cabinet Members.

Portfolio	Roles, Service Responsibilities and Functions
Leader of the Council	<p>Roles and responsibilities of the Leader</p> <p>a) To provide political leadership to the Council, including:</p> <ul style="list-style-type: none"> • being the principal spokesperson for the Council • providing strong, clear leadership in the development and co-ordination of policies, strategies, plans and service delivery • to recommend to Council the appointment of Member Champions <p>b) Appointing the Cabinet, including:</p> <ul style="list-style-type: none"> • choosing the number of Councillors to serve on the Cabinet and their respective portfolios • designating a Deputy Leader • determining the executive functions delegated to the Cabinet, committees of the Cabinet, individual Cabinet Members, Officers and those undertaken via joint arrangements <p>c) To provide community leadership, including;</p> <ul style="list-style-type: none"> • acting as a leader of the local community by demonstrating and promoting the Council's Vision, aims and objectives • providing leadership to local strategic partnerships in the pursuit of common aims and priorities, including the Ceredigion Public Service Board <p>d) Representing the Council on external organisations, including:</p> <ul style="list-style-type: none"> • representing the Council on the WLGA (including the Co-ordinating Committee) and LGA • representing the Council on the following local, regional and national organisations: <ul style="list-style-type: none"> - Central and South West Wales WLGA Regional Partnership Board - Joint Council for Wales <p>e) Managing and leading the work of the Cabinet, including:</p>

	<ul style="list-style-type: none"> • chairing meetings • effectively managing the work of the Cabinet • ensuring that a Cabinet Forward Work Plan is in place <p>f) Providing portfolio leadership for the following:</p> <ul style="list-style-type: none"> • Service delivery • Community leadership • Finance and budgetary control • Employee relations • Welsh Language Standards <p>g) Working with others, including:</p> <ul style="list-style-type: none"> • participating in the collective decision-making of the Cabinet • working with Cabinet Members, Non-executive Members and Officers in order to ensure Council policies, the budgetary framework and the continuous improvement agenda is carried out effectively in order to ensure the delivery of high quality services within existing resources to local people
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All Cabinet Members	Roles and responsibilities of the Cabinet members
	A - General
	<p>a) Providing portfolio leadership, including:</p> <ul style="list-style-type: none"> • reporting to the Cabinet, Leader, Council, Overview and Scrutiny Committees in respect of services within the portfolio • giving political direction to officers working within the portfolio • formulating and developing plans, policies and strategies in respect of services within the portfolio for adoption and revision by the Council • liaising with the Chairperson of the respective Overview and Scrutiny Committee in respect of services within the portfolio • having an overview of the performance management, efficiency and effectiveness of the services within the portfolio <p>b) Working with others, including:</p> <ul style="list-style-type: none"> • Participating in the collective decision-making of the Cabinet • Working with the Leader of the Council, Cabinet Members, Non-executive Members and Officers in order to ensure Council policies, the budgetary framework and the continuous improvement agenda is carried out effectively in order to ensure the delivery of high quality services within existing resources to local people <p>c) Contributing towards community leadership, including;</p> <ul style="list-style-type: none"> • promoting the Council’s Vision, aims and objectives within the community • representing the Council on local strategic partnerships and the promotion of common aims and priorities <p>d) Representing the Council on external organisations, as appointed.</p>

	B - Specific portfolio roles and responsibilities
Leader of the Council: Policy, Performance and Partnerships.	<p>Services: Policy, Performance and Partnerships</p> <p>Internal panels/working groups/fora: <u>Asset Management Group</u>, Development Group, Transformation and Efficiency Consultative Group, and Corporate Employee Forum, Housing Renovation Grants Panel, Language Committee and Equalities <u>Group</u>, Performance Management Board, Performance Management Executive Panel <u>and Community Grants Panel</u>.</p> <p>Partnerships/–Joint Committees/Agencies: Ceredigion Public Service Board, PSB Poverty Sub Group, Mid and West Wales Partnership Board, Mid Wales <u>Joint Committee for Health and Care Collaborative</u>, <u>and</u> Growing Mid Wales Partnership, and Growing Mid Wales Board (Growth Deal Joint Committee).⁷</p> <p>External bodies: WLGA, WLGA Rural Forum, WLGA Association Executive Board, Central and South West Wales Regional Partnership Board, Aberystwyth University Court of Governors, <u>Joint Council for Wales and Consortium Local Authorities Wales ('CLAW') (Cabinet Member for Economy & Regeneration to deputise in Leader's absence)</u>.</p> <p>Member Champion for: Equalities, Diversity.</p>

	B - Specific portfolio roles and responsibilities
Deputy Leader of the Council: Legal & Governance Services, People & Organisation and Democratic Services.	<p>Services: Legal & Governance, People, People & Organisation and Democratic Services.</p> <p>Internal panels/working groups/fora: Transformation and Efficiency Consultative Group, Corporate Employee Forum, Performance Management Board, Performance Management Executive Panel, Business Continuity; Plan Management Group, Emergency and Business Continuity Management Group, and Development Group Aberystwyth-Shrewsbury Railway Line Liaison Committee.</p> <p>Partnerships/Joint Committees/Agencies: Penllyn a'r Sarnau Special Area of Conservation and Chairman of Dyfi Biosphere Partnership. Joint Council for Wales Aberystwyth-Shrewsbury Railway Line Liaison Committee.</p> <p>External bodies: WLGA, Joint Council for Wales, Penllyn a'r Sarnau Special Area of Conservation, Consortium Local Authorities Wales (CLAW).</p>

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	B - Specific portfolio roles and responsibilities
Schools, Lifelong Learning and Skills, Support and Intervention Portfolio.	<p>Services: Schools, Lifelong Learning and Skills, Support and Intervention Services.</p> <p>Internal panels/working groups/fora: Council Tax Premium on Second Homes Task and Finish Group, Housing Grants Panel, Maximising Income and Fuel Poverty Group,</p> <p>Partnerships/Joint Committees/Agencies—: Children and young people services provider forum; PSB Poverty sub-group Corporate Passenger and Transport Unit Reference Group, Cylch Caron Project Board (non voting right), and Growing Mid Wales Board (Growth Deal Joint Committee);</p> <p>External bodies: Cardigan Swimming Pool Management Committee; Ceredigion Home Start, CYPP Mid and West Children and Young People's Partnership, Ceredigion District Sports Council, Cardigan Stakeholders Group — Integrated Health Centre, Integrated Children's Centre (ICC) Cardigan; Ceredigion Home Start, Corporate Passenger and Transport Unit Reference Group Youth Justice Management Board.</p> <p>Member Champion for: Children and Young People, Anti-poverty.</p>

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	B - Specific portfolio roles and responsibilities
Finance and Procurement Services and Public Protection Services Portfolio.	<p>Services: Finance and Procurement and Public Protection Services.</p> <p>Internal panels/working groups/fora: <u>Asset Management Group, Development Group, Local Development Plan Working Group, Council Tax Premium on Second Homes Task and Finish Group, Housing Grants Panel,</u> Community Grants Panel, Capital Monitoring Group, Emergency and Business Continuity Management Group.</p> <p>Partnerships/Joint Committees/Agencies: Housing Renovation Grants Panel, Capital Development Group, and Growing Mid Wales Board (Growth Deal Joint Committee), Clearance and Exemption Working Group, Cardigan Castle and Ceredigion Development Group.</p> <p>External bodies: Antur Cymru, Cardigan Castle Finance and General Purposes Committee, Ceredigion Sports Council, Ceredigion Young Farmers Club Association, and Dyfed Pension Board.</p>

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	B - Specific portfolio roles and responsibilities
Porth Cynnal Services	<p>Services: Porth Cynnal Services.</p> <p>Internal panels/working groups/fora: Corporate Parenting Group, Carers Alliance, Cylech Caron Stakeholder Board, Cylech Caron project Board, and Corporate Passenger and Transport Unit Reference Group (shared voting right with Porth Cymorth Cynnar)Corporate Parenting Group.</p> <p>Partnerships/Joint Committees/Agencies: Aberystwyth-Shrewsbury Railway Line Liaison Committee, and Corporate Passenger and Transport Unit Reference Group (shared voting rights with Porth Cymorth Cynnar) and West Wales Partnership Board, and Penllyn a'r Sarnau Special Area of ConservationNone</p> <p>External bodies: Mid Wales Housing Association (Observer status), Mid and West Wales Partnership Board.</p> <p>Member Champion for: Learning Disabilities, Carers and Safeguarding.</p>

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	B - Specific portfolio roles and responsibilities
Porth <u>Gofal, Early Intervention Cymorth Cynnar Well-being Hubs and Culture</u> Portfolio.	<p>Services: Porth <u>Gofal, Porth</u> Cymorth Cynnar</p> <p>Internal panels/working groups/fora: Corporate Passenger and Transport Unit Reference Group (shared voting right with Porth Cynnal), Housing Grants Panel; Ceredigion Older People's Partnership and Maximising Income and Fuel Poverty Group; Carbon Management Group.</p> <p>Partnerships/Joint Committees/Agencies: Health, Social Care and Well-being Partnership, West Wales Regional Partnership Board and Supporting People Regional Collaborative Committee. Maximising Income and Fuel Poverty Group, Corporate Passenger and Transport Unit Reference Group (shared voting right with Porth Cynnal), Cylch Caron Project Board, and Carers Alliance. ; Aberystwyth-Shrewsbury Railway Line Liaison Committee (SARLC); Supporting People Regional Collaborative Committee; Parc Natur Penglais Support Group; Dyfi Biosphere Partnership.</p> <p>External bodies: Hywel Dda Community Health Council, Hywel Dda Health Board Stakeholders Group (as Chair of HSCWB Partnership Board), Ceredigion 50+ Forum, West Wales Care & Repair Board of Management, Mid Wales Housing Association (Observer status), West Wales Regional Partnership Board; Nuclear free Local Authorities Welsh Forum Ceredigion Sports Council.</p> <p>Member Champion for: Older People 50+, Learning Disabilities, Sustainability</p>

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	B - Specific portfolio roles and responsibilities
Highways and Environmental, Housing and Customer Contact Services	<p>Services: Highways and Environmental, Housing and Customer Contact Services.</p> <p>Internal panels/working groups/fora: Asset Management Group, Corporate Passenger and Transport Unit Reference Group, Harbour Users Consultative Committees, Traffic Management Consultative Committees, Procurement Group, Corporate Passenger Transport Unit Reference Group, Housing Grants Panel and Waste Strategy Group.</p> <p>Partnerships/Joint Committees/Agencies: Central Wales Waste Partnership, Central Wales Infrastructure Collaboration, Trafnidiaeth Canolbarth Cymru, (TraCC), North and Mid Wales Trunk Road Agency, Local Access Forum (observer), Cardigan Bay Coastal Group, Growing Mid Wales Partnership, Dyfi Biosphere Partnership, Pembrokeshire Waste Collaborative; West Wales Care & Repair Board of Management, Harbour Users Group, Traffic Management Consultative Group and Corporate Passenger and Transport Unit Reference Group, and Growing Mid Wales Board (Growth Deal Joint Committee).</p> <p>External bodies: Cardigan Bay Coastal Group, and Cylch Caron Project Board.</p>

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	B - Specific portfolio roles and responsibilities
Economy and Regeneration Portfolio.	<p>Services: Economy and Regeneration.</p> <p>Internal Panels/working groups/fora: Asset Management Group, Transformation and Efficiency Consultative Group, Local Development Plan Working Group, and Development Group, Strategic Housing Partnership, Aberystwyth-Shrewsbury Railway Line Liaison Committee, Carbon Management Group,</p> <p>Partnerships/ Joint Committees/Agencies: Enterprise & Innovation Project Group ('PSB'), Trafnidiaeth Canolbarth Cymru (TraCC), Cynnal y Cardi, Local Access Forum, Growing Mid-Wales Partnership and Strategic Housing Partnership, and Growing Mid-Wales Board (Growth Deal Joint Committee), Chairman of Central Wales Infrastructure Collaboration, Dyfi Biosphere Partnership</p> <p>External bodies: Mid Wales Tourism Partnership, South West Wales Economic Forum (Observer status), Cadwgan Trustee Board, Mentur-Menter Aberteifi Executive Committee, Antur Cymru, Consortium Local Authorities Wales ('CLAW') (to deputise in Leader's absence) -Advancing Aberystwyth ar y Blaen BID Board, Ceredigion Young Farmers Club Association, Penllyn a'r Sarnau Special Area of Conservation, and Cardigan Bay Coastal Group.</p> <p>Member Champion for: Bio-diversity</p>

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Part 3.5 SCHEME OF DELEGATION TO OFFICERS

Responsibility for Council and Cabinet Functions – Onward limits on delegation

This scheme delegates certain functions of the Council and Cabinet to officers and should be interpreted widely rather than narrowly. It is divided into the following subsections:

- A – Delegation to Officers – General Conditions
- B – General Delegations to Chief Executive, Head of Paid Service Corporate Directors and Corporate Lead Officers
- C – Delegations to the Chief Executive, Head of Paid Service
- D – Delegations to the Monitoring Officer
- E – Delegations to the Head of Democratic Services
- F – Delegations to the Corporate Lead Officer Highways & Environmental Services.
- G– Delegations To the Head of Policy, Performance and Public Protection
- H- Delegations to the Corporate Lead Officer Economy & Regeneration
- I. – Delegations to the Corporate Lead Officer Porth Cymorth Cynnar
- J – Delegations in respect of Corporate Lead Officer Porth Gofal Targeted Intervention (Deputy Director of Social Services) and Corporate Lead Officer Porth Cynnal Specialist Through Age Services (Statutory Director of Social Services)
- K – Delegations to the Corporate Lead Officer Schools and Culture (Chief Education Officer)
- L– Delegations to the Corporate Lead Officer Finance & Procurement (Section 151 Officer / Chief Finance Officer)
- M – Delegations to the Corporate Lead Officer Customer Contact.
- N – Delegations to the Corporate Lead Officer People and Organisation

PROVIDED ALWAYS that the decision is:

- a) within the Council's budget or borrowing plans;
- b) within the Council's overall strategy or policy framework;
- c) Within Financial Regulations and Accompanying Financial Procedures; and
- d) Not a matter specifically reserved for Full Council, a Committee of the Council, Cabinet, a Statutory Officer, the Chief Executive, or Corporate Directors or Corporate Lead Officers.

D DELEGATIONS TO THE CORPORATE LEAD OFFICER LEGAL AND GOVERNANCE SERVICES AND MONITORING OFFICER

The following specific functions are to be delegated to the Corporate Lead Officer Legal and Governance (and Monitoring Officer).

1. To receive Notices of Motion as provided for by this Constitution (Part 4, Document A, Section 10)
2. To make minor changes to the Constitution
3. To act as “Senior Responsible Officer” for the purposes of the Regulations of Investigating Powers Act 2000.
4. To make minor amendments to the Regulation of Investigatory Powers Act 2000 Directed Surveillance, Use of Covert Human Intelligence Sources & Obtaining Communications Data Corporate Policy and Procedures Document (December 2016).
5. ~~To~~ affix and attest the Common Seal of the Council to all relevant deeds and documents.
6. To sign all licences, registrations, permits and notices issued in the name of the Council in pursuance of its statutory authority.
7. To sign contracts, deeds and other documents on behalf of the Council.
8. To act as the Deputy Electoral Registration Officer.
9. To undertake investigations referred by the Public Services Ombudsman (Wales).
10. To approve compromise settlements in any proceedings or hearings relating to the Council, in consultation with relevant Officers.
11. To conduct proceedings in the Civil and Criminal Courts, Panels, Tribunals and Inquiries on behalf of the Council.
12. To authorise (and sign as necessary) claims, counter claims, informations, defences and other related documentation within legal proceedings on behalf of the Council.
13. To arrange the Clerking of School Admissions, Exclusions and Transport Appeal Panel Meetings.
14. To serve byelaws on other authorities and certify byelaws by virtue of s 236(9) and s. 238 of the Local Government Act 1972 as amended.
- 14.15. To act as the lead Officer in the Council’s Whistleblowing Policy.

CORPRATE MANAGER LEGAL SERVICES

the following functions are to be delegated to the Corporate Manager Legal Services (In the absence of the Corporate Lead Officer Legal & Governance Services).

1. To approve compromise settlements in any proceedings or hearings relating to the Council, in consultation with relevant Officers.
2. To conduct proceedings in the Civil and Criminal Courts, Panels, Tribunals and Inquiries on behalf of the Council.
3. To authorise (and sign as necessary) claims, counter claims, informations, defences and other related documentation within legal proceedings on behalf of the Council.
4. To arrange the Clerking of School Admissions, Exclusions and Transport Appeal Panel Meetings.
5. To act as the Deputy Monitoring Officer.

G DELEGATIONS TO THE CORPORATE LEAD OFFICER POLICY, PERFORMANCE & PUBLIC PROTECTION

The following functions are to be delegated to the Corporate Lead Officer Policy, Performance & Public Protection including Strategic Partnerships, Engagement and Equalities, Complaints, Compliments and Freedom of Information, Public Protection Services, (including Environmental Health, Animal Health, Food Safety and Trading Standards, Licensing and related activities), Corporate Performance, Research, Policy and counter-terrorism, and to any officers authorised by the relevant Corporate Lead Officer from time to time as appropriate subject to such officers being suitably qualified for the discharge of those duties and functions. These powers can also be exercised by the Chief Executive and Corporate Directors as necessary.

Freedom of Information and Complaints

1. To make suitable and appropriate payments in settlement of complaints against the Council and in local settlement of Ombudsman complaints, such payments to be made from the appropriate budget following consultation with the appropriate ~~Head of Service~~Corporate Lead Officer and Cabinet Member.
2. To take all appropriate action in relation to Reports by virtue of sections 16,17 and 21 of the Public Services Ombudsman (Wales) Act 2005.
- ~~3. To act as the "qualified person" for the purpose of Section 36 of the Freedom of Information Act 2000, Senior Officer with responsibility over the Internal Review process under FOI and EIR legislation and senior contact officer with the ICO and PSOW,~~
~~3.~~
4. To undertake all relevant operational duties, responsibilities and functions contained in legislation or otherwise falling to Policy and Performance support to implement.

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Public Protection Services

- ~~1. To take all appropriate action in respect of all functions defined under Section 270 of the Local Government Act 1972 and in respect of the following legislation (including any associated subsequent legislation):-~~
 - ~~• Food Safety Act 1990;~~
 - ~~• Health Act 2006;~~
 - ~~• Local Government Act 1972 sec 25, 112, 204, 213 and 234;~~
 - ~~• Public Health Acts 1936 and 1961;~~

Ceredigion County Council Constitution - Part 3 Responsibility for Council Functions
PART 3.5 G Delegations to the CLO Policy, Performance and Public Protection
Updated ~~February~~ February 2022-2024

- ~~Public Health (Wales) Act 2017;~~
- ~~Public Health (Minimum Price of Alcohol) (Wales) Act 2018; and~~
- ~~Wild Animals and Circuses (Wales) Act 2020.~~

2.1. Definitions

2.1.1 For the purpose of the matters dealt with in this arrangement, the Corporate Lead Officer means the Corporate Lead Officer Policy, Performance & Public Protection.

2.1.2 Any reference to an Act in these arrangements includes a reference any amendment thereto or re-enactment thereof or any secondary legislation under it.

3.2. General Delegation- Specific Powers

3.2.1 The Corporate Lead Officer (having consulted with the relevant Cabinet Portfolio Holder where necessary and appropriate) is authorised to take any action necessary to protect or promote the Council's interests, subject to the restrictions noted in Part A above.

3.2.2 Without prejudice to the generality of the above provisions, this includes exercising his/her professional judgement to take such decisions as are necessary to implement the Council's policies and to promote the management and delivery of the services which are his/her responsibility.

3.2.3 Any powers granted to the Corporate Lead Officer Policy, Performance & Public Protection may be discharged either in his/her absence by such officer(s) as may be authorised by him/her or in accordance with any general instructions or provisions made by him/her. In the absence of the Corporate Lead Officer Policy, Performance & Public Protection, any officer appointed by him/her to deputise on his/her behalf may also authorise the exercise of the delegated powers. Such authorisations may be granted to persons who are not officers of the Council in agreement with the relevant persons employing authority or organisation. If no such authority has been granted prior to the absence of the Corporate Lead Officer, then the Chief Executive or Corporate Director may authorise such other officer(s) or persons as she/he thinks fit to exercise the powers of the absent Corporate Lead Officer.

3.2.4 The Corporate Lead Officer may authorise his/her staff to exercise such powers as necessary to enter or inspect any land, buildings or properties and to provide any evidence or authority as necessary for discharging their duties in accordance with the Council's statutory powers.

~~3.5 Authority to serve requisitions for information under the Local Government (Miscellaneous Provisions) Act 1976 or any other enabling legislation.~~

~~3.2.6-5~~ In relation to matters reserved to the Council, the Cabinet or other Committee or Sub-Committee, if the matter is urgent, the Corporate Lead Officer will be permitted to act in between meetings, in consultation with the relevant Cabinet Portfolio Holder or Chair/Vice Chair of the relevant regulatory committee as appropriate, on condition that any such action is consistent with the Council's general policies and that, if appropriate, a report on the action taken is presented to the next meeting of the Council, the Cabinet, Committee or Sub-Committee.

~~3.6~~ 2.6 To determine the appointment of officers for specified purposes to undertake work as inspectors, proper officers, or other similar designations contained in existing or future legislation.

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~~3.7~~ 2.7 The Corporate Lead Officer Policy, Performance & Public Protection is authorised to act in relation to procurement and contracts within the approved budget and in accordance with the Contract Standing Orders including the power to remove contractors from the approved lists, where there has been a failure to meet Council criteria.

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~~3.8~~ 2.8 The Corporate Lead Officer Policy, Performance & Public Protection is authorised to act on financial matters, in accordance with the relevant Financial Regulations.

~~3.9~~ 2.9 The Corporate Lead Officer Policy, Performance & Public Protection is authorised for the issuing of determinations, consents, licences or notices on behalf of the Council.

2.10 Authority to undertake work or provide services to third parties subject to resources being available, to there being no adverse impact on the provisions of Council operations, and appropriate charges being levied.

~~4~~ Proper Officer Responsibilities

~~4.1~~ : ~~To act as Proper Officer on behalf of Ceredigion County Council and authorise and delegate competent persons as necessary to act on behalf of the Council.~~

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~~4.2~~ Proceeds of Crime Act 2002: Senior Responsible Officer

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5.3 Specific powers and duties of Corporate Lead Officer Policy, Performance and Public Protection

~~5.1~~ ~~To act on a day to day basis and within the scheme of delegation in the following areas~~

~~a) Licensing and Licensing Enforcement.~~

~~b) Proper maintenance of land.~~

~~c) Public Protection Services, including Environmental Health, Trading~~

~~Standards, Animal Health, Food Safety and Feed Standards, Food Fraud Health and Safety Enforcement, Environmental Control and nuisance.~~

~~d) Public Health Protection, including infectious Disease Control.~~

~~e) Community Warden Services including Post Control~~

~~5.2 To exercise all the Council's powers relating to Public Protection and regulatory activity and any which become the Council's responsibility in future.~~

~~5.3 Authorisation to appoint inspectors under the Health and Safety at Work Act etc. 1974.~~

~~5.3.4-1 To act within the scheme of delegation, he power to exercise all the Council's functions, duties, regulatory activity and powers, and any which become the Council's responsibility in the future, enforcement powers in relation to:~~

- ~~• Public Protection Services;~~
- ~~• Regulatory offences;~~
- ~~• Trading standards;~~
- ~~• Licensing and Licensing Enforcement;~~
- ~~• Public Health Protection;~~
- ~~• Community Warden Services~~
- ~~• Proper maintenance of land; or~~
- ~~• or eEnvironmental offences arising in any one of the areas listed below (including steps, which may be deemed necessary to prevent offences, educate and issue fixed penalty notices)~~

~~including, but not limited to the areas, functions and legislation referenced in the Table at 3.3 below.~~

~~3.2 The functions, duties, regulatory activity and powers referred to in 3.1 above include but are not limited to, enforcement powers e.g. taking steps, which may be deemed necessary to prevent offences, educating, issuing statutory notices, issuing simple cautions, prosecuting for offences, appointing inspector(s) under, granting/refusing/varying/suspending/revoking/reinstating licenses, arranging for submission of reports, or charging fees.~~

~~3.3 Table: Responsibilities for the following functions and relevant legislation:~~

<u>Area</u>	<u>Function</u>	<u>Legislation (including any other associated legislation)</u>
Public Protection:	Environmental Protection and Environmental Health; <u>to include:</u>	-European Union (Withdrawal Agreement) Act 2020

Ceredigion County Council Constitution - Part 3 Responsibility for Council Functions
PART 3.5 G Delegations to the CLO Policy, Performance and Public Protection
Updated ~~February~~ February 2022-2024

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This includes Environmental Health, Licensing and Trading Standards	<ul style="list-style-type: none"> • Dangerous Trees • Miscellaneous Acts 	<p>Freedom of Information Act 2000 Local Government (Miscellaneous Provisions) Act 1982 Local Government (Miscellaneous Provisions) Acts 1953 and 1976 / 1982 Local Government (Wales) Act 1994 Local Government Act 2010 Local Government Acts 1972/1978/1985/1988/1992 / 2000 / 2003 Local Government and Housing Act 1989 National Assistance Act 1948 National Health Service (Amendment) Act 1986 National Health Service Act 1977 Police & Crime Act 2009 Public Interest Disclosure Act 1998</p>
	<p>Environmental Protection to include en (to include the following):ng</p> <ul style="list-style-type: none"> • Local air quality • Environmental Permitting • Contaminated land • Private Water Supplies • Water quality • Statutory nuisances • Disposal and Removal of Vehicles • Refuse Disposal 	<p>Clean Air Act 1993 Climate Change Act 2008 Control of Pollution (Amendment) Act 1989 Control of Pollution act 1974 Energy Act 2004 Environmental Protection Act 1990 Environment Act 1995 Environmental & Safety Information Act 1988 Environmental Protection Act 1990 Flood & Water Management Act 2010 Highways Act 1980 Household Waste Recycling Act 2003 Housing Act 1985 Noise Act 1996 Noise and Statutory Nuisance Act 1993 Party Wall etc Act 1996 Planning Act 2008 Planning and Hazardous Substances Act 1990</p>

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		Pollution Prevention and Control Act 1999 Prevention of Damage by Pests Act 1949 Prevention of Oil Pollution Act 1971 Town and Country Planning Act 1990 Waste Minimisation Act 1998 Water (Fluoridation) Act 1985 Water Acts 1945/1948/1973/1989 / 2003 Water Consolidation (Consequential Provisional) Act 1991 Water Industry Act 1991 Water Resources Act 1991 Wildlife & Countryside Act 1981
	<ul style="list-style-type: none"> • Food Hygiene • Food Hygiene Ratings • Food Fraud 	Food Hygiene Rating (Wales) Act 2013 Food Safety Act 1990
	<ul style="list-style-type: none"> • Health & Safety 	Factories Act 1961 Fatal Accidents Act 1976 Fire and Safety of Places of Sport Act 1987 Health & Safety at Work etc Act 1974 Mines & Quarries Act 1954 Offices, Shops and Railway Premises Act 1963

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	<ul style="list-style-type: none"> Animal Health, & Welfare, and by products 	<p>Agriculture - (Safety, Health and Welfare Provisions) Act 1956 Agriculture (Miscellaneous Provisions) Act 1968 Animal Health Acts 1981 and 2002 Animal Health and Welfare Acts 1981/1984 Animal Welfare Act 2006 Animals Act 1971 Control of Horses (Wales) Act 2014 Protection Against Cruel Tethering Act 1988 Protection of Animals (Amendment) Act 1988 Protection of Animals (Anaesthetics) Act 1954/1964 Protection of Animals Act 1911 <u>The Animal By-Products (Enforcement) (Wales) Regulations 2014</u></p>
	<ul style="list-style-type: none"> Public Health Infectious Diseases Public Health Funerals Smoking in public places and other locations where restrictions apply 	<p>Aids Control Act 1987 Building Act 1984 Burial Act 1857 Burials Acts 1952-1906 Burials Law (Amendment) Act 1880 Cremation Act 1902 Cremation Act 1952 Defective premises Act 1972 Equalities act 2010 Health Act 2009 Health act 206 Health and Social Care Act 2008/2012 Health Services & Public Health Act 1968 Part 5 (Intimate Piercing) of the Public Health (Wales) Act 2017 Public Health (Drainage of Trade Premises) Act 1937 Public Health (Wales act) 2017 Public Health Act 1936 Public Health Act 1961</p>

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		<p><u>Trade in Animals and Related Products (Wales) Regulations 2011</u></p> <p><u>Wine Regulations 2011.</u></p> <p><u>Agriculture (Miscellaneous Provisions) Act 1968; Agriculture Act 1970</u></p> <p><u>Animal Feed (Composition, Marketing and Use) (Wales) Regulations 2016</u></p> <p><u>Medicines Act 1968</u></p> <p><u>European Union (Withdrawal) Act 2018 as it continues to give effect to the following Regulations or Orders:</u></p> <p><u>Animal Feed (Hygiene, Sampling etc. and Enforcement) (Wales) Regulations 2016;</u></p> <p><u>Official Controls (Animals, Feed and Food, Plant Health Fees etc.) (Wales) Regulations 2020;</u></p> <p><u>Official Feed and Food Controls (Wales) Regulations 2009;</u></p> <p><u>Official Controls (Animals, Feed and Food, Plant Health Fees etc.) Regulations 2019;</u></p> <p><u>EC Fertilisers (England and Wales) Regulations 2006;</u></p> <p><u>Quality Schemes (Agricultural Products and Foodstuffs) Regulations 2018.</u></p>
	<u>Agricultural standards including Feed Hygiene and fertilisers</u>	
<u>Community Warden Services</u>	<u>Pest Control</u>	<u>Prevention of Damage by Pests Act 1949</u>
	<u>Fair Trading Trading Standards</u>	<p><u>Accommodation Agencies Act 1953 (& 1957)</u></p> <p><u>Administration of Justice Act 1970</u></p> <p><u>Birmingham Commonwealth Games Act 2020</u></p> <p><u>Cancer Act 1939</u></p> <p><u>Christmas Day Trading Act 2004; Companies Act 2006</u></p> <p><u>Consumer Credit Act 2006</u></p> <p><u>Consumer Rights Act 2015;</u></p> <p><u>Copyright, Designs and Patents Act 1988</u></p> <p><u>Criminal Justice Act 1988</u></p> <p><u>Criminal Justice and Police Act 2001</u></p>

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		<u>Business Protection from Misleading Marketing Regulations 2008;</u> <u>Cat and Dog Fur (Control of Import, Export and Placing on the Market) Regulations 2008;</u> <u>Consumer Contracts (Information, Cancellation and Additional Charges) Regulations 2013;</u> <u>Consumer Protection from Unfair Trading Regulations 2008;</u> <u>Consumer Rights (Payment Surcharges) Regulations 2012;</u> <u>Ecodesign for Energy-Related Products Regulations 2010;</u> <u>Energy Information Regulations 2011;</u> <u>Energy Performance of Buildings (England and Wales) Regulations 2012;</u> <u>Financial Services (Distance Marketing) Regulations 2004;</u> <u>Footwear (Indication of Composition) Labelling Regulations 1995;</u> <u>Household Appliances (Noise Emission) Regulations 1990</u> <u>Package and Linked Travel Arrangements Regulations 2018;</u> <u>Packaging (Essential Requirements) Regulations 2015</u> <u>Passenger Car (Fuel Consumption and CO2 Emissions Information) Regulations 2001;</u> <u>Rights of Passengers in Bus and Coach Transport (Exemptions and Enforcement) Regulations 2013;</u> <u>Textile Products (Labelling and Fibre Composition) Regulations 2012;</u> <u>Timeshare, Holiday Products, Resale and Exchange Contracts Regulations 2010.</u>
	<u>Age Restricted Sales</u>	<u>Anti-social Behaviour Act 2003 (aerosol paint)</u> <u>Licensing Act 2003 (alcohol);</u> <u>Children and Young Persons Act 1933;</u>

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	<p>effect to the following Regulations or Orders:-</p> <p><u>Construction Products Regulations 2013;</u></p> <p><u>Cosmetic Products Enforcement Regulations 2013 and the EU Cosmetic Products Regulation 1223/2009;</u></p> <p><u>Crystal Glass (Descriptions) Regulations 1973;</u></p> <p><u>Detergents Regulations 2010;</u></p> <p><u>Electrical Equipment (Safety) Regulations 2016;</u></p> <p><u>Electromagnetic Compatibility Regulations 2016;</u></p> <p><u>Fluorinated Greenhouse Gases Regulations 2015;</u></p> <p><u>Gas Appliances (Enforcement) and Miscellaneous Amendments Regulations 2018;</u></p> <p><u>General Product Safety Regulations 2005;</u></p> <p><u>Medical Devices Regulations 2002; Ozone-Depleting Substances Regulations 2015;</u></p> <p><u>Personal Protection Equipment (Enforcement) Regulations 2018;</u></p> <p><u>Pressure Equipment (Safety) Regulations 2016;</u></p> <p><u>Radio Equipment Regulations 2017;</u></p> <p><u>REACH Enforcement Regulations 2008;</u></p> <p><u>Recreational Craft Regulations 2017;</u></p> <p><u>Simple Pressure Vessels (Safety) Regulations 2016;</u></p> <p><u>Supply of Machinery (Safety) Regulations 2008;</u></p> <p><u>Tobacco and Related Products Regulations 2016;</u></p> <p><u>Toys (Safety) Regulations 2011;</u></p> <p><u>Volatile Organic Compounds in Paints, Varnishes and Vehicle Refinishing Products Regulations 2012;</u></p> <p><u>Specific legislation made under the Health & Safety at Work Act etc. 1974;</u></p> <p><u>The Ammonium Nitrate Materials (High Nitrogen Content) Safety Regulations 2003;</u></p>
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		<p><u>The Biocidal Products and Chemicals (Appointment of Authorities and Enforcement) Regulations 2013;</u></p> <p><u>The Chemical (Hazard Information and Packaging for Supply) Regulations 2009;</u></p> <p><u>The Dangerous Substances and Explosive Atmospheres Regulations 2002;</u></p> <p><u>The Explosives Regulations 2014.</u></p>
	<p><u>Legal Metrology (Weight & Measures)</u></p>	<p><u>Weights and Measures Act 1985;</u></p> <p><u>Measuring Instruments (Beltweighers) Regulations 2006;</u></p> <p><u>Measuring Instruments (Capacity Serving Measures) Regulations 2006;</u></p> <p><u>Measuring Instruments (Liquid Fuel and Lubricants) Regulations 2006;</u></p> <p><u>Police Reform Act 2002 (S.41A);</u></p> <p><u>European Union (Withdrawal) Act 2018 as it continues to give effect to the following Regulations or Orders:</u></p> <p><u>Measuring Container Bottles (EEC Requirements) Regulations 1977;</u></p> <p><u>Measuring Instruments Regulations 2016;</u></p> <p><u>Non-automatic Weighing Instruments Regulations 2016;</u></p> <p><u>Weights & Measures (Packaged Goods) Regulations 2006;</u></p> <p><u>Measuring Instruments (EEC Requirements) Regulations 1988</u></p> <p><u>Enforced exclusively by officers appointed as Weights and Measures Inspectors</u></p>
<p><u>Proper maintenance of land</u></p>		
	<p><u>Licensing of premises and personal registrations to</u></p>	<p><u>Public Health (Wales) Act 2017 – Part 5</u></p>

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carry out acupuncture, piercings and tattooing, semi-permanent skin colouring, cosmetic piercing, electrolysis	Local Government (Miscellaneous Provisions) Act 1982
Licensing of Petroleum sites	Health and Safety at Work etc Act 1974 - Petroleum (Consolidation) Regulations 2014
Licensing of scrap metal dealers	Scrap Metal Dealers Act 2013
Power to issue, amend or replace safety certificates (whether general or special) for sports grounds.	The Safety of Sports Grounds Act 1975 (c. 52)
Power to issue, cancel, amend or replace safety certificates for regulated stands at sports grounds.	Part III of the Fire Safety and Safety of Places of Sport Act 1987 (c. 27).
Licensing and regulating all form of gambling (covers arcades, betting, bingo, casinos, gaming machines, society lotteries, and remote gambling (including online gambling))	Gambling Act 2005
Licensing and regulating the sale and supply of alcohol, the provision of entertainment and the provision of late night refreshment	Licensing Act 2003
Entertainment and alcohol licensing including premises licensing, Temporary Event Notices, Club Premises Certificates, Sex Establishments, Personal	Section 12 of the Children and Young Persons Act 1933 (c. 12); Crime and Disorder Act 1998, Criminal Justice and Police Act 2001 (s.19-25); Fire Safety & Safety at Places of Sports Act

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	Licences, Licensing Act reviews, etc	1987; Hypnotism Act 1952; Licensing Act 2003; Local Government (Miscellaneous Provisions) Act 1982; Policing and Crime Act 2017; Theatres Act 1968;
	Animal related licensing including animal health and welfare	Animal Boarding Establishments Act 1963; Animal By Products (Wales) Regulations 2003; Animal Health and Welfare Acts 1981/1984; Animal Welfare Act 2006; Breeding of Dogs Act 1973; Game Act 1831; Guard Dogs Act 1975; Local Government Act 1988; Pet Animals Act 1951; Pet Animals (Amendment) Act 1983; Protection Against Cruel Tethering Act 1988; Protection of Animals (Amendment) Act 1988; The Riding Establishments Acts 1964 and 1970; Wild Animals and Circuses (Wales) Act 2020; Wildlife & Countryside Act 1981
	Power to register animal trainers and exhibitors	Performing Animals (Regulations) Act 1925
<u>Licensing and Licensing Enforcement</u>	<u>Licensing premises for the breeding of dogs</u>	<u>The Animal Welfare (Breeding of Dogs) (Wales) Regulations 2014</u> <u>Section 1 of the Breeding of Dogs Act 1973 (c. 60) and section 1 of the Breeding and Sale of Dogs (Welfare) Act 1999 (c. 11)</u>
	<u>Licensing pet shops and other establishments where animals are bred or kept for the purposes of carrying on a business</u>	<u>Section 1 of the Pet Animals Act 1951 (c. 35)</u> <u>Section 1 of the Animal Boarding Establishments Act 1963 (c. 43)</u>

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		<p><u>The Riding Establishments Acts 1964 and 1970 (c. 1964 c. 70 and 1970 c. 70)</u></p> <p><u>Section 1 of the Breeding of Dogs Act 1973 (c. 60)</u></p> <p><u>Sections 1 and 8 of the Breeding and Sale of Dogs (Welfare) Act 1999</u></p> <p><u>The Animal Welfare (Licensing of Activities Involving Animals) (Wales) Regulations 2021</u></p>
	<u>Animal Welfare/Licensing</u>	<p><u>Animal Welfare Act 2006 (including any subsequent legislation, to include (but not limited to):</u></p> <p><u>The Animal Welfare (Breeding of Dogs) (Wales) Regulations 2014; and</u></p> <p><u>The Animal Welfare (Licensing of Activities Involving Animals) (Wales) Regulations 2021).</u></p>
	<u>Licensing of zoos and licensing dangerous wild animals</u>	<p><u>Section 1 of the Zoo Licensing Act 1981 (c. 37)</u></p> <p><u>Section 1 of the Dangerous Wild Animals Act 1976 (c. 37)</u></p>
	<u>Fireworks, Licensing premises for manufacturing, storing and selling fireworks and explosives (enforcement of these laws carried out by Trading Standards)</u>	<p><u>Firework Regulations 2004</u></p> <p><u>Pyrotechnic Articles (Safety) Regulations 2015 (as amended by the Product Safety and Metrology etc (Amendment etc)(EU Exit) Regulations 2019);</u></p> <p><u>Fireworks Act 2003; Fireworks Regulations 2004; Explosives Act 1875; Consumer Protection Act 1987; Explosives Regulations 2014; Product Safety Amendment and Revocation Regulations 2012;</u></p> <p><u>Health and Safety at Work Act etc 1974; Public Health Acts 1936 and 1961; Health & Safety</u></p>

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		<p><u>and Nuclear (Fees) Regulations 2021.</u></p> <p><u>Enforcement carried out by Trading Standards.</u></p>
	<p><u>Licensing of Hackney Carriages and Private Hire Vehicles, including licensing of drivers of hackney carriages and private hire vehicles, and licensing of operators of hackney carriages and private hire vehicle.</u></p> <p><u>Note: In certain circumstances it will be necessary for the Chair/Vice Chair of the Council's Licensing Committee to be consulted upon to confirm whether or not an applicant, an existing licence holder should be referred to the Licensing Sub-Committee for determination.</u></p>	<p>i. <u>As to hackney carriages – the Town Police Clauses Act 1847 (10 & 11 Vict. c. 89), as extended by section 171 of the Public Health Act 1875 (38 & 39 Vict. c. 55), and section 15 of the Transport Act 1985 (c. 67); and sections 47, 57, 58, 60 and 79 of the Local Government (Miscellaneous Provisions) Act 1976 (c. 57);</u></p> <p>ii. <u>As to private hire vehicles - sections 48, 57, 58, 60 and 79 of the Local Government (Miscellaneous Provisions) Act 1976.;</u></p> <p>iii. <u>As to drivers of hackney carriages and private hire vehicles - Sections 51, 53, 54, 59, 61 and 79 of the Local Government (Miscellaneous Provisions) Act 1976.</u></p> <p>iv. <u>As to operators of hackney carriages and private hire vehicles - Sections 55 to 58, 62 and 79 of the Local Government (Miscellaneous Provisions) Act 1976.</u></p> <p><u>Also include: Town Police Clauses Act 1889; Road Traffic Act 1991 and 1988;</u></p>

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- ~~—Environmental Protection~~
- ~~—Public Protection~~
- ~~—Dog Fouling~~
- ~~—Litter~~
- ~~—Anti-social behaviour~~
- ~~—Removal and Disposal of Vehicles~~
- ~~—Refuse Disposal~~
- ~~—Clean Neighbourhoods~~
- ~~—The Control of Pollution~~
- ~~—Smoking in public places and other locations where restrictions apply~~
- ~~—Display of Food Hygiene Ratings~~
- ~~—Age and alcohol minimum pricing restricted sales~~
- ~~—Dangerous Trees~~
- ~~—Wild animals and circuses, including travelling circuses~~

~~5.5. To exercise the Council's functions relating to environmental health matters.~~

~~53.64.~~ Authorised to Act as an Authorised and Authorising Officer for the purposes of the Regulation of Investigatory Powers Act 2000, the Monitoring Officer as Senior Responsible Officer, to be notified of any such application.

~~53.75.~~ Authorised to Act as Authorising Officer for the purposes of the Protected Food Name Scheme: The Quality Schemes (Agricultural Products and Foodstuffs) Regulations 2018.

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~~5.8 To issue licences in accordance with the Firework Regulations 2004.~~

~~5.9 To grant and renew both Hackney Carriage and Private Hire Drivers Licences, except where an applicant or existing licence holder has previous criminal convictions recorded against them, then the Chair/ Vice Chair of the Council's Licensing Committee will be consulted to confirm whether or not the matter be referred to the Licensing Sub-Committee for determination.~~

~~5.10 To suspend a Hackney Carriage Vehicle and/or Drivers Licence or Private Hire and/or Drivers Licence, where it is considered immediate action should be taken in the public interest, the Chairman/Vice Chair of the Council's Licensing Committee will be notified of such action.~~

~~5.11 To exercise powers in respect of the Control of Horses (Wales) Act 2014.~~

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~~5.12~~ To act as Proper Officer for the management of outbreaks of notifiable infectious and communicable disease and to appoint and authorise Alternative Proper Officers to act on behalf of the authority in respect of legislative provisions relating to the prevention and control of outbreaks of disease or infection

~~5.13~~ To sign issue and serve Statutory Notices under all relevant legislation listed below together with all future legislation within the remit of Policy & Performance including requisitions for information.

~~5.14~~ To initiate and make arrangements for the execution of works in default in the event of any non-compliance or contravention of the terms of any Statutory Notice served under delegated powers.

~~5.15~~ To instruct the Legal Services in relation to proceedings for non-compliance with any provision of legislation falling to Policy & Performance to enforce.

~~5.16~~ To undertake all relevant operational and administrative duties, responsibilities and functions contained in legislation or otherwise falling to Policy, Performance & Public Protection to implement.

~~5.17~~ To undertake inspections, investigations, interviews, sampling, prohibitions, seizures, detentions, recording, monitoring (the issue of fixed penalty notices), service of notices, (including suspension notices), notifications, waivers, transfers, authorisations, licensing, registrations and legal proceedings under any legislation that falls within the remit of Policy & Performance, together with any regulations made thereunder, and any amendments or additions thereto together with all future legislation within the remit of Policy, Performance & Public Protection and to exercise all other relevant powers, including powers of entry provided under such legislation.

~~5.18~~ To undertake all duties relating to Public Health (Coronavirus) associated legislation, as amended, including but not limited to:

~~5.18.1~~ The Health Protection (Coronavirus Restrictions) (Wales) Regulations; and

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~~5.18.2~~ The Health Protection (Coronavirus Restrictions) (Functions of Local Authorities) (Wales) Regulations.

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43-124 to act as the Senior Responsible Officer (Proceeds of Crime Act 2002).

Civil Contingencies & Business Continuity

To exercise all the Council's functions and powers and to take all appropriate action in relation to civil contingencies and business continuity including but not limited to:

1. The Civil Contingencies Act 2004.

Community Safety and Counter Terrorism

~~5.18~~To exercise the Council's powers, duties and functions relating to the Crime and Disorder Act 1998, the Counter Terrorism and Security Act 2015 and the CONTEST strategy.

CHIEF INSPECTOR OF WEIGHTS AND MEASURES

The following functions are to be delegated to the current post holder: Trading Standards & Licensing Manager:

1. To act as the Council's Chief Inspector of Weights and Measures under Section 72 of the Weights and Measures Act 1985 (including any associated subsequent legislation).

Proper Officer Responsibilities- Public Health (Control of Disease) Act 1984

The Corporate Lead Officer Policy, Performance and Public Protection, is designated Proper

Officer in relation to Public Health (Control of Disease) Act 1984 (as amended by the Health and Social Care Act 2008) and any subordinate Regulations or legislative provisions.

The Proper Officer can authorise and delegate to competent persons as necessary to act on behalf of the Council.

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DEVELOPMENT MANAGEMENT SERVICE

SCHEME OF DELEGATION

This Scheme of Delegation enables Officers within the Development Management Service to deal with a wide range of applications, notifications, consultations, pre-application advice requests, general enquiries and enforcement / compliance matters without formal authorisation from the Council's Development Management Committee.

The Scheme of Delegation seeks to strike an appropriate balance in ensuring an efficient planning service and a customer focused approach, whilst ensuring that the more sensitive planning applications are given the appropriate scrutiny by members of the Development Management Committee. The scheme aims to allow members to concentrate on those strategically important cases, major developments or controversial cases and remove those cases which typically would not warrant member discussion and evaluation at committee.

PART 1 – OFFICER LEVEL DECISIONS

(Subject to the provisions of Part 2), Part 1 authorises the Corporate Lead Officer (CLO) for Economy & Regeneration, along with the Corporate Manager for Planning Services, the Service Manager Development Management and the Development Management Area Team Leaders (as so authorised by the CLO) to determine the range of applications, notifications, consultations, pre-application enquiries, general enquiries and enforcement / compliance actions as listed below:

The determination of planning or other applications (including for works which have already been carried out):

1. The determination of planning applications for householder and minor developments (incl. outline and full applications)).
2. The determination of planning applications for the winning and working of minerals.
3. The determination of planning applications for waste developments.
4. The determination of applications for the approval of reserved matters, following the grant of outline planning permission.
5. The imposition of conditions on planning permissions and other consents and approvals.
6. The determination of applications for the approval of details required by conditions attached to a planning permission other than "matters reserved".
7. The determination of planning applications to develop land without compliance with a condition attached to a planning permission (S.73 TCPA 1990 – Removal of a condition)
8. The determination of planning applications which seek to vary a condition attached to a planning permission (S.73 TCPA 1990 – Variation of a condition).

9. The determination of planning applications for the removal of agricultural occupancy, rural enterprise or affordable housing conditions attached to a planning permission, where such an application is made by a bank or building society in possession.
10. The determination of planning applications whereby Officers are recommending **refusal** and such recommendation represents a significant departure from the adopted policies of the Development Plan.
11. The determination of applications for non-material amendments under S.96A of the Town and Country Planning Act 1990.
12. The determination of applications made under the prior notification provisions of the General Permitted Development Order (GPDO) 1995 (as amended) and any associated subsequent legislation (including agriculture, forestry, telecommunications and demolition determinations).
13. The determination of consultations by utility companies in relation to overhead lines and other utilities infrastructure.
14. The determination of applications for listed building consent. (In consultation with CADW where required).
15. The determination of applications for conservation area consent.
16. The determination of applications for Certificates of Lawfulness for an Existing Use or Development (CLEUD) (S.191 TCPA 1990)
17. The determination of applications for Certificates of Lawfulness for a Proposed Use or Development (CLOPUD) (S.192 TCPA 1990)
18. The determination of applications for Certificates of Appropriate Alternative Development (under the Land Compensation Act 1961)
19. The determination of applications for express consent for the display of advertisements. (S.220 TCPA 1990)
20. The determination of applications for Hazardous Substances Consent.
21. The power to decline to determine applications for planning permission under Section 32 (where an enforcement notice has been served prior to the submission of the application) and Section 70A of the Town and Country Planning Act 1990.
22. The power to make minor amendments to the wording of planning conditions / reasons for refusal on applications determined at the Development Management Committee, in order to give effect to the relevant decision of the Development Management Committee, where the substance of the suggested change(s) does not significantly depart from the Committee's decision.
23. To make all necessary decisions on procedural matters in connection with the processing of all applications.
24. To determine planning applications where phosphates (pursuant to the Conservation of Habitats & Species Regulations 2017) are an issue (in consultation with the Cabinet Member).

Planning Obligations (S.106 of the Town and Country Planning Act 1990):

25. Power to enter into planning obligations regulating development or use of land.

26. The determination of applications for the modification and / or discharge of a planning obligation.
27. To negotiate and determine the heads of terms of planning obligations.
28. To make use of any commuted sums generated by planning obligations for the use of affordable housing or community benefit as set out in the agreement.

The determination of pre-application enquiries and general enquiries:

29. To provide all types of pre-application advice (including both statutory and non-statutory and including householder, minor, major and large major developments).
30. To respond to all general enquiries which require a response from the Service.
31. To respond to all formal consultations from neighbouring authorities in relation to planning applications, with the exception of Developments of National Significance.

Enforcement / Compliance Issues:

32. To investigate complaints of unauthorised development.
33. To determine the expediency (or not as the case may be) of taking formal planning enforcement action.
34. To authorise entry onto land without warrant. (Sections 196A, 214B and 324 of the TCPA 1990, under s.88 of the Planning (Listed Building and Conservation Areas) Act 1990 and section 36 of the Planning (Hazardous Substances) Act 1990)
35. To authorise the issuing of Rights of Entry Notices (S.196A TCPA 1990) (Right of entry to a dwellinghouse)
36. The serving of planning related enforcement notices including –
 - i. Planning Contravention Notices (PCN) (S.171 of the TCPA 1990) (Also to consider offers and representations made under Section 171C(4) of the Act (responses to Planning Contravention Notices)).
 - ii. Under S.330 of the Town and Country Planning Act 1990 to require information as to interests in land and any other relevant requisition for information.
 - iii. Enforcement Warning Notices (EWN) (under S.173ZA of the TCPA 1990)
 - iv. Planning Enforcement Notices (under S.172 of the TCPA 1990)
 - v. Temporary Stop Notices (under S.171E of the TCPA 1990 and under S.44B of the Planning (Listed Buildings and Conservation Areas) Act 1990)
 - vi. Stop Notices (under S.183 of the TCPA 1990)
 - vii. Breach of Condition Notices (under S.187A of the TCPA 1990)
 - viii. Power to require proper maintenance of land “Amenity Notices” (Under S.215 of the TCPA 1990)
 - ix. Completion Notices (Under S.95 of the TCPA 1990).

- x. Hazardous Substances Contravention Notices (Under s.24 / 24A of Planning (Hazardous Substances) Act 1990)
 - xi. Advertisement Discontinuance Notices (Under s.224 / 225 of the TCPA 1990)
 - xii. Power to remove or obliterate unauthorised advertisements, placards and posters under Sections 224 and 225 of the TCPA 1990.
 - xiii. Power to require the discontinuance of a use of land (under S.102 of the TCPA 1990 (Discontinuance Orders))
 - xiv. Listed Building Enforcement Notices (under S.38 of the Listed Building and Conservation Areas Act 1990)
 - xv. Conservation Area Enforcement Notices (under S.X of the Listed Building and Conservation Areas Act 1990)
 - xvi. Urgent Works Notices (Listed Buildings) (Under s.54 / 55 of the Planning (Listed Buildings and Conservation Areas) Act 1990.)
 - xvii. Listed Building Repairs Notices (under s.48 of the Planning (Listed Building and Conservation Areas Act 1990)
 - xviii. Building Preservation Notices (under Section 3A of the Planning (Listed Buildings and Conservation Areas) Act 1990)
37. The withdrawal of such notices where appropriate.
38. Power to apply for an injunction restraining a breach of planning control.
39. To take legal action in association with a planning related enforcement notice where there has been failure to comply with the notice (including direct action, the carrying out of works in default and the recovery of expenses in connection therewith and prosecution)
40. To issue proceedings under the Proceeds of Crime Act, in consultation with the Head of Legal Services.
41. Power to modify and revoke a planning permission (under S.97 of the TCPA 1990)
42. The closure of planning enforcement investigation files which have been investigated by the Service and which require no further action.

Planning related appeals:

- 43. To advise on the type of planning appeal process to be adopted.
- 44. To defend the Council's position at planning related appeals, having regard to the Royal Town Planning Institute's Code of Professional Conduct.
- 45. To negotiate on behalf of the Council at Planning Inquiries and Examinations.
- 46. To make all decisions relating to the conduct of appeals, including agreeing Statements of Common Ground, instructing expert witnesses, seeking awards of costs etc.
- 47. In the case of appeals against non-determination, determining the Council's case to be presented at appeal. (Subject to the provisions of Part 2 of this scheme of delegation).
- 48. **Validation appeals:** When a planning application is deemed invalid, to issue an Invalid Notice and defend the Council's position where there is an appeal made against such a Notice.

Environmental Impact Assessment (EIA):

49. The determination of all EIA screening and scoping requests under the EIA regulations.

PART 2 – DEVELOPMENT MANAGEMENT COMMITTEE LEVEL DECISIONS:

The scheme of delegations requires referral of the following matters to the Development Management Committee for formal determination.

This means that the following matters would not fall within Part 1 of this scheme:

50. Strategic & Major Developments:
The determination of planning applications for large major and major development, where the site does not already benefit from an extant consent (outline or detailed) for a similar type and scale of development. (Excluding the determination of applications for the winning and working of minerals or the use of land for mineral-working deposits and the determination of applications for waste developments).
51. The determination of planning applications which are the subject of an Environmental Impact Assessment (EIA) / Environmental Statement (ES).
52. Any application submitted by, or on behalf of, or on land in the ownership of Ceredigion County Council for which the Council has a direct interest.
53. Any application submitted by, or on behalf of, the Corporate Lead Officer- Economy & Regeneration, Corporate Manager or Officers in the Planning Service, and any other officer supporting the Development Management Committee, or by a close personal associate.
54. Any application submitted by, or on behalf of, any serving Elected Member of the Council or by a close personal associate.
55. The determination of planning applications whereby Officers are recommending **approval** and such recommendation represents a significant departure from the adopted Development Plan.
56. The determination of planning applications following a request of the Local Ward Member, in consultation with the Corporate Lead Officer-Economy & Regeneration, due to local interest and circumstances.
57. Any other application, notification, consultation and compliance matter, which the Corporate Lead Officer considers necessary to report to the Development Management Committee due to interest, circumstance or strategic importance to the county.
58. Any consultation response which is required in connection with a Development of National Significance ('DNS').

Extensions of Time (EOT's):

Notwithstanding the provisions of Part 2, the Corporate Lead Officer for Economy & Regeneration is hereby authorised to refuse applications for planning permission (as specified above), where the applicant has not agreed to an extension of time and where one or more of the following scenarios apply:

- a) Additional or revised information / drawings are required to enable the determination of the application; and / or

- b) The application needs to be reported to the Development Management Committee for determination; and / or
- c) The completion of a S.106 planning obligation is required prior to the determination of the planning application.

DEFINITIONS:

“Large Major Development” – Large major development is defined as development exceeding 24 dwellings, a site area above 0.99 hectares, or 1999 square metres of gross floorspace.

“Major development” – Major development is defined as development involving any one or more of the following—

- (a) The winning and working of minerals or the use of land for mineral-working deposits;
- (b) Waste development;
- (c) The provision of dwellinghouses where—
 - (i) The number of dwellinghouses to be provided is 10 or more; or
 - (ii) The development is to be carried out on a site having an area of 0.5 hectares or more and it is not known whether the development falls within sub-paragraph (c)(i);
- (d) The provision of a building or buildings where the floor space to be created by the development is 1,000 square metres or more; or,
- (e) Development carried out on a site having an area of 1 hectare or more.

“Planning application” – An application for outline or full planning permission, including those applications made under S.73 of the TCPA 1990.

All other types of applications (including applications for listed building consent, advertisement consent etc) are delegated to officers under Part 1 of the scheme of delegation, with the exception of those submitted by, or on behalf of, or on land in the ownership of Ceredigion County Council for which the Council has a direct interest or those applications which have been submitted by or on behalf of Council Officers who are employed within Planning Services or by any serving Elected Member of the Council.

“Significant Departure” – Any proposal, which would conflict with the fundamental intentions of the adopted Development Plan.

Llawlyfr Aelodau

Members Handbook



Member's Protocol of Good Practice in Planning

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Introduction

Planning is not an exact science. Rather, it relies on informed judgement within a firm policy context. It is also highly contentious because its decisions affect the daily lives of everyone and the private interests of individuals, landowners and developers. This is heightened by the openness of the system (it actively invites public opinion before taking decision) and the legal nature of development plans and decision notices. It is important, therefore, that the process is characterised by open and transparent decision making.

One of the key purposes of the planning system is to manage development in the public interest. In performing this role, planning necessarily affects land and property interests, particularly the financial value of landholdings and the quality of their settings. It is important, therefore, that planning authorities should make planning decisions affecting these interests, openly, impartially, with sound judgement and for justifiable reasons. The process should leave no grounds for suggesting with any justification that a decision has been partial, biased or not well-founded in any way.

The purpose of this protocol is to set out clearly the way in which the Council will expect Members to behave and act in their dealings with planning applications. The protocol sets standards of probity and conduct which the residents of Ceredigion can expect of Members.

Members are expected to take account of and adhere to this protocol

1. Relationship to Code of Conduct

It is fundamental to the adoption of a Member Protocol of Good Practice in Planning, that Members recognise the relationship between the Members Code of Conduct (the Code) and Member Protocol of Good Practice in planning.

The Code of Conduct sets out general provisions and obligations for Members; addresses the issue of personal and prejudicial interests and registration and declaration of Members' interests and of gifts and hospitality.

Within the planning process, the following principles of the Code are particularly relevant:

a) **Selflessness**

Members must act solely in the public interest. They must never use their position as members to improperly confer an advantage on themselves or to improperly confer an advantage or disadvantage on others.

b) **Honesty**

Members must declare any private interests relevant to their public duties and take steps to resolve any conflict in a way that protects the public interest.

c) **Integrity and Propriety**

Members must not put themselves in a position where their integrity is called into question by any financial or other obligation to individuals or organisations that might seek to influence them in the performance of their duties. Members must on all occasions avoid the appearance of such behaviour.

d) **Objectivity in Decision-making**

In carrying out their responsibilities including making appointments, awarding contracts, or recommending individuals for rewards and benefits, members must make decisions on merit. Whilst members must have regard to the professional advice of officers and may properly take account of the views of others, including their political groups, it is their responsibility to decide what view to take and, if appropriate, how to vote on any issue

e) Accountability

Members are accountable to the electorate and the public generally for their actions and for the way they carry out their responsibilities as a member. They must be prepared to submit themselves to such scrutiny as is appropriate to their responsibilities.

In addition, the following paragraphs of the Code are particularly relevant:

You must

carry out your duties with due regard to the principle that there should be equality of opportunity for all people regardless of their gender, race, disability, sexual orientation, age or religion

not do anything which compromises, or which is likely to compromise, the impartiality of those who work for, or on behalf of, your authority.

when participating in meetings or reaching decisions regarding the business of your authority, do so on the basis of the merits of the circumstances involved and in the public interest having regard to any relevant advice provided by your authority's officers,

give reasons for all decisions in accordance with any statutory requirements and any reasonable additional requirements imposed by your authority.

You must not

disclose confidential information or information which should reasonably be regarded as being of a confidential nature, without the express consent of a person authorised to give such consent, or unless required by law to do so;

in your official capacity or otherwise, use or attempt to use your position improperly to confer on or secure for yourself, or any other person, an advantage or create or avoid for yourself, or any other person, a disadvantage;

This Member Protocol of Good practice in planning is not intended to replace the Members Code of Conduct but to supplement it and assist in giving guidance on the roles and expected behaviour of Members, including dealing with applications from relatives and associates where they have a personal interest, lobbying and negotiations with applicants and their agents, site visit procedure, and decisions contrary to Officers' recommendations, amongst other things.

The protocol is intended to show how the Council deals with planning matters, and sets standards of probity and conduct which residents expects of members.

Do apply the rules in the Members' Code of Conduct first, which must always be complied with.

Do then apply the rules in this member protocol of good practice in planning, which seeks to explain and supplement the Members' Code of Conduct for the purposes of planning control. If you do not abide by this Protocol of Good Practice, you may put:

- The Authority at risk of proceedings on the legality or maladministration of the related decision, and
- Yourself at risk of either being named in a report made to the Standards Committee or Authority, or if the failure is also likely to be a breach of the Code of Conduct, a complaint being made to the Public Services Ombudsman for Wales and ultimately to the Adjudication Panel for Wales.

2. The Planning Protocol

One of the key purposes of the planning system is to regulate the development and use of land in the public interest. Planning necessarily affects land and property interests and as such is often highly contentious. It is important therefore that planning decisions are made openly, impartially, with sound judgment and for justifiable reasons. This includes not just the making of the final planning decisions themselves but also applies to the developmental phases and development of the Authority's longer-term planning e.g., the Local Development Plan and its successors.

The aim of this Protocol of Good Practice is to ensure that there is a framework in place so that Members can work with the overall objective of ensuring that in the entire planning process there are no grounds for suggesting that a decision has been biased, partial or not well founded in any way and that such decisions have been taken openly, transparently and fairly in accordance with established procedures that have been and are scrutinized periodically.

This Protocol of Good Practice applies to Members at all times when they are involved in the entire planning process. This includes both Development Management Committee meetings, meetings of the Authority when exercising the functions of the Planning Authority, and less formal occasions, such as meetings with Officers or the public and consultative meetings. It applies to planning enforcement matters or site-specific policy issues as well as to planning applications. It also applies to the development of the Local Development Plans which are periodically reviewed and then adopted.

3. Development Proposals and Interests under the Members' Code

Members must always declare personal and prejudicial interests in accordance with the Members' Code of Conduct

Do disclose the existence and nature of your interest at any relevant meeting, including informal meetings or discussions with Officers and other Members. Disclose your interest at the commencement of the meeting, and at start of the discussion on that particular matter.

Where your interest is personal and prejudicial, unless you have a dispensation:

X Don't participate, or give the appearance of trying to participate, in the making of any decision on the matter by the Local Planning Authority and/or the Development Management Committee

X Don't get involved in the processing of the application or any proposal for the possible amendment of the Local Development Plan

X Don't use your position to discuss the proposal with Officers or Members when other members of the public would not have the same opportunity to do so. (You should never seek or accept any preferential treatment, or place yourself in a position that could lead the public to think you are receiving preferential treatment, because of your position as a Member).

Whilst you are not prevented from seeking to explain and justify a proposal in which you have a personal and prejudicial interest to an appropriate Officer, in person or in writing, the Code and protocol places greater limitations on you in representing that proposal than would apply to a normal member of the public. You may address the Committee but only to make a presentation in the same manner that would apply to a member of the public. You must then withdraw from further conduct on the matter.

4. When to make your decision

4 a) Committee members decision making

To protect the rights of planning applicants or objectors, and to preserve the integrity of Committee decisions, it is vital that Members do not make up their minds before they have all relevant material and arguments before them at the Development Management Committee meeting. This also applies to Local Development Plan proposals and their consideration at Cabinet and Council meetings. Members will be aware that they are entitled to feel pre-disposed towards a particular decision, but must still be able to consider and weigh relevant factors before reaching the final decision.

This should not be confused with the issue of "Pre-determination" which arises when Members' minds are closed (or reasonably perceived to be closed) to the consideration and weighing of the relevant factors. That risks making the whole decision vulnerable to legal challenge.

X Don't make up your mind, or appear to have made up your mind, on how you will vote on any planning matter until you have heard the Officer's presentation and evidence at the Development Management Committee or the Cabinet or Council meeting if the development proposal is considered there. This is particularly important if you are

contacted by an external interest or lobby group. If you have made up your mind prior to the meeting, then you will not be able to participate in the determination of the matter by the Authority because if you did take part in the discussion or vote it would put the Authority at risk in a number of ways.

Firstly, it may, in the view of the Public Services Ombudsman for Wales, constitute maladministration.

Secondly, the Authority could be at risk of legal proceedings on a number of possible grounds:

- that there was a danger of bias on your part; and/or
- pre-determination; and/or
- failing to take into account all of the factors enabling the proposal to be considered on its merits.

The consequence of any of the above could be that a planning permission that you wished to support or a decision you were party to could end up being quashed by the courts.

You may take part in the debate on a proposal when acting as part of a consultee body such as a Community Council or Town Council provided:

- the proposal does not significantly affect the financial standing of the consultee body; and
- you make it clear during the discussion at the consultee body that;
 - i. your views are expressed on the limited information before you only; and
 - ii. you will reserve judgment and the independence to make up your own mind on each separate proposal when it comes before the Authority and you hear all of the relevant information; and
 - iii. you will not in any way commit yourself as to how you or others may vote when the proposal comes before the Authority; and
- you disclose the personal interest regarding your membership of the consultee body when the Authority comes to consider the proposal.

Where you have given the clear impression that you have already made up your mind (in legal terminology “fettered your discretion”), and therefore decline to speak or vote on a proposal on the issue before the Development Management Committee or Cabinet or Council, you do not also have to withdraw (unless you also have a prejudicial interest), but you may prefer to do so for the sake of appearances and public perception.

If you decide to stay in the meeting, explain that you do not intend to speak and vote because you have previously given (or you could reasonably be perceived as having given) the impression that you have already made up your mind or judged the matter elsewhere, so that this may be recorded in the minutes and use the disclosure form for disclosing interests.

Where you are a Chair or a person who is perceived as being in control of another body, which is itself submitting an application for consideration, you should refer to the Members Code of Conduct and respond accordingly.

4 b) Role of Local Ward Member (LWM) in planning matters and in determining applications

Please also see DMC Operational procedures document within the Constitution

The role of the Local Ward Member (LWM) in Development Management Committee is dependent on whether they are a member of the committee or not. If they are not, they are able to speak on the application in accordance with the operational procedures representing the wider views of their constituents affected by the application. However, they cannot vote on the application and must observe the specified time limits.

When an application is presented that involves the LWM of one of the members of the Development Management Committee the said member should ‘step down’ from the committee ‘table’ and join the public gallery as they are not permitted to vote on applications impacting upon their ward.

X Don’t act or be perceived to act as agent for the applicant. The LWM must consider the application in context of the whole Community.

If you are a member of both a Community Council and a County Council, you are not prevented from discussing the same matters at both. You may, for example, take

part in a discussion about a planning application about which your Town/Community Council has been consulted and still go on to participate in a decision about the application if you sit on the Development Management Committee of your County Council.

Do at the Development Management Committee, make it clear that you are not bound by the views of the Community Council.

Do If the planning application was one submitted by a Town/Community Council, declare both a personal and a prejudicial interest, and withdraw.

5. Contact with Applicants, Developers and Objectors

It is the role of a local member to listen to their constituents' issues and you will have not breached any part of this code by being available to listen to people. However special considerations apply when a planning application is being considered that mean it is imperative members are not seen to have fettered their discretion.

Do be careful about social contact with agents. They should be regarded and treated with the same approach as that adopted in relation to social contact with developers.

Do seek to minimise social contacts with known developers particularly when the developer is known to be contemplating development within Ceredigion or has submitted a planning application which has yet to be determined. Within the small communities of Ceredigion, local Members who have long standing social contacts with known developers may have difficulty avoiding such contacts. Nevertheless, Members should avoid social contact with those who are known to have submitted a "live" planning application or a development proposal for consideration in any form, either directly or indirectly, or objected to another's proposal in case this gives the impression that their contact with the developer would affect their judgment of the public interest. If this impression could have been given, Members should declare a personal and prejudicial interest and not participate in determination of the proposals.

Do refer an applicant, developer or objector who approaches you about a planning application or development proposal to Officers, if they need planning, procedural or technical advice.

X Don't agree to any meeting with applicants, developers or groups of objectors where it could give rise to the perception that you are taking sides. Be careful you do not give the impression that you are acting as agent. Where you feel that a formal meeting would be useful in clarifying the issues, you should never seek to arrange that meeting yourself as this may be perceived that you are promoting one point of view or the other. Request the Authority to organise it. The Officers will then ensure that those present at the meeting are advised from the start that the discussions will not bind the Authority to any particular course of action; that the meeting is properly recorded on the application file and Authority records; and the record of the meeting is disclosed when the application or development proposal is considered by the Development Management Committee or Cabinet or Council, or any other relevant Committee.

Do remember to:

- follow the rules on lobbying (referred to below);
- consider whether or not it would be prudent in the circumstances to make notes when contacted; and
- report to the Authority any significant contact with the applicant and other parties, explaining the nature and purpose of the contacts and your involvement in them, and ensure that this is recorded on the planning file.

In addition, in respect of presentations by applicants/developers:

X Don't attend a planning presentation unless an Officer is present and/or it has been organised by Officers.

Do ask relevant questions for the purposes of clarifying your understanding of the proposals.

Do remember that the presentation is not part of the formal process of debate and determination of any subsequent application. This will be carried out by the appropriate Committee of the planning authority.

Do be aware that a presentation is a form of lobbying and you must not express any strong view or state how you or other Members might vote.

6. Lobbying

For the purposes of this protocol, lobbying is defined as the following:

“Approaches or representations to a Member with the intention, or which may appear to have the intention, of influencing the way the Member deals with the planning matter.”

6 a) Lobbying from agents / applicants

Applicants, supporters or those who may be affected by a proposal will often seek to influence the decision by an approach to a Member of the Development Management Committee or Local Planning Authority. It is a fundamental principle that members of the public are free to make their views known to Members and lobbying is a legitimate form of public representation. In order for the planning system to work effectively public concerns must be adequately aired.

However, if such lobbying of Members of the Development Management Committee or Local Planning Authority oversteps the mark it can lead, unless care is taken, to the impartiality and integrity of Members being called into question. The information provided by lobbyists is unlikely to represent a complete picture of the relevant considerations in respect of a planning matter. The views of consultees, neighbours and the assessment of the case by the Planning Officer all need to be considered before a Member is in a position to form a balanced judgment on the case. The time for individual Members to make a decision on a proposal is when all available information is to hand and has been duly considered and a request for delegated authority has been made or at the relevant Ceredigion County Council meeting or Development Management Committee meeting. Members may of course form preliminary views, but if they commit themselves to supporting or opposing a particular proposal outside of the meeting at which it is being considered they should take no part in determining the matter.

Discretion is always advisable, and the furthest a Member should ever go would be to say *“From what I know at the moment I support (or have reservations about) this*

Appendix 5(b) Members Planning Protocol of Good practice in Planning - new Part 5 Doc Q- Feb 2022

application, but I won't make a final decision until I have all the facts before me at Development Management Committee".

Do note that, unless you have a personal and prejudicial interest, you will not have fettered your discretion or breached this Planning protocol of Good Practice through:

- listening or receiving viewpoints from residents or other interested parties;
- making comments to residents, interested parties, other Members or appropriate Officers, provided they do not consist of or amount to pre-judging the issue and you make clear you are keeping an open mind;
- seeking information through appropriate channels.

If you are lobbied:

Do explain to those attempting to lobby you that, whilst you can listen to what is said you are not in a position to express an intention to vote one way or another or to express such a firm point of view that it amounts to the same thing because this will mean you cannot participate in the Authority's decision-making process.

Do pass on any representations you receive and copy or pass on any lobbying correspondence you receive to the Authority at the earliest opportunity. It will be placed on the relevant file and taken into account in determining the application.

Do report lobbying at the start of the Development Management Committee meeting or any other relevant Committee meeting of the Local Planning Authority so that it may be minuted.

Do refer any offers made to you of planning gain or to restrict the development through a proposed Section 106 Planning Obligation or otherwise to the Authority.

X Don't accept gifts or hospitality from any person involved in or affected by a planning proposal. If a degree of hospitality is entirely unavoidable, ensure it is of a minimum amount and, if over £21 in value, its acceptance is registered in the Register of Gifts and Hospitality in accordance with the Authority's Code of Conduct as soon as possible.

Do indicate that you will pass on that person's views to the Local Planning Authority and if necessary, the Development Management Committee when it considers the matter but that you cannot commit yourself to vote in any particular way. If you intend to speak at the Committee meeting in this way, make it clear at the start of your speech on the item that this is what you are doing.

X Don't take part in negotiations with applicants or potential applicants regarding their proposals for development except where such negotiations are part of a structured arrangement with Officers. To do so risks public perception of pre determination. Factual information on adopted policies can be provided, but if applicants want more detailed discussions on a scheme, then they should be referred to the relevant Planning Officer.

Do inform the Monitoring Officer if you feel you have been exposed to undue or excessive lobbying or approaches (including inappropriate offers of gifts or hospitality).

Unless you have a personal and prejudicial interest in the matter, if you follow this and the other advice in this protocol, you will be able to speak and vote at the Committee meeting.

6 b) Lobbying by Members

X Don't lead or act as spokesperson of an organisation whose primary purpose is to lobby or promote or oppose a planning application. If you do, you will have fettered your discretion and are likely to have a personal and prejudicial interest.

This does not preclude you from joining general interest groups which reflect your areas of interest and which concentrate on issues beyond particular planning applications. You should disclose a personal interest where that organisation has made representations on a particular proposal and you should make it clear to the Authority that you have reserved judgment and retained your independence to make up your own mind on each separate proposal.

You should, however, make sure that if the group to which you belong has adopted a view on the matter, then you declare a personal (but not necessarily prejudicial) interest when the matter is discussed.

X Don't excessively lobby fellow Members regarding your concerns or views nor attempt to persuade them on how they should decide how to vote in advance of the meeting at which any planning decision is to be taken.

X Don't decide or discuss how to vote on any application at any sort of political group meeting, or lobby any other Member to do so. Political Group Meetings should never dictate how Members should vote on a planning issue.

7. Site Visits

These rules apply to formal site visits.

See also operational procedures of the Development Management Committee.

Site visits can play an important role in ensuring that Members make decisions on a sound understanding of the relevant issues. However, care must be taken to ensure that site visits are not misused as a lobbying device to help ensure a particular outcome in respect of controversial applications or as a delaying tactic to defer consideration of an application to a subsequent meeting. It is also important that there is a clear understanding by members of the public as to why certain applications require a site visit and others do not. For these reasons:

Do comply with the operational procedures in deciding whether a site visit is required and if so, the procedure to be followed.

Do attend, if part of the SIP panel. A SIP panel is a panel of members of the Authority who will be invited to attend site visits.

Please note members of the public including applicants and agents and objectors will not normally be invited to attend and if required to do so should not be allowed to make representations at the SIP.

Do ensure that you treat the site visit only as an opportunity to seek information and to observe the site.

Do ask the Officers at the site visit questions or seek clarification from them on factual matters which are relevant to the site inspection.

X Don't express opinions or views on the proposal to anyone.

X Don't enter a site which is subject to a planning application other than as part of an official site visit, even in response to an invitation, as this may give the impression of bias unless:

- you feel it is essential for you to visit the site other than through attending the official site visit, and
- you have first spoken to the Authority about your intention to do so and why (which will be recorded on the file), and
- you can ensure you will comply with these good practice rules on site visits, and
- you have the permission of the owner of the land.

As a principle you should remember the above where there is unlikely to be formal Member visits but where Members feel they need to access a site to become familiar with it, in respect of sites currently being considered or already within the Development Plan process.

You may of course view a site from a public highway at any time, but guard against becoming drawn into discussions of the merits of any proposal.

8. Speaking to the Public during Meetings

X Don't encourage members of the public to communicate with you during the Committee proceedings (orally, electronically or in writing) other than through the scheme for public speaking, as this may give the appearance of predetermination or bias. If you receive such a communication, you should not reply.

Do ensure that you comply with the Authority's procedures in respect of public speaking.

9. Discussions with Officers

X Don't put pressure on any Officer to put forward a particular recommendation as this may be seen as prejudicing his/her professional integrity and impartiality and may be a breach of the Code of Conduct. This does not prevent you from asking questions or submitting views to the Corporate Lead Officer for Economy and Regeneration which may be incorporated into any Committee report.

Do recognise that Officers are part of a management structure and only discuss a proposal, outside of any arranged meeting, with a Head of Service/Team Leader or those Officers who are authorised by the Corporate Lead Officer for Economy and Regeneration to deal with the proposal at a Member level.

Do recognise and respect that Officers involved in the processing and determination of planning matters must act in accordance with any appropriate Officer and professional codes of conduct, primarily the Royal Town Planning Institute's Code of Professional Conduct. As a result, Planning Officers' opinions and recommendations will be presented on the basis of their overriding obligation of professional independence, which may on occasion, be at odds with the views, opinions or decisions of Members. Officers in their role of advising and assisting Members in their determination of planning applications and Development Plan matters will provide:

- impartial and professional advice;
- consistency of interpretation of the planning policies;
- complete written reports which will include:
 - a clear and accurate analysis of the issues in the context of the relevant Development Plan policies and all other material considerations;
 - the substance of the representations, objections, and views of all those who have been consulted;
 - a clear written recommendation of action and where that recommendation is contrary to the Development Plan, the material considerations which justify the departure;
 - all necessary information for the decision to be made.

10. Decision Making

10 a) Importance of approved policies in decision making on planning applications

In making decisions on planning applications and Development Plans, the law requires the application to be determined in accordance with the current Development Plan where relevant unless material considerations indicate otherwise. The development plan comprises the Development Plan for the time being in force and any successor Plan adopted in its place and such policies should not be set aside in a particular case without sound planning reasons for doing so.

Do come to meetings with an open mind and demonstrate that you are open-minded.

Do comply with Section 38(6) of the Planning and Compulsory Purchase Act 2004 and make decisions in accordance with the current Development Plan unless material considerations indicate otherwise.

Do come to your decision only after due consideration of all of the information reasonably required upon which to base a decision. If you feel there is insufficient time to digest new material or information or that there is simply insufficient information before you, request that further information. If necessary, propose deferral of the application.

X Don't vote or take part in the decision on a proposal unless you have been present to hear everything that has been said at that meeting, including the Officers' introduction to the matter.

Do make sure that if you are proposing, seconding or supporting a decision (especially one contrary to Officer recommendations or the current Development Plan) that you clearly identify and understand the planning reasons leading to the conclusion/decision and can identify the supporting evidence. These reasons must be given prior to the vote and be recorded. Be aware that you may have to justify the

resulting decision by giving evidence in the event of any challenge (for example at a Public Inquiry or Judicial Review proceedings).

Do make your decision based on cogent sound and material planning considerations

X Don't make your decision based on personal circumstances unless there are exceptional planning reasons to do so

X Don't refer to personal details of any person (e.g., health, age, home address, employment status or business) they are not relevant in coming to a planning decision and raise concerns regarding GDPR even with the applicant's consent.

10 b) Reports to Committee on planning applications

Officers' written reports to Committee aim to be accurate and concise and provide all relevant information. They describe the proposal, and have a reasoned planning assessment of the proposal including an analysis of all relevant planning policies and other material planning considerations. They contain a written recommendation justified on the basis of relevant development policies and other material planning considerations. They cover consultations and other representations but may not include copies of all letters of objection or support received. They will, however, summarise any material planning considerations contained in such representations. Complete copies of all such correspondence are placed on the planning file and are available to Members.

Do advise the Case Officer as soon as is practicable if you become aware of information relevant to the determination of a case which is on the Development Management Committee agenda. Failure to do so may result in deferment of the case causing unnecessary delay.

Do contact the Authority as soon as possible if you wish to discuss the interpretation of information in a Development Management Committee report, or a Local Planning Authority report on a development proposal.

10 c) Decision's contrary to policy and/or recommendation

Section 38(6) of the Planning and Compulsory Purchase Act 2004 requires that decisions must be taken in accordance with the current Development Plan unless material considerations indicate otherwise.

Officers will advise in their report what arguments put forward by an applicant/objector or supporter to an application are considered capable of constituting material considerations. Often arguments of a personal kind relating to the circumstances of the applicant are put forward to support a proposal.

Personal circumstances cannot outweigh other planning considerations except in the most exceptional circumstances; an example could be in the cases of temporary Gypsy Traveller Accommodation whilst permanent sites are being developed.

Where for example a personal permission for a temporary structure may be acceptable it would be subject to specific conditions limiting the occupation to a particular individual for a specified period i.e., 3 years - however the authority will need to be assured it is not running the risk of contravening its duties under the Equality Act 2010.

The grant of a permanent structure due to the needs of the intended occupiers does not constitute a material planning consideration as planning consent runs with the land.

It is important to for members to be mindful that National Planning Policy and Guidance has been developed in accordance with the Well Being and Future Generations (Wales) Act 2015 (WBFG Act) and therefore the inherent principle of sustainable development as enacted in the WBFG Act has been incorporated in planning policy at a national and local level. It is not the case that developments which support an individual's wellbeing outweigh the tenets of national policy – as indeed the WBFG Act has been enacted through national planning policy. The central premise of the WBFG Act is to require public bodies to think about the long-term impact of their decisions. To consider an individual's circumstances and support a development on that behalf if not sustainable development is in direct conflict with the Act which requires public bodies to consider sustainable development for the wellbeing of future generations and ensure resources

are not wasted, in effect to make decisions for the greater good, even if that does not support an individual's personal needs at a given time.

Applications which are determined contrary to officer recommendation must be supported by clear robust and convincing reasons based on material planning considerations.

Making decision against offers advice may expose the Council to legal or other challenge, including complaint to PSOW, or call-in by Welsh Ministers.

Do ensure that members remember and keep in mind that the Authority has adopted a protocol in relation to making decisions contrary to officer recommendation, and / or local and national polices which is set out in the Development Management Committee's operational procedures.

Do ensure that if Members are minded to approve or refuse an application contrary to policy or to the recommendation of the Officer, then such consideration shall follow and be deferred until the Development Management Committee meeting where, on reconsideration of the matter, members must identify clear and substantiated reasons capable of constituting material planning considerations.

11. Member Training

The planning system is a quasi-judicial process involving complex legal and technical issues which require the application of sound judgment in the assessment of planning proposals. A failure to follow proper practice and procedures can lead to serious consequences for the planning authority and to the Council in general. Therefore, Members will be unable to participate in decision making involving planning matters if they have not attended the mandatory planning training prescribed by the Authority.

Do endeavor to attend any specialised training sessions provided, since these will be designed to extend your knowledge of planning law, regulations, procedures, Guidance and Codes of Practice and the Development Plans and thus assist you in carrying out your role properly and effectively.

12. Planning applications by Members and Officers of the Authority

When a planning application is submitted by:

A serving Elected Member or close personal associate,

Chief officers (Chief Executive, Corporate Directors and Corporate Lead Officers),

All staff employed by the planning service(s) including Development management and Planning Policy

Any other staff closely linked to the planning service or a particular planning application,

Or a close personal associate;

The Member or Officer concerned will:

- i. take no part in the processing and determination of the application/Development Plan matter;
- ii. not communicate with any development management or planning officers or with any member of the Development Management Committee on the matter
- iii. advise the Chief Executive, Monitoring Officer and the Corporate Lead Officer for Economy and Regeneration and relevant Head of Service/Team Leader.
- iv. make appropriate declarations of interest

All planning applications submitted by a Member, or an officer or their close personal associates will be reported to and determined by the Development Management Committee.

This is to ensure that such planning applications are dealt with independently, to safeguard against any perceived conflicts of interest, and to promote fairness and transparency.

The report of the Corporate Lead Officer for Economy and Regeneration will include confirmation from the Monitoring Officer that these requirements have been met.

13. Planning applications by the Council as landowner

Any application submitted by, or on behalf of, or on land in the ownership of Ceredigion County Council for which the Council has a direct interest will be reported to and determined by the Development Management Committee.

Cabinet Members who are also Members of the Development Management Committee will be expected to declare a prejudicial interest, and to stand down from the application. This is in order to ensure that council-led projects can be determined by the Development Management Committee, and that Cabinet members have not fettered their discretion or predetermined (or appeared to have made up their mind) and predetermined their position by being part of decision making on the suitability of projects at earlier stages.

14. Major Developments

All major developments will be reported to and determined by the Development Management Committee.

“Major” developments are defined as:

The determination of planning applications for major development, as defined in Article 2 of the Town and Country Planning (Development Management Procedure) (Wales) Order 2012 (as amended or modified by subsequent legislation) and where the site does not already benefit from an extant consent (outline or detailed) for a similar type and scale of development.

(Excluding the determination of applications for the winning and working of minerals or the use of land for mineral-working deposits and the determination of applications for waste developments).

15. Cabinet Members

Cabinet members will be permitted to sit on the Development Management Committee in accordance with the group leaders' allocations.

16. Data Protection and GDPR

In relation to determination of planning applications by the Development Management Committee allowing the discussion of personal information risks the Development Management Committee breaching the Data Protection Act 2018 and the UK General Data Protection Regulation 2018.

As an Elected Councillor, you are a 'Data Controller' when representing residents of your ward, and when canvassing. You are accountable for the processing of personal information such as taking forward complaints made by local residents, or using personal information to timetable surgery appointments. If you represent a political party, particularly at election time, the political party will be the data controller. As a Data Controller you will need to ensure that you comply with the GDPR and Data Protection Act 2018.

X Don't disclose Sensitive and confidential personal information during discussion at the Development Management Committee this could include their marital status, employment history, number of dependants, caring responsibilities, disabilities etc. Even where consent has been granted by the individual concerned, members need to be mindful that this data is being made publicly available and thus the requirements of GDPR remain.

The Development Management Committee needs to be assured that when dealing with members of the public/agents or objectors (and their personal data), that they are safeguarding these individuals and themselves as decision-makers. And decisions are taken in line with proper arrangements not personal circumstances, opinions or feelings. This will guard against members making decisions which could impact on and expose someone's personal life.

Do remember when Members are acting as Local ward members, they will be deemed to be data controllers, and will become personally liable for any data breaches resulting from the disclosure.

Do follow the council's advice for local members in relation to GDPR and sample privacy notices for use when dealing with constituents.

PART 5
CODES AND PROTOCOLS

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DOCUMENT J CODE OF CONDUCT FOR MEMBERS

DOCUMENT K PROTOCOL ON MEMBER/OFFICER RELATIONS

DOCUMENT L CODE OF CONDUCT FOR LOCAL GOVERNMENT EMPLOYEES

DOCUMENT M OVERVIEW AND SCRUTINY PROTOCOL

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THE DEVELOPMENT MANAGEMENT COMMITTEE – OPERATIONAL PROCEDURES



Author and service:
Date approved by Council:
Publication date:
Review Date:

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1. Development Management Committee decision procedures

See Article 8 for the Development Management Committee's Terms of Reference in the Councils Constitution.

The process of the Development Management Committee (DMC) is as follows:

- a. The appropriate Officer introduces the report*
- b. A discussion takes place including questions to Officers*
- c. If required, a presentation by the applicant, their agent and/or the local member occurs*
- d. If Members are minded to approve the Officer recommendation, they move straight to a vote*
- e. If members are considering rejecting an Officer recommendation, they should do so in the normal way with both the mover and seconder of any resolution to that effect recorded (subject to Section 2 below – Decisions Contrary to Officer Recommendation)*
- f. The proposer and/or the seconder should state explicit Material Planning Considerations as justifications for their wish to reject the officer recommendation.*
- g. These reasons will form part of the resolution and must be recorded by the minute taker*
- h. A further discussion may take place*
- i. The legal representative and/or the Planning Officer concerned should have the opportunity to comment on the matters raised under f. above.*
- j. The proposer of the resolution should sum up*
- k. A vote should be taken*
- l. Additionally, if an amendment is moved to the initial resolution this should be dealt with in the normal way again, if appropriate, stating Material Planning Considerations.*

2. Deferral process for applications presented to Development Management Committee

The Development Management Committee and planning officers may on occasion need to defer an application at the Development Management Committee.

There are 4 main options in which a deferral could be made:

OPTIONS

1. Site Inspection Panel.

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in accordance with the SIP protocol in the Development Management Committee Operational Procedures below.

2. For information reasons.
i.e., to request new information to be fully considered or to request further information on a particular aspect of the case.
3. For 'cooling off'.
This occurs where Members are minded to approve or refuse an application contrary to officer recommendation and or national and local policy and further time is required to consider the material planning considerations that would support the decision. See below.
4. New planning information
New planning information brought to the attention of the members or planning officer post publication of the Development Management Committee agenda and papers (for example where an agent emails member of the Development Management Committee with additional information the day before the committee date)

Deferring the application for 'cooling off'.

The following protocol and process shall apply where Members are minded to make a decision which would represent a significant departure from national or local planning policies (i.e., scenario 3 above).

Where the Committee is minded to either approve or refuse a proposed development that would be deemed a **significant departure** to planning policies, contrary to officer recommendation, or local and national planning policy,

The item shall be deferred until a subsequent meeting so as to:

- allow further consideration of the matter, and
- for members to draw up detailed justified material planning reasons for the basis of the decision.

Where a decision to defer is taken in these circumstances, the Development Management Committee must set out the reasons for wishing to decide against the officer recommendation or local and national planning policy so that these can be taken into account for further consideration.

The case officer will prepare a further report that shall detail:

- the reasons put forward by the members, and indicate whether such reasons are, in their view, genuine,
- material planning reasons,
- discuss the land use planning issues raised.

At the subsequent meeting, Members will then need to consider these issues, and all relevant documents in making their decision.

The decision must include detailed and justified material planning reasons for decisions contrary to officer recommendation and / or local and national planning policy.

The Planning Officer should be given the opportunity to explain the implications of the contrary decision.

Procedure

The following procedure will also apply:

- a) Where a proposal is put to a meeting, which if successful would result in the determination of a planning application contrary to policy and/or the advice of the Authority's Officers, the names of the Members voting for, against and abstaining in respect of that proposal shall be recorded in the minutes.
- b) Where material considerations are considered by the Development Management Committee to justify a decision contrary to recommendation or policy.
- c) The DMC must give clear and cogent reasons for coming to that conclusion. These reasons must be based on sound evidence or reasoning which supports the planning material considerations.

The reasons must be clear and convincing based on sound evidence or reasoning which supports the planning material considerations, and demonstrate the justification for making decisions that are contrary to policy.

Officer recommendations, and if relevant the view of the courts, and detailed reasons are necessary to ensure that the reason for the decision is completely clear to all interested parties, including the public, and to explain what otherwise might appear to be inconsistency.

- d) The reasons given for decisions will be recorded in the minutes.

3. Decisions Contrary to Officer Recommendation

See section 2 above.

Where the Development Management Committee is minded to either approve or refuse an application, which is contrary to the Officer's recommendation and / or local

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and national planning policy, and which, in the opinion of the Corporate Lead Officer – Economy and Regeneration could involve:

- A significant departure from the adopted Development Plan
- A significant risk of costs being awarded against the Council at any subsequent planning appeal, legal challenge, Welsh Government call-in or Ombudsman investigation

the item shall be deferred (under option 3 above) until a subsequent meeting with an additional report, to include any additional information providing clarity or aiding further understanding and specifying the material planning considerations that justify such a departure for this application outlined by the members.

The Welsh Government Development Management Manual para 9.6.17 states:

- Where necessary, planning committees should defer applications by using a ‘cooling off period’ to the next committee meeting when minded to determine an application contrary to an officer recommendation.
This is in order to allow time to reconsider, manage the risk associated with this action, and ensure officers can provide additional reports and draft robust reasons for refusal or necessary conditions for approval.

Where Members resolve to take a decision, contrary to an officer’s recommendation, which the Chief Executive or Corporate Lead Officer for Economy and Regeneration identifies as constituting a significant departure from an approved plan or policy of the Authority, or as otherwise having significant implications for the Authority, the decision shall be deferred until a further meeting of the Committee (See Deferral process outlined above).

Cooling off period.

The ‘**cooling off period**’ is in order to allow time to reconsider, manage the risk associated with the action, and ensure Officers can provide additional reports and draft robust reasons for refusal/necessary conditions for approval.

Cooling Off Group (COG)

During the cooling off period a Cooling-off group will meet to consider the application and consider the following:

- Points raised by members who are minded to support the application
- The need for additional information
- The significance of the departure in terms of the LDP and national policies
- Whether material considerations are sufficiently evidenced so as to outweigh the existing policy
- The risks associated with the decision e.g. call in, judicial review, costs, reputational damage.

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The Cooling-off Group will comprise of 7 politically balanced group of the Development Management Committee.

The COG will not make decisions, but will use its best endeavours to make recommendations to the DMC, addressing the point above.

These recommendations will be reflected in the case Officers report.

Where Members resolve to take a decision, contrary to an officer's recommendation, which the Corporate Lead Officer - Economy and Regeneration identifies as constituting a significant departure from an approved plan or policy of the Authority, or as otherwise having significant implications for the Authority, the Corporate Lead Officer - Economy and Regeneration may withdraw the application prior to decision in order to ensure its deferral under the Cooling off period process outlined above.

Applications which are determined contrary to officer recommendations

Applications which are determined contrary to officer recommendations must be supported by clear and convincing reasons based on material planning considerations.

Where Members resolve to take a decision, contrary to an officer's recommendation, which the Chief Executive or Corporate Lead Officer for Economy and Regeneration identifies as constituting a significant departure from an approved plan or policy of the Authority, or as otherwise having significant implications for the Authority, the decision shall be deferred until a further meeting of the Committee (See Deferral process outlined above).

If, ultimately, the Committee's decision is contrary to the Officer recommendation, there shall be taken a full minuted record of Members' reasons for rejecting the Officer recommendation, together with a recorded vote

Determination

The Development Management Committee must set out the reasons for wishing to decide against the officer recommendation.

The Development Management Committee members should adhere to these rules when making planning decisions and take policy guidance from planning officers into due regard and only vote against their recommendations where genuine and material planning reasons can be identified.

A detailed minute of the Committee's reason(s) shall be made and a copy placed on the application file.

Where deciding the matter contrary to the recommendation, there may a risk of costs on appeal, the Committee will take a recorded vote when deciding the application.

The Case Officer further report shall detail the reasons put forward by the Members, indicate whether such reasons are, in their view, genuine and material planning considerations and discuss the land use planning issues raised.

In the case where Members wish to add or amend conditions which are recommended by Officers, the Officers should be invited to draft such a condition and bring this back for approval at the subsequent meeting unless the drafting is straightforward and can be agreed at the initial meeting.

Appeals

Where Officers are unable to defend such decisions on appeal (due to requirements of the professional conduct rules of the Royal Town Planning Institute 'RTPI') they shall make this point known to the Development Management Committee before the final vote is taken. In such cases, the Development Management Committee, who shall nominate (at least) two of its Members who voted contrary to the recommendation to appear at any appeal and explain the Development Management Committee's decisions and the reasons for them. These should, normally, be the proposer and seconder of the proposal which was contrary to the Officer's recommendation.

4. Code of practice for Development Management Committee site visits (Site Inspection Panels SIPs)

Purpose of a Site Visit

Site visits can be useful in identifying important site features relevant to a proposal that may be impossible to convey in a written report or by photographs, plans and drawings. However, site visits can cause delay in the planning process and should only be used where there is an expectation of clear potential benefit.

The purpose of a site visit is a fact-finding exercise in order to understand the context for a proposed development. It is not to be viewed as an alternative forum/venue for debate on the merits of any application.

It is not part of the formal consideration of the application. Site visits should not be used as a forum for debating the application.

Members of the public have an opportunity to put forward their views through written representations and/or the Public Speaking Scheme at the Development Management Committee when all Members are present and where the matter will be determined.

All contributions at site visits should therefore be directed to matters of fact. Applicants / Agents and members of the public will not normally be in attendance.

The Site Inspection Panel will comprise of 5 members of the DMC, including the chairman and vice chairman of the committee, the immediate past chairman of the

committee and two other members on a monthly rota basis. The Local Ward Member will also be invited to attend to observe.

Deciding whether a Site Visit is appropriate

Site visits will generally only be considered necessary where:

- 1 the proposal is particularly complex or;
2. the impact or effects of the proposed development are difficult to visualise from the plans and any supporting material including slides or photographs which form a part of the Officer presentation.
3. Where the proposal is likely to have a major visual impact which could only be fully appreciated on site
4. Where the likely impact of the proposed development on adjoining development is such that it can only be fully appreciated on site
5. To gain a better understanding of the policy issues against which the proposed development is to be judged
6. Where the proposed development is likely to have a major impact over a wide area
7. Where there are significant objections to the proposed development which could only be fully taken into account by visiting the site (a large number of objections in itself is not sufficient justification).

When a site visit is proposed at a meeting of the Development Management Committee, the proposer will identify which of the criteria listed above or other good planning reason applies.

Members of the DMC will first vote on whether to see the visual presentation, before considering whether a site visit is necessary.

If it is decided to see the presentation, then it will be shown, with a factual commentary by Officers, but without the merits of the application being discussed.

In all cases a formal vote will be taken on whether to hold a site visit and if the vote is in favour of a site meeting the motion shall include the reasons for the visit.

The Authority through the Corporate Lead Officer - Economy and Regeneration, with the approval of the Chair of the Development Management Committee, may also authorise a site visit where s/he considers one of the criteria listed above applies and that to wait for the next available Committee meeting would unnecessarily delay the planning application.

The Authority through the Corporate Lead Officer - Economy and Regeneration, with the approval of the Chair of the Development Management Committee, may also authorise a site visit where s/he considers it would be beneficial that all members of the DMC should attend.

In such instances as those above Members will be provided with a draft report which sets out the key issues to be considered on site and will record the reasons why a site visit is considered necessary.

Procedure at a Site Visit

- (a) The Authority's Planning Services will send a written invitation to every invited Member of the Development Management Committee (the SIP panel), and the Local Ward Member enclosing a copy of the relevant Committee report.
- (b) The Planning Officer will obtain the owner's permission to enter the site, if necessary, and will invite consultees whose comments are pertinent to the planning issues under consideration (e.g., Highways, Natural Resources Wales).
- (c) The Planning Officer will describe the application and outline the relevant policies and planning considerations.
- (d) Invited consultees will advise on relevant matters of fact.
- (e) It will not usually be expected that the applicant and/or agent will be asked to attend; if there is a specific need to do so then they will be asked to only answer any questions raised by Members at the meeting.
- (f) The Site Inspection Panel is not a forum for debate of the application and serves only to view the site in person.
- (g) The SIP must be conducted in accordance with principles of natural justice.
- (h) Anything stated or seen must be heard and seen by all present.
- (i) The Chair will bring the site inspection to a close.
- (j) Immediately before or after the formal site inspection it may also be appropriate for Members to view the site from other vantage points.
- (k) The Authority's Standing Orders will apply generally over such matters as rule of debate.
- (l) The Chair may adjourn the inspection at any time, in the event of disturbance to orderly conduct.

5. Operational procedures for members of the public addressing the Development Management committee

The Council has decided to give third parties the right to speak at Development Management Committee (“the Committee”).

This document explains the procedures which the Development Management Committee will adopt when a member of the public makes a written request to address the Committee

a) Which matters can be drawn to the Committee’s attention?

A wide range of issues may be drawn to the Committee’s attention, however under the relevant Planning Acts, decisions regarding planning applications must be in accordance with:

- the law,
- development plans and
- national guidelines,

unless other planning considerations are important enough to justify a decision which is to the contrary.

The Council cannot refuse planning permission for the sole reason that objections have been presented, and cannot approve an application for the sole reason that a number of people support it or because there are no objections.

Material planning considerations

The matters you raise must pertain to relevant planning considerations, e.g.

- Relevant legislation and the policies in the relevant development plans and national planning guidelines
- Relevant case-law and decisions on previous planning appeals before an Inspector
- The impact on the character and appearance of the area, e.g. site, scale, size, height and design
- The impact on the amenities of neighbouring residents, e.g. hours of use, overlooking, excessive impairment and traffic noise
- The impact on highway safety, e.g. poor visibility, the safety of pedestrians, parking, density of use.
- Land stability issues, drainage issues and fire precautions

Ceredigion County Council Constitution - Part 4 Rules of Procedure

PART 4 DOCUMENT I - THE DEVELOPMENT MANAGEMENT COMMITTEE – OPERATIONAL PROCEDURES

Updated February 2022

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Non-material planning considerations

No attention may be given to matters which are not material planning considerations and which are private matters, e.g.

- Impact on land values, hygiene and the layout internal areas (these are mainly dealt with under legislation which is separate from Planning, e.g. Building Regulations)
- The applicant's personal characteristics, including age, race and language
- Disagreement regarding the ownership of the affected land
- Private rights of way and drainage and private easements and covenants
- The impact of the proposal on property value
- Commercial competition, e.g. between shops, restaurants, garages etc.
- Loss of views

New Planning information

Should applicants / agents or any other person acting on their behalf draw attention to new information (such as by emailing/ lobbying in person/ written correspondence) after the publication of the Development Management Committee agenda and papers, the planning application will be deferred to a subsequent meeting. In accordance with Option 4 above.

It is unacceptable and inappropriate to bring to light new information at the eleventh hour that has not had the formal scrutiny procedures as is applied to a planning case file, and thus any such correspondence/ communication will result in an automatic deferral of the application.

b) How to make a request to speak at the Committee?

The procedure to be followed in making a request is the same for everyone who wishes to speak at Committee.

Persons who can speak include:

- Applicant or agent,
- Objector,
- Town and Community Councils

It is the responsibility of the individual who wishes to speak to find out whether the particular application on which they wish to speak is to be submitted to the Committee or considered under delegated powers.

Information can be obtained by contacting the Planning Service on 01545 572135 or through the Council's website planning@ceredigion.gov.uk;

Persons wishing to speak must submit a written request to speak to the Clerk to the Committee as soon as possible and no later than midday on the Tuesday before the Committee (which usually meets on a Wednesday).

The contact details for the Clerk are Democratic Services, Neuadd Cyngor Ceredigion, Penmorfa, Aberaeron, Ceredigion, SA46 0PA (e-mail address: democracy@ceredigion.gov.uk)

The following information must be provided:

- name
- contact details, including a daytime telephone number,
- e-mail if available,
- details of the planning application
- Planning reference number
- Your interest i.e. applicant/agent; objector or Town / Community Council.

You will only be permitted to speak if the application is on the Committee's agenda.

An individual who wishes to speak will be informed by telephone, in writing or e-mail of the details of the meeting..

Reports on the Committee agenda may be found on the Council's website www.ceredigion.gov.uk

[Ceredigion County Council Browse meetings - Development Control Committee](#)

Or inspected at the meeting.

The applicant/agent will be informed, if s/he has not asked to speak at the Committee, should a notice be received from an objector expressing the desire to speak, so that s/he may also exercise his/her right to respond at the Committee.

It is only the applicant, his agent, or those who have already submitted written objections or observations within the 21-day consultation period who may make a request to address the committee.

Items will not be deferred simply because a person who has requested to speak cannot attend Committee on a particular date.

c)The procedure at the Committee

Those who do speak will be allowed a maximum period of 5 minutes each to speak.

This includes:

- Applicant/ agent,
- Objector,
- Town and Community Council representatives
- Local ward Member

Each will be entitled to speak for 5 minutes maximum.

If more than one objector wants to speak, objectors will be either encouraged to appoint one spokesperson or split the 5 minutes available.

The Chair of the Committee will have the absolute discretion to rule in such matters.

The appropriate order for speaking is as follows:

- case introduced by officer,
- objector,
- applicant or agent,
- Town and Community Councils,
- Local Ward Member,

The matter is then opened up for discussion,

- Committee Members then make comments.

Unless the Chairperson of the Committee states otherwise, the planning applications will be considered in the order in which they appear on the agenda, and it will not be possible to defer an application because you cannot attend or because you are not ready to speak when the Chairperson presents the application. Information regarding the order on the agenda is available from the Planning Section.

Persons wishing to speak must be present at the Committee meeting between 9.45 and 10am and introduce themselves to the Clerk of the Committee. The Committee usually commences at 10.00 am. The Clerk will explain the arrangements and where person wishing to address the DMC will be seated when they speak.

When invited by the Chair of the Committee, persons wishing to address the Committee may speak once, **for up to five minutes**,

The importance of adhering to the time limit is emphasised.

In accordance with the Council's Welsh Language Standards, persons wishing to speak are entitled to speak in Welsh or English. There is no need to repeat all the points made in any letters, as these will have already been sent to members before the Committee. The focus should be on the main points of concern, or the points supported.

The circulation of any written material or photographs will not be permitted.

After speaking, the Committee will discuss the matter.

Persons addressing the DMC should not join in this discussion.

No message should be left in the remote Chat facility.

The committee may seek clarity from the Local Ward Member (LWM) on issues arising and thus the LWM may address the DCC further if invited by the Chair.

The Chair may ask a question/questions if further explanation of the points raised will be required.

There will be no opportunity for members of the public (including the objector, applicant and agent) and Town and Community Councils) on a deferred item to speak at a second or subsequent meeting of the Development Management Committee

6. Membership of the Development Management Committee:

The Development Management Committee shall be composed of 15 members of the Council in accordance with its Terms of reference as set out in the Constitution.

These may include Cabinet Members.

Ceredigion County Council Constitution - Part 4 Rules of Procedure

PART 4 DOCUMENT I - THE DEVELOPMENT MANAGEMENT COMMITTEE – OPERATIONAL PROCEDURES

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Quorum

No business is to be transacted at a meeting of a Development Management Committee unless **at least half** of the total number of members of the committee, rounded up to the nearest whole number, is present. Substitute members will not be permitted.

Simple Majority

Applications will be determined by a simple majority of those Members voting and present in the meeting at the time the recommendation or proposal was made.

Members must be present throughout the discussion in order to vote on a matter.

Chair' Casting Vote

If there are equal numbers of votes for and against, the Chair will have a second or casting vote. There will be no restriction on how the Chair chooses to exercise a casting vote.

7. OUTCOME – Communication

The Planning Service will inform the applicant/agent of the decision after the date of the Committee meeting and will inform everyone who has written to the Council of the outcome of the application.

8. The role of the Local Ward Member (LWM)

The role of the Local / Ward member in Development Management Committee is dependent on whether they are a member of the committee or not.

If they are not, they are welcome to speak on the application in accordance with the procedure set out above representing the wider views of their constituents affected by the application.

LWMs cannot vote on the application and must observe the specified time limits, however they may remain at the table or as a panellist should the chair wish to ask further questions during the course of the debate.

When an application is presented that involves the Local Ward Member, who is also a member of the Development Management Committee, the said member cannot vote on an application and should 'step down' from the committee 'table' and join the public gallery from where they may wish to address the committee on their constituents' behalf.

This is so that it is clear that the LWM is not part of the Committee.

9. Useful Documentation

Welsh Government Development management manual:

<https://gov.wales/development-management-manual>

Planning Policy Wales

[Planning policy Wales | GOV.WALES](#)

J DELEGATIONS IN RESPECT OF CORPORATE LEAD OFFICER PORTH CYNNAL SPECIALIST THROUGH AGE SERVICES (STATUTORY DIRECTOR OF SOCIAL SERVICES/RESPONSIBLE INDIVIDUAL) AND CORPORATE LEAD OFFICER PORTH GOFAL TARGETED INTERVENTION (DEPUTY DIRECTOR OF SOCIAL SERVICES)

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Functions delegated to Corporate Lead Officer Porth Cynnal Specialist Through Age Services

1) STATUTORY DIRECTOR OF SOCIAL SERVICES- Corporate Lead Officer Porth Cynnal Specialist Through Age Services

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The Corporate Lead Officer Porth Cynnal Specialist Through Age Services is designated and appointed

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Statutory Director of Social Services in accordance with Section 6 of the Local Authority Social Services Act 1970 and the Social Services and Well-Being (Wales) Act 2014. The role and accountabilities of the Director of Social Services is set out in the Protocol, "Role and Accountabilities of the statutory Director of Social Services", which is (Document P) in Part 5 of this Constitution. The Protocol was formally adopted by the Council on 23/1/18

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2) Authorised to Act as an Authorised and Authorising Officer for the purposes of the Regulation of Investigatory Powers Act 2000, the Monitoring Officer as Senior Responsible Officer, to be notified of any such application.

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3) To exercise the Council's powers, duties and functions relating to the Channel Panel under the Counter Terrorism and Security Act 2015 including designation of appropriate Officers to be Channel Chair and Deputy Channel Chair.

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2) Functions delegated to the Corporate Lead Officer Porth Cynnal Specialist Through Age Services and Corporate Lead Officer Porth Gofal Targeted Intervention

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The Corporate Lead Officer Porth Gofal Targeted Intervention is the designated Deputy Director of Social Services.

1. The following functions are to be delegated to the:

to the Corporate Lead Officer Porth Cynnal Specialist Through Age Services;

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Corporate Lead Officer Porth Gofal Targeted Intervention; and.

and in their absence, to any officers duly authorised by the said Corporate Lead Officers from time to time as appropriate subject to such officers being suitably qualified for the discharge of those duties and functions:-

1.1 To represent the Council at the West Wales Regional Partnership Board and/or the West Wales Care Partnership and, through such representation, make associated relevant decisions on behalf of the Council, and exercise the Council's functions, powers and duties, as appropriate.

1.2 The following functions, and to any officers authorised by them from time to time as appropriate, subject to such officers being suitably qualified for the discharge of those duties and functions (see below):

4. Social Services

Local Authority Social Services Act 1970 Schedule 1 and Social Services and Well-Being (Wales) Act 2014

Social Services Functions

ENACTMENT	NATURE OF FUNCTIONS	NOTES
Children and Young Persons Act 1933		
Part III	Protection of the young in relation to criminal and summary proceedings; children appearing before court as in need of care, protection or control; committal of children to approved school or care of fit person, etc.	Still in force
	Part IV Remand homes, approved schools and children in care of fit persons	Still in force
National Assistance Act 1948		
Sections 21 to 27	Provision of residential accommodation for the aged, infirm, needy, etc.	s.21, 23, 24 & 26 still in force s.22 in force but to be Repealed s.25 & 27

Ceredigion County Council Constitution - Part 3 Responsibility for Council Functions
PART 3.5 J Delegations to the CLO Porth Gofal Targeted Intervention and CLO Porth Cynnal Specialist Through Age Services
Updated January ~~2021~~2022

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		Repealed
Sections 29 and 30	Welfare of persons who are blind, deaf, dumb or otherwise handicapped or are suffering from mental disorder; use of voluntary organisations for administration of welfare schemes	Still in force
Sections 43 to 45	Recovery of costs of providing certain services	s.43 and 45 in force s.44 Repealed
Section 48	Temporary protection of property belonging to persons in hospital or accommodation provided under Part III of the Act, etc.	Still in force
Section 49	Defraying expenses of Local Authority officer applying for appointment as deputy for certain patients	Still in force
Section 56(3) except so far as it relates to an offence under section 47(11)	Prosecution of offences	Still in force
Disabled Persons (Employment) Act 1958		
Section 3	Provision of facilities for enabling disabled persons to be employed or work under special conditions	Still in force
Mental Health Act 1959		
Section 8	Welfare and accommodation of mentally disordered persons	In force but to be repealed
Mental Health (Scotland) Act 1984		
Section 10	Welfare of certain person while in hospital in Scotland	Still in force
Health Visiting and Social Work (Training) Act 1962		
Section 5(1)(b)	Research into matters relating to Local Authority welfare services	Act repealed

Section 5(1)(c)	Research into matters relating to functions of Local Authorities	Act repealed
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Children and Young Persons Act 1963

Part I	Powers relating to young persons in need of care, protection or control; further provisions for protection of the young in relation to criminal proceedings	Sections dealing with Social Services functions repealed
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Health Services and Public Health Act 1968

Section 45	Promotion of welfare of old people	Still in force
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Section 65	Financial and other assistance to voluntary organisations	Still in force
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Social Work (Scotland) Act 1968

Sections 75(2)	Reference for consideration, etc. of and 76(4) case of child in care whose parent moves to Scotland and transfer of child	s.75 & 76 repealed
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Children and Young Persons Act 1969

The whole Act except section 9 in so far as they assign functions to a Local Authority in their capacity of a local education authority	Care and other treatment of children and young persons through court proceedings	Some sections (s.9, for example) dealing with Social Services functions still in force
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Chronically Sick and Disabled Persons Act 1970

Section 1	Obtaining information as to need for and publishing information as to existence of, certain welfare services	Still in force
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Section 2	Provision of certain welfare services	Still in force
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Section 18	Provision of certain information required by Secretary of State	In force but to be repealed
Local Authority Social Services Act		
Section 6	Appointment of Director of Social Services in Wales	s.6 still in force
Section 7B	Provision and conduct of complaints procedure	s.7B in force but to be repealed
Adoption Act 1976		
	Functions continuing to be exercisable by virtue of any transitional or saving provision made by or under the Adoption and Children Act 2002	Sections dealing with Social Services functions repealed
Children Act 1975		
Part II	Application by Local Authority for revocation of custodianship order; Inquiries carried out by Local Authority in custodianship cases	Repealed
Supplementary Benefits Act 1976		
Schedule 5	Provision and maintenance of [resettlement units] for persons without a settled way of living	Repealed
National Health Service Act 1977		
Schedule 8	Care of Mothers and young children; prevention, care and after-care; home help and laundry facilities	Still in force but now contained in Schedule 15 of the National Health Service (Wales) Act 2006
Residential Homes Act 1980		
Sections 1 to 7	Registration of disabled or old persons' homes and residential homes for mentally disordered persons	Repealed

Ceredigion County Council Constitution - Part 3 Responsibility for Council Functions
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Mental Health Act 1983

Parts II, III and VI	Welfare of the mentally disordered; guardianship of persons suffering from mental disorder including such persons removed to England and Wales from Scotland or Northern Ireland; exercise of functions of nearest relative of person so suffering	Still in force
Sections 66, 67, 69(1)	Exercise of functions of nearest relative in relation to applications and references to Mental Health Review Tribunals	Still in force
Section 114	Appointment of approved social workers	Still in force
Section 115	Entry and inspection	Still in force
Section 116	Welfare of certain hospital patients	Still in force
Section 117	After-care of detained patients	Still in force
Section 130	Prosecutions	Still in force

Health and Social Services and Social Security Adjudications Act 1983

Section 17, so far as relating to services provided under the enactments mentioned in subsection (2)(a) to (c)	Charges for Local Authority welfare services	Still in force
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Public Health (Control of Disease) Act 1984

Section 46	Burial or cremation of person under Part III of the National Assistance Act 1948, and recovery of expenses from the estate	Still in force
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Housing Act 1996 Section 213(1)(b)

Co-operation in relation to homeless persons and persons threatened with homelessness	Still in force
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Disabled Persons (Services, Consultation and Representation) Act 1986

Ceredigion County Council Constitution - Part 3 Responsibility for Council Functions
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<p>Sections 1 to 5, 7 and 8 except in so persons far as they assign functions to a Local Authority in their capacity as a local education authority</p>	<p>Representation and assessment of disabled persons</p>	<p>Still in force</p>
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Housing (Scotland) Act 1987

<p>Section 38(b)</p>	<p>Co-operation in relation to homeless persons and persons threatened with homelessness</p>	<p>Still in force</p>
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Children Act 1989

<p>The whole Act in so far as it confers functions on a Local Authority within the meaning of that Act</p>	<p>Welfare reports</p> <p>Consent to application for residence order in respect of child in care</p> <p>Functions relating to special guardianship orders</p> <p>Family assistance orders</p> <p>Functions under Part III of the Act (Local Authority support for children and families)</p> <p>Protection of children</p> <p>Functions in relation to community homes, voluntary homes and voluntary organisations, private children's homes, private arrangements for fostering children, child minding and day care for young children</p> <p>Inspection of children's homes on behalf of Secretary of State</p> <p>Research and returns of information</p> <p>Functions in relation to children accommodated by Local Health Boards, Primary Care Trusts, National Health Service trusts and local education authorities or care homes, independent</p>	<p>Still in force</p>
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hospitals or schools

National Health Service and Community Care Act 1990

Section 46 Preparation of plans for community care services Still in force

Section 47 Assessment of needs for community care services Still in force

Education Act 1996

Section 322 Help for local education authority in exercising functions under Part III of the Act Still in force

Carers (Recognition and Services) Act 1995

Section 1 Assessment of ability of carers to provide care Still in force

Community Care (Direct Payments) Act 1996

Functions in connection with the making of payments to persons in respect of their securing the provision of community care services or services under the Carers and Disabled Children Act 2000 Repealed by the Health and Social Care Act 2001 but repeal not yet in force

Adoption (Intercountry Aspects) Act 1999

Sections 1 and 2(4) Still in force

Functions under regulations made under section 1 giving effect to the Convention on Protection of Children and Co-operation in respect of Intercountry Adoption, concluded at the Hague on 29 May 1993 and functions under Article 9(a) to (c) of the Convention

Carers and Disabled Children Act 2000

The whole Act, in so far as it confers functions on a Local Authority within the meaning of that Act	Assessment of carers' needs Provision of services to carers Provision of voucher
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Health and Social Care Act 2001

Part 4 in so far as it confers functions on a Local Authority in England or Wales within the meaning of that Part	Functions in relation to the provision of residential accommodation Making of direct payments to person in respect of his securing provision of community care services or services to carers	Part 4 is in force, apart from section 56 which is in force in so far as conferring any power to make an order or regulations which is exercisable by the Secretary of State, not in force otherwise s.56 deals with regulations that may make provision for a LA to make arrangements for residential accommodation in Scotland, N. Ireland, Channel islands or Isle of Man
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Adoption and Children Act 2002

Maintenance of Adoption Service; functions of Local Authority as adoption agency	Still in force
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Community Care (Delayed Discharges etc.) Act 2003

Part 1	Functions relating to hospital patients likely to need community care services to be made available in order to be discharged safely	Not yet in force in Wales
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Health and Social Care (Community Health and Standards) Act 2003

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Section 114	Consideration of complaints	In force but Schedule not yet amended to refer to it
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Carers (Equal Opportunities) Act 2004

Section 3, in so far as it confers functions on a Local Authority within the meaning of that section	Co-operation between authorities	Still in force
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Children Act 2004

Sections 13 to 16 and 31 to 34	Functions relating to Local Safeguarding Children Boards	Still in force NB Sections 31 to 34 apply only to Wales
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Mental Capacity Act 2005

Section 39	Instructing independent mental capacity advocate before providing accommodation for person lacking capacity	Still in force
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Section 39A	Instructing independent mental capacity advocate when giving an urgent authorisation, or making a request for a standard authorisation, under Schedule A1 to the Act	Still in force
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Section 39C	Instructing independent mental capacity advocate when no representative for relevant person under Part 10 of Schedule A1 to the Act	Still in force
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Section 39D	Instructing independent mental capacity advocate when representative for relevant person under Part 10 of Schedule A1 to the Act is not being paid	Still in force
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Section 49	Reports in proceedings	Still in force
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Schedule A1	Any functions	Still in force
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PART 3.5 J Delegations to the CLO Porth Gofal Targeted Intervention and CLO Porth Cynnal Specialist
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Children and Young Persons Act 2008

Part 1 Making arrangements for the discharge of Still in force
relevant care functions in relation to certain
children and young persons

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DEPUTY DIRECTOR OF SOCIAL SERVICES

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The Corporate Lead Officer Porth Gofal Targeted Intervention is the designated Deputy Director of Social Services.

Functions delegated to Corporate Lead Officer Porth Gofal Targeted Intervention

The following functions are delegated to the Corporate Lead Officer Porth Gofal Targeted Intervention and to any officers authorised by them from time to time as appropriate, subject to such officers being suitably qualified for the discharge of those duties and functions:

2.1. Strategic housing functions, housing standards and Homelessness prevention

~~The Corporate Lead Officer Porth Gofal Targeted Intervention also has the following delegated responsibilities~~

~~2.4 To have lead responsibility for the administration of the Common Housing Register for the allocation of social housing by Registered Landlords operating in the County.~~

1.1

~~2.2 To make nominations from the Housing Register to enable individuals to have access to the Private Sector, Registered Social Landlords and Social Lettings Agencies in accordance with Part 2 Housing Act 2014.~~

~~2.31.2~~

~~2.41.3 To approve applications for grants and loans and for supplementary amounts in accordance with legislation applicable at the time and in accordance with Council policy and practice at the time in consultation with the Cabinet Member.~~

~~2.5 To sign, issue and serve Statutory Notices under all relevant legislation including requisitions for information.~~

1.4

~~2.6 To make arrangements for and/or carry out the execution of works in default in the event of any non-compliance with the terms of any Statutory Notice~~

1.5

~~2.7 To secure temporary accommodation for the Homeless under Part 2 Housing (Wales) Act 2014 and any other current and relevant legislation and/or~~

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regulation. To achieve this by entering in to agreements and tenancies with Private and Registered Social landlords and Social Lettings Agencies.

1.6

~~2.8~~To undertake homeless reviews as required in accordance with Part 2 Housing (Wales) Act 2014.

1.7

~~2.9~~To grant waivers to mortgage lenders such as Building Societies in respect of the repayment of grant conditions relating to the Local Government and Housing Act 1989 grants in order to give the lending institutions the first charge on the value of the property should its sale be enforced following repossession in consultation with the Cabinet Member.

1.8

~~2.10~~—To enter into nomination agreements with private landlords on behalf of the Council in respect of the letting of units/flats created by conversion with discretionary grant assistance.

1.9

~~2.11~~—To determine whether to demand repayment of grant on the relevant disposal or transfer of a dwelling in instances which fall within the Council's Housing Grants and Loans Policy and/or Section 45(5) of the Housing Grants Construction and Regeneration Act 1996 or the Grant Recovery General Consent of 1996 in consultation with the Cabinet Member.

1.10

~~2.12~~—Administer the provisions within S157 Housing Act 1985 in respect of the restriction placed on former rural housing stock.

1.11

~~2.12.1~~—In relation to the Housing Act 2004:

1.12

~~2.12.2~~to make Management Orders and exercise powers of entry to carry our work (Section 131 of the Housing Act 2004);

1.12.1

~~2.12.3~~to give notice to a relevant person requiring him / her to produce any documents under (section 235 of the Housing Act 2004 power to require documents to be produced);

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1.12.2

~~2.12.4~~ to exercise a power of entry (section 239 Housing Act 2004 powers of entry);

1.12.3

~~2.12.5~~ to exercise a power of entry to carry out work (paragraph 25 of Schedule 7 of the Housing Act 2004 (Empty Dwelling Management Orders “EDMO’s”), and

1.12.4

~~2.13~~ to issue improvement notices for the purposes of exercising a power to enter to carry out work (paragraph 3(4) of Schedule 3 Housing Act 2004).

1.12.5

~~2.14~~ — To make arrangements for the execution of works in default in the event of any non-compliance or contravention of the terms of any Statutory Notices arising under ~~2~~1.11 above.

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1.13

~~2.15~~ — To instruct the legal section in relation to proceedings for non-compliance with any provision of legislation falling to the Corporate Lead Officer to enforce.

1.14

~~2.16~~ — To determine housing grant and loan applications and to determine requests for additional discretionary payments as appropriate and which are within budget, in consultation with the relevant Cabinet Member.

1.15

~~2.17~~ — To manage and maximise the use of Social Housing Grants and other funding streams to assist the Authority in meeting both its statutory housing obligations and enable local housing needs to be met.

1.16

~~2.18~~ — To implement and operate a management grant subsidy scheme for Registered Social Landlords operating within Ceredigion who assist with Homelessness temporary accommodation placements using their own housing stock.

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1.17

—To exercise powers and duties, and to authorise Officers, under the provisions of:

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1.18

—~~(a)~~The Energy Efficiency (Private Rented Property) (England and Wales) Regulations 2015; and

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1.18.1

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1.18.2~~(b)~~The Renting Homes (Fees etc.) (Wales) Act 2019 (including Regulations made thereunder).

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2. 3- Specific powers and duties

~~3.1~~

~~2.1~~ ~~The Corporate Lead Officer Porth Gofal Targeted Intervention (and any other Officer duly authorised by them) also has the following delegated responsibilities:~~

~~3.2~~ To act on a day to day basis and within the scheme of delegation in the following areas:

a) ~~2.1.1~~ Housing (including the strategic housing function, affordable housing (including assisting and advising the Local Planning Authority in relation to S.106 agreements), specialist housing, prevention of homelessness/housing options, common housing register, home safety and Licensing of Houses in Multiple Occupation (HMO's);

b) ~~2.1.2~~ ~~H~~ousing standards and renewals, landlord accreditation, home energy; and

e) ~~2.1.3~~ ~~e~~fficiency, Disabled Facilities Grants).

~~3.3~~ ~~2.2~~ To exercise the Council's functions in relation to homelessness/housing options

~~3.4~~ ~~2.3~~ To exercise the Council's functions in relation to unfit housing

~~3.5~~ ~~2.4~~ To exercise the Council's functions in relation to houses in multiple occupation including the determination of applications for licences, to issue notices and to take enforcement proceedings as necessary.

~~3.6~~ ~~2.5~~ To exercise the Council's enforcement powers in the private housing sector.

~~3.7~~ ~~2.6~~ To exercise the Council's function in delivery of a common housing register.

~~3.8~~ ~~2.7~~ To exercise the Council's function in relation to the delivery of affordable housing/ grant funding.

~~3.9~~ ~~2.8~~ To approve or refuse and administer housing improvement/repair grant applications, housing loan schemes and Disabled Facilities Grants.

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~~3.10~~ 2.9 The power to exercise enforcement action in relation to anti-social behaviour, including steps necessary to prevent offences, educate and issue fixed penalty notices and, in consultation with the relevant Cabinet Member, to apply for and make an Order under the Anti- Social Behaviour Crime and Policing Act 2014.

~~3.11~~ 2.10 To undertake enforced sales of properties.

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K - DELEGATIONS TO THE CORPORATE LEAD OFFICER SCHOOLS AND CULTURE & CHIEF EDUCATION OFFICER

The Corporate Lead Officer Schools and Culture is designated and appointed Chief Education Officer and Lead Director for Children and Young People's services roles.

The following functions are to be delegated to the Corporate Lead Officer Schools and Culture and in his/her absence to any officers authorised by the Corporate Lead Officer from time to time as appropriate subject to such officers being suitably qualified for the discharge of those duties and functions:-

1. Representing at judicial proceedings, tribunals and panels

To authorise the attendance of nominated Officers at judicial proceedings, tribunals and panels to represent the interests of the Council.

2. Admissions

- 2.1 To implement and administer the procedures and arrangements for the admission of pupils to schools, in accordance with Council policies and national statutory regulations and guidance.
- 2.2 To approve or otherwise individual arrangements for "education otherwise" and, if necessary, initiate legal action.
- 2.3 To supervise the employment of children.

3. Attendance at school

- 3.1 To exercise the powers and duties of the Council in respect of children excluded from school and to make suitable arrangements for the continuing education of pupils who are excluded or otherwise unable to attend school, in accordance with Council policy and national statutory regulations and guidance.

4. To undertake the powers and duties of the Council regarding Education Supervision Orders in conjunction with the Corporate Lead Officer Porth Cynnal Specialist Through Age Curriculum

- 4.1 To promote high standards in primary and secondary education in accordance with the requirements of legislation including the School Standards and Framework Act 1998 and the practice advocated in the Welsh Office Code of Practice on LEA - School Relations.
- 4.2 To investigate complaints relating to curriculum and assessment matters under the provision of the Education Act 1996.

- 4.3 To secure and determine Community Education provision in accordance with Council policy and in consultation with the Cabinet Member.

5. Special educational needs

To determine special education provision for individual pupils, including initiation of assessment, the maintenance and review of statements of special educational needs.

6. Staffing

- 6.1 To make arrangements for staffing appointments in schools subject to the provisions of the Articles of Government and/or relevant legislation.
- 6.2 To appoint persons selected by Governing Bodies to fill vacant posts in schools, unless the person so recommended does not meet the staff qualification requirements applicable to the appointment.
- 6.3 To determine applications for leave of absence for teachers employed by the Council (other than those appointed by Governing Bodies) to work in schools and other establishments.
- 6.4 In the case of aided schools to exercise any advisory rights relating to the appointments of Head teachers, Deputy Head teachers or other teaching or ancillary staff conferred by agreement or legislation.
- 6.5 In the case of Community and voluntary controlled schools, to nominate persons to fill vacancies in other teaching posts in schools where Governing Bodies have notified their intention to fill those vacancies.
- 6.6 To operate redeployment procedures in accordance with County Council procedures.
- 6.7 To act on the determination of Governing Bodies relating to potential dismissals and any subsequent appeals against such dismissals, which are within the Council's powers to determine and in accordance with the Council policy.
- 6.8 To implement and administer, as appropriate, the procedures determined by the Council for dealing with the Conduct and Performance of staff.
- 6.9 To exercise the powers of the Local Education Authority in respect of the Licensed Teacher Scheme.
- 6.10 To operate the Head-teacher Performance Management Scheme.
- 6.11 To determine applications for attendance at conferences and for external professional duties of staff approved by the Council to work in schools and other establishments (but not appointed by Governing Bodies).

6.12 To decide on the provision and implementation of the INSET programme.

7. In relation to governing bodies

7.1 To ensure that the Governing Bodies of the Council's schools are properly constituted.

7.2 To design and implement a training programme for Governors.

8. Finance

8.1 To determine and authorise the payment of boarding awards, grants towards tuition fees and expenses at schools where fees are payable, major further education awards, maintenance allowances and tuition fees for correspondence courses and requests for the refund of grants.

8.2 To initiate action in respect of the recovery of grant payments in consultation with the Cabinet Member.

8.3 To decide on individual applications for discretionary awards in accordance with Council policy.

8.4 To determine applications for assistance towards travelling expenses from further education students.

8.5 To approve the payment of recoupment charges for pupils and students at out of County establishments and to recoup fees, where appropriate.

8.6 To allocate and monitor grants obtained from time to time.

8.7 To determine applications for free school meals in accordance with the policy adopted by the Council.

8.8 To determine applications for grants under the Coe Memorial and Cardiganshire Intermediate Funds in consultation with the Cabinet Member.

9. Welsh in Education

8.8 The preparation of the Council's Welsh in education strategic plan under S.84 School Standards and Organisation (Wales) Act 2013 including any review, revision or consultation required and the carrying out of any assessment of the demand among parents in its area for Welsh medium education for their children required by the Welsh Ministers under S.86 School Standards and Organisation (Wales) Act 2013.

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L - DELEGATION TO THE CORPORATE LEAD OFFICER FINANCE & PROCUREMENT & CHIEF FINANCE OFFICER & S.151 OFFICER.

The Corporate Lead Officer Finance & Procurement is designated and appointed:

- Section 151 Officer and Chief Finance Officer for Ceredigion County Council; and
- Chief Finance Officer and Section 151 Officer for the Growing Mid Wales Board Partnership and the Mid Wales Corporate Joint Committee, to include the following duties: ensuring that the financial affairs are properly managed (including record keeping and preparing accounts), accepting and receiving funds, making orders and payments, be an authorised signature, accepting grant offers, completing and submitting grant claims and returns, opening bank accounts and investing surplus monies, ensuring appropriate taxation issues are duly dealt with and nominating corporate managers that are appropriately qualified to undertake and supervise tasks on behalf of the Section 151 Officer.

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The following functions are to be delegated to the Corporate Lead Officer Finance & Procurement and to any officers authorised by the Corporate Lead Officer Finance & Procurement from time to time as appropriate subject to such officers being suitably qualified for the discharge of those duties and functions.

1. The assessment, administration, billing, collection and recovery of Council Tax and Non-Domestic Rates, and all other revenues, local taxes and monies due to the Council including recovery through Magistrates Courts and the paying in of all such monies to the County Fund or other appropriate fund.
2. To award Mandatory Non-Domestic Rates Relief, and to determine applications for Discretionary Non-Domestic Rates Relief in accordance with the Council's policy and/or regulations.
3. To award hardship relief following determination of applications for Section 49 (Non Domestic Rates) or Section 13A (Council Tax) Hardship Relief by the Cabinet Members for Finance & Personnel following consultation with members of the Section 49 Panel, or as determined by the Section 49 Appeals Panel.
4. The imposition and waiving of penalties under the Local Government Finance Act 1992.
5. The servicing of notices of objection upon the Valuation Officer or Listing Officer and the execution of valuation agreements.
6. The submission of proposals to amend the Valuation List.
7. The assessment, administration and payment of Housing Benefit and Council Tax Benefit.

8. The administration of Counter-Fraud work in relation to Housing and Council Tax Benefit. This includes administering sanctions and instigating prosecution proceedings in accordance with the Council's Benefit Fraud Prosecution Policy.
9. To investigate, carry out surveillance where necessary (subject to proper authorisation), and report on any fraud and/or corruption in accordance with the Council's Anti-Fraud and Corruption Strategy.
10. To write off irrecoverable amounts due to the Council in accordance with the Council's write off policy.
11. To write off redundant stocks and/or equipment.
12. To implement and monitor the Treasury Management Statement and Annual Investment Strategy. To raise loans and make investments (temporary investment of surplus monies and longer term investment of monies held for specific purposes) as and when required at appropriate rates. To maintain and update credit rating criteria of institutions for investment purposes and to amend the specified and non specified categories and individual investment limits.
13. To effect movement between the separately agreed limits for borrowing and other long term liabilities.
14. To make appropriate arrangements for the appointment of the Council's Bankers and any other necessary professional advisers/consultants.
15. To open and close bank and building society accounts for investment purposes and to open and close credit card accounts for payment and income purposes.
16. To determine and declare local average rates (interest) in accordance with legislation.
17. To award advances by way of loan under the Housing Acts or other legislation in accordance with regulations prevailing from time to time.
18. To administer the Council's Assisted Car Purchase (Car Loan) Scheme in accordance with its terms and conditions, to periodically review and revise the terms and conditions, and to determine the interest rate to apply.
19. To agree terms, complete and sign lease agreements for vehicles, plant and equipment leases.
20. To make payments out of the County Fund in accordance with any relevant legislation or Financial Procedure Rules.
21. To determine the fees to be charged for miscellaneous items that relate specifically to the Financial Services.
22. To implement nationally agreed salary, remuneration (Chief Executive) and Wales Government awards; and nationally agreed, or Council approved, travelling, subsistence and other allowances.
23. To manage any Trust Funds under the stewardship of the Council.

Ceredigion County Council Constitution - Part 3 Responsibility for Council Functions
PART 3.5 L Delegations to the CLO Finance and Procurement
Updated ~~January 2021~~ February 2022

24. To arrange provision of adequate and appropriate insurance cover for the Council, and manage the processing and determination of insurance claims.
25. To manage the Self Insurance Reserve and all matters relating to it, including risks to be covered and payments to be made from, or to, the Reserve.
26. To provide financial services for other organisations and bodies.
27. To implement the Council's Procurement Strategy.
28. To review and amend the Council's Financial Procedure Rules in consultation with the Section 151 Officer.
29. To nominate officers to represent the Council at Magistrates Court pursuant to the provision of Section 223 (1) of the Local Government Finance Act 1975.
30. To nominate officers to represent the Council at Valuation Tribunals in Accordance with Rule 5 of the Rating Appeal (Local Valuation Courts) Regulations, and Schedule 11 of the Local Government Finance Act 1988, as amended:
31. To authorise signatories for authorising banking transactions and authorising financial grant claims
32. To act as Deputy Electoral Registration Officer.
33. To authorise signatories for authorising financial grant claims and all associated transactions.
34. To sign contracts and other documents on behalf of the Council.
35. To authorise the issue of On-line Money Claim debt recovery proceedings, and to designate officers to represent the Council in such proceedings.

Council Procedure Rules



Cyngor Sir
CEREDIGION
County Council

Author and service:

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1. ANNUAL MEETING OF THE COUNCIL

1.1 TIMING AND BUSINESS

In a year when there is an ordinary election of Councillors, the annual meeting will take place within 21 days of the retirement of the outgoing Councillors. In any other year, the annual meeting will take place on a date in May to be agreed by the Council.

The annual meeting will:

- 1.1.1 elect a person to preside if the Chairperson of Council is not present;
- 1.1.2 elect the Chairperson of Council;
- 1.1.3 receive any disclosures of personal and prejudicial interests;
- 1.1.4 elect the Vice Chairperson of Council;
- 1.1.5 approve the minutes of the last meeting;
- 1.1.6 receive any announcements from the Chairperson and/or Head of Paid Service;
- 1.1.7 to receive an address by the Leader of the Council;
- 1.1.8 to be told by the Leader of the names of Councillors ~~he/she has~~they have chosen to be members of the Cabinet;
- 1.1.9 appoint at least one Overview and Scrutiny Committee, an Ethics and Standards Committee and such other Committees as the Council considers appropriate to deal with matters which are neither reserved to the Council nor are Cabinet functions (as set out in Part 3, Table 1 of this Constitution);
- 1.1.10 decide the size and terms of reference for those committees
- 1.1.11 decide which Committees to establish for the municipal year;
- 1.1.12 decide the allocation of seats to political groups in accordance with the political balance rules;
- 1.1.13 receive nominations of Councillors to serve on each Committee and outside body except where appointment to those bodies has been delegated by the Council or is only exercisable by the Cabinet;
- 1.1.14 appoint to those Committees and outside bodies; and
- 1.1.15 agree such parts of the scheme of delegation as the Constitution determines it is for the Council to agree (as set out in Part 3 Table 3 of this Constitution);
- 1.1.16 approve a programme of ordinary meetings of the Council for the year; and
- 1.1.17 consider any business set out in the notice convening the meeting.

2. ORDINARY MEETINGS

Ordinary meetings of the Council will take place in accordance with a programme decided at the Council's annual meeting. Ordinary meetings will:

- 2.1 elect a person to preside if the Chairperson and Vice Chairperson are not present (such person not being a member of the Cabinet);
- 2.2 receive any disclosures of personal and prejudicial interests from members in accordance with the members Code of Conduct;
- 2.3 confirm as a true record the minutes of the last meeting;
- 2.4 receive any announcements from the Chairperson, Head of Paid Services, Leader and/or Cabinet Members;
- 2.5 deal with any business from the last Council meeting;
- 2.6 receive reports from the Cabinet and the Council's Committees and receive questions, answers and any observations in relation to those reports;
- 2.7 receive reports about and receive questions and answers on the business of joint arrangements and external organisations;
- 2.8 consider motions of which notice has been given; and
- 2.9 any other business specified in the summons to the meeting, including consideration of proposals from the Cabinet in relation to the Council's budget and policy framework.
- 2.10 to elect Chairmen and Vice-Chairmen of Committees in the event of a vacancy arising mid-term
- 2.11 appoint members to fill vacancies on Committees

3. SPECIAL MEETINGS

3.1 CALLING SPECIAL MEETINGS

Those listed below may request the Proper Officer to call Council meetings in addition to ordinary meetings:

- 3.1.1 the Council by resolution;
- 3.1.2 the Chairperson of the Council;
- 3.1.3 the Leader;
- 3.1.4 the Head of Paid Services;
- 3.1.5 the Monitoring Officer; and
- 3.1.6 any five members of the Council if they have signed a requisition presented to the Chairperson of the Council.

3.2 BUSINESS

No business shall be considered at any Special Meeting save such as shall be specified in the notice convening the meeting and be accompanied by a copy of any report for the meeting.

4. TIME AND PLACE OF MEETINGS

The time and place of meetings will be determined by the Proper Officer and notified in the summons.

5. NOTICE OF AND SUMMONS TO MEETINGS

The Proper Officer will give notice to the public of the time and place of any meeting in accordance with the Access to Information Rules. At least three clear days before a meeting, the Proper Officer will send a summons signed by him or her by post or e-mail to every member of the Council or leave it at their usual place of residence. The summons will give the date, time and place of each meeting and specify the business to be transacted, and will be accompanied by such reports as are available.

6. CHAIR OF MEETING

The person presiding at the meeting may exercise any power or duty of the Chairperson. Where these rules apply to Committee and Sub-Committee meetings, references to the Chairperson also include the Chairperson of Committees and Sub-Committees.

7. QUORUM

Save as set out in Article 8.2.1 (see Part 2 of the Constitution) in relation to the Development Control Committee, the quorum of a meeting will be one quarter of the membership for that meeting. During any meeting if the Chairperson counts the number of members present and declares there is not a quorum present, then the meeting will adjourn immediately. Any remaining business will be considered at a time and date fixed by the Chairperson. If ~~he/she~~ doesthey do not fix a date, the remaining business will be considered at the next ordinary meeting.

8. DURATION OF ITEMS OF BUSINESS

If an item of business at the meeting has not been concluded within one hour of its commencement, the Chairperson may draw attention to that fact and may call for the vote immediately on the item under discussion. The vote will then be taken in the usual way without any further discussion.

9. QUESTIONS BY MEMBERS

9.1 ON REPORTS OF THE CABINET OR COMMITTEES

A member of the Council may ask the Leader or the Chairperson of a Committee any question without notice upon an item of the report of the Cabinet or a Committee when that item is being received or under consideration by the Council.

9.2 QUESTIONS ON NOTICE AT FULL COUNCIL

Subject to Rule 9.4, a member of the Council may ask:

- the Chairperson of the Council;
 - the Leader and/or a member of the Cabinet; or
 - the Chairperson of any Committee or Sub-Committee
- a question on any matter in relation to which the Council has powers or duties or which affects Ceredigion.

9.3 QUESTIONS ON NOTICE AT COMMITTEES AND SUB-COMMITTEES

Subject to Rule 9.4, a member of a Committee or Sub-Committee may ask the Chairperson a question on any matter in relation to which the Council has powers or duties or which affect Ceredigion and which falls within the terms of reference of that Committee or Sub-Committee.

9.4 NOTICE OF QUESTIONS

A member may only ask a question under Rule 9.2 or 9.3 if either:

- 9.4.1 they have given at least five working days notice in writing of the question to the Proper Officer; or
- 9.4.2 the question relates to an urgent matter and they have the consent of the Chairperson to whom the question is to be put and the content of the question is given to the Proper Officer by 1.00pm on the day prior to the meeting.

9.5 RESPONSE

An answer may take the form of:

- 9.5.1 a direct oral answer;
- 9.5.2 where the desired information is in a publication of the Council or other published work, a reference to that publication; or
- 9.5.3 where the reply cannot conveniently be given orally, a written answer circulated later to the questioner.

9.6 SUPPLEMENTARY QUESTION

A member asking a question under Rule 9.2 or 9.3 may ask one supplementary question without notice of the member to whom the first question was asked. The supplemental question must arise directly out of the original question or the reply.

10. MOTIONS ON NOTICE

10.1 NOTICE

Except for motions which can be moved without notice under Rule 11, written notice of every motion, signed by at least 2 (proposer and seconder) members, must be delivered to the Proper Officer (which for these purposes shall be the Monitoring Officer) not later than 5.00pm 10 working days before the date of the meeting. These will be entered in a record open to public inspection. No motion moved by notice will be debated at the Annual meeting of the Council.

10.2 MOTION SET OUT IN AGENDA

Motions for which notice has been given will be listed on the agenda in the order in which notice was received, unless the member giving notice states, in writing, that ~~he/she~~they -proposes to move it to a later meeting or withdraw it.

Any members of the Council may give notice of not more than one motion for consideration at any meeting of the Council.

10.3 SCOPE

Motions must be about matters for which the Council has a responsibility and which substantially affect the administrative area of Ceredigion.

10.4 Amendments to Motions

Written amendments to Notices of Motion must be received by the Proper Officer not later than 5pm, 2 working days before the date of the Council meeting, signed by the Proposer and Secunder and will be circulated in written form to all members at the Council meeting. Verbal amendments will be allowed at the discretion of the Chairman. A motion under Rule 10 or notice of motion to amend must be formally moved and seconded at the relevant meeting. In the absence of the recorded proposer or seconder, another member may propose or second the motion or amendment to the motion. If the motion is not moved or is not seconded then it will be treated as withdrawn.

11 MOTIONS WITHOUT NOTICE

The following motions may be moved without notice:

- 11.1 to appoint a Chairperson of the meeting at which the motion is moved;
- 11.2 in relation to the accuracy of the minutes;
- 11.3 to change the order of business in the agenda;
- 11.4 to refer something to an appropriate body or individual;
- 11.5 to appoint a Committee or member arising from an item on the summons for the meeting;
- 11.6 to receive reports or adoption of recommendations of Committees or officers and any resolutions following from them;
- 11.7 to withdraw a motion;
- 11.8 to amend a motion;
- 11.9 to proceed to the next business;
- 11.10 that the question be now put;
- 11.11 to adjourn a debate;
- 11.12 to adjourn a meeting;
- 11.13 to suspend a particular Council procedure rule;
- 11.14 to exclude the public and press in accordance with the Access to Information Rules;
- 11.15 to not hear further a member named under Rule 18.3 or to exclude them from the meeting under Rule 18.4; and
- 11.16 to give the consent of the Council where its consent is required by this Constitution.

12 RULES OF DEBATE

12.1 NO SPEECHES UNTIL MOTION SECONDED

No speeches may be made after the mover has moved a motion and explained the purpose of it and until the motion has been seconded. The proposer of the motion shall have the right to make the first speech in relation to the motion.

12.2 RIGHT TO REQUIRE MOTION IN WRITING

Unless notice of the motion has already been given, the Chairperson may require it to be written down and handed to him/her before it is discussed.

12.3 SECONDER'S SPEECH

When seconding a motion or amendment, a member may reserve their speech until later in the debate.

12.4 CONTENT AND LENGTH OF SPEECHES

12.4.1 Speeches must be directed to the question under discussion or to a personal explanation or point of order.

12.4.2 No speech may exceed five minutes without the consent of the Chairperson.

12.5 WHEN A MEMBER MAY SPEAK AGAIN

A member who has spoken on a motion may not speak again whilst it is the subject of debate, except:

12.5.1 to speak once on an amendment moved by another member;

12.5.2 to move a further amendment if the motion has been amended since they last spoke;

12.5.3 if his/her first speech was on an amendment moved by another member, to speak on the main issue (whether or not the amendment on which ~~he/she~~they spoke was carried);

12.5.4 in exercise of a right of reply;

12.5.5 on a point of order; and

12.5.6 by way of personal explanation.

12.6 AMENDMENTS TO MOTIONS

12.6.1 An amendment to a motion must be relevant to the motion and will either be:

12.6.1.1 to refer the matter to an appropriate body or individual for consideration or reconsideration;

12.6.1.2 to leave out words;

12.6.1.3 leave out words and insert or add others;

12.6.1.4 to insert or add words; or

12.6.1.5 to substitute another proposition.

as long as the effect of 12.6.1.2 to 12.6.1.4 above is not to negate the motion

12.6.2 Any amendments to motions will be called by the Chairperson in an order determined by the Chairperson in consultation with the Monitoring Officer, to facilitate coherent debate and to, wherever possible, allow the opportunity for all amendments to be voted upon. Each amendment will be proposed and seconded and then put to the vote in the order determined by the Chairperson.

12.6.3 If an amendment is carried, the motion as amended takes the place of the original motion. This becomes the substantive motion to which any further amendments are moved.

12.7 ALTERATION OF MOTION

12.7.1 A member may alter a motion of which he/shethey has given notice with the consent of the meeting. The meeting's consent will be signified without discussion.

12.7.2 A member may alter a motion which he/shethey has moved without notice with the consent of both the meeting and the seconder.

12.7.3 Only alterations which could be made as an amendment in accordance with 12.6.1 may be made.

12.8 WITHDRAWAL OF MOTION

A member may withdraw a motion which he/shethey has moved with the consent of both the meeting and the seconder. The meeting's consent will be signified without discussion. No member may speak on the motion after the mover has asked permission to withdraw it unless permission is refused.

12.9 RIGHT TO REPLY

12.9.1 The mover of a motion has a right to reply at the end of the debate on the motion, immediately before it is put to the vote.

12.9.2 If an amendment is moved, the mover of the original motion has the right of reply at the close of the debate on the amendment, but may not otherwise speak on it.

12.9.3 The mover of the amendment has no right of reply to the debate on their amendment.

- 12.9.4 A member may not speak after a proposition has been voted on except on a point of order relating to it.

12.10 MOTIONS WHICH MAY BE MOVED DURING DEBATE

When a motion is under debate, no other motion may be moved except the following procedural motions:

- 12.10.1 to withdraw a motion;
- 12.10.2 to amend a without notice motion;
- 12.10.3 to proceed to the next business;
- 12.10.4 that the question be now put;
- 12.10.5 to adjourn a debate;
- 12.10.6 to adjourn a meeting;
- 12.10.7 to exclude the public and press in accordance with the Access to Information Rules; and
- 12.10.8 to not hear further a member named under Rule 18.3 or to exclude them from the meeting under Rule 18.4.

12.11 CLOSURE MOTIONS

- 12.11.1 A member may move, without comment, the following motions at the end of a speech of another member:

- 12.11.1.1 to proceed to the next business;
- 12.11.1.2 that the question be now put;
- 12.11.1.3 to adjourn a debate; or
- 12.11.1.4 to adjourn a meeting.

- 12.11.2 If a motion to proceed to next business is seconded and the Chairperson thinks the item has been sufficiently discussed, he or she will give the mover of the original motion a right of reply and then put the procedural motion to the vote.

- 12.11.3 If a motion that the question be now put is seconded and the Chairperson thinks the item has been sufficiently discussed, ~~he/she~~they will put the procedural motion to the vote. If it is passed ~~he/she~~they will give the mover of the original motion a right of reply before putting ~~his/her~~their motion to the vote.

- 12.11.4 If a motion to adjourn the debate or to adjourn the meeting is seconded and the Chairperson thinks the item has not been sufficiently discussed and cannot reasonably be so

discussed on that occasion, ~~he/she~~ they will put the procedural motion to the vote without giving the mover of the original motion the right of reply.

12.12 POINT OF ORDER

A member may raise a point of order at any time. The Chairperson will hear them immediately. A point of order may only relate to an alleged breach of these Council Rules of Procedure or the law. The member must indicate the rule of law and the way in which they consider it has been broken. The ruling of the Chairperson on the matter will be final.

12.13 PERSONAL EXPLANATION

A member may make a personal explanation at any time. A personal explanation may only relate to some material part of an earlier speech by the member which may appear to have been misunderstood in the present debate or to make an apology to the Council. The ruling of the Chairperson on the admissibility of a personal explanation will be final.

13. PREVIOUS DECISIONS AND MOTIONS

13.1 MOTION TO RESCIND A PREVIOUS DECISION

A motion or amendment to rescind a decision made at a meeting of Council within the past six months cannot be moved unless the notice of motion is signed by at least twenty members.

13.2 MOTION SIMILAR TO ONE PREVIOUSLY REJECTED

A motion or amendment in similar terms to one that has been rejected at a meeting of Council in the past six months cannot be moved unless the notice of motion or amendment is signed by at least twenty members. Once the motion or amendment is dealt with, no one can propose a similar motion or amendment for six months.

14. VOTING

14.1 MAJORITY

Unless this Constitution provides otherwise, any matter will be decided by a simple majority of those members voting and present in the meeting at the time the recommendation or proposal was presented.

14.2 CHAIRPERSON'S CASTING VOTE

If there are equal numbers of votes for and against, the Chairperson will have a second or casting vote. There will be no restriction on how the Chairperson chooses to exercise a casting vote.

14.3 SHOW OF HANDS

Unless a ballot or recorded vote is demanded under Rules 14.4 and 14.5, the Chairperson will take the vote by show of hands, or if there is no dissent, by the affirmation of the meeting.

14.4 BALLOTS

The vote will take place by ballot if a majority members present at the meeting demand it. The Chairperson will announce the numerical result of the ballot immediately the result is known.

14.5 RECORDED VOTE

If the Council so decides by resolution, the names for and against the motion or amendment or abstaining from voting will be taken down in writing and entered into the minutes. A demand for a recorded vote will override a demand for a ballot save in relation to the appointment of officers.

14.6 RIGHT TO REQUIRE INDIVIDUAL TO BE RECORDED

Where any member requests it immediately after the vote is taken, their vote will be so recorded in the minutes to show whether they voted for or against the motion or abstained from voting.

14.7 VOTING ON APPOINTMENTS OF ELECTED MEMBERS TO POSITIONS TO BE FILLED BY THE COUNCIL

Those entitled to vote shall each vote for only one person. If there are more than two people nominated for any position to be filled and there is not a clear majority of votes in favour of one person, then the name of the person with the least number of votes will be taken off the list and a new vote taken. The process will continue until there is a majority of votes for one person.

15. MINUTES

15.1 SIGNING THE MINUTES

The Chairperson will sign the minutes of the proceedings at the next suitable meeting. The Chairperson will move that the minutes of the previous meeting be signed as a correct record. The only part of the minutes that can be discussed is their accuracy.

15.2 NO REQUIREMENT TO SIGN MINUTES OF PREVIOUS MEETING AT SPECIAL MEETING

Where in relation to any meeting, the next meeting for the purpose of signing the minutes is a meeting called under paragraph 3 of schedule 12 to the Local Government Act 1972 (a Special Meeting), then the next following meeting (being a meeting called otherwise than under that paragraph) will be treated as a suitable meeting for the purposes of paragraph 41(1) and (2) of schedule 12 relating to signing of minutes.

15.3 FORM OF MINUTES

15.3.1 Minutes will contain all motions and amendments in the exact form and order the Chairperson put them.

15.3.2 Where parts of the minutes are excluded because they refer to exempt information and the minutes available do not provide a reasonably fair and coherent record, a written summary will be provided which provides such a record without disclosing the exempt information.

16. RECORD OF ATTENDANCE

All members present during the whole or part of a meeting must sign their names on the attendance sheets before the conclusion of every meeting to assist with the record of attendance.

17. WEBCASTING OF MEETINGS

Meetings of the full Council at the Council Chamber, Neuadd Ceredigion, Penmorfa, Aberaeron will be webcast such footage to be available for viewing on the Council's website at www.ceredigion.gov.uk

18. EXCLUSION OF PUBLIC

Members of the public and press may only be excluded either in accordance with the Access to Information Rules in Part 4 of this Constitution or Rule 19 (Disturbance by Public).

19. MEMBERS' CONDUCT

19.1 SPEAKING

When a member speaks at full Council they must address the meeting through the Chairperson.

19.2 CHAIRPERSON STANDING

When the Chairperson stands during a debate, any member speaking at the time must stop. The meeting must be silent.

19.3 MEMBER NOT TO BE HEARD FURTHER

If a member persistently disregards the ruling of the Chairperson by behaving improperly or offensively or deliberately obstructs business, the Chairperson may move that the member be not heard further. If seconded, the motion will be voted on without discussion.

19.4 MEMBER TO LEAVE THE MEETING

If the member continues to behave improperly after such a motion is carried, the Chairperson may move that either the member leaves the meeting forthwith or that the meeting is adjourned for a specified period. If seconded, the motion will be voted on without discussion.

19.5 GENERAL DISTURBANCE

If there is a general disturbance making orderly business impossible, the Chairperson may adjourn the meeting for as long as ~~he/shethey~~ thinks necessary.

20. DISTURBANCE BY PUBLIC

20.1 REMOVAL OF MEMBER OF THE PUBLIC

If a member of the public interrupts proceedings, the Chairperson will warn the person concerned. If they continue to interrupt, the Chairperson will order their removal from the meeting room.

20.2 CLEARANCE OF PART OF MEETING ROOM

If there is a general disturbance in any part of the meeting room open to the public, the Chairperson may call for that part to be cleared.

21. SUSPENSION AND AMENDMENT OF COUNCIL PROCEDURE RULES

21.1 SUSPENSION

All of these Council Rules of Procedure except Rule 14.6 and 15.2 may be suspended by motion on notice or without notice if at least one half of the whole number of members of the Council are present. Suspension can only be for the duration of the meeting.

21.2 AMENDMENT

Any motion to add to, vary or revoke these Council Rules of Procedure will, when proposed and seconded, stand adjourned without discussion to the next ordinary meeting of the Council.

22. APPLICATION TO COMMITTEES AND SUB-COMMITTEES

Save as set out in paragraph 24 below, all of the Council Rules of Procedure apply to meetings of full Council. None of the rules apply to meetings of the Cabinet. Only Rules 4–22 apply to meetings of Committees and Sub-Committees.

23. OFFICER ADVICE

23.1 Any report placed for decision before Council should contain all necessary advice to enable Members to take a decision. Reports will be circulated in advance of the meeting and if a Member requires clarification on an issue related to the report, this should be sought prior to the meeting.

23.2 Further officer advice will only be available at the meeting of Council with the consent of the Chairperson, in consultation with the Chief Executive, Head of Finance or the Monitoring Officer. If there is a need for further detailed legal or financial advice to be provided, the meeting should be adjourned.

OVERVIEW AND SCRUTINY PROCEDURE RULES



Author and service:
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1. WHAT WILL BE THE NUMBER AND ARRANGEMENTS FOR OVERVIEW AND SCRUTINY COMMITTEES?

The Council will have the Overview and Scrutiny Committees set out in Article 6 and will appoint to them as it considers appropriate from time to time. Such Committees may appoint Sub-Committees. Overview and Scrutiny Committees may also be appointed for a fixed period, on the expiry of which they shall cease to exist. The list of current Overview and Scrutiny Committees and the Terms of Reference is included at Article 6 of this constitution.

2. WHO MAY SIT ON OVERVIEW AND SCRUTINY COMMITTEES?

All Councillors except members of Cabinet may be members of an Overview and Scrutiny Committee. However, no member may be involved in scrutinising a decision in which ~~he/she/they~~ has been directly involved.

3. CO-OPTees

Each Overview and Scrutiny Committee or Sub-Committee shall be entitled to recommend to Council the appointment of non-voting co-optees, subject to a maximum of 2 per Committee, with the exception of the Learning Communities Overview and Scrutiny Committee which will include 9 non-voting co-optees from teachers organisations and the free churches in Ceredigion.

4. EDUCATION REPRESENTATIVES

Each relevant Overview and Scrutiny Committee/Sub-Committee dealing with education matters shall include in its membership the following voting representatives:

- 1 Church in Wales representative;
- 1 Roman Catholic Church representative;
- Independent Churches representative.
- 2 parent governor representatives.

A relevant Overview and Scrutiny Committee/Sub-Committee in this paragraph is an Overview and Scrutiny Committee or Sub-Committee of a Local Education Authority, where the Committee or Sub-Committee's functions relate wholly or in part to any education functions which are the responsibility of the Authority's Cabinet. If the Overview and Scrutiny Committee/Sub-Committee deals with other matters, these representatives shall not vote on those other matters and

may only attend as co-opted members of the Committee for discussion of those other matters if invited to do so.

5. MEETINGS OF THE OVERVIEW AND SCRUTINY COMMITTEES

There shall be at least 5 ordinary meetings of each Overview and Scrutiny Committee in each year. In addition, Special meetings may be called from time to time as and when appropriate. An Overview and Scrutiny Committee meeting may be called by the chair of the relevant Overview and Scrutiny Committee, by any 6 members of the Committee or by the Proper Officer if they consider it necessary or appropriate.

6. QUORUM

The quorum for an Overview and Scrutiny Committee shall be as set out for Committees in the Council Procedure Rules in Part 4 of this Constitution.

7. VOTING

7.1 MAJORITY

Unless this Constitution provides otherwise, any matter will be decided by a simple majority of those Committee members voting and present in the meeting at the time the recommendation or proposal was presented.

7.2 CHAIRPERSON'S CASTING VOTE

If there are equal numbers of votes for and against, the Chairperson will have a second or casting vote. There will be no restriction on how the Chairperson chooses to exercise a casting vote.

8. WHO CHAIRS OVERVIEW AND SCRUTINY COMMITTEE MEETINGS?

The Chairperson will be determined in accordance with the Section 75 of the Local Government (Wales) Measure 2011.

9. WORK PROGRAMME

The Overview and Scrutiny Committees/Sub-Committees will, subject to the Co-ordinating Committee, be responsible for setting their own work programme and in doing so, they shall take into account the wishes of members on that Committee who are not members of the largest political group on the Council.

10. AGENDA ITEMS

Any member of an Overview and Scrutiny Committee or Sub-Committee shall be entitled to give notice to the Proper Officer that ~~he/she~~ wishes an item relevant to the functions of the Committee or Sub-Committee to be included on the agenda for, and be discussed at, a meeting of the Committee or Sub-Committee.

On receipt of such a request, the Proper Officer will ensure that it is included on the next available agenda.

Any 6 members of the Council who are not members of the Overview and Scrutiny Committee may give written notice to the Proper Officer that they wish an item to be included on the agenda of a relevant Overview and Scrutiny Committee. If the Proper Officer receives such a notification, then ~~he/she~~ will include the item on the first available agenda of the relevant Overview and Scrutiny Committee for consideration by the Committee.

The Overview and Scrutiny Committees shall also respond, as soon as their work programme permits, to requests from the Council and if it considers it appropriate ~~for~~ from Cabinet to review particular areas of Council activity. Where they do so, the Overview and Scrutiny Committee shall report their findings and any recommendations back to the Council and/or Cabinet.

11. POLICY REVIEW AND DEVELOPMENT

11.1 The role of the Overview and Scrutiny Committees in relation to the development of the Council's budget and policy framework is set out in detail in the Budget and Policy Framework Procedure Rules.

11.2 In relation to the development of the Council's approach to other matters, not forming part of its policy and budget framework, Overview and Scrutiny Committees or Sub-Committees may make proposals to Cabinet for developments in so far as they relate to matters within their terms of reference.

11.3 Overview and Scrutiny Committees may hold enquiries and investigate the available options for future direction in policy development and may appoint advisers and assessors to assist them in this process. They may go on site visits, conduct public surveys, hold public meetings, commission research and do all other things that they reasonably consider necessary to inform their deliberations. They may ask witnesses to attend to address them on any matter under consideration and may

pay to any advisers, assessors and witnesses a reasonable fee and expenses for doing so.

12. REPORTS FROM OVERVIEW AND SCRUTINY COMMITTEE

- 12.1 Once it has formed recommendations on proposals for development, the Overview and Scrutiny Committee will prepare a formal report and submit it to the Proper Officer for consideration by Cabinet (if the proposals are consistent with the existing budgetary and policy framework), or to the Council as appropriate (e.g. if the recommendation would require a departure from or a change to the agreed budget and policy framework).
- 12.2 If an Overview and Scrutiny Committee cannot agree on one single final report to the Council or Cabinet as appropriate, then up to one minority report may be prepared and submitted for consideration by the Council or Cabinet with the majority report.

13. MAKING SURE THAT OVERVIEW AND SCRUTINY REPORTS ARE CONSIDERED BY THE CABINET

- 13.1 Once an Overview and Scrutiny report on any matter which is the responsibility of the Cabinet has been completed, it shall be included on the agenda of the next available meeting of Cabinet, unless the matter which is the subject of the report is scheduled to be considered by the Cabinet within a period of 4 weeks from the date the report was adopted by the Overview and Scrutiny Committee. In such cases, the report of the Overview and Scrutiny Committee shall be considered by the Cabinet when it considers that matter. If for any reason the Cabinet does not consider the Overview and Scrutiny report within 6 weeks, then the matter will be referred to Council for review, and the Proper Officer will call a Council meeting to consider the report and make a recommendation to the Cabinet.
- 13.2 Where an Overview and Scrutiny Committee prepares a report for consideration by Cabinet in relation to a matter where the Leader or Council has delegated decision-making power to another individual member of Cabinet, then the Overview and Scrutiny Committee will submit a copy of their report to that individual for consideration. At the time of doing so, the Overview and Scrutiny Committee shall serve a copy on the Proper Officer and the Leader. If the member with delegated decision-making power does not accept the recommendations of the Overview and Scrutiny Committee then he/shethey must then refer the matter to the next available meeting of the Cabinet for debate before exercising his/her decision-making power and responding to the report in writing to the Overview and Scrutiny Committee. Cabinet members to whom

the decision-making power has been delegated will respond to the Overview and Scrutiny Committee within 4 weeks of receiving it. A copy of his/hortheir written response to it shall be sent to the Proper Officer and he/shethey will attend a future meeting to respond.

13.3 Overview and Scrutiny Committees will have access to Cabinet's forward work programme for decisions and intentions for consultation. Even where an item is not the subject of detailed proposals from an Overview and Scrutiny Committee following a consideration of possible policy/service developments, the Committee will be able to respond in the course of Cabinet's consultation process.

14. RIGHTS OF OVERVIEW AND SCRUTINY COMMITTEE MEMBERS TO DOCUMENTS

14.1 In addition to their rights as Councillors, members of Overview and Scrutiny Committees have the additional right to documents, and to notice of meetings as set out in the Access to Information Procedure Rules in Part 4 of this Constitution.

14.2 Nothing in this paragraph prevents more detailed liaison between Cabinet and Overview and Scrutiny Committee as appropriate depending on the particular matter under consideration.

15. MEMBERS AND OFFICERS GIVING ACCOUNT

15.1 Any Overview and Scrutiny Committee or Sub-Committee may scrutinise and review decisions made or actions taken in connection with the discharge of any Council functions. As well as reviewing documentation, in fulfilling the scrutiny role, it may require any member of Cabinet, the Chief Executive and any Corporate Director or ~~Assistant Director~~Corporate Lead Officer to attend before it to explain in relation to matters within their remit:

15.1.1 any particular decision or series of decisions; and/or

15.1.2 the extent to which the actions taken implement Council policy; and/or

15.1.3 service performance.

and it is the duty of those persons to attend for this purpose if so required.

- 15.2 Where any member or officer is required to attend an Overview and Scrutiny Committee under this provision, the chair of that Committee will inform the Proper Officer. The Proper Officer shall inform the member or officer in writing giving at least 10 working days' notice of the meeting at which ~~he/she is~~ they are required to attend. The notice will state the nature of the item on which ~~he/she is~~ they are required to attend in order to give account and whether any papers are required to be produced for the Committee. Where the account to be given to the Committee will require the production of a report, then the member or officer concerned will be given sufficient notice to allow for preparation of that documentation.
- 15.3 Where, in exceptional circumstances, the member or officer is unable to attend on the required date, then the Overview and Scrutiny Committee shall, in consultation with the member or officer, arrange an alternative date for attendance.

16. ATTENDANCE BY OTHERS

An Overview and Scrutiny Committee may invite people other than those people referred to in paragraph 15 above to address it, discuss issues of local concern and/or answer questions. It may for example wish to hear from residents, stakeholders and members and officers in other parts of the public sector and may invite such people to attend.

17. CALL-IN

- 17.1 When a decision is made by the Cabinet, an individual member of Cabinet or a Committee of the Cabinet or under joint arrangements, the decision shall be published, including where possible by electronic means, and shall be available at the main offices of the Council normally within 2 working days of being made. Members will be sent copies of the records of all such decisions within 2 working days, by the person responsible for publishing the decision. (See Document D)
- 17.2 The decision notice will bear the date on which it is published and will specify that the decision will come into force, and may then be implemented, on the expiry of 5 working days after the publication of the decision, unless the decision is called-in (see below).
- 17.3 A call-in is the referral of a decision made, but not yet implemented, to the relevant Overview and Scrutiny Committee. Call in powers relate to (executive) Cabinet functions. Any decision made by Cabinet or a key

decision made by an officer under delegated authority ~~from Cabinet~~ may be called-in (subject to exceptions).

A decision can be called-in when Members:

- believe it may be contrary to normal requirements of decision-making
- believe it is contrary to the Council's agreed policy framework and/or budget
- need further information from the decision-maker to explain why it was taken.

17.4 A decision is deemed to have been called in when:

- any three members of the relevant Overview and Scrutiny Committee ('the Committee') whose terms of reference relate to the Cabinet decision (as described in Article 6 of Part 2 of the Constitution); or
- six elected members of the Council, and the chair of that Committee, object to it and call it in by giving a valid call-in request to the Proper Officer (Head of Democratic Services).

17.5 On receipt of a valid Call-In request, the Proper Officer shall convene a meeting of the Committee on such date as the Proper Officer may determine, where possible after consultation with the Chair of the Committee, within 8 working days of the decision to call-in. The Proper Officer shall then notify the decision taker of the call-in.

17.6 A called-in decision cannot be implemented until it has been considered by the Committee.

17.7 If, following receipt of a valid call-in request, the Committee, having considered the decision, does not refer the matter back to the decision-making person or body, the decision shall take effect on the date of the Committee meeting.

17.8 If, having considered the decision, the Committee is still concerned about the decision, then the Committee may refer the decision either

- a) back to the decision-making person or body for reconsideration, setting out in writing the nature of its concerns and giving reasons OR

b) to Council if the decision relates to the Council's policy framework or budget

17.9 If referred back to the decision maker, the decision-making person or body shall then reconsider the decision within a further 10 working days. Having reconsidered the decision, the decision-making person or body shall either confirm the decision, amend the decision or revoke the decision. The decision is deemed to be final and will become effective immediately.

Referrals to Council

17.10 If a decision is referred to Council by the Committee, a Council meeting shall be convened by the Proper Officer within 15 working days of the date of the Committee meeting.

17.11 If the Council does not meet within 15 working days the decision will become effective at the expiry of the 15 days from the Committee meeting.

17.12 If Council does meet within 15 working days, it shall decide whether it objects to the decision or not

If Council:

a) does not object to the decision, then no further action is necessary, and the decision will be effective on the date of the Council meeting or expiry of the period in which the Council meeting should have been held, whichever is the earlier.

b) does object to the decision Council will refer the decision to which it objects back to the decision-making person or body, together with its views and reasons on the decision.

17.13 Where the decision was taken by the Cabinet as a whole or a Committee of it, a meeting will be convened to reconsider the decision within 10 working days of the Council request. Where the decision was made by an individual, the individual will reconsider within 10 working days of the Council request.

17.14 The decision-making body or person shall, having reconsidered the decision, choose to confirm, amend or revoke the original decision. The

decision will be final and effective immediately.

Urgent decisions

- 17.15 The call-in procedure set out above shall not apply where the decision being taken by Cabinet is certified as urgent in accordance with the Rules of Procedure Set out in the Constitution.
- 17.16 A decision is deemed to be urgent if any delay in the implementation of the decision likely to be caused by the call-in process would seriously prejudice the Council's or the public' interests. The record of the decision, and notice by which it is made public shall state whether in the opinion of the decision-making person or body, the decision is an urgent one, and therefore not subject to call-in.
- 17.17 Having taken the advice of the Monitoring Officer into account, the Chairperson of the Council must, agree that the decision proposed is reasonable in all the circumstances and to it being treated as a matter of urgency. In the absence of the Chairperson, the Vice-Chairperson's consent shall be required. In the absence of the Vice Chairperson, the consent of the Chairperson of the Overview and Co-ordinating Scrutiny Committee is required. In the absence of all of the above the Chief Executive (Head of Paid Service) or the Monitoring Officer' consent shall be required.
- 17.18 Decisions taken as a matter of urgency must be reported to the next available meeting of the Council, together with the reasons for urgency.
- 17.19 The operation of the provisions relating to call-in and urgency shall be monitored annually, and a report submitted to Council with proposals for review if necessary.

18. THE PARTY WHIP

The party whip will be considered in accordance with Section 78 of the Local Government (Wales Measure) 2011.

19. PROCEDURE AT OVERVIEW AND SCRUTINY COMMITTEE MEETINGS

- 19.1 Overview and Scrutiny Committees and Sub-Committees shall consider the following business:

Ceredigion County Council Constitution - Part 4 Rules of Procedure

PART 4 DOCUMENT E Overview and Scrutiny Procedure Rules

Updated ~~June 2021~~February 2022

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- 19.1.1 minutes of the last meeting;
 - 19.1.2 disclosures of interest (including whipping declarations);
 - 19.1.3 consideration of any matter referred to the Committee for a decision in relation to call in of a decision;
 - 19.1.4 responses of Cabinet to reports of the Overview and Scrutiny Committee; and
 - 19.1.5 the business otherwise set out on the agenda for the meeting.
- 19.2 where the Overview and Scrutiny Committee conducts investigations (e.g. with a view to policy development), the Committee may also ask people to attend to give evidence at Committee meetings which are to be conducted in accordance with the following principles:
- 19.2.1 that the investigation be conducted fairly and all members of the Committee be given the opportunity to ask questions of attendees, and to contribute and speak;
 - 19.2.2 that those assisting the Committee by giving evidence be treated with respect and courtesy; and
 - 19.2.3 that the investigation be conducted so as to maximise the efficiency of the investigation or analysis.
- 19.3 following any investigation or review, the Committee/Sub-Committee shall prepare a report, for submission to Cabinet and/or Council as appropriate, and shall make its report and findings public.

20. MATTERS WITHIN THE REMIT OF MORE THAN ONE OVERVIEW AND SCRUTINY COMMITTEE

Where a matter for consideration by an Overview and Scrutiny Committee also falls within the remit of one or more other Overview and Scrutiny Committees, the decision as to which Overview and Scrutiny Committee will consider it will be resolved by the Co-ordinating Committee.

APPENDIX 1:

TERMS OF REFERENCE FOR OVERVIEW AND SCRUTINY COMMITTEES

1. OVERVIEW AND SCRUTINY CO-ORDINATING COMMITTEE

Membership

Chairperson and Vice Chairperson appointed by Council together with the Chairmen and Vice-Chairmen of the four individual Overview and Scrutiny Committees (10).

Terms of Reference

- 1.1 To approve an annual Overview and Scrutiny work programme, including the programme of any Sub-Committees appointed, to ensure that there is efficient use of the Committees' and Sub-Committees' time, and that the potential for duplication of effort is minimised; and to suggest areas of work for examination and report by those Committees.
- 1.2 Where matters fall within the remit of more than one Overview and Scrutiny Committee or Sub-Committee, to determine which of them will assume responsibility for any particular issue and to resolve any issues of dispute between Overview and Scrutiny Committees.
- 1.3 To receive requests from the Cabinet and/or the full Council for reports from Overview and Scrutiny Committees and to allocate them if appropriate to one or more Overview and Scrutiny Committees.
- 1.4 To put in place and maintain a system to ensure that referrals from Overview and Scrutiny to Cabinet, either by way of report or for reconsideration are managed efficiently and do not exceed the limits set out in this Constitution.
- 1.5 To prioritise reports produced by individual Overview and Scrutiny Committees for consideration by Cabinet, should such a request be made by Cabinet.
- 1.6 To have the powers of an Overview and Scrutiny Committee in relation to Cabinet decisions made but not implemented as set out in section 21(3) of the Local Government Act 2000.
- 1.7 To request reports either to the Co-ordinating Committee or to an individual Overview and Scrutiny Committee.

- 1.8 To perform all the functions of an Overview and Scrutiny Committee as they relate to Transformation of Services, Public Service Board, Ceredigion Local Well-being Plan, Corporate Strategy, Partnerships, Collaboration, Budget, Safeguarding and Community Safety/Crime and Disorder.

2. CORPORATE RESOURCES OVERVIEW AND SCRUTINY COMMITTEE

Membership

~~47-13~~ Councillors

Terms of Reference

To fulfil all the functions of an Overview and Scrutiny Committee as they relate to Corporate Services (to include human resources, customer services, ICT, treasury management and legal services), Inclusion/Equal Opportunities, Civil Contingencies, Business Continuity, Estates Management and Civil Registration.

3. HEALTHIER COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE

Membership

~~47-13~~ Councillors

Terms of reference

To fulfil all the functions of an Overview and Scrutiny Committee as they relate to Social Services, Integrated Care Services, Housing Services, Leisure and Recreation Facilities, Environmental Health, Public Protection and Licencing.

4. LEARNING COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE

Membership

~~47-13~~ Councillors, 4 voting church and parent governor representatives and 9 non-voting co-opted members.

Terms of reference

To perform all the functions of an Overview and Scrutiny Committee as they relate to Lifelong Learning, Children and Young People, Schools, Training, Youth Services and Cultural Services.

5. THRIVING COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE

Membership

~~17~~ 13 Councillors

Terms of reference

To perform all the functions of an Overview and Scrutiny Committee as they relate to Economic Development, Regeneration, Tourism, Marketing, Stronger Communities, European Grant Aid, Business Support, Capital Programme, Transport and Highways Infrastructure, Town and Country Planning and Sustainability Coast and Countryside and Waste and other Municipal Services

PART 6

Management Structure

CHIEF EXECUTIVE: EIFION EVANS

CORPORATE DIRECTOR : BARRY REES

CORPORATE DIRECTOR: ~~CAROLINE LEWIS (INTERIM)~~ JAMES STARBUCK

- To ensure the development, implementation and evaluation of corporate strategic priorities and objectives which deliver high quality, safe, efficient and effective services to the residents of Ceredigion
- To work strategically and creatively to achieve the highest possible standards of performance in Council services

- To be Corporate Director and provide strategic leadership within the Council ensuring that all services comply with, and support, the Council's strategic objectives and standards.
- To deputise for the Chief Executive when required
- To provide leadership, guidance and performance management of up to six Corporate Lead Officers

CORPORATE LEAD OFFICERS (6)

CORPORATE LEAD OFFICERS (6)

- To be Corporate Lead Officer and lead advisor to the Council for all matters relating to their specific functions as listed below
- To provide a key link with Corporate Directors and work with other Corporate Lead Officers in ensuring that strategic and corporate objectives are effectively co-ordinated and implemented across all service areas

- Whilst Corporate Lead Officers have specific responsibility for the management and leadership of a portfolio of service areas, they have an overriding corporate responsibility to ensure that all service activities and actions comply with and support Council strategic objectives and standards
- To work creatively and strategically to achieve the highest possible standards of performance in Ceredigion County Council services

SCHOOLS AND CULTURE	LEGAL & GOVERNANCE	FINANCE & PROCUREMENT	POLICY, PERFORMANCE & PUBLIC PROTECTION	ECONOMY & REGENERATION	HIGHWAYS & ENVIRONMENTAL SERVICES	PORTH CYNNAL - SPECIALIST THROUGH AGE SERVICES	PORTH GOFAL TARGETED INTERVENTION	PORTH CYMORTH CYNNAR	PEOPLE & ORGANISATION	CUSTOMER CONTACT	DEMOCRATIC SERVICES
Meinir Ebbsworth	Elin Prysor	Stephen Johnson	Alun Williams	Russell Hughes-Pickering	Rhodri Llwyd	Sian Howys	Donna Pritchard	Elen James	Geraint Edwards (interim)	Arwyn Morris	Lowri Edwards
*Chief Education Officer	*Monitoring Officer	*Chief Finance Officer (s151 Officer)				*Statutory Director of Social Services *Responsible Individual	Deputy Director of Social Services			*SIRO *Proper Officer for Civil Registration	*Head of Democratic Services
<ul style="list-style-type: none"> • School Improvement • Additional Learning Needs • Pupil well-being • School Admissions • Infrastructure & Resources • Culture • Catering 	<ul style="list-style-type: none"> • Legal • Governance • Internal Audit • Coroners 	<ul style="list-style-type: none"> • Procurement and Payments • Core Finance (Deputy 151) • Service Finance • Revenues & Financial Assessment , 	<ul style="list-style-type: none"> • Strategic Partnerships, Engagement & Equalities • Complaints, Compliments & FOI • Public Protection • Corporate Performance & Research • Refugee resettlement • Civil contingencies & Business continuity 	<ul style="list-style-type: none"> • Growth and Enterprise • Planning • Property 	<ul style="list-style-type: none"> • Highways Maintenance • Highways Development • Local Environment Services • Transport Services 	<ul style="list-style-type: none"> • Specialist through age services including • Safeguarding • Mental Health • Planned care • Substance misuse • Extended Support Services • Quality Assurance & Independent Review 	<ul style="list-style-type: none"> • Porth Ceredigion Intake & Triage Team • Targeted intervention services • Fostering Services • Residential and Day care services • Housing Services • Integrated community equipment stores • Emergency Duty Team 	<ul style="list-style-type: none"> • Lifelong Learning & Skills • Leisure & Wellbeing • Youth Support Services • Early Help Services • Support and Intervention Services • Behaviour Support Services 	<ul style="list-style-type: none"> • HR Advice & Admin • Pay and Benefits & Systems • Learning & Development • Health & Safety • Employee engagement & wellbeing 	<ul style="list-style-type: none"> • ICT • Customer Contact • Archives & Info Management • Library Services • Civil Registration 	<ul style="list-style-type: none"> • Democratic Services • Welsh Language Standards & Translation • Communication • Electoral Services • Corporate Service Support

* denotes Statutory Roles

PART 7
CONSULTATIVE AND ADVISORY
FORA

Contents

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Ceredigion County Council Constitution PART 8 Consultative and Advisory Fora
Section 1 Consultative and Advisory Fora
Updated January 2021

Section 1 Consultative and advisory fora [statutory and non-statutory]

A - Statutory

Standing Advisory Council on Religious Education S.A.C.R.E.

Background: Established by Council's Education Committee on 2 February 1996 in accordance with the Education Reform Act 1988 and the Education Act 1993 [paras. 88:1 and 2 of Welsh Office Circular 10/94 and Chapter 3 of the Education Act 1996 also refer].

Its main function is to advise the LEA on matters related to Collective Worship in community and other schools and to advise on the religious education given in accordance with their Agreed Syllabus. It can also support effective provision of RE and Collective Worship by way Of:

- Giving advice on methods of teaching agreed syllabus RE including choice of teaching materials
- Advising the LEA on the provision of training for teachers
- Monitoring inspection reports on RE, Collective Worship and Spiritual, Moral, Social and Cultural Development
- Considering complaints about the provision and delivery of Religious Education and Collective Worship referred to it by the LEA.

Council Representation: 5 Councillors (politically balanced and non executive)

Schools Admissions Forum

Background: The Schools Admissions Forum was established by Cabinet on 21 October 2003 [Minute C278 refers]. The Education (Admission Forum)(Wales) Regulations 2003 implement the relevant Section of the Schools Standards and Framework Act 1998 and require the Council, as LEA, to establish an admissions forum. The principal function of the Forum is to advise on issues relating to pupil admission and the effectiveness of policies and processes.

Cabinet/Council Representation: Leader of the Council, Cabinet Member for Learning Services, Children and Young People's Partnership, Chairman of the Learning Communities Overview and Scrutiny Committee,

Schools Budget Forum

Background: The Schools Budget Forum was established by Cabinet on 21 October 2003 [Minute C278 refers]. Section 43 of the Education Act 2002 requires the Council, as LEA, to establish a schools forum, with the LEA required to consult the Forum, at least annually, on prospective revisions to its scheme for financing schools and in respect of any other issues that affect maintained schools directly or indirectly through their impact on schools budgets.

Cabinet/Council Representation: Leader of the Council, Cabinet Member for Learning Services, Children and Young People's Partnership, Chairman of the Learning Communities Overview and Scrutiny Committee.

Local Access Forum

Background: The Ceredigion Local Access Forum was established by Cabinet on 26 February 2002 [Minute C750 refers] in accordance with the Countryside and Rights of Way Act 2000 [CROW Act] to provide advice to the Council, the Countryside Council for Wales and others as appropriate as to the improvement of public access to land in the area for the purposes of open-air recreation and the enjoyment of the area in ways which take account of land management, social, economic, environmental and educational interests.

Cabinet/Council Representation: Cabinet Member for Economy and Regeneration.

B – Non-statutory

School Review Panel

Background: Established by the Cabinet in accordance with the Primary School Review Policy, up-dated in January 2010, to undertake reviews for recommendation to the Cabinet.

Cabinet/Council Representation: Cabinet Member for Learning Services, Children and Young People's Partnership, Chairman of the Learning Communities Overview and Scrutiny Committee and two elected Members appointed by the Cabinet.

Education Transport Appeals Panel

Background: established to enable parents to appeal against a decision to refuse to provide transport for their children from home to school.
Council representation: 4 Councillors politically balanced and non executive

Corporate Employee Forum

Background: established by the Cabinet on 7 March 2006 as the corporate forum for consultation and negotiation with the recognised trade unions.

Cabinet Representation: Leader and Deputy Leader of the Council.

Aberaeron, Aberystwyth and New Quay Harbour Users Committees

Background: The Harbour Users Consultative Committees were established by the Council in 1996 as a forum for consulting with the users of the three harbours and now report to Cabinet following the adoption of the Leader and Cabinet executive arrangements in May 2003.

Cabinet/Council Representation: Cabinet Member for Highways and Environmental Services, and relevant Local Members.

Ceredigion Traffic Management Consultative Forum

Background: The Traffic Management Consultative Forum is a forum for consulting local stakeholders on traffic management issues and reports to Cabinet. The Forum will be convened on a biannual basis to discuss County wide matters.

Cabinet / Council Representation: Cabinet Member for Highways and Environmental Services, Chairman of the Thriving Communities Overview and Scrutiny Committee and relevant Local Members.

Ceredigion 50+ Forum

Background: The 50+ forum was established by the Cabinet and the PSB in order to represent the voice of the older people (50+) within the County and to enable them to have a voice in developing strategies and services.

Cabinet/Council Representation: Cabinet Member Porth Gofal Targeted Intervention Service

Ceredigion County Council Constitution PART 7 Consultative and Advisory Fora

Section 1 Consultative and Advisory Fora

Updated ~~January 2021~~ February 2022

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Development ~~Control~~ Management Committee - Site Inspection Panel

Background: The Site Inspection Panel was established by the Development Control Committee to undertake visits to sites which are the subject of planning applications, prior to the Committee making a decision, in order to identify features of a proposal which may be difficult to convey in a written report.

Functions:

- Fact finding exercises;
- Not part of the formal consideration of the application (therefore public rights of attendance do not apply);
- To enable officers to point out relevant features;
- To enable questions to be asked on site for clarification. However, discussion on the application will only take place at the subsequent Committee or Council as all relevant parties may not attend on site.
- The Committee is not bound by any recommendations made.

Council representation: Five members to comprise the Chairman and Vice-Chairman of the Committee, the Immediate Past Chairman of the Committee and two other members on a monthly rota basis.

Non Domestic Rates Hardship and Council Tax Discretionary Relief Appeals Panel

Background: The Non Domestic Rates Hardship and Council Tax Discretionary Relief Appeals Panel has been established to determine appeal applications by citizens against a decision to refuse Non-domestic Hardship relief or Council Tax Discretionary Relief.

Council Representation: 7 Members on a rota basis (3 per Panel meeting)

Section 2 Internal Policy Development / Monitoring Groups

Development Group

Background: Considers where future investment should be focussed in order to deliver the Council's objectives and priorities.

Cabinet/Council Representation: Leader; Deputy Leader; Cabinet Member Economy & Regeneration; Cabinet Member Finance & Procurement

Capital Monitoring Group

Background: The Capital Monitoring Group is a working group charged with monitoring the progress of the capital programme and making recommendations on any in-year revisions to Cabinet.

Council Representation: Cabinet Member Finance & Procurement.

Corporate Public Transport Unit (CPTU) Members Reference Group

Background: The Corporate Transport Unit Members reference group was established to meet the statutory requirements in relation to the provision of education and social services transport and in the preparation of policies in relation to integrated transport and traffic reduction; and to advise the Council with respect to any discretionary functions including

- To specify transport services
- To procure and monitor transport services
- The group is defined as a reference group:

Cabinet Representation: Cabinet Member for Learning Services, Children and Young People's Partnership Cabinet Member for Highways and Environmental Services, , Cabinet Member for Porth Gofal Targeted Intervention Service.

Housing Renovation Grants Panel

Background: The Housing Renovation Grants Panel was established to review the current renovation grants policy and to make recommendations to Cabinet and Council in respect of amendments/improvements to the policy.

Cabinet Representation: Deputy Leader of the Council and the Cabinet Member for Porth Gofal Targeted Intervention Service and Cabinet Member Highways and Environmental Services with Housing

Corporate Parenting Group

Background: established in order to plan and commission services for Looked After Children.

Cabinet Representation: Cabinet Member Schools & Culture Services & Porth Cymorth Cynnar.

Local Operational Group (LOG) Safeguarding

Background: Local Operational Group established as part of the Mid & West Wales Regional Safeguarding Board with a remit regarding performance and practice in relation to safeguarding (through age) in Ceredigion.

Cabinet Representation:

Ceredigion Strategic Safeguarding Board (Children & Adults)

Background: Corporate Strategic responsibility for safeguarding for children and adults.

Cabinet Representation: Cabinet Member Porth Cynnal Specialist Through Age Services & Culture; Cabinet Member Schools and Culture Services & Porth Cymorth Cynnar; Cabinet Member for Porth Gofal Targeted Intervention

Corporate Equalities Working Group

Background: Established by the Cabinet in order to monitor, coordinate, review and develop the corporate equalities policies. Revised in 2012 in order to progress the Strategic Equality Plan.

Cabinet Representation: Leader of the Council (Chair)

Welsh Language Consultative Committee

Background: Established in order to oversee the implementation of the Welsh Language Standards

Cabinet Representation: Leader of the Council and other Members as appointed.

Emergency & Business Continuity Management Group

Background: Established to oversee and develop the Council's Business Continuity Plan.

Cabinet Representation: Leader of the Council; Cabinet Member Finance & Procurement

Cross Party Transformation and Efficiency Group

Background: Established to consider all aspects of the Councils' Transformation programme and activity centred around the long-term vision and supporting objectives of the Council.

Cabinet/Council Representation: 10 Members, politically balanced including Group Leaders and/or their representatives. Overview and Scrutiny Committee Chairs are invited to attend as non-voting observers.

Cross Party Constitution Working Group

Background: Established to consider proposed amendments to the Constitution and make appropriate recommendations to Council. Also receives confirmation of any minor amendments to the Constitution, as made by the Monitoring Officer

Council Representation: 7 Members, politically balanced, including the relevant portfolio Member as Chair.

Ceredigion County Council Constitution PART 7 Consultative and Advisory Fora

Section 1 Consultative and Advisory Fora

Updated ~~January 2021~~ February 2022

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Section 3 Partnerships within Ceredigion

Ceredigion Youth Justice and Prevention Service [YJS] Management Board (Statutory)

Background: established in accordance with the Crime and Disorder Act 1998 to implement arrangements to reduce offending by young people.

Cabinet/Council Representation: None

Ceredigion Public Services Board (PSB) (formerly Local Service Board (LSB))

Background: The Well-being of Future Generations (Wales) Act 2015 gives a legally-binding common purpose of seven Well-being goals and five ways of working designed to support and deliver a public service that meets the needs of the present without compromising the ability of future generations to meet their own needs. The Act also puts a Well-being duty on specified public bodies (that includes Ceredigion County Council) to act jointly and establish statutory Public Services Boards (PSB) for each local authority area in Wales. Each PSB must improve the economic, social, environmental and cultural Well-being of its area by contributing to the achievement of the Well-being goals.

Cabinet Representation: Leader of the Council, Chief Executive.

Community Safety Partnership ('CSP')

Background: Formed in 1999 following the Crime and Disorder Act 1998, membership of the Community Safety Partnership was further extended by the Police Reform Act, 2002, and the Policing & Crime Act, 2009, to include Local Health Boards, Police Authorities and Fire and Rescue Services Authorities, and Probation Service.

The Partnership has an ongoing duty to conduct a crime and disorder assessment. It also develops, implements, monitors and reviews a multi-agency plan to reduce crime and disorder.

The Partnership considers reports from various strategic boards, which also work towards reducing crime and disorder in specific areas.

Cabinet Representation: Cabinet Member with responsibility for Porth Gofal Targeted Intervention, Early Intervention, Wellbeing Hubs and Culture Services Portfolio.

Ceredigion CONTEST Board

Background: A multi-agency CONTEST Board, which considers local requirements and implications relating to the 4 Ps, but specifically focusses on local response to the Prevent requirement. The CONTEST Board reports to the Regional CONTEST Board and the Ceredigion Community Safety Partnership.

Cabinet representation: None

Ceredigion County Council Constitution PART 7 Consultative and Advisory Fora

Section 1 Consultative and Advisory Fora

Updated ~~January 2021~~ February 2022

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Ceredigion Channel Panel (Statutory)

Background: A local operational multi-agency partnership implementing Channel activities and duties. Ceredigion County Council co-ordinates and chairs the Channel Panel, receives referrals on individuals vulnerable to being drawn into terrorism, and draws up a multi-agency intervention support plan, if necessary. The Channel Panel reports to the Ceredigion CONTEST Board (see above), Regional Safeguarding Board and the local Operations Group (CYSUR).

Cabinet representation: None

Mid & West Wales Regional Safeguarding Board

Background: The regional arrangements were established to meet the requirements of the Social Services and Well-being (Wales) Act 2014 and aim to develop safeguarding practice across the region

Cabinet Representation: None

Ceredigion Youth Council

Background: Ceredigion Youth Service established the Ceredigion Youth Council in 2015 in order to ensure that young people in Ceredigion have the opportunity to voice their opinions in a public forum on various matters that have an effect on them in Ceredigion and its members include representatives from the seven Secondary Schools in the County, Ceredigion Training, Coleg Ceredigion and other various organisations/establishments (e.g Urdd Gobaith Cymru, Scouts Club and Young Farmers Clubs etc.). Minutes are presented to Cabinet.

Cabinet representation: None

Section 4 Regional Partnerships/Fora/Consortia/Joint Committees

Trafnidiaeth Canolbarth Cymru (TraCC)

Background: This Joint Committee with Powys County Council was established in order to develop, monitor and review a Regional Transport Plan following a period as a regional consortium.

Cabinet/Council Representation: Cabinet Member for Highways and Environmental Services, and Cabinet Member for Economy and Regeneration.

Central and South West Wales Regional Partnership Board

Background: Set up by Welsh Government Association for strategic collaboration working between Ceredigion, Powys and Gwynedd County Councils.

Cabinet/Council Representation: Leader and Chief Executive.

Central Wales Infrastructure Collaboration

Background: This is a Joint Committee with Powys County Council which meets as required.

Cabinet Representation: and Cabinet Member Highways and Environmental Services with Housing

Mid Wales Education Partnership

Background: This is a joint partnership with Powys County Council with collaboration on a number of agreed local and national priorities and representation on a full range of cross-regional working parties to ensure equity of provision and the best outcomes for schools in Powys and Ceredigion.

Cabinet/Council Representation: None

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Supporting People - Mid and West Wales Regional Collaborative Committee

Background: This is a Multi-Sectoral Regional Collaborative Committees (RCCs) established in August 2012 to ensure the efficient and effective collaborative delivery of housing related support on a regional and local level; in accordance with National Supporting People Guidance.

Cabinet/Council Representation: Cabinet Member for Porth Gofal Targeted Intervention Service and Cabinet Member Highways and Environmental Services with Housing Cabinet Member for Finance and Procurement and Public Protection Services

Area Planning Board for Substance Misuse

Background: Dyfed Area Planning Board (APB) is a multi –Agency Partnership responsible for supporting the planning, commissioning and performance management of Substance Misuse services. The statutory responsible authorities are Dyfed-Powys Police, Ceredigion, Carmarthenshire and Pembrokeshire Local Authorities, Hywel Dda Local Health Board, HM Prisons & Probation Service, and Mid and West Wales Fire & Rescue Service. Public Health Wales, the Youth Justice & Prevention Service, and the Dyfed-Powys Police and Crime Commissioners Office are non- statutory responsible authorities. The APB structure comprises an Executive, underpinned by a Strategy Delivery Group, and a Performance and Finance Group.
Council Representation: Corporate Lead Officer Policy, Performance and Public Protection

Growing Mid Wales Partnership (GMW)

Background: The GMW Partnership is the regional economic partnership covering the geographical footprint of Ceredigion and Powys. The purpose is to seek development of the Mid Wales economy.
Cabinet/Council Representation: Leader of the Council; Cabinet member for Economy & Regeneration; Cabinet Member for Finance & Procurement

West Wales Care Partnership (WWCP)

Background: This Partnership was established as a result of the Social Services (Wales) Act 2014 (SSWBA) in relation to establishment and maintenance of pooled fund budget arrangements, and defined in the Partnership Arrangements (Wales) Regulations 2015. The Local Authorities involved in the partnership include Ceredigion, Pembrokeshire and Carmarthenshire. The partnership operates in accordance with inter-authority agreements, in collaboration with Hywel Dda Health Board. The WWCP's work is directed by the West Wales Regional Partnership Board (see below).
Council Representation: Statutory Director for Social Services.

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The West Wales Regional Partnership Board ('WWRPB')

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Background: The WWRPB brings together senior leaders from the NHS, the Council, education and children's services, housing, the Welsh Ambulance Services NHS Trust and third sector, independent providers and users and carers. It directs the work of the West Wales Care Partnership (see above) and in so doing, fulfils statutory duties introduced by the Social Services and Wellbeing (Wales) Act 2014. The WWRPB works closely with the three Public Services Boards in the region, focusing on areas of shared interest.
Council Representation: Statutory Director of Social Services/Deputy Director of Social Services

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B Member Champions

Member Champions are appointed to the following areas

Subject Area
Older People 50+
Equalities
Sustainability
Safeguarding
Biodiversity
Carers
Combating Poverty
Children and Young People
Armed Forces
Diversity
Learning Disabilities
Public Health
Mental Health
Members Development
Health & Safety
Anti-Slavery and Ethical Employment
Domestic Violence
Digital

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CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 3 March 2021

Title: Draft Annual Governance Statement 2021-22

Purpose of the report: Approval of the Governance framework 2021-22, Local Code of Corporate Governance 2022-2023 and the Annual Governance Statement 2021-22

For: Decision

Cabinet Portfolio and Cabinet Member: Cllr. Ray Quant, Deputy Leader of the Council and Cabinet Member for Customer Contact, Legal & Governance Services and People and Organisation

BACKGROUND

The Accounts and Audit (Wales) Regulations 2014 requires local authorities to conduct at least annually a review of the effectiveness of their governance framework including their systems of internal control. This review must be documented in an Annual Governance Statement and published as part of the Council's Annual Accounts. The Audit Committee is responsible for monitoring the governance arrangements on behalf of the Council.

The Statement must be prepared in accordance with proper practices, including those set out in the Chartered Institute of Public Finance and Accountancy ('CIPFA') and International Federation of Accountants ('IFAC') 'Delivering Good Governance in Local Government: Framework' (2016). The Framework, published in April 2016, is based on the CIPFA/IFAC 'International Framework: Good Governance in the Public Sector'. The framework includes a new definition of governance which stresses how good governance is essential in enabling an organisation to achieve its goals:

- Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved;
- To deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity's objectives while acting in the public interest at all times; and
- Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

The international framework includes seven principles of governance that will enable organisations, public sector partnerships and combined authorities to achieve their outcomes while working in the public interest. The principles are further supported by core-principles of behaviour that demonstrate what good governance should look like in practice.

The principles are:

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law;

Principle B: Ensuring openness and comprehensive stakeholder engagement;

Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits;

Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes;

Principle E: Developing the entity's capacity, including the capability of leadership and the individuals within it;

Principle F: Managing Risks and performance through robust internal control and strong public financial management; and

Principle G: Implementing good practice in transparency reporting, and audit, to deliver effective accountability.

Annual Governance Framework

To comply with requirements, the new framework was adopted in 2016-17 and the guidance followed as a basis for testing governance structures by:

- Reviewing existing arrangements;
- Developing and maintaining an up-to-date local code of governance, including arrangements for ensuring on-going effectiveness; and
- Reporting publicly on compliance with their own code on an annual basis and on how they have monitored the effectiveness of their governance arrangements in the year and on planned changes.

In accordance with recommendations from the external regulator, Audit Wales, a Member/Officer workshop was held to review existing governance arrangements against the framework and, in accordance with the guidance, each principal has been scored to reflect how well our governance arrangements go towards achieving good governance.

The final review scoring completed during the workshop is included (see **Appendix 1**). In summary a total of 94 behaviours were reviewed with 1 with an improved score from 7/8 to 9/10.

Therefore, 91 total behaviours are now scored at 9/10, 2 remain at 7/8 and 1 remains at 5/6.

As a result of revised scores, actions have been identified for 2022-2023 and are included in section 6 of the Annual Governance Statement.

Each score used in the Governance Framework Document is a score out of 10 e.g. a score of 7/8 means a score of between 7 and 8 out of a total 10 marks.

Annual Governance Statement

The Draft Annual Governance Statement 2021-22 (see **Appendix 2**) has been brought together in accordance with the framework. It has regard to necessary changes due to the pandemic and includes:

- An acknowledgement of responsibility for ensuring good governance;

- Reference to the assessment;
- An opinion on the level of assurance that the governance arrangements can provide;
- A progress report on how issues identified last year have been resolved;
- An agreed action plan to deal with governance issues over the next year; and
- A conclusion.

Local Code for Corporate Governance

The Local Code for Corporate Governance brings together all the local codes and documents that set out the Council's governance arrangements and has been revisited for 2022-23 (see **Appendix 3**).

Governance and Audit Committee

The draft documents (at **Appendices 2 and 3**) were approved by the Governance and Audit Committee on 19 January 2022. At that Meeting, the Committee also agreed that:

1. A 'corporate memory' be established for continuity and to ensure there is a link between recommendations contained in reports, including those of Audit Wales, and the Council's policies, self-assessments and frameworks, and that this is reflected in the Annual Governance Statement to ensure tracking and monitoring.

It was confirmed to the Committee that this would partly be done through the newly established Governance and Audit Committee Meetings Actions Log.

Additional text shall be inserted for the evidence, actions and potentially scoring in the Governance Framework Document 2021-22 and for the corporate governance achievements, actions and outcomes in the draft 2021-2022 Annual Governance Statement to establish a link with the recommendations of Audit Wales in its Report 'Review of the Planning Service – Ceredigion County Council 2020-21', and these revised documents shall be re-presented to Council once the changes have been made and considered by the Governance and Audit Committee.

(Report to Governance and Audit Committee of 17th January 2022 on Audit Wales Report and Meeting Minutes available at:

<https://council.ceredigion.gov.uk/ieListDocuments.aspx?CId=147&MId=259&Ver=4&LLL=0> and Report to Governance and Audit Committee of 19th January 2022 and

Meeting Minutes available at

<https://council.ceredigion.gov.uk/ieListDocuments.aspx?CId=147&MId=209&Ver=4&LLL=0>)

2. Consideration be given to providing at the top of the Annual Governance Statement document an explanation on the bands used in relation to scoring in line with CIPFA guidance, for an easy reference for the public reader.

As the bands are used in the Governance Framework Document, this document has been updated to include (see page 2 at top of table) an explanation on the bands used in relation to scoring (see tracked changes at **Appendix 1**) as follows:

Scoring

Note that each score used throughout this Governance Framework Document is a score out of 10 e.g. a score of 7/8 means a score of between 7 and 8 out of a total 10 marks.

As requested, an additional statement has also been added to the draft Annual Governance Statement 2021-2022 (see p.5 of **Appendix 2**) for clarification, as follows:

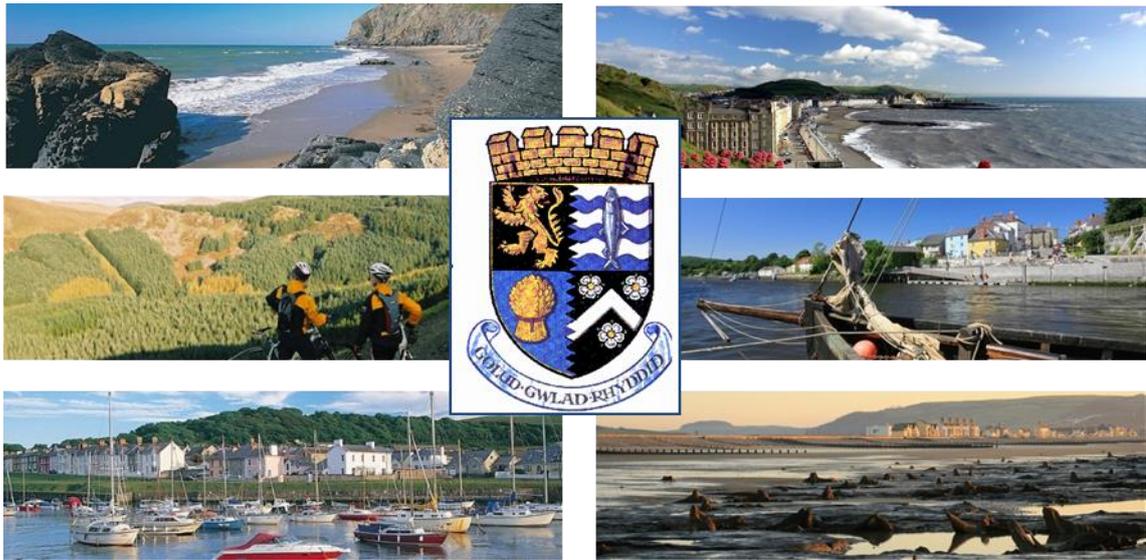
Each score used in the Governance Framework Document is a score out of 10 e.g. a score of 7/8 means a score of between 7 and 8 out of a total 10 marks.

A minor correction has also been made to the draft Annual Governance Statement 2021-2022 (see page 4 of **Appendix 2**) to reflect that the Local Code of Corporate Governance *has* been reviewed further to take account of ongoing changes to governance due to the coronavirus pandemic.

	Has an Integrated Impact Assessment been completed?	No
	If, not, please state why	No policy change
	Summary:	Corporate Governance Statement sets out how the Authority carries out its functions in a way that demonstrates accountability, transparency, effectiveness, integrity, impartiality and inclusivity.
	Long term:	Corporate Governance is about developing the entity's capacity, including the capability of its leadership and the individuals within it ensures the long term sustainability of the Council
Wellbeing of Future Generations:	Integration:	Corporate Governance ensures that risks and performance are managed through robust internal control and strong public financial management.
	Collaboration:	Corporate Governance ensures Implementation of good practices in transparency, reporting and audit, to deliver effective accountability
	Involvement:	Corporate Governance ensures that outcomes are defined in terms of sustainable economic, social, environmental and cultural benefits
	Prevention:	Corporate Governance involves determining the interventions necessary to optimize the achievements of the intended outcomes.

Recommendation(s):	That Council resolves to: <ol style="list-style-type: none"> 1. Note the contents of the 2021-2022 Governance Framework Document (Appendix 1) 2. Approve the Draft Annual Governance Statement 2021-2022 (Appendix 2) 3. Approve the Local Code of Corporate Governance 2022-2023 for publication (Appendix 3)
Reasons for decision:	To progress the publication of an Annual Governance Statement 2021-22 in accordance with The Accounts and Audit (Wales) Regulations 2014.
Overview and Scrutiny:	Considered by Governance and Audit Committee 19/1/2022
Policy Framework:	None
Corporate Priorities:	Effective Corporate Governance ensures that the Council can deliver on all the Corporate Priorities <ol style="list-style-type: none"> 1. Boosting the Economy 2. Investing in Peoples Future 3. Enabling Individual and Family Resilience 4. Promoting Environmental and Community Resilience 5.
Financial implications:	The Council will not fully comply with Requirements
Legal implications:	The Council will fail to comply with legislation/regulations
Statutory Powers:	Accounts and Audit (Wales) Regulations 2014.
Background Papers:	None
Appendices:	Appendix 1 – 2021-22 Governance Framework Document Appendix 2 – 2021-22 Draft Annual Governance Statement Appendix 3 – 2022-2023 Local Code of Corporate Governance
Corporate Lead Officer:	Elin Prysor, CLO Legal & Governance/Monitoring Officer
Date:	9/2/2022

CEREDIGION COUNTY COUNCIL



Governance Framework Review 2021 -2022

Scoring						
Note that each score used throughout this Governance Framework Document is a score out of 10 e.g. a score of 7/8 means a score of between 7 and 8 out of a total 10 marks.						
A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law						
Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.						
Sub-principles	Behaviours	Evidence	Expected	✓/X	Score	Action
A1. Behaving with integrity	Elin Prysor / Lowri Edwards/Steve Johnson/Amanda Roberts / Alex Jenkins A1.1 Ensuring Members and Officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation	<ul style="list-style-type: none"> • <u>Code of Conduct for Members</u> (updated in 2016) available on the Council's website, intranet site (CeriNet) under Councillor Resources, and in the <u>Constitution</u>. • <u>Members Code of Conduct Flowchart</u> (updated in 2016). • Code of Conduct for Officers* (currently being updated) available along with all Corporate policies and strategies via Council website/<u>CeriNet</u>. • Individual sign off with regard to compliance. • Induction and follow-up training on Code of Conduct and ethics provided to all Members. • Ethics/Fraud training provided in collaboration with Council's insurer at Corporate Managers' quarterly workshop 28.5.2021. Slides from presentation are forming a basis for e-learning module for all Staff and Internal Audit ('IA') & Governance Services working with Learning & Development to prepare scenarios for training. Training supported by recent review of Council's Strategy on Counter-Fraud, Corruption & Bribery (to include Anti-Money Laundering). • Follow up Internal Audit of Council's arrangements regarding Ethics also in progress (currently in review). • Day to day advice is provided by the Monitoring Officer ('MO') and Scrutiny Support Officer. • <u>Disciplinary Policy (Nov 2017)</u>. • Personal Development Review. • Register of Members interests, available from the Council's Democratic Services, reviewed by M O. • <u>Declaration of Interest</u> and <u>Hospitality</u> forms for Officers and Members on CeriNet. • Regular reminders and advice is sent by the MO to Staff via internal News update emails. • Monitoring and review by MO of Chief Officers' declarations annually. • MO advises Chief Officers on need to declare close personal associations with other Officers or Members (<u>MO News Email Update of 20.7.2021 on CeriNet</u>) including advising Chief Officers at Leadership Group Meetings. • The Code of Conduct for Officers is in the process of being substantially reviewed. 	Codes of Conduct	✓	9/10	<p>Good overall governance considered compliant and meets best practice. No further action required.</p> <p>MO to continue to advise Members further on the need to declare hospitality/gifts.</p> <p>MO to continue to advise Chief Officers further on the need to declare:</p> <ul style="list-style-type: none"> • close personal associations with other Officers or Members, Ongoing review on Chief Officers business declarations <p>MO and CLO Democratic Services to continue to review Members holding directorships, trusteeships, or memberships when appointed onto outside bodies, and committees, MO to consider member feedback and added value and continue to update Code of Conduct for Officers and Members</p> <p>Update Dispensations forms for Members</p> <p>Appraisals were halted due to Covid-19 Pandemic but have now recommenced</p>
			Individual Sign-off with regard to compliance with the code	✓		
			Induction for new Members and Staff on standard of behaviour expected	✓		
			Performance appraisals otherwise known as Personal Development Reviews	✓		
		Officer Declaration forms				

		<ul style="list-style-type: none"> • Update advice on Council Employees' Declarations and Registration of Interests (News email updates published 16.12.2021 and 20.7.2021 including re Covid-19 Restrictions Business Fund NDR Grants for businesses (News update published 8.1.2021). • MO advising of Officers re declarations of interest is ongoing. Regular reminders through News Updates on CeriNet system and at Leadership Group. Update on Council Employees' Declarations of Interest and Hospitality was published on 20 July 2021 on the Council's CeriNet Site, including links to the relevant forms and Code of Conduct for Local Government Employees, along with a reminder that any queries or requests for advice should be made to the MO. • Chief Officers informed through CeriNet system news update of MO email re declaring interests and Hospitality and reminder to Chief Officers sent. • Review is currently being undertaken of the external bodies that have appointed Members, including added value, and also updating of the Constitution. • Declarations of interest by Members and Officers at meetings, an opportunity to make reference to any close personal contacts/roles etc. • Ongoing review on Chief Officers' business declarations. • Update Dispensations forms for Members completed. • Members required to update Register of Interests in accordance with the Code of Conduct, and in addition, annually, which is opportunity to reference any close personal associates/roles etc. This now includes lay/independent members of the Ethics & Standards Committee and Governance & Audit Committee. Register of Interests booklet published for each Member on Council Website. • Proactive regular advice and reminders sent to Members and Officers as required. • MO to advise Officers further on the need to declare interests in organisations which actually, or may conflict with Council interests including: <ul style="list-style-type: none"> ○ Contractors; ○ School Governors; ○ Clerk to Town and Community councils; ○ Members of Town and Community councils; and ○ School Governors. • MO to advise Officers further on the need to declare: <ul style="list-style-type: none"> ○ Directorships; and ○ Other employment <p>Including whether conflicting with the Council's interests or not. MO sent email message to Officers on 20.7.2021 reminding Officers of requirements of declarations and</p>			<p>(undertaken in May 2021 and continue to be held virtually).</p> <p>Reviewed Code of Conduct for Officers to be issued once updated & approved.</p> <p>Officers to complete a Mandatory Ethics/Fraud e-training module once completed & approved.</p>
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		<p>Hospitality and Interests (including regarding Covid-19 Enhanced Lockdown Grants for businesses).</p> <ul style="list-style-type: none"> • Dispensations forms for Members updated (2020). • Professional Qualified Officers and Teachers have to meet their professional body/organisation requirements. • Members complete a HR training module. • Training on standards of behaviour is provided to Managers for Staff. • MO circulates to political group leaders updates/decisions from the Adjudication Panel for Wales, whose role is to determine alleged breaches by elected and co-opted members against their authority's statutory code of conduct. • The Ethics and Standards Committee will have new duties (from May 2022) under the Local Government and Elections (Wales) Act 2021 ('2021 Act'), to include: • Monitoring compliance by leaders of political groups on the Council with their duties under S.52A(1) Local Government Act 2000; • Advising, training or arranging to train leaders of political groups on the Council about matters relating to their duties under S.52A (1) Local Government Act 2000. • The duty to monitor compliance of political group leaders is in relation to standards of conduct, and ensure that this is visible, and consistently demonstrated and evidenced to protect the Council's reputation. 				
	<p>Elin Prysor A1.2 Ensuring Members take the lead in establishing specific standard operating principles or values for the Organisation and its Staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)</p>	<ul style="list-style-type: none"> • A good working relationship exists with the Welsh Government as a key regulator. Regular dialogue is maintained with representatives from Audit Wales. • This vision for the Council has been reviewed and endorsed by Cabinet, and the vision sets out a number of long term Strategic Objectives. • <u>The Corporate Strategy 2017-2022 includes Well-being and Improvement Objectives 20-19-20</u> setting out the Council's priorities and high level objectives with supporting actions on an annual basis. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website. • <u>Code of Conduct for Members (2016)</u>. • <u>Register of Members' interests available from the Council's Democratic Services</u> reviewed by MO. • Declarations of interest by Members and Officers at meetings. • Chief Officers' annual Declarations of Interest and continuing obligations to declare interests. • Member annual update of Register of Interests and continuing obligations to declare interests (including lay/independent members of the Ethics & Standards Committee and Governance and Audit Committee). 	<p>Standards reflect WG Public Service Values</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
			<p>Communicating shared values with Members, Staff, the community and partners</p>	<p>✓</p>		

		<ul style="list-style-type: none"> Regular dialogue with Public Services Ombudsman for Wales ('PSOW'), and other regulators including Estyn, CIW, ICO and IPCO. 				
	<p>Elin Prysor / Lowri Edwards A1.3 Leading by example and using these standard operating principles or values as a framework for decision making and other actions</p>	<ul style="list-style-type: none"> <u>Minutes for all committees</u> contain Declarations of Interest-Officers and Members. <u>The Constitution</u> is subject to regular reviews, with ongoing updates as required, including presenting proposed changes to Cross Party Constitution Working Group, to make recommendations on changes to Constitution to Council. Further revision in 2021 is ongoing, as the Constitution is a live document, to reflect legislative changes and according to need. Council approved amendments on 18.3.21 and 23.9.21. A comparison exercise will be undertaken of the Current Constitution against the Model Constitution issued by WLGA. Politically Balanced Constitution Cross Party Working Group meets regularly to consider proposals for Constitution updates. Meetings held 15.2.21, 19.4.21, 30.6.21, 10.8.21 and 8.11.21. MO/Governance Officer report to Council to update delegations and Constitution. Chief Officer annual Declarations of Interest. <u>Corporate Strategy</u> (2017-2022) contains the priorities of the Council. The Well-being and Improvement Objectives build on the priority areas identified in the <u>Corporate Strategy 2017-2022</u> and are reviewed annually These are developed in consultation with the public and Members. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website. A mandatory E-learning training module, introduced in September 2017, on the Well-Being of Future Generations Act 2015 ('WFGA') must be completed by all Staff (between September 2017 and November 2021 completed by 2,834 employees, of which 343 through Welsh and 2,491 through English). Between April and November 2021, 242 total employees completed the module, 40 through Welsh, 202 through English (* these figures include leavers). Reminders issued to Staff who not yet completed module and Leadership Groups receive periodic reports. Members' standards and conduct matters considered by the Council's <u>Ethics and Standards Committee</u>. Public meetings held regularly, and chaired by an independent person- 	<p>Leadership values set out by WG are followed</p> <p>Decision making practices</p> <p>Declarations of interest made at meetings</p> <p>Conduct at meetings</p> <p>Shared values guide decision making</p> <p>Develop and maintain an effective standards committee</p>	<p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p> <p>Leadership Group to be updated on e-learning with HR reporting to Leadership Group.</p>

		<p>determine dispensations, and consider strategic/policy issues and receive updates from PSOW Casebook & APW cases.</p> <ul style="list-style-type: none"> • The main duties of the Ethics & Standards Committee are to improve standards of Member conduct and operation of the Code of Conduct for Members. • Committee and Members are advised by the MO. • Ethics and Standards Committee engage actively in the training of Members. • Standards Conference 2018 jointly hosted by Powys & Ceredigion County Council (held on 14 September 2018). A similar conference was to be hosted by North Wales Councils in 2021-postponed due to Covid-19. • Annual Ethics & Standards Committee Report reported to Council in October 2021. • Governance and Audit Committee carry out a benchmarking exercise annually to provide further assurance on the review of the <u>Annual Governance Statement</u> ('AGS') process. • IA review and report on the process annually. Governance & Audit Committee meets regularly to consider governance and external regulator reports. Chaired by non-executive member. • Governance and Audit Committee Annual Report reported to Council on 23.9.2021 and approved. • <u>Covid-19 Governance Structure</u> introduced by the Council, to include temporary delegated powers for the Council's Chief Executive and Leadership Group through use of Urgent Decisions for decisions relating to the Council's COVID-19 response), in accordance with Council's Constitution. The Urgent Decision of the Leader was reviewed regularly, and expired on 31.8.2021. • Gold Command continues under operational procedures pursuant to Civil Contingencies Act 2004 • Gold Command Record of Decisions published on the Council's website). • <u>Record of Decisions</u>, made by the Covid-19 Leadership Group ('Gold Command') published on the Council's Website. 				
	<p>Elin Prysor/Alun Williams A1.4 Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively</p>	<ul style="list-style-type: none"> • Effective '<u>Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)</u>' updated and approved by Council 17.6.21(minutes confirmed 23.9.21). • Internal Audit Annual Report on Counter Fraud presented to Governance and Audit Committee at year-end. • <u>Register of Members' interests</u> available from the Council's Democratic Services. • Declarations of interest/hospitality for Officers, as required. • MO circulates reminder re interest/hospitality declarations to Staff quarterly. 	<p>Anti-fraud and corruption policies are working effectively</p> <p>Up-to-date register of interests (Members and Staff)</p> <p>Up-to-date register if gifts and hospitality</p> <p>Whistleblowing policies are in place and protect</p>	<p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required</p> <ul style="list-style-type: none"> • Delegated Decisions Register to be published. • Continued monitoring of the Mandatory e-learning take up of

		<ul style="list-style-type: none"> • NFI match highlights Staff who are directors of companies that have dealings with the Council – any non-declarations investigated by IA and reported to MO. • Chief Officer Declarations of interest updated annually. • Politically Restricted Post Register for Officers maintained and <u>Political Restrictions on Local Government Employees Policy</u> available to employees on CeriNet. • Ethics/Fraud training provided in collaboration with Council's insurer at Corporate Managers' quarterly workshop 28.5.2021. Slides from presentation forming a basis for e-learning module for all Staff, and IA & Governance Services working with Learning & Development to prepare scenarios for training. • Training supported by recent review of Council's Strategy on Counter-Fraud, Corruption & Bribery (to include Anti-Money Laundering). • Ethics Audit undertaken during 2019. Follow up Internal Audit of Council's arrangements regarding Ethics also in progress (currently in review). • <u>Whistleblowing Policy</u> available to Employees and Contractors (updated 2018) on CeriNet and is updated as necessary. • MO is the Corporate Lead Officer ('CLO'), and advises Whistle-blowers, as appropriate. • A mandatory E-learning training module on Whistleblowing must be completed by all Staff. The MO keeps a register of referrals and reports 6-monthly to the Overview and Scrutiny Co-ordinating Committee. • All complaints are dealt with in accordance with the corporate procedures which include informal and formal stages and these are communicated to Staff on a regular basis. • The complaints system is monitored by the Corporate Complaints and Freedom of Information Manager. <u>Corporate Complaints Policy</u> has been reviewed, new Policy presented to Corporate Resources Overview & Scrutiny Committee 7.7.21 and to Council 23.9.2021, and Revised Concerns and Complaints Policy and Procedures 2021, its implementation and publication approved by Council. • Improvements are implemented as a result of complaints /recommendations received. • <u>Council Complaints and Freedom of Information Privacy Notice</u>. • Annual Complaints Report considered by the Governance and Audit Committee and Cabinet prior to approval by Council, presented to Council and noted. • Annual Complaints Report includes Lessons Learned from complaints received. • <u>Ethics and Standards Committee</u> and all other committee agendas/minutes contain disclosures of interests. • <u>Minutes for all committees</u> published on the Council's Website. 	<p>individuals raising concerns</p> <p>Whistleblowing policy has been made available to members of the public, employees, partners and contractors</p> <p>Complaints policy and examples of responding to complaints about behaviour</p> <p>Changes/improvements , as a result of complaints received and acted upon</p> <p>Members and Officers code of conduct refers to a requirement to declare interests</p> <p>Minutes show declarations of interests were sought and appropriate declarations made</p>	<p></p> <p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p>		<p>Whistleblowing module. Currently lower than required.</p> <ul style="list-style-type: none"> • Whistleblowing Policy to be reviewed.
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	Elin Prysor	<ul style="list-style-type: none"> • <u>Ethics and Standards Committee</u> championing ethical compliance to ensure that public have trust and confidence 	Scrutiny of ethical decision making	✓	9/10	Good overall governance considered compliant and

A2 Demonstrating strong commitment to ethical values	A2.1 Seeking to establish, monitor and maintain the organisation's ethical standards and performance	that Members and Officers work to highest ethical and moral standards.	Championing ethical compliance at governing body level	✓		meets best practice. No further action required.
	Elin Prysor A2.2 Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	<ul style="list-style-type: none"> The <u>Ethics and Standards Committee</u> has been proactive, leading on training sessions and putting procedures in place for dispensation arrangements. The structure has recently been reviewed to improve efficiency and effectiveness. Officers such as Internal Auditors, sign an annual Code of Ethics affirmation. Internal Audit Charter approved by <u>Governance & Audit Committee</u> 24 February 2021. Carmarthen County Council undertook an independent audit of ethics within the Council during 2019. Follow up Internal Audit of Council's arrangements regarding Ethics in progress (currently in review). Training Needs Analysis Questionnaire has been circulated by Council newsletter to Staff requesting opinion on ethical culture of Council & training module planned in response to feedback. 	Provision of ethical awareness training	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required. All actions have commenced and are on-going
	Geraint Edwards A2.3 Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	<ul style="list-style-type: none"> Employee Handbook is in the process of being reviewed, is available on <u>CeriNet</u>, sets out the expected <u>Employee behaviour</u> and includes the <u>Code of Conduct for Local Government Employees</u>. Training on equality and diversity and recruitment and selection including equal opportunities is mandatory for all Ceredigion County Council Managers. All Staff must complete an e-learning module on Equality & Diversity. <u>Procurement Strategy 2018-2022</u> was approved by Council 19th June 2018. Procurement training also being rolled out to Staff. Council Recruitment Policy and DBS Policy. 	Appraisal processes take account of values and ethical behaviour Staff appointments policy Procurement policy	✓ ✓ ✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson A2.4 Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation	<ul style="list-style-type: none"> <u>Standard Terms and Conditions</u> for all Suppliers of Goods and services include conditions relating to Equality and Diversity and are available on the Council's website. <u>Procurement Strategy 2018-2022</u> In-House software used to retrospectively check for suspected duplicate payments. Council has developed a Modern Slavery Policy (sent to contractors of the Council), Anti-Slavery Annual Statement 2019-2020 and Code of Practice Ethical Employment in Supply Chains. 	Agreed Values in partnership working -Statement of business ethics communicates commitment to ethical values to external suppliers -Ethical values feature in contracts with external service providers	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

			Protocols for partnership working	✓		
A3. Respecting the rule of law	Elin Prysor A3.1 Ensuring members and Staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations	<ul style="list-style-type: none"> • <u>Council Constitution.</u> • Statutory powers and legal implications included in every decision making Cabinet report. • Legal and Financial advice/implications is provided on all appropriate reports for decision. • The MO and Legal Services are available to advise as appropriate. • The IA Service is available to advise as appropriate. • The MO attends Leadership Group/Cabinet/Council meetings. • The MO routinely attends many public meetings, as required, subject to availability. • In the absence of the MO, the Deputy MO will attend Cabinet and Council meetings. • <u>Covid-19 Governance Structure</u> introduced by the Council, to include temporary delegated powers for the Council's Chief Executive and Leadership Group through use of Urgent Decisions for decisions relating to the Council's COVID-19 response), in accordance with Council's Constitution. The Urgent Decision of the Leader was reviewed regularly, and expired on 31.8.2021. • Gold Command continues under operational procedures pursuant to Civil Contingencies Act 2004 • Gold Command Record of Decisions published on the Council's website). • <u>Roadmap</u> produced, which outlines the services the Council does and does not provide, and what the Council's plans are, which is reviewed regularly, for Ceredigion giving overview of services provided in light of Covid-19 Pandemic, current guidance and number of cases in Ceredigion. • The 2021 Act shall have an effect on corporate bodies, including the Council, and preparations for compliance are ongoing, including through the Cross-Party Constitution Working Group (Members of each political group in attendance), reports to the Governance and Audit Committee and Council, with a Council Action plan having been prepared and updated regularly, and meetings with relevant Officers and CLOs held, as appropriate. 	Statutory provisions	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Statutory guidance is followed	✓		
			Constitution	✓		
	Elin Prysor / Stephen Johnson/Amanda Roberts / Alex Jenkins A3.2 Creating the conditions to ensure that the statutory Officers, other key post holders and members are	<ul style="list-style-type: none"> • Job descriptions & person specifications clearly define the roles and responsibilities required of posts. • Members' Role descriptions set out their respective responsibilities. • Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, published 13 April 2016). 	Job descriptions/specific ations	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Compliance with CIPF's statement on the role of the Chief Financial Officer in	✓		

	<p>able to fulfil their responsibilities in accordance with legislative and regulatory requirements.</p>	<ul style="list-style-type: none"> • Compliance with CIPFA’s Statement on the Role of the Head of Internal Audit in Public Service Organisations (CIPFA, published 9 April 2019) & contribution published in CIPFA’s accompanying Putting Principles into Practice document (2019)). • Terms of reference are included in the Constitution. • Reporting to Governance and <u>Audit Committee</u>. • <u>Financial Regulations and Financial Procedure Rules (Document F Constitution)</u>. • <u>Contract Procedure Rules (Document G in the Council’s Constitution)</u>. • Codes of Conduct (see above). • Compliance with Specific Codes e.g. <u>Internal Auditors’ Public Sector Internal Audit Standards</u> (‘PSIAS’, March 2017) • Members of Governance and Audit Committee updated on fraud including IA annual counter fraud report. • Statutory Officers accountable to the Chief Executive (‘CE’) and the Council. • Regular meetings between CE, S.151 Officer & MO. • Corporate Manager – Internal Audit (‘CMIA’) has free & unfettered access to Members and Officers at all levels, and right of access as per Council’s <u>Constitution</u> and Internal Audit Charter. • Register of Members’ Interests published on the <u>Council Website</u>. • 2021 Act received Royal Assent January 2021 and makes changes to the Governance and Audit Committee. • GAC Terms of Reference updated according to the new Act. 	<p>local government (CIPFA 2016)</p>			
		<p>Terms of reference</p>		✓		
			<p>Committee support</p>	✓		
<p>Elin Prysor / Steve Johnson A3.3 Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders</p>		<ul style="list-style-type: none"> • Chief Officers provide support and advice to Members. Reporting requires financial and legal advice/implications to be included in reports/decisions which are published as appropriate. 	<p>Record of legal advice provided by Officers</p>	✓	9/10	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
<p>Elin Prysor A3.4 Dealing with breaches of legal and regulatory provisions effectively</p>		<ul style="list-style-type: none"> • The MO has direct access to the CE and reports to Council generally and as part of statutory duty. • The MO or a nominated representative attends all Cabinet meetings and Council Meetings. The MO operates an ‘open’ door policy for Members wishing to receive ‘conduct’ and ‘governance’ advice. • The MO & S.151 Officer have monthly meetings with the CE. • The MO & S.151 Officer are key members of Leadership Group. • Items reported to Members for decisions through Cabinet, Council and Committees are subject to legal and financial advice which will be referenced within each report. • Statutory powers and legal implications included in every decision making Cabinet report. 	<p>MO provisions & 151 Officer provisions</p>	✓	9/10	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
			<p>Record of legal advice provided by Officers</p>	✓		
			<p>Statutory provisions</p>	✓		

		<ul style="list-style-type: none"> • Legal and Financial advice/implications is provided on all appropriate reports for decision. • The MO and Legal Service are available to advise in advance and at meetings. 				
	<p>Elin Pryor / Amanda Roberts / Alex Jenkins A3.5 Ensuring corruption and misuse of power are dealt with effectively</p>	<ul style="list-style-type: none"> • Effective '<u>Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)</u>' updated and approved by Council 17 June 2021 (minutes confirmed 23 September 2021). • Effective External Audit, Internal investigations. • <u>Whistleblowing Policy</u> and Disciplinary Policy. • An Officer in the IA team is an accredited Counter Fraud Technician. • Officer(s) of the IA team hold a CIPFA Certificate in Investigative Practices ('CCIP'). • Council complies with Audit Wales's annual <u>National Fraud Initiative</u> requirements, currently co-ordinated by Internal Audit. • IA annual report on Counter Fraud presented to Governance and Audit Committee at year-end. • Monitoring and response to fraud alerts (NAFN, wider networks, peers, etc). • Membership and active participation in professional networks and groups (Tisonline, KHub, etc). • IA offer advice to services on implementation of new systems and processes to ensure effective internal controls maintained. • Nominated Council Officers undertake various fraud training to maintain knowledge and expertise. • Where appropriate, successful prosecutions publicised on Council website (and in local press). • Covid-19 grant payments audited prior to payment (as easier to stop a payment than recover it). • Key financial control audits added to audit plan, to check controls, governance & risks whilst staff working from home. • IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council. 	<p>Effective Counter-fraud and corruption policies and procedures</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
			<p>Local test of assurance (where appropriate)</p>	<p>✓</p>		

B. Ensuring openness and comprehensive stakeholder engagement						
Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.						
Sub-principles	Behaviours	Evidence	Expected	✓/X	Score	Action
B1 Openness	Alun Williams B1.1 Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	<ul style="list-style-type: none"> All statutory <u>Annual reports</u> are available on the Council's Website. <u>Freedom of Information Act publication scheme.</u> A host of service areas are available online including <u>council tax self-service and information.</u> The Council's goals and values are set out in the <u>Corporate Strategy 2017-2022.</u> <u>Ceredigion County Council Website.</u> Council and Cabinet meetings are broadcasted. MO and Ethics & Standards generic email addresses created. Regular and timely responses to the press and other enquiries to Management and members as well as comprehensive FOI responses. Review of the FOI Publication scheme in progress. <u>Freedom of Information Policy (March 2018).</u> Corporate Complaints and Freedom of Information Manager in post. <u>Complaints and Freedom of Information Privacy Notice.</u> <u>Environmental Information Regulations Policy (March 2018).</u> 	Annual Report	✓	7/8	Acceptable Minor adjustments may be required FOI policy and EIR policy both updated. Review of the FOI Publication Scheme is in progress.
			FOI publication scheme			
			Online Council Tax information	✓		
			Authorities Goals & Values	✓		
			Authority website	✓		
	Lowri Edwards B1.2 Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided	<ul style="list-style-type: none"> All Council, Cabinet and Committee meetings open to the public and agendas and papers published on the Council website (with the exception of exempt reports). An Overview and Scrutiny <u>Public Engagement Protocol (2018) (Document N Constitution)</u> has been approved by Council and has been used on several occasions Protocol for speaking at the Development Control Committee in place (Part 4 Document I Constitution). Protocol for access by Cabinet Members to Overview and Scrutiny Committee approved by Council (Part 5 Document M2 Constitution). 	Record of decision making and supporting materials	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Lowri Edwards B1.3 Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear	<ul style="list-style-type: none"> <u>Integrated Impact Assessment ('IIA') tool and guidance</u> to inform effective decision making have been developed and are being implemented. Council / Cabinet report template updated to include reference to legal implications, staffing implications, property / asset implications and risks. <u>Standard templates and guidance</u> for reporting to Council, Cabinet and Overview and Scrutiny Committees are used and all include the IIA results. 	Decision making protocols	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Report pro-forma	✓		
			Record of professional advice in reaching decisions	✓		
			Meeting reports show details of advice given	✓		

		<ul style="list-style-type: none"> • Where appropriate, items reported for decisions through Cabinet, Council and Committees are subject to legal and financial advice which will be referenced within each report. • A Protocol is in place for working relationships between Members and Officers (e.g. Officer-Member Protocol). (<u>The Constitution Part 5</u>). • A calendar of <u>dates of meetings</u> including forward work programmes of the Council, Cabinet and Committees are published on the Council's website. • Annual reports, Statements of accounts, Improvement progress reports are all published within timescales and are available on the <u>Council's website</u>. • Organisational Awareness training available as an optional module of the Corporate Manager Programme, which includes information relating to the decision making process, Wellbeing of Future Generations Act, Equalities, Welsh Language and the use of the IIAs. 	Discussion between members and Officers on the information needs of members to support decision making	✓		
	<p>Alun Williams B1.4 Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action</p>	<ul style="list-style-type: none"> • <u>The Engagement and Consultation Checklist</u> assists with decision making around whether or not to undertake a consultation regarding a proposed change and guidance on dissemination of consultation results is available to Officers. • IIA conclusions reported to Council, Cabinet and Overview and Scrutiny. 10 IIAs went to Cabinet over 2021-22 up to 1.12.2021. Committees, which includes consultation. • The Council, in collaboration with partners, has carried out significant engagement to produce the Public Service Board's ('PSB') Well-being Assessment and <u>Local Well-being Plan</u>. • Well-being objectives for 2020-21 have been set in order to deliver the <u>Corporate Strategy 2017-2022</u>. • <u>Corporate Complaints Policy</u> has been reviewed, new Policy presented to Corporate Resources Overview & Scrutiny Committee 7.7.21 and to Council 23.9.2021, and <u>Revised Concerns and Complaints Policy and Procedures 2021</u>, its implementation and publication approved by Council. • <u>Social Services Complaints Policy</u> and Procedure has been reviewed. • <u>Consultation Decision making tool (Consultation Tree and flowchart)</u> have been developed and includes the use of feedback. • Further consultation includes: <ul style="list-style-type: none"> ○ A new Engagement and Equalities post has been created through the restructure of the Policy and Performance service; and 	Well-being strategy (PSB) and statement (LA)	✓	7/8	Acceptable Minor adjustments may be required
			Use of consultation feedback	✓		
			Complaints policy and use of complaints	✓		
			Citizen survey	x		

		<ul style="list-style-type: none"> ○ All <u>current consultations</u> are available on the Council website; and • <u>Consultations 2020-2021.</u> • <u>Consultations are published on Corporate section of Council Website.</u> • Due to Covid-19, Council has consulted remotely via video conferences and electronic surveys. • <u>Consultations</u> are promoted through Social Media • Guidance has been issued on the Ceredigion Council intranet to all Staff to follow with regards to the dissemination of feedback to decision makers. Recent indications are that significant progress is being made in this area by Officers. 				
B2 Engaging comprehensively with institutional stakeholders	Alun Williams / Diana Davies B2.1 Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably	<ul style="list-style-type: none"> • <u>PSB Terms of Reference</u> available on the Council Website. • PSB Project Groups Terms of Reference available • Joint engagement and consultation exercises are held • All <u>current consultations</u> are available on the Council Website. • Collaborative projects are running with institutional stakeholders with clear governance arrangements in place. • Scrutiny arrangements for the PSB have been put in place. • The <u>IIA tool and guidance</u> have been approved for implementation. • <u>Consultation Decision Tool (Consultation Decision Tree and flowchart)</u> have been developed and are available. 	Communication and engagement strategy	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Diana Davies B2.2 Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	<ul style="list-style-type: none"> • <u>Engagement with Service Users List</u> including stakeholders with whom the authority should engage is in place and <u>Community Engagement Policy.</u> • <u>Collaboration Standards for New Strategic Projects Guidance and Templates</u> are available. <p>Partnerships Include:</p> <ul style="list-style-type: none"> ○ <u>PSB;</u> ○ <u>West Wales Regional Partnership Board;</u> ○ <u>Community Safety Partnership;</u> ○ <u>Mid and West Wales Safeguarding Board;</u> and ○ <u>Growing Mid Wales.</u> <ul style="list-style-type: none"> • The formal review of partnerships that sit under the PSB has been completed. The new partnership structure has been operational since June 2018 and the partnerships will be reviewed on a periodic basis. • A review of the <u>Community Safety Partnership</u> was undertaken in 2019 and was subject to scrutiny. 	Database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	<p>Alun Williams / Diana Davies B2.3 Ensuring that partnerships are based on:</p> <ul style="list-style-type: none"> • trust • a shared commitment to change • a culture that promotes and accepts challenge among partners and • that the added value of partnership working is explicit 	<ul style="list-style-type: none"> • Advice provided to Members and Officers serving on outside bodies. • Regular reporting of partnership meetings and activity to Cabinet. • Partnerships such as <u>Growing Mid Wales</u> have been established with governance arrangements. • Regular reporting of partnership meetings and activity to Leadership Group and Cabinet. • Scrutiny arrangements in place for the PSB. • Partnership metrics are subject to internal review, where appropriate. • Legal Team is actively involved in drafting and reviewing Terms of Reference for Inter Authority Agreements ('IAAs') and formal committees. • A suite of documents have been developed that relate to strategic collaboration projects that the Authority is considering entering into. The <u>documents</u> include guidance, standards and numerous templates for varying stages of collaboration projects. • Executive Group Self-assessment carried out. • Growing Mid Wales Joint Overview and Scrutiny Committee has been established. 	Well-being strategy	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Partnership protocols	✓		
<p>B3 Engaging stakeholders effectively, including individual citizens and service users</p>	<p>Alun Williams B3.1 Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes</p>	<ul style="list-style-type: none"> • <u>Consultation Decision Tree and flowchart</u> for Staff and Members have been developed. • <u>The Engagement and Consultation Checklist</u> • <u>Community Engagement Policy (11 Jan 2013)</u> • A <u>Community Engagement, Consultations and Partnerships Page</u> has been created on <u>CeriNet</u>, which includes links to Community Engagement Policy, Engagement and Consultation Checklist, <u>Engagement with Service Users</u> and Consultation Decision Making Tool. • Work is underway to prepare a Community Engagement Policy that will meet the requirements of the 2021 Act, which will also include how the Council will encourage participation in decision-making, although final guidance is awaited from Welsh Government regarding this part of the legislation. • A new Draft Engagement Policy has been prepared to take into account the latest engagement methodology, including digital engagement. This will be consulted upon and agreed following the Local Government Elections in 2022. • A draft new Engagement Strategy for Ceredigion County Council, 'Talking, Listening and Working Together,' has been prepared. This will be consulted upon and agreed following the Local Government Elections in 2022. 	Record of public consultations	✓	5/6	<p>Satisfactory, but further action required.</p> <p>Due to the Covid-19 pandemic, decisions have needed to be made by Gold Command for emergency reasons (under the temporary executive function transfer of power in place until 31.8.2021 and for operational procedures under the Civil Contingencies Act 2004 following that date), therefore it has been impossible to consult physically in the community at present for many services, and consequently the scoring has been amended to reflect this.</p> <p>To continue to progress the review of the Community Engagement Policy that will</p>
			Partnership framework	✓		
			Public Service Boards Terms of Reference	✓		

	<ul style="list-style-type: none"> All IIAs for Cabinet are assessed by the Engagement and Equality Officer, including whether effective engagement, involvement and consultation has taken place and informed strategic decision making process. <u>Public Engagement Tool Kit</u> <u>Engagement with Service Users List</u>. All school reorganisation proposals are required to have formally consulted with stakeholders through adhering to the Welsh Government's School Organisation Code. All <u>current consultations</u> are available on the Council Website. A monitoring partnership framework that reports on all key decisions made by existing partnerships is reported to Leadership Group. 					include provisions for how stakeholders are engaged in future.
Alun Williams / Lowri Edwards B3.2 Ensuring that communication methods are effective and that Members and Officers are clear about their roles with regard to community engagement	<ul style="list-style-type: none"> <u>The Engagement and Consultation Checklist</u> <u>Corporate Strategy (2019-2022)</u>. <u>Community Engagement Policy (11 Jan 2013) is under review</u>: a new Draft Engagement Policy has been prepared to take into account the latest engagement methodology, including digital engagement. This will be consulted upon and agreed following the Local Government Elections in 2022. <u>Public Engagement Tool Kit</u>. <u>Engagement with Service Users List</u>. <u>IIA Tool Kit</u>. <u>Social Media Policy (revised Aug 2018)</u>. <u>Guidelines on Corporate Branding (May 2019)</u>. Minutes of structured engagement meetings and events. 	Evidence of structured stakeholder discussions	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.	
		Communications strategy	✓			
B3.3 Alun Williams / Lowri Edwards Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs	<ul style="list-style-type: none"> <u>Corporate Communications Strategy (2019-2022)</u>. <u>Overview and Scrutiny Public Engagement Protocol (2016) (Document N Constitution)</u>. Social media is being used to seek the public's views on matters being considered by Overview and Scrutiny Committees. <u>IIIA Tool Kit</u>. Summary reports on consultation and engagement activities are reported back to Members and service users. Minutes of engagement groups with people with protected characteristics. Effective Community involvement carried out with the well-being assessment work. Effective Community involvement carried out with service users from different backgrounds to inform the new Strategic Equality Plan. 	Communications and engagement strategy	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.	
		Effective community involvement	✓			

	<p>Alun Williams/Lowri Edwards B3.4 Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account</p>	<ul style="list-style-type: none"> • <u>Corporate Communications Strategy (December 2018)</u>. • Summary reports on consultation and engagement activities, which are reported back to Members and service users. • Dissemination of <u>consultation results</u> and reports on completed consultations and engagement exercises are posted on the Council's public <u>consultations</u> webpage in order to provide feedback to the public. • Processes have been introduced to monitor feedback e.g. any consultation/engagement reports are presented to Scrutiny and Cabinet to inform their decision-making. • Feedback from engagement and how people's views have been taken into account is recorded in the IIAs. 	<p>Communications and engagement strategy</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice.</p>
	<p>Alun Williams B3.5 Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity</p>	<ul style="list-style-type: none"> • We have worked in partnership with Local Authorities and Public Services across Mid and West Wales on the review of our Strategic Equality Plans. A joint question set and engagement and consultation framework was produced and as a result, feedback was obtained from people with protected characteristics. 	<p>Processes for dealing with competing demands within the community for example consultation</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
	<p>Diana Davies B3.6 Taking account of the interests of future generations of tax payers and service users</p>	<ul style="list-style-type: none"> • A <u>Well-being assessment</u> (PSB) has been carried out that has informed the development of the PSB's <u>Local Well-being Plan</u>, which was published in March 2018. • Work has commenced on preparing the next assessment of Local Well-Being that will be published in March 2022. • <u>The Well-being and Improvement Objectives</u> are included in the Council's <u>Corporate Strategy 2017-2022</u> and are reviewed each year. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website. • An <u>annual report</u> on progress made against the Council's Well-being objectives and Corporate priorities in published on the Council Website. • UNCRC – United Nations Convention on the Rights of the Child have been adopted by the Council. • Participation Standards have been adopted by Council. 	<p>Reports</p> <p>Well-being assessment</p> <p>Well-being Objectives and statement</p>	<p>✓</p> <p>✓</p> <p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

C. Defining outcomes in terms of sustainable economic, social, and environmental benefits						
The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.						
Sub-principles	Behaviours	Evidence	Expected	✓/X	Score	Action
C1 Defining outcomes	Alun Williams C1.1 Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions	<ul style="list-style-type: none"> The Council's <u>Well-being and Improvement Objectives</u> are included in the Council's <u>Corporate Strategy 2017-2022</u> and are reviewed each year and reported in the Well-being and Improvement objectives annual report published on the Ceredigion County Council website. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website. The purpose and the vision of the Council have been determined by Council and is contained in the <u>Corporate Strategy 2017-22</u>. This strategy illustrates how the authority will support and promote the well-being of the citizens of Ceredigion. All Planning arrangements reflect the Golden Thread and make the links to Corporate plans including; <ul style="list-style-type: none"> Business Plans; Strategic Plan; Corporate Performance Management Reporting; and Well-being and Improvement Objectives. 	Well-being statement and objectives	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Vision used as a basis for corporate and service planning	✓		
		Alun Williams / Diana Davies C1.2 Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer	<ul style="list-style-type: none"> The <u>IIA tool and guidance</u> are available and training has been rolled out for Officers and Members. <u>Community and Engagement Policy</u> (11 Jan 2013) is available. A <u>Public Engagement Toolkit 2014</u> has been developed in order to provide a user-friendly resource for Officers when developing and undertaking effective public engagement with their communities, in accordance with the National Principles of Public Engagement. Updates on the budget savings and the work of the Development Group are reported to the Cross Party Transformation and Efficiency Consultative Group. The <u>Corporate Strategy 2017-2022 incorporates the well-being and improvement objectives</u>. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website The draft Well-being and Improvement Objectives Annual report 2020-21 included a review of the Well-being and Improvement Objectives. 	Community engagement and involvement	✓	9/10
			Corporate & service plans	✓		
			Well-being plan (PSB) and well-being statement (LA)	✓		
	Alun Williams C1.3 Delivering defined outcomes on a sustainable	<ul style="list-style-type: none"> <u>Performance</u> information is outlined in the Council's Well-being and Improvement Objectives Annual report. 	Regular reports on progress	✓	9/10	Good overall governance considered compliant and

	basis within the resources that will be available	<ul style="list-style-type: none"> Business Plans are prepared on an annual basis and are monitored quarterly by a Performance Board, which includes Cabinet members and the Chairs and Vice Chairs of the Overview and Scrutiny Committees and Chair of the Governance and Audit Committee. Budget setting subject to detailed scrutiny by the five Overview and Scrutiny Committees. The Medium Term Financial Plan. Quarterly performance arrangements provide a challenge protocol to ensure outcomes are delivered. Business planning process includes resource allocation. Cross-Party Transformation and efficiency Group monitors the budget savings and delivery of services within budgets. 				meets best practice. No further action required.
	Alun Williams C1.4 Identifying and managing risks to the achievement of outcomes	<ul style="list-style-type: none"> Corporate performance management arrangements include quarterly assessment of risks to the achievement of outcomes or service delivery. Risk management includes risk logs for; <ul style="list-style-type: none"> Business Plans (Level 1); and Service Plans (Level 2). 	Performance trends are established and reported upon	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Risk management Protocols	✓		
	Stephen Johnson C1.5 Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available	<ul style="list-style-type: none"> Local performance measures are included in Business and service delivery plans. Capital Plans include; <ul style="list-style-type: none"> Rights of Way; Highways; Annual Budget Plan; and Transformation. The Risk Management Policy and Strategy and the Risk Management Framework was approved by Cabinet on 24 September 2019. Risk Management training to be rolled out to Members and Senior Managers. Risk management e-learning package has been developed for all other Staff and training took place in 2019, with workshop with insurers arranged for senior Managers. Publication of service performance, including costs and value for money data is routinely considered within service reports. 	A agreed set of quality standard measures for each service element are included in service plans	✓	9/10	Good overall governance considered compliant and meets best practice. Managing Service users expectations
			Risk management protocols	✓		
C2 Sustainable economic, social and environmental benefits	Steve Johnson / Elin Prysor C2.1 Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision	<ul style="list-style-type: none"> The appointed Auditor considers the Council's arrangements to secure economy, efficiency and effectiveness. In his letter he has stated that the Council has complied with its responsibilities to the use of its resources. The most recent Audit of the Council's Improvement Plan (2020-2021) was issued in November 2020. The report concluded positively that the Council discharged its duties and has acted in accordance with Welsh Government guidance sufficiently to discharge its duties. 	Capital investment is structured to achieve appropriate life spans and adaptability for future use so that resources are spent on optimising social, economic and environmental wellbeing:	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

		<ul style="list-style-type: none"> • A capital appraisal form is completed for new capital projects, which covers the requirement for the project, and is used to assess value for money and the revenue implications of major projects. • Capital Investment Strategy is contained within the <u>Medium Term Financial Strategy</u>. • The Authority has undertaken the following steps towards the implementation of the Well-being of Future Generations (Wales) Act 2015: <ul style="list-style-type: none"> ○ Prepared well-being objectives and statement; ○ Embedded the Well-being Goals and Sustainable; development principal into the business planning process ○ Developed a new <u>IIA tool and guidance</u>; ○ Established a Well-being of Future Generations Act group and action plan; ○ The Constitution is continually monitored and reviewed; ○ PSB <u>assessment of Local Well-being</u> published in March 2017; ○ Scrutiny arrangements agreed for PSB; ○ Cabinet Reports, to include the Social/economic/ environmental impact assessment; ○ A mandatory e-learning module on the Act has been developed and promoted to all Council Staff; ○ an Equality, community and Welsh language Impact Assessment must be undertaken on all school restructuring proposals as required under the Welsh Government School Organisation Code; and ○ Members have contributed to The Future Generations Officer Scrutiny Framework in relation to the WFGA. 	capital programme capital investment strategy			
			Legislative requirements – Well-being of Future Generations (Wales) Act 2015	✓		
Steve Johnson	C2.2 Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints	<ul style="list-style-type: none"> • Wales procurement policy statement is aligned to the Council's <u>Procurement Strategy 2018-2022</u>. • The <u>IIA tool and guidance</u> is available and used to support decision-making. • All reports and <u>minutes</u> are published in a timely manner and are open for inspection. All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act. • Pre-decision Scrutiny encouraged where possible. • <u>The Medium Term Financial Strategy</u>. • <u>The Corporate Strategy 2017-2022</u>. • The Transformation Programme. 	Application of Wales procurement policy statement	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Corporate plans take account of medium and long-term service plans	✓		
			Discussion between Members and Officers on the information needs of Members to support decision making	✓		

			Record of decision making and supporting materials	✓		
	Alun Williams / Diana Davies. C2.3 Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs	<ul style="list-style-type: none"> Public Services Board <u>Local Well-being Plan</u> was published in May 2018. All reports and <u>minutes</u> are published in a timely manner and are open for inspection. All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act. Advice given by MO. <u>Engagement and Consultation Checklists</u> are available on CeriNet. The Council wide WFGA Group Action Plan. <u>IIA tool and guidance</u>. 	Well-being Plan (PSB)	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Record of decision making and supporting materials	✓		
			Protocols for consultation	✓		
	Alun Williams/Lowri Edwards C2.4 Ensuring fair and equal access to services	<ul style="list-style-type: none"> <u>Strategic Equality Plan 2020-2024</u>. Annual <u>Strategic Equality Plan monitoring report 2020-2021</u> being submitted for approval, and once approved will be published on Council website. <u>Welsh Language Standards</u>. <u>Annual Welsh Language Standards monitoring report</u>. Annual Complaints and Compliments Report 2020/21 presented to Corporate Resources Scrutiny Committee 27.10.21 and approved by <u>Council 9/12/21</u>. A mandatory E-learning training module on Welsh Language Awareness must be completed by all Staff. 	Develop protocols to ensure fair access and that statutory guidance is followed	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

D. Determining the interventions necessary to optimise the achievement of the intended outcomes						
Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.						
Sub-principles	Behaviours	Evidence	Expected	✓/X	Score	Action
D1 Determining interventions	Lowri Edwards / Elin Prysor D1.1 Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided	<ul style="list-style-type: none"> The <u>IJA tool and guidance</u> is available and training has been rolled out for Officers and Members. Corporate project management group has been established to formalise project development and management. Standard reporting templates are used in decision making process. Organisational Awareness training available as an optional module of the Corporate Manager Programme, which includes information relating to the decision making process, Wellbeing of Future Generations, Equalities, Welsh Language and the use of the IIAs, Head of Democratic Services and MO (CLO- Legal & Governance) advise as necessary. Risk Management Policy, Strategy and Framework (approved by Cabinet 24.9.10) with training programme for Members, Senior Management and Managers, published on CeriNet and available to all Members of Staff. Documents amended to reflect additional risks and background information to make informed decisions. Corporate Risk Register reported regularly to Governance and Audit Committee (9.9.2021, 3.6.2021) 	Discussion between Members and Officers on the information needs of Members to support decision making Decision making protocols Option appraisals Agreement of information that will be provided and timescales	✓ ✓ ✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson D1.2 Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts	<ul style="list-style-type: none"> <u>Medium Term Financial Strategy</u> has been regularly updated the current version dated 2021/22 Onwards approved by Council 5.3.2021. <u>Consultation decision tree tool</u> includes a guidance section on dissemination of consultation results. Finance challenge regarding savings on Council Website. 	Financial Strategy	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
D2 Planning interventions	Alun Williams D2.1 Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	<ul style="list-style-type: none"> Corporate Performance Management arrangements include quarterly: <ul style="list-style-type: none"> Corporate Lead Officer Service Report; Performance Board; and Executive Panel meetings. A calendar is used to report deadlines and Board/Executive Panel dates are published with reports. 	Calendar of dates for developing and submitting plans and reports that are adhered to.	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	<p>Alun Williams / Diana Davies/Lowri Edwards D2.2 Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered</p>	<ul style="list-style-type: none"> • <u>Corporate Communications Strategy 2019-2022</u> • The <u>Ceredigion PSB</u> has a <u>Local Well-being Plan</u> that has been developed and delivered jointly with external stakeholders and partners. • <u>An Assessment of Local Well-being</u> has been undertaken by the PSB that has fed the <u>Local Well-being Plan</u> and the <u>Council Well-being Objectives</u> for future years. 	<p>Communication and engagement strategy</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
	<p>Alun Williams D2.3 Considering and monitoring risks facing each partner when working collaboratively including shared risks</p>	<ul style="list-style-type: none"> • All major collaboration projects have established governance and management arrangements including risk management. • All projects considered by Corporate Project Management Panel, which is also attended by IA and is an effective forum for advice/challenge and highlighting risks as Service areas develop projects, including collaboration projects. • The Corporate Project Management Panel helps ensure projects give early consideration to: the Well Being and Future Generations Act; to other guidance; to finance, procurement, governance and legal arrangements; to HR implications; Health & Safety; and Audit. Improve project arrangements prior to reporting to the Development Group and other authorisation processes. • Account will be taken of legislative changes e.g. work is ongoing in relation to implementing legislative changes such as LGEW 2021 Act changes and considering/monitoring risks facing each partner when working collaboratively, including shared risks. Meetings are being held and preparation being carried out, for example, regarding the 2021 Act's requirement for Corporate Joint Committees, including potential and shared risks (a CJC group has been established, with the first meeting held on 19th April 2021, to consider the requirement to establish the Mid Wales CJC in accordance with the 2021 Act). • Appropriate Joint Scrutiny arrangements are in place in relation to the Growing Mid Wales Board. Similarly, the Mid Wales Corporate Joint Committee will have Sub appropriate arrangements in place (Joint Scrutiny, Standards and Governance and Audit Committee)- arrangements in compliance with legislation and its Standing Orders 	<p>Partnerships/collaboration framework</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p> <p>To continue to take into account legislative changes e.g. Local Government and Elections (Wales) Act 2021.</p> <p>To implement legislative changes, such as Local Government and Elections (Wales) Act 2021 changes and consider/monitor risks facing each partner when working collaboratively, including shared risks.</p>
	<p>Russell Hughes-Pickering D2.4 Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances</p>	<ul style="list-style-type: none"> • Corporate Project Management Group has been established to formalise project development and management. • Ensuring Staff with project management skills are available. • This helps ensure projects give early consideration to: the Well Being and Future Generations Act; to other guidance; to finance, procurement, governance and legal arrangements; to HR implications; Health & Safety; and Audit. Improve project arrangements prior to reporting to the Development Group and other authorisation processes. 	<p>Planning protocols</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

		<ul style="list-style-type: none"> Helps identify capital requirements for inclusion in future capital programmes. 				
	Alun Williams D2.5 Establishing appropriate local performance indicators (as well as relevant statutory or other national performance indicators) as part of the planning process in order to identify how the performance of services and projects is to be measured	<ul style="list-style-type: none"> Local performance indicators have been established and approved for each service element and included in the service plan and are reported upon regularly. The Business Planning process for 2021-22 is being implemented with Level 1 Business Plans shared with the Performance and Research Team. Performance measures have been identified within each Level 1 Business Plan that have in turn translate into the reporting Dashboard for each service. These measures have been closely scrutinised and have received final sign-off from senior leadership. Services report against these measures as part of the performance management process for the year. 	Local performance indicators have been established and approved for each service element and included in the service plan and are reported upon regularly	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Alun Williams D2.6 Ensuring capacity exists to generate the information required to review service quality regularly	<ul style="list-style-type: none"> The Corporate Performance Management arrangements include <ul style="list-style-type: none"> Weekly leadership Group meetings; Quarterly reporting of progress against level 1 Business Plans; Quarterly Performance Board meetings; and Quarterly Executive Panel Meetings. 	Reports include detailed performance results and highlight areas where corrective action is necessary	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson D2.7 Preparing budgets in accordance with organisational objectives, strategies and the medium-term financial plan	<ul style="list-style-type: none"> Business Plans include budget and finance information and form part of the quarterly Corporate Performance Management arrangements. Budget Framework. Service Accountancy – Budget monitoring. 	Evidence that budgets, plans and objectives are aligned	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson D2.8 Informing medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	<ul style="list-style-type: none"> <u>Financial Regulations and Financial Procedure Rules (Document F Constitution)</u> along with Budgetary Control Guidance are all up to date. Chief Officer Assurance Statements. The internal controls in place are subject to regular review by Internal Audit, in accordance with the annual risk-based audit plan. <u>Medium-term financial Strategy.</u> <u>Corporate Strategy 2017-2022.</u> Internal Audit Strategy & Plan 2021/2021 approved by Governance & Audit Committee 24 February 2021. 	Budget guidance and protocols MTFS Corporate Plans	✓ ✓ ✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
D3 Optimising achievement of intended outcomes	Steve Johnson D3.1 Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	<ul style="list-style-type: none"> Changes through the corporate savings plan have been through a robust governance process to ensure that all savings all link to the desired outcome. 	Feedback surveys and exit/decommissioning strategies Changes as a result	✓ ✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson D3.2 Ensuring the budgeting process is all-inclusive, taking into account the full	<ul style="list-style-type: none"> <u>Financial Regulations and Financial Procedure Rules (Document F Constitution)</u> along with Budgetary Control 	Budget guidance and protocols	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	cost of operations over the medium and longer term	<p>Guidance are all up to date. Chief Officer Assurance Statements.</p> <ul style="list-style-type: none"> The internal controls in place are subject to regular review by IA, in accordance with the annual risk-based audit plan. Internal Audit Strategy & Plan 2021/22 approved by Governance and Audit Committee 24/2/21. 				
	Steve Johnson D3.3 Ensuring the medium-term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage	<ul style="list-style-type: none"> <u>Medium Term Financial strategy</u> is in place The corporate savings plan has been through a robust governance process to ensure that all savings link to the desired service outcomes. 	Financial Strategy	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			<p>Long term trends are taken into account</p> <p>Can this be evidenced?</p>	✓		
	Steve Johnson D3.4 Ensuring the achievement of 'social value' through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is "the additional benefit to the community...over and above the direct purchasing of goods, services and outcomes"	<ul style="list-style-type: none"> Community Benefits is embedded in our Processes and Policies and has been regularly applied, monitored and reported upon. Well-being of Future Generations (Wales) Act is integrated into our processes. 	Service plans demonstrate consideration of social value	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Achievement of social value is monitored and reported upon	✓		

E. Developing the entity's capacity, including the capability of its leadership and the individuals within it						
Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind set, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.						
Sub-principles	Behaviour	Evidence	Expected	✓/X	Score	Action
E1 Developing the entity's capacity	Geraint Edwards E1.1 Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness	<ul style="list-style-type: none"> Corporate and line management induction is now in place. Corporate induction and Corporate Manager Development plans were introduced in April 2018. Corporate induction sessions are part of these requirements, all new Staff must attend an induction session. Senior Managers present within these face-to-face sessions. CeriNet (the HR intranet and resource to Staff and management) is continually reviewed and improved for effectiveness. Learning & Development is now managed via the Ceri system offering opportunities to all Staff. E-learning modules are being introduced to ensure training and development is cost effective wherever possible. Ongoing annual Personal Performance and Development scheme – Performance Reviews link to Corporate and strategic objectives. The Corporate Performance Management arrangements provide the forum for performance management's needs and thereafter preparing action plans for delivery of corporate improvements in performance review of Staff. These have been further strengthened with the introduction of annual appraisals for all Staff via the Ceri HR system. Induction programme is provided for new Members. Ongoing training is arranged for specific issues e.g. Treasury management. Members attend various events, seminars and conferences (see above). Personal Development Review process in place for Members. 	Regular reviews of activities, outputs and planned outcomes	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Geraint Edwards E1.2 Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently	<ul style="list-style-type: none"> Utilisation of research and benchmarking exercises. The Ceri HR payroll system has ensured that meaningful data on Staff is now available to Managers on a monthly basis in order to monitor costs turnover and absence. 	Utilisation of research and benchmarking exercises	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	Alun Williams / Diana Davies E1.3 Recognising the benefits of partnerships and collaborative working where added value can be achieved	<ul style="list-style-type: none"> Effective operation of partnerships which deliver agreed outcomes. Effective Partnerships have been developed in a number of areas and services including: <ul style="list-style-type: none"> School Improvement; Health & Social care; and Waste. Additional partnerships are included in the strategic Collaboration Projects List. 	Effective operation of partnerships which deliver agreed outcomes	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Geraint Edwards E1.4 Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	<p>A Human Resources Strategy is available on the Intranet. Strategic workforce planning is undertaken utilising the Strategic workforce planning tool kit and is completed by all service areas. The outcomes of this tool kit informed the workforce plan for 2017-2022. The <u>Workforce Plan 2017-2022</u> focuses on 4 key themes:</p> <ol style="list-style-type: none"> Engagement & Opportunity; Flexible & Agile Workforce; Promote a bilingual workforce; and Leadership & Management Development. <ul style="list-style-type: none"> Updates on progress of the workforce plan are reported to scrutiny. 	Workforce Plan	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Organisational development plan	✓		
E2 Developing the capability of the entity's leadership and other individuals	Elin Prysor / Geraint Edwards E2.1 Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained	<ul style="list-style-type: none"> The Leadership and Senior Officer structure has defined these roles, including how they integrate with each other. Joint meeting of senior Managers ensures that roles, responsibilities and accountabilities are clear. Job descriptions clearly define the roles and responsibilities required of posts. <u>The Constitution</u> sets out the roles and responsibilities of Members (<u>Part 3.4 Table 4</u>) and senior Officers (part 2 Article 2) The Strategic Planning Toolkit includes an element of succession planning and talent management. Learning and Development opportunities are offered to those within a Leadership role or who are aspiring leaders. 	Job descriptions	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			CE and leader pairings have considered how best to establish and maintain effective communication	✓		
	Elin Prysor / Steve Johnson E2.2 Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body	<ul style="list-style-type: none"> A Scheme of Delegation (<u>The Constitution Part 3.5</u>) exists and clearly sets out responsibilities for Members and Officers. Protocols are in place for working relationships between Members and Officers (e.g. Officer-Member Protocol). Codes of Conduct for Officers and Members are in place. Member Officer working groups in place and working effectively. <u>Contract Procedure Rules ('CPR') (Part 4 Document G Constitution)</u> and <u>Financial Regulations and accompanying financial procedures (Part 4 Document F Constitution)</u> are reviewed on a regular basis e.g. CPR updated March 2019. 	Scheme of delegation reviewed at least annual in the light of legal and organisational changes	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Standing orders and financial regulations which are reviewed on a regular basis	✓		
	Elin Prysor	<ul style="list-style-type: none"> The Council's <u>Constitution</u> sets out the functions and responsibilities. 	Clear statement of respective roles and	✓	9/10	Good overall governance considered compliant and

	<p>E2.3 Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure, whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by Members and each provides a check and a balance for each other's authority</p>	<ul style="list-style-type: none"> • The Corporate structure of the Council has been established to ensure that the Statutory Officers are able to perform their roles effectively. • The CE is responsible for reviewing this structure, as necessary. • Democratic Services Committee resolved on 15.10.21 to agree the revised set of Member Role Descriptions, designed to be used alongside Welsh member Development (Competency) Framework, of Welsh Local Government Association ('WLGA') Framework Member Role Descriptions and Person Specifications, which includes role description of the Leader (Report for information also been prepared for presenting to Governance and Audit Committee 19.1.21) 	<p>responsibilities and how they will be put into practice</p>			<p>meets best practice. No further action required.</p>
	<p>Elin Prysor/Lowri Edwards/Geraint Edwards E2.4 Developing the capabilities of Members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:</p> <p>ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged –ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis –ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from</p>	<ul style="list-style-type: none"> • Access to courses/information briefings on new legislation. • Provision of opportunities for ongoing skills and refresher training for Officers. • Members Workshops arranged, as necessary. • Personal reviews for Officers. • Provision and ongoing review of opportunities for skills and refresher training for Members (see above), including Personal Development Review Scheme. • Development/training done as part of person specifications for key finance and legal posts (mandatory qualification, job requirements). 	<p>Access to courses/information briefings on new legislation</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

	governance weaknesses both internal and external					
	<p>Lowri Edwards/ Geraint Edwards</p> <p>E2.5 ensuring Members and Staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged</p>	<ul style="list-style-type: none"> The Council aims to achieve the standard level for the Wales Charter for Member Support and Development. Members' role descriptions are in place and updated as and when circumstances change. A process for Member Personal Development Reviews has been developed and the information will be used to develop a Members' Training Plan. Induction and Corporate Manager Development plans are in place. The introduction of <u>CeriNet</u> as a HR intranet and resource to Staff and management has improved effectiveness. Induction information is available along with the Staff handbook and Managers Toolkit. E-learning packages are regularly being developed and rolled out for mandatory and non-mandatory training. Performance Reviews are undertaken by all Staff as part of the Ceri system Performance Management module. The Corporate Performance Management arrangements provide the forum for performance management's needs and thereafter preparing action plans for delivery of corporate improvements in performance review of Staff. Induction programme is provided for new Members and new comprehensive induction programme shall be provided post-election (from May 2022) with additional e-learning modules. Ongoing training is arranged for specific issues. Members attend various events, seminars and conferences (see above). 	<p>Member development strategy</p> <p>Members induction and on-going training and development programme</p> <p>Mentoring and peer support programmes</p> <p>Personal development plans for Members and Officers</p>	<p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
	<p>Lowri Edwards/ Geraint Edwards</p> <p>E2.6 Ensuring Members and Officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis</p>	<ul style="list-style-type: none"> Learning & Development is available to Staff and Members in a range of subjects. All Staff can access learning and development events via <u>Ceri self-service</u>. Managers can also book Staff onto relevant events via Managers Self-service. Ongoing training provided to Members. Scrutiny self-assessment undertaken annually. 	<p>For example, for Members this may include the ability to: scrutinise and challenge</p> <ul style="list-style-type: none"> recognise when outside expert advice is required promote trust work in partnership lead the organisation act as a community leader 	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

			Efficient systems and technology used for effective support	✓		
Geraint Edwards E2.7 Ensuring personal, organisation and system-wide development through shared learning, including lessons learnt from both internal and external governance weaknesses	<ul style="list-style-type: none"> Succession planning is undertaken through discussions and actions within service areas and with partners this cannot always be evidenced. This will be further developed through the Strategic workforce planning toolkit. Ceredigion Manager Programme offers personal development including governance arrangements and organisational knowledge. 	Arrangements for succession planning	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.	
Alun Williams E2.8 Ensuring that there are structures in place to encourage public participation	<ul style="list-style-type: none"> <u>Engagement with Service Users list.</u> <u>Community Engagement Policy.</u> Scrutiny <u>Public Engagement Protocol (2016) (Document N Constitution)</u> Council continually consults and engages with local residents, customers and other stakeholders within the county to understand their opinions and views when developing new plans and/or strategies. Feedback is always given due consideration before final versions are agreed. Service User focus groups. Survey regarding self-assessment completed by Scrutiny. 	Citizens and residents panel	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.	
		Stakeholder forum terms of reference	✓			
		Communication and engagement strategy	✓			
Lowri Edwards E2.9 Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	<ul style="list-style-type: none"> Member development scheme. Member personal development reviews. Attendance records published annually. Members are encouraged and supported to complete Annual Reports, which are published on the Council's website. Chair of Governance and Audit Committee attends All Wales Governance and Audit Committee Chair's Networking Meetings to develop and compare role within Local Authorities. Preparations are being undertaken for (as part of induction programme for Members (from May 2022)) Cabinet Member training, Ethics and Standards Committee (role) training, Political Group Leader Duties training and Governance and Audit Committee (role) training. 	Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.	
		Peer Reviews	X			
Geraint Edwards E2.10 Holding Staff to account through regular performance reviews which take account of training or development needs	<ul style="list-style-type: none"> Strategic Workforce planning toolkit includes the identification of training and learning needs for all service areas. Performance Appraisals record training and development needs via the Ceri system. <u>Workforce Plan 2017-2022</u> includes actions for Staff development in key themes. Staff development plans linked to appraisals have been strengthened with the introduction of the Performance Management module in Ceri. 	Training and development Plan	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.	
		Staff development Plans linked to appraisals	✓			
		Implementing appropriate human resource policies	✓			

		<ul style="list-style-type: none"> Implementing appropriate Human Resource policies and ensuring that they are working effectively. 	and ensuring that they are working effectively			
	<p>Geraint Edwards/Lowri Edwards E2.11 Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing</p>	<ul style="list-style-type: none"> Human Resources policies. <u>Smoke-Free Workplace Policy.</u> <u>Alcohol and Drug Misuse Policy.</u> The Council has introduced a range of resources and options to enhance the health and well-being of Staff. Health and Well-being Strategy 2021-2026 has been introduced to support the improvement in the workforce health and well-being. The Council has appointed an Employee Health & Wellbeing Officer to coordinate and promote health and wellbeing within the workforce. A <u>Care First employee assistance package</u> has been introduced that offers: <ul style="list-style-type: none"> Counselling service; and Advice on financial, legal, consumer, eldercare, childcare and employment issues. Other support available for Staff includes: <ul style="list-style-type: none"> Cognitive Behaviour Therapy Interactive health and wellbeing programme; Eyecare scheme; Childcare voucher scheme; lechyd Da; and Mindfulness training for Staff and Managers. 	Human Resource Policies	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

F. Managing risks and performance through robust internal control and strong public financial management						
<p>Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.</p> <p>A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery, and accountability.</p> <p>It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.</p>						
Sub-principles	Behaviour	Evidence	Expected	✓/X	Score	Action
F1 Managing risk	Alun Williams F1.1 Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making	<ul style="list-style-type: none"> The Corporate Risk Management Framework was approved by Cabinet on the 24th of September 2019 and continues to be updated. The Corporate Risk Register is considered at all Leadership Group, Corporate Lead Officers, Corporate Performance Management meetings and by the Governance and Audit Committee as a standing item to the Governance and Audit Committee. Risk Management is integral to operational business planning Policy and Strategy setting. Project and transformation Risks are all logged. All Plans included Risk logs including: <ul style="list-style-type: none"> The Medium term Financial Plan; Business Plans (level 1); and Service Plans (level 2). Corporate Risk Management arrangements are audited regularly. The management of risks is included in individual Services service/establishment audit programmes. 'Risks' form the basis of Internal Audit's audit programmes of work, as required by the MKI/Pentana audit management software system Cabinet report template expanded to include risks and implications arising. 	Risk management protocol	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Alun Williams F1.2 Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	<ul style="list-style-type: none"> <u>The Risk Management Policy and Strategy were approved by Cabinet</u> on the 24.9.2019. The Corporate Risk Register is a standing agenda item at each Leadership Group meeting. Updates are reported at each Governance and Audit Committee Meeting to provide ongoing information and assurance that risks continue to be managed. The Committee refers matters to Scrutiny Committees, where appropriate. Corporate Performance requires regular updates for Risk. The Cross party Transformation and Efficiency Group regularly monitors Transformation Risks. Specific Project Risk Monitoring is undertaken. 	Risk management strategy/policy formally approved, adopted, reviewed and updated on a regular basis	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Alun Williams F1.3 Ensuring that responsibilities for	<ul style="list-style-type: none"> All Risks are allocated to a Corporate Lead Officer (Risk Owner). 	Risk management protocol	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	managing individual risks are clearly allocated					
F2 Managing performance	Alun Williams F2.1 Monitoring service delivery effectively including planning, specification, execution and independent post-implementation review	<ul style="list-style-type: none"> Corporate performance management is linked to the Well-being and Improvement Objectives, <u>Corporate Strategy 2017-2022</u> and the PSB's plans. The Council also has many local indicators which helps it determine whether it has achieved the priorities in its <u>Corporate Strategy 2017-2022</u>. Council considered the draft <u>Well-being and Improvement Objective Annual Report 2020-21</u> and approved the Well-being Objectives for 2022-23 on 21.10.21 in October 2020 (The Well-Being & Improvement Objectives Annual Report 2020-2021 was also approved by the Council's Overview and Scrutiny Co-ordinating Committee on the 15.9.21, and Cabinet 5.10.21). Benchmarking information carried out as part of service re-modelling. External & internal assessments by: <ul style="list-style-type: none"> Audit Wales; Estyn; Care Inspectorate Wales ('CSIW'); Investigatory Powers' Commissioner's Office ('IPCO'); and Information Commissioner's Office ('ICO'). Self-Assessment (Governance and Audit Committee) - self-assessment exercise underway for presenting at 10.3.2022 Governance and Audit Committee Meeting. Individual Services carry out self-assessment through a performance matrix. IA undertake an annual self-assessment and have a 5-yearly independent external assessment / peer review as required by the PSIAS. Cost performance (using inputs and outputs). A Corporate Performance Management Panel meets quarterly. All Corporate Lead Officers report to this Panel and the Dates for reporting are published in the report. The Chairs and Vice Chairs of the Overview and Scrutiny Committees attend with the principle that they can identify areas that require inclusion on their respective Forward Work Programmes. 	<p>Performance map showing all key activities have performance measures ✓</p> <p>Benchmarking information ✓</p> <p>Cost performance (using inputs and outputs) ✓</p> <p>Calendar of dates for submitting, publishing and distributing timely reports that are adhered to. ✓</p>	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Alun Williams / Lowri Edwards/Elin Prysor F2.2 Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook	<ul style="list-style-type: none"> Chief Officers provide support and advice to Members. Reporting requires financial and legal advice/implications to be included in reports/decisions, which are published as appropriate. Council / Cabinet report template updated to include reference to legal implications, staffing implications, property/asset implications and risks. Advice provided by Chief Finance Officer. All reports and <u>minutes</u> are published in a timely manner and are open for inspection including. <ul style="list-style-type: none"> Options for recommendations. 	<p>Discussion between Members and Officers on the information needs of Members to support decision making ✓</p> <p>Publication of agendas and minutes of meetings ✓</p>	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

		<ul style="list-style-type: none"> ○ Scrutiny Chairs are invited to take issues back to Cabinet ○ Governance and Audit Committee refer matters to Scrutiny and receive reports back. ● All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act. ● Advice given by the MO. ● Agreement on the information that will be needed and timescales. 	Agreement on the information that will be needed and timescales	✓		
	Lowri Edwards F2.3 Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made, thereby enhancing the organisation's performance and that of any organisation for which it is responsible	<ul style="list-style-type: none"> ● Scrutiny arrangements are in place that is supported and which provide opportunities to challenge decision making and review the provision of services. The scrutiny function aim is to provide added value to the continuous improvement agenda in their role as "critical friend". In addition, Overview and Scrutiny Committees also provide opportunities to undertake pre-decision and policy development work, which is a function of scrutiny, which has developed over recent years. The Council's aim is to scrutinise, where possible, before decisions are made. ● An Overview and Scrutiny <u>Public Engagement Protocol</u> (2016) (<u>Document N Constitution</u>) has been approved by Council and has been used on several occasions. ● Arrangements in place to seek the views of the public which is gathered via social media and shared with Overview and Scrutiny Committees for consideration. ● All agendas and minutes are published on the Council's website. ● <u>Forward Work Programme</u> published on the Council's website. ● Terms of reference are published on the Council's website. ● Training for Members. ● <u>Membership details</u> for all Scrutiny Committees is available on the web. ● The Council's Overview and Scrutiny Co-ordinating Committee will be responsible for taking an overview of the overall effectiveness of the <u>PSB</u>. ● Work undertaken with the <u>Future Generations Office</u> to develop a Scrutiny Framework in relation to the WFGA. ● Governance and Audit Committee. 	The role and responsibility for scrutiny has been established and is clear Agenda and minutes of scrutiny meetings Evidence of improvements as a result of scrutiny Terms of reference Training for Members Membership Public Service boards are subject to effective scrutiny	✓ ✓ ✓ ✓ ✓ ✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Lowri Edwards/Alun Williams F2.4 Providing Members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	<ul style="list-style-type: none"> ● The Council revised its Corporate Performance Management arrangements in 2017 to improve monitoring of its business plans and performance indicators, including National Strategic Indicators ('NSI'), PAM and Local Indicators. These are also linked to the Well-being and Improvement Objectives and the <u>Corporate Strategy 2017-2022</u>. ● A Corporate Performance Management Board meets each quarter, with Chairs of Scrutiny Committees invited to attend. ● Reporting dates are set at beginning of each year. ● Transformation and Risks are all referred to joint Local Government meetings and Panels. ● The Chairs of the Overview and Scrutiny Committees are invited to observe at Cross Party Transformation and Efficiency Consultative Group meetings and also Performance Board meetings. 	Calendar of dates for submitting, publishing and distributing timely reports that are adhered to	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

		<ul style="list-style-type: none"> Scrutiny Committees may request reports at any time. 				
	Steve Johnson F2.5 Ensuring there is consistency between specification stages (such as budgets) and post-implementation reporting (e.g. financial statements)	<ul style="list-style-type: none"> Financial monitoring is regularly undertaken throughout the Council under a devolved accountancy arrangement and formal reporting is made to Cabinet. Monitoring is also incorporated in to the quarterly performance management reports. Financial implications are a requirement for inclusion in all Cabinet Meeting reports. <u>Financial Regulations and Financial Procedure Rules (Document F Constitution) and the Contract Procedure Rules (Document G Constitution)</u> are all up to date. The current <u>Procurement Strategy 2018-2022</u> was approved in 2018. Accounting practices - Codes of Practice are complied with. Prudential Indicators are prepared and reported to Council and monitored throughout the year. Regular budget monitoring takes place throughout the year. IA also reviews controls over income collection and monitoring. Business/Service plans are monitored to ensure delivery outcomes are achieved. 	Financial standards, guidance	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Financial regulations and standing orders	✓		
F3 Robust internal control	Alun Williams / Amanda Roberts / Alex Jenkins F3.1 Aligning the risk management strategy and policies on internal control with achieving objectives	<ul style="list-style-type: none"> Risk Management Policy and Strategy and the Risk Management Framework were approved by Cabinet on 24 September 2019. Updates in relation to Business Continuity and Civil Contingencies arrangements submitted on a regular basis in line with the Corporate Risk Register, Risk CORP04. Business Continuity and Civil Contingencies Group meet monthly. The annual Internal Audit Plan is risk-assessed and takes account of Council aims and objectives, and corporate policies and procedures; to include a review of the Risk Management corporate arrangements, and testing the mitigating controls in place for a sample of risks noted in the Corporate Risk Register Internal Audit Strategy & Annual Plan 2021-2022 approved by Governance and Audit Committee 24 February 2021, & continues to take account of additional risks presented by the pandemic. IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council. Internal audit reports issued to Managers highlight the risks of not implementing any IA recommended actions. A follow-up audit is conducted of action plans issued. If CMIA considers that any fundamental risks have not been addressed by a Manager this is reported to Governance and Audit Committee who has the discretion of requesting that Manager to attend & explain reasoning for non-compliance. The appointed Auditor considers the Council's arrangements to secure economy, efficiency and effectiveness in his letter he has stated that the Council has complied with its responsibilities to the use of its resources. The Council Objectives are aligned to Strategies. 	Risk management strategy	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required
			Audit Plan 2018/19	✓		
			Audit reports	✓		

<p>Alun Williams / Amanda Roberts / Alex Jenkins F3.2 Evaluating and monitoring risk management and internal control on a regular basis</p>	<ul style="list-style-type: none"> • The Council's Risk Management Framework was approved by Cabinet on the 24th September 2019 and the Council continues to form strategies and plans taking into account the risks caused by the Covid-19 pandemic. • Regular meetings of the Emergency and Business Continuity Management Group take place to review Corporate and Service Area Emergency and Business Continuity Arrangements and Plans as well as recommendations arising from past incidents and exercises to evidence risk, identify emerging trends, and document any lessons learnt for follow up. • Risk evaluation always appears on agendas. • Internal Audit Strategy & Annual Plan 2021-2022 approved by Governance and Audit Committee 24 February 2021, & continues to take account of additional risks presented by the pandemic. • IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council. • Regular Quarterly Internal Audit Progress Reports to Governance and Audit Committee for monitoring (e.g. Internal Audit Progress Report for period 1 April 2021 to 30 June 2021 presented to Governance & Audit Committee on 9 September 2021). • Summary of work and audit opinion on assurance provided annually in Internal Audit Annual Report at year-end. IA Annual Report for 2020/21 approved by Governance & Audit Committee 3 June 2021 • Follow-up IA reviews to monitor implementation of required actions. • Internal controls, risk & governance processes are monitored according to the Internal Audit Charter (last version approved by <u>Governance & Audit Committee 24/2/21</u>) & the Annual Internal Audit Strategy and Plan. 	<p>Risk management strategy/policy has been formally approved and adopted and is reviewed and updated on a regular basis</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required</p>
<p>Amanda Roberts / Alex Jenkins F3.3 Ensuring effective counter fraud and anti-corruption arrangements are in place</p>	<ul style="list-style-type: none"> • Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption ('CIPFA', 2014). • Internal Auditors have procedures in place if fraud discovered. • An Officer in the IA team is an accredited Counter Fraud Technician. • Officer(s) of the IA team hold a CIPFA Certificate in Investigative Practices ('CCIP'). • 'Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)' updated and approved by Council 17 June 2021 (minutes confirmed 23 September 2021) has been written with regard to the Code of Practice & updated to ensure all requirements are included. • IA undertakes counter fraud work where required (as well as dealing with the discovery of fraud as considered earlier). • Council complies with Audit Wales's annual National Fraud Initiative requirements, currently co-ordinated by IA. 	<p>Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014)</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required</p>

		<ul style="list-style-type: none"> • IA presents Counter-Fraud Report to Governance and Audit Committee annually (<u>2020/21 Counter-Fraud Report presented to Governance & Audit Committee on 3 June 2021</u>). • Monitoring and response to fraud alerts (NAFN, wider networks, peers, etc); • Membership and active participation in professional networks and groups (Tisonline, KHub, etc); • IA offer advice to services on implementation of new systems and processes to ensure effective internal controls maintained; • Nominated Council Officers undertake various fraud training to maintain knowledge and expertise; • Where appropriate, successful prosecutions publicised on Council website (and in local press) • Covid-19 grant payments audited prior to payment (as easier to stop a payment than recover it); • Key financial control audits added to audit plan, to check controls, governance & risks whilst staff working from home • IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council. 				
	<p>Amanda Roberts / Alex Jenkins F3.4 Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor</p>	<ul style="list-style-type: none"> • <u>AGS 2020/21</u> approved by Council on 25 November 2021 with the Statement of Accounts. The AGS contains the CMIA's annual opinion on assurance. • Up to 31/12/21 the IA function is headed by a CIPFA qualified CMIA, and the CMIA from 1/1/22 onwards is studying to gain an IIA qualification, Both CMIA's have considerable local government experience, and are supported by a team with appropriate knowledge and skills. Regular reporting to Governance and Audit Committee on the activity of IA is undertaken. Robust risk-based forward work programme and business planning is in place. • IA evaluates and improves the effectiveness of risk management, control & governance processes in accordance with PSIAS, which is self-assessed and reported to Governance and Audit Committee annually along with any improvements required. A peer review is undertaken every 5 years (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group – see point G3.2 below). • IA provides an individual assurance to Managers after each audit review – these are then used to provide an overall corporate level of assurance annually, which feeds in to the <u>AGS</u>. • A re-structure of IA was implemented in May 2019, and another in November 2020. The service has been fully resources since 1 December 2020. • A new CMIA will be in place from 1 January 2022, who has considerable experience in IA, has a 6-week window to 'shadow' the existing CMIA, and is supported by a knowledgeable & skilled Audit Manager (see point G3.2 below). 	<p>Annual Governance Statement</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
			<p>Effective Internal Audit service is resourced and maintained</p>	<p>✓</p>		

		<ul style="list-style-type: none"> Two members of the team are currently pursuing the Institute of Internal Auditors' professional training qualification. 				
	<p>Elin Prysor F3.5 Ensuring a Governance and Audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment that its recommendations are listened to and acted upon</p>	<ul style="list-style-type: none"> Governance and <u>Audit Committee</u> established that sets its own work plan. Committee is chaired by a Member of the opposition group (until May 2022 when Lay Person shall be Chair, per 2021 Act provisions). Ongoing preparation and implementation of changes affecting the Governance and Audit Committee in light of the 2021 Act. The Governance and Audit Committee was informed, in a report on 24.2.2021 Meeting, of the changes to their role regarding self-assessment reports of the Council, and regarding panel performance assessments, as well as the change of name, and changes to the Chair/Vice Chair and composition. The Governance and Audit Committee's Terms of Reference were updated on 6 December 2018. Update report on 2021 Act presented to Governance and Audit Committee 3.6.2021, to include updating Governance and Audit Committee regarding changes to Constitution affecting Committee including: <ul style="list-style-type: none"> Recruitment of lay members and the Mid Wales CJC Governance and Audit Sub-Committee; and Regarding the Committee's functions relating to: <ul style="list-style-type: none"> reviewing and assessing the performance assessment of the Council; considering the Council's draft annual Self-Assessment report; considering any report from the Auditor General and Council's draft response; review of the Council's complaints handling function; and role regarding Panel Performance Assessments (from May 2022). Changes made during 2021-2022 include preparations for: <ul style="list-style-type: none"> terms of reference/remit/composition changes (including recommendations to Council from Cross-Party Constitution Working Group and changes to Constitution approved by Council at its 23.9.2021 Meeting); change of name to 'Governance and Audit Committee'; Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act) – recruitment completed (Council approved appointments 9.12.21); Committee duty to appoint own Chair and Deputy Chair; Chair must be lay person – recruitment completed (Council approved appointments 9.12.21) and Chair/Deputy Chair shall be appointed from Lay Members; 	<p>Governance and Audit Committee complies with best practice – see Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013)</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
			<p>Terms of reference</p>	<p>✓</p>		
			<p>Membership</p>	<p>✓</p>		
			<p>Training</p>	<p>✓</p>		

		<ul style="list-style-type: none"> -Deputy Chair must not be member of Local Authority Executive; and - In absence of Chair & Deputy only non-executive Members can chair. • Size of Governance and Audit Committee review completed and change of size from May 2022 approved (9). • The Governance and Audit Committee has an effective Lay Member. Membership of Governance and Audit Committee considered in line with 2021 Act: Lay member recruitment completed, taking into account 2021 Act requirements and termination of term of office of current lay member. • Job Direction, Personal specification, and criteria approved by Council 10/12/20. • Governance and Audit Committee self-assessment - self-assessment exercise underway for presenting at 10.3.2022 Governance and Audit Committee Meeting. • Reports and minutes are published on the Council's website. • Governance and Audit Committee Terms of Reference updated. • <u>Membership details</u> for Governance and Audit Committee and all Scrutiny Committees is available on the Council's website. • Regular meetings between CMIA and Chair of Governance and Audit Committee. • Meetings as necessary between MO & Chair of Governance and Audit Committee. • Regular meetings between MO & CMIA. • Regular meetings between MO and CMIA & Audit Wales when necessary. • Regular Meetings between Governance and Audit Committee Members and external regulator Audit Wales (with and without Officers) • Regular training / updates provided to Governance and Audit Committee. • Chair of Governance and Audit Committee attends Welsh Governance and Audit Committee Chair network group to develop and compare role within Local Authorities. 				
F4 Managing data	Arwyn Morris F4.1 Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data,	<ul style="list-style-type: none"> • A New <u>ICT and Digital Strategy for 2018-2022</u> has been approved • All policies are up to date including; (all approved in February 2019). <ul style="list-style-type: none"> ○ <u>Data Protection & GDPR Policy;</u> ○ <u>Information Security Policy;</u> and 	Data management framework and procedures Could we add the dates to the policies please	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	<p>including processes to safeguard personal data.</p>	<ul style="list-style-type: none"> ○ <u>Records Management Policy.</u> ● A mandatory E-learning training module on Information Security must be completed by all Staff. ● A mandatory E-learning training module on Data Protection must be completed by all Staff. ● Designated Data Protection Officer. ● Corporate Lead Officer Customer Contact is the Senior Information Risk Owner ('SIRO') and has attended appropriate training for that role. ● The following responsible Officers are identified: <ul style="list-style-type: none"> ○ IT Security Officer ('ITSO'); and ○ Information and Records Management Officer ('IRMO') ● In addition the following groups/committees consider Information security: <ul style="list-style-type: none"> ○ Corporate Data Protection Group; and ○ Emergency & Business Continuity Meeting. ● External assessments to include compliance with Code of Conduct. ● Regular Internal Audit of data protection Registration requirements. ● Procedures following Audit Wales audit have been implemented. 	<p>Designated data protection officer</p>	<p>✓</p>		
	<p>Arwyn Morris F4.2 Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies</p>	<ul style="list-style-type: none"> ● Ceredigion County Council signed Wales Accord on the Sharing of Personal Information ('WASPI') and therefore uses WASPI framework for Information Sharing Agreements. ● In most cases agreements are forwarded to the Data Protection Officer. ● There is also a public register on <u>WASPI Website.</u> ● Regular external Assessments e.g. Compliance with Code of Conduct. <p>***The Accord is a common set of principles and standards under which partner organisations will share personal information. Organisations who adopt the Accord will show their commitment in meeting the agreed conditions, obligations and requirements within the framework.</p>	<p>Data sharing agreement</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
		<p>Data sharing register</p>	<p>✓</p>			
		<p>Data processing agreements</p>	<p>✓</p>			
	<p>Arwyn Morris F4.3 Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring</p>	<ul style="list-style-type: none"> ● <u>Records Management Policy.</u> ● <u>Data Protection/GDPR Policy.</u> ● Internal performance monitoring and evidence. ● Cross matching data happens across the different services. ● Performance Indicator values are validated with evidence. ● Retention Schedule –now <u>published</u> on intranet. 	<p>Data quality procedures and reports Could we add the dates to the policies please Is there an example of Internal performance monitoring</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
		<p>Data validation procedures What data validation is carried out</p>	<p>✓</p>			

<p>F5 Strong public financial management</p>	<p>Steve Johnson F5.1 Ensuring financial management supports both long-term achievement of outcomes and short-term financial and operational performance</p>	<ul style="list-style-type: none"> The current <u>Medium Term Financial Strategy</u> ('MTFS') was established during the 2013-14 year and fundamentally updated and approved by Council on the 24th February 2016. The Current MTFS is that of <u>2018/2019 Onwards</u>, but has now been amended to reflect the 2021/2022 provisional revenue settlement and updated to: <ul style="list-style-type: none"> Reflect the impact of Covid-19 Reflect 'Boosting Ceredigion's Economy – A Strategy for Action 2020-35' Amend the transformation savings plan Project forward cost pressures Reflect data changes, regulations, plans, policies and strategies and is being presented to Cabinet for approval 23,2,2021 for approval to then be presented to Council on 5.2.2021. This now includes a policy framework for setting the budgets annually as well as a three-year plan. The MTFS features as a corporate risk that is updated at least three times a year. The annual budget setting also included a risk assessment. The Council is responding to the proposal in the 2016 Wales Audit Office (now Audit Wales) Annual Improvement Report, and considering the report in light of the MTFS through ensuring that the Council's financial management arrangements are sufficiently robust to meet the significant challenges ahead. A Strategic Plan has been developed and has improved the programme of work necessary to consider service priorities whilst addressing financial constraints. An annual budget project plan/timetable is established to ensure that a balanced budget is approved within the statutory period in accordance with the Councils budget framework. Regular budget reports are taken to Cabinet and Leadership Group throughout the year and operational budgets are monitored on a monthly basis. 	<p>Financial management supports the delivery of services and transformational change as well as securing good stewardship</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
	<p>Steve Johnson F5.2 Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls</p>	<ul style="list-style-type: none"> Budget monitoring is regular throughout the year, within services, to Cabinet and to Member Officer working groups e.g. Development Group and CMG and transformation programme savings to the Cross Party Transformation and Efficiency Consultative Group. Quarterly Executive Panel meetings take place if required with Corporate Lead Officers together with the Leader of the Council, the CE, Corporate Lead Officer for Finance and Cabinet Member with Finance responsibility. 	<p>Budget monitoring reports</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability						
Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.						
Sub-principles	Behaviour	Evidence	Expected	✓/X	Score	Action
G1 Implementing good practice in transparency	Lowri Edwards/Arwyn Morris G1.1 Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate	<ul style="list-style-type: none"> • Council's Website. • Council and Cabinet meetings are broadcasted. • Standard templates for Cabinet, Scrutiny and Council. • Compliance to the Welsh language Standards. • Use of Modern.Gov for publishing agendas and Councillor Information. • Council preparing for implementation of changes to be introduced by 2021 Act, which include for Council to consult and publish a public participation strategy with the aim of increasing public participation in local democracy, and improving transparency. • Council compliance with The Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020, which allow for remote access for meetings and public access/publishing of documents requirements. • Work is underway to prepare a Community Engagement Policy that will meet the requirements of the 2021 Act, which will also include how we will encourage participation in decision-making, although final guidance is awaited from Welsh Government regarding this part of the legislation. • Council Roadmap provides up-to-date information for citizens on services being provided due to Covid-19 pandemic, in order to provide clarity for County residents. • The Council has been out to tender and awarded the contract for installing equipment in the Council Chamber that will enable hybrid meetings to take place as well as being able to broadcast those meetings. The equipment will be installed over the winter. • The Council provides alternative ways for citizens to access information if they don't have access to digital services. The Citizen can telephone the Council's Contact Centre or visit its Libraries where public access to computers are available or free 4G Wi-Fi to allow anyone to use their own device. 	Website	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Council meetings are webcast	✓		
	Lowri Edwards G1.2 Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand	<ul style="list-style-type: none"> • Councillors' contact details, attendance records, Committee membership and Declarations of Interests available on the Council's Website. • Councillors' annual reports available on the Council's Website. • Overview and Scrutiny Annual Report available on the Council's Website. • Democratic Services Annual Report available on the Council's Website. 	Councillors annual reports	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Annual report	✓		

G2 Implementing good practices in reporting	Alun Williams G2.1 Reporting at least annually on performance, value for money and the stewardship of its resources	<ul style="list-style-type: none"> The County Council's <u>Well-being and Improvement Objectives Annual Report</u> is published on the Ceredigion County website to inform Ceredigion citizens what activities and actions the Council undertakes in support of its Well-being and Improvement Objectives. This also forms part of the Council's self-assessment. A summary plan is also available in public offices for our citizens. <u>Annual financial statements</u> are published on the Council's Website. 	<p>Formal annual report which includes key points raised by external scrutineers and service users feedback on service delivery</p> <p>Annual finance statements</p>	<p>✓</p> <p>✓</p>	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Alun Williams G2.2 Ensuring Members and senior management own the results	<ul style="list-style-type: none"> Appropriate approvals. Corporate Performance Management arrangements. Ownership of planning and transformation. 	Appropriate approvals	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Elin Prysor G2.3 Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)	<ul style="list-style-type: none"> Council's <u>AGS</u> evidences how it complies with the seven core Governance Framework Principles and sub-principles contained in the Framework and in the Local Code of Corporate Governance, including how it puts in place proper arrangements for the governance of its affairs, facilitates the effective exercise of its functions, and makes arrangements for risk management (the Governance Framework was developed in 2010 and has been revised in accordance with the CIFA/SOLACE Delivering Good Governance in Local Government Framework 2016). In compliance also with Local Government (Wales) Measure 2009 and The Well-being of Future Generations (Wales) Act 2015. Assessment of the framework for corporate governance carried out to ensure compliance e.g. updated to reflect changes necessary because of Covid-19 pandemic. Decision by Council whether <u>AGS</u> approved e.g. updated and approved by Council <u>25 November 2021</u> (with accounts). Council's <u>Local Code of Corporate Governance</u> demonstrates how it has the necessary corporate governance arrangements in place to perform effectively. The Local Code of Governance is a public statement that sets out the way the Council will meet that commitment. 	Annual Governance Statement	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Elin Prysor G2.4 Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate	<ul style="list-style-type: none"> <u>AGS</u> shared with accounts, reviewed and updated with Members and Officers providing a wider engagement process. 	Annual Governance Statement	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson G2.5 Ensuring the performance information that accompanies the financial statements is	<ul style="list-style-type: none"> Financial implications are a requirement for inclusion in all Cabinet Meeting reports. <u>Financial Regulations and Financial Procedure Rules (Document F Constitution)</u>, <u>Contract Procedure Rules (Document G Constitution)</u> are all up to date. 	Format follows best practice	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations	<p>The current Procurement Strategy 2018-2022 was approved in 2018.</p> <ul style="list-style-type: none"> Accounting practices - Codes of Practice are complied with Prudential Indicators are prepared and reported to Council and monitored throughout the year. Regular budget monitoring takes place throughout the year. IA also reviews controls over income collection and monitoring. 				
G3 Assurance and effective accountability	Elin Prysor G3.1 Ensuring that recommendations for corrective action made by external audit are acted upon	<ul style="list-style-type: none"> A good working relationship exists with external regulators, including Audit Wales, Estyn, CIW, Financial Services Authority ('FSA') and Food Standards Agency as key regulators. Audit Wales Protocol documented and procedures in place to ensure all 'Management Response Forms' from each Audit Wales report addressed and that Service responses are presented to Leadership Group, Governance and Audit Committee and Audit Wales. Regarding monitoring of progress of actions/recommendations, Governance Officer is Audit Wales point of contact for outstanding Management Response Forms ('MRFs') for 2019/20 & 2020/21, and ongoing governance-related MRFs/governance matters. Corporate Performance and Improvement Officer is point of contact for performance-related MRFs/performance matters. This system is set out in a Protocol, approved by Leadership Group and presented to Governance and Audit Committee, with updated version (to reflect that the Corporate Performance and Improvement Officer is in post) presented to Governance and Audit Committee 9.9.2021 Meeting. Monthly meetings are also being held with Audit Wales to discuss ongoing work and matters to be presented to the Governance and Audit Committee and regular dialogue is maintained with representatives from Audit Wales. Recommendations from Audit Wales are taken forward in the Corporate Performance Management arrangements. All Audit Wales reports presented to Leadership group and Governance and Audit Committee, which monitors implementation of corrective actions required. Monitoring of progress of Actions process being developed. 	Recommendations have informed positive improvement	✓	9/10	<p>Good overall governance considered compliant and meets best practice.</p> <p>Monitor progress of Actions/recommendations.</p>
	Amanda Roberts / Alex Jenkins G3.2 Ensuring an effective internal audit service with direct access to Members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon	<ul style="list-style-type: none"> Up to 31/12/21 the IA function is headed by a CIPFA qualified CMIA, and the CMIA from 1/1/22 onwards is studying to gain an IIA qualification, Both CMIA's have considerable local government experience, and are supported by a team with appropriate knowledge and skills. Two members of Staff currently studying for the Chartered Institute of Internal Auditors qualification, and two are developing ICT auditing skills. IA Officers undergoing audit qualifications to enhance knowledge, skills and competency. 	<p>Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010) and CIPFA 2019 statement on role of Internal Audit</p> <p>Compliance with PSIAS</p>	✓	✓	9/10

		<ul style="list-style-type: none"> • A re-structure of IA was implemented in May 2019, and another in November 2020. The service has been fully resources since 1 December 2020. • A new CMIA will be in place from 1 January 2022, who has considerable experience in IA, has a 6-week window to 'shadow' the existing CMIA, and is supported by a knowledgeable & skilled Audit Manager. • The role of CMIA has free and unfettered access to the Chair of the Governance & Audit Committee and both meet regularly during the year (and these meetings continue remotely during the Covid-19 pandemic). • Robust risk-based forward work programme and business planning is in place. • Regular reporting to Governance & Audit Committee on the activity of IA is undertaken, i.e. quarterly Internal Audit Progress Reports to Governance & Audit Committee for monitoring progress performance and improvement and summary of work and audit opinion on assurance provided annually in Internal Audit Annual Report at year end. Follow-up reviews undertaken to monitor corrective actions are implemented. • Internal Audit Charter regularly reviewed and approved by Governance & Audit Committee (last version approved by Audit Committee 24/2/21). • CMIA provides annual objective opinion on assurance placed on Council's risk management, control and governance processes, based on the individual assurances given to Managers after each audit review, & feeds into the <u>AGS</u>. • Compliance with PSIAS reported annually to Governance & Audit Committee with resultant improvement plan. Peer review of assessment every five years (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group). • IA's mission is to enhance & protect organisational value by providing risk-based & objective assurance, advice & insight. This is detailed in the internal Audit Charter, which also states IA's right of access (as per the Council's Financial Regulations/<u>Constitution</u>). 				<p>Actions in place to ensure smooth transition in exchange of CMIA role</p> <p>Arrange 5-year peer review with Anglesey</p>
	<p>Amanda Roberts / Alex Jenkins G3.3 Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations</p>	<ul style="list-style-type: none"> • A good working relationship exists with the Welsh Government as key regulator. Regular dialogue is maintained with representatives from Audit Wales. • Recommendations from Audit Wales are taken forward in the Corporate Performance Management arrangements. • The Council is learning and continually works towards improvement. • Five-yearly external assessment of IA is undertaken as required by PSIAS. • The last Internal Audit External Assessment was undertaken in November 2016 by Conwy County Council and was reported to 	<p>Recommendations have informed positive improvement</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

		<p>Audit Committee, along with the resultant improvement Plan (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group).</p> <ul style="list-style-type: none"> IA progress, performance & improvement is reported to Audit Committee quarterly. 				
Elin Prysor	G3.4 Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement	<ul style="list-style-type: none"> <u>AGS</u>. Members and Officers carry out a review of the <u>AGS</u> annually. 	Annual governance statement	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
Alun Williams / Diana Davies	G3.5 Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met	<ul style="list-style-type: none"> <u>PSB's terms of reference and Well-being Plan</u> Annual report from PSB. The Ceredigion County Council Overview and Scrutiny Co-ordinating Committee is responsible for taking an overview of the overall effectiveness of the Board. Partnership and Accountability agreements are established in collaborative projects. 	<p>Public Service Boards terms of reference and well-being plans</p> <p>Public service boards engage with scrutiny</p>	<p>✓</p> <p>✓</p>	9/10	Good overall governance considered compliant and meets best practice. No further action required.

Annual Governance Statement 2021-22



Approved by Council [x]

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DRAFT

1 EXECUTIVE SUMMARY

Ceredigion County Council ('the Council') is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded, properly accounted for, and used economically, efficiently and effectively.

The Council is also committed to improving the social, economic, environmental and cultural wellbeing of its citizens. This commitment is set out in the Council's Corporate Strategy 2017-2022 and describes how the council will meet the challenges ahead and make the most of opportunities. The Council's vision for this period is that the Council *'delivers value for money sustainable bilingual public services that support a strong economy and healthy environment while promoting well-being in our people and our communities'* and is to be achieved by fulfilling the Corporate Priorities, which are:

1. Boosting the Economy;
2. Investing in People's Future;
3. Enabling Individual and Family Resilience; and
4. Promoting Environmental and Community Resilience.

To be successful the council must have a solid foundation of good governance and sound financial management. The Council's Local Code of Corporate Governance ensures that we are doing the right things, in the right way, in line with our values. The Local Code is supported by a Governance Assurance Framework that sets out what assurances the Council seeks to obtain, and how this will be done.

A copy of the Council's Local Code of Corporate Governance and Annual Governance Statement is available on the Council's website at <https://www.ceredigion.gov.uk/your-council/councillors-committees/annual-governance-statement/>.

The Council also has a duty under the Local Government (Wales) Measure 2009 to arrange to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness. In discharging this overall responsibility, the Council must ensure proper arrangements for the governance of its affairs are in place, facilitating the effective exercise of its functions, and which includes the arrangements for the management of risk. The Local Government and Elections (Wales) Act 2021 is also largely in force and the Council continues to take necessary preparations to ensure compliance of these sections of the Act and compliance with the sections of the Act that are not yet in force.

A Governance Framework was developed in 2010 and has been revised in accordance with the CIFA/SOLACE Delivering Good Governance in Local

Government Framework 2016. The framework is used to review the governance arrangements on an annual basis.

The Well-being of Future Generations (Wales) Act 2015 also introduces new governance arrangements for public services in Wales. Public bodies are required to carry out sustainable development. It places a well-being duty on public bodies to set and publish well-being objectives designed to maximise their contribution to the seven national well-being goals. They are also expected to take all reasonable steps towards achieving their objectives.

Following the review and in accordance with the requirements of the Framework a Local Code of Corporate Governance was initially approved by Council on 29 June 2017 and an updated version was approved by Council on 19 March 2020.

The Local Code of Corporate Governance brings together in one document all the governance and accountability arrangements the Council has in place. The Code is based on best practice guidance set out in the CIPFA/SOLACE Framework Delivering Good Governance in Local Government.

The 2022/23 Code has been reviewed further to take account of ongoing changes to governance due to the coronavirus pandemic.

The Council's Governance Framework is based on the International Framework: Good Governance in the Public Sector (CIPFA/IFAC, 2014) and the following seven principles:

- A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law
- B: Ensuring openness and comprehensive stakeholder engagement
- C: Defining outcomes in terms of sustainable economic, social and environmental benefits.
- D: Determining the interventions necessary to optimise the achievement of the intended outcomes
- E: Developing the entity's capacity, including the capability of its leadership and the individuals within it
- F: Managing the risks and performance through robust internal control and strong public financial management
- G: Implementing good practices in transparency reporting, and audit to deliver effective accountability

The Council is required, each year, to produce an Annual Governance Statement ('AGS') (this document), which explains how the Council has complied with the seven core principles and sub-principles contained in its Governance Framework and the Local Code of Corporate Governance, and also meets the requirement of The Accounts and Audit (Wales) Regulations 2014. This AGS gives assurances on

compliance for the year ending 31 March 2022 and up to the date of approval of the Statement of Accounts.

The Leader of the Council and Chief Executive both recognise the importance of having a solid foundation of good governance and sound financial management. They pledge their commitment to address the matters highlighted in this AGS, and to further enhance the Council's governance arrangements.

The Leader and Chief Executive confirm they have been advised of the implications of the review by Senior Management and the Audit Committee and are satisfied that the steps outlined in this AGS will address the areas for improvement.

Signed on behalf of **Ceredigion County Council**

Leader of the Council

Date: xx/xx/xxxx

Chief Executive

Date: xx/xx/xxxx

2 Assessment of the effectiveness of key elements of the Governance Framework

The Council is committed to demonstrating that it has the necessary corporate governance arrangements in place to perform effectively.

The Leader of the Council provides clear strategic direction and the Constitution clearly defines the roles of Councillors and Officers. Internal and External Audit, Ethics and Standards Committee and the Audit Committee are committed to ensuring the governance arrangements are effective and robust.

The Council has conducted an annual review of the effectiveness of its governance against the CIPFA/SOLACE Delivering Good Governance Framework (2016). The review involved a member/officer workshop in which the Council's Governance Framework Document was analysed and reviewed, and included the following Members: the Chair and Vice Chair of the Governance and Audit Committee, and the Chair of Overview and Scrutiny Co-ordinating Committee. In addition, the Monitoring Officer, Corporate Manager - Internal Audit, Audit Manager, Governance Officer, Corporate Lead Officer - Democratic Services, Corporate Manager – Democratic Services, Corporate Lead Officer – People & Organisation and the Corporate Manager – Partnerships, Performance and Public Protection also took part. Following the Workshop, the attendees had a further opportunity to consider the Council's Governance Framework Document

and the Corporate Lead Officer Policy, Performance and Public Protection, Corporate Lead Officer Economy & Regeneration, Corporate Manager – Core Finance, Corporate Lead Officer Customer Contact and Governance and Audit Committee Lay Member had an opportunity to consider the Governance Framework Document.

During the workshop each behaviour was introduced and scored against a scoring mechanism, as follows:

- 1/2 Unacceptable Immediate action required
- 3/4 Below satisfactory - urgent Action Required (within 3-6 months)
- 5/6 Satisfactory - Action Required (before end of year 9-12 months)
- 7/8 Acceptable Minor adjustments may be required
- 9/10 Good - overall Governance considered to be good and meets best practice no further action required

Each score used in the Governance Framework Document is a score out of 10 e.g. a score of 7/8 means a score of between 7 and 8 out of a total 10 marks.

The Governance Framework Document was also circulated to other officers, who have governance/management responsibilities within the Council. The review framework is due to be presented to the Governance and Audit Committee in January 2022.

The effectiveness of the governance framework draws on evidence and assurances from:

- Internal and External Audit and Inspection;
- Financial Controls;
- Risk and Performance Management;
- Legal and Ethical Standards;
- Corporate Directors and Other Senior Management, including the S.151 Officer and the Monitoring Officer;
- The Governance and Audit Committee; and
- Overview and Scrutiny Committees.

In addition, the Corporate Manager - Internal Audit undertakes an independent review of the Governance Framework and the method of scoring and evidence, on an annual basis. The review of the 2020/21 Framework was completed in April 2021 and provided 'high' assurance that there was a sound system of scrutiny and robustness in place. This was reported to the Governance and Audit Committee in April 2021. The review of the 2021/22 Framework is still in progress.

The Council has drawn together a Local Code for Corporate Governance which sets out the systems and processes, and cultures and values, by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads the community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.

The system of internal control is a significant part of that code and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Council's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

The Local Code for Corporate Governance is available on the Council's website at <https://www.ceredigion.gov.uk/your-council/councillors-committees/annual-governance-statement/>.

3 Corporate Governance Achievements for 2021-22

The Local Code for Corporate Governance sets out the Local Authority's commitment to the principles of good governance. The following paragraphs outline the Corporate Governance achievements during 2021-22.

A. Behaving with Integrity, demonstrating strong commitment to ethical values and respecting the rule of law:

- Code of Conduct for Members (updated in 2016) available on the Council's website, intranet site (CeriNet) under Councillor Resources, and in the Constitution. Also, Members Code of Conduct Flowchart (updated in 2016).
- Code of Conduct for Officers* (currently in the process of being substantially reviewed) available along with all Corporate policies and strategies via Council website/CeriNet.
- Induction and follow-up training on Code of Conduct and ethics provided to all Members.
- Ethics Audit undertaken during 2019. Follow up Internal Audit of Council's arrangements regarding Ethics also in progress (currently in review).
- Ethics/Fraud training provided in collaboration with Council's insurer at Corporate Managers' quarterly workshop 28.5.2021. Slides from presentation are forming a basis for e-learning module for all Staff and Internal Audit ('IA') & Governance Services working with Learning & Development to prepare scenarios for training. Training supported by recent review of Council's Strategy on Counter-Fraud, Corruption & Bribery (to include Anti-Money Laundering). Day to day advice is provided by the Monitoring Officer ('MO') and Scrutiny Support Officer.
- Committee and Members advised by MO and proactive regular advice and reminders sent to Members and Officers as required. Legal and Financial

advice/implications is provided on all appropriate reports for decision, Chief Officers provide support and advice to Members and reporting requires financial and legal advice/implications to be included in reports/decisions which are published as appropriate. Items reported to Members for decisions through Cabinet, Council and Committees are subject to legal and financial advice which will be referenced within each report. Also, MO operates an 'open' door policy for Members wishing to receive 'conduct' and 'governance' advice.

- Personal Development Review.
- Individual sign off with regard to compliance.
- Register of Members' interests, available from the Council's Democratic Services, reviewed by MO and published on Council website.
- Declaration of Interest and Hospitality forms for Officers and Members on CeriNet.
- MO circulates reminder re interest/hospitality declarations to Staff quarterly.
- Declarations of interest by Members and Officers at meetings and Minutes for all committees contain Declarations of Interest-Officers and Members.
- Regular reminders through News Updates on CeriNet system, monitoring and review of MO of Chief Officers' declarations annually and advising Chief Officers on need to declare close personal associations with other Officers or Members, including advising Chief Officers at Leadership Group. Chief Officers informed through CeriNet system news update of MO email re declaring interests and Hospitality and reminder to Chief Officers sent.
- Chief Officers' annual Declarations of Interest and continuing obligations to declare interests. Ongoing review on Chief Officers' business declarations.
- Update advice on Council Employees' Declarations of Interest and Hospitality published on 16 December 2021 and 20 July 2021 on CeriNet, also re Covid-19 Restrictions Business Fund NDR Grants for businesses (News update published 8.1.2021) and links to the relevant forms and Code of Conduct for Local Government Employees, along with a reminder that any queries or requests for advice should be made to the MO.
- Declarations of interest by Members and Officers at meetings, an opportunity to make reference to any close personal contacts/roles etc. MO to advise Officers further on the need to declare interests in organisations which actually, or may conflict with Council interests including:
 - Contractors;
 - School Governors;
 - Clerk to Town and Community councils;
 - Members of Town and Community councils; and
 - School Governors.
- MO to advise Officers further on the need to declare:
 - Directorships; and
 - Other employmentIncluding whether conflicting with the Council's interests or not.
- Members required to update Register of Interests in accordance with the Code of Conduct, and in addition, annually, which is opportunity to reference any close personal associates/roles etc. This now includes lay/independent members of the Ethics & Standards Committee and Governance & Audit Committee. Register of Interests booklet published for each Member on Council Website.

- NFI match highlights Staff who are directors of companies that have dealings with the Council – any non-declarations investigated by IA and reported to MO.
- Review is currently being undertaken of the external bodies that have appointed Members, including added value, and also updating of the Constitution.
- Update Dispensations forms for Members completed (2020).
- Professional Qualified Officers and Teachers have to meet their professional body/organisation requirements.
- Members complete a HR training module.
- Training on standards of behaviour is provided to Managers for Staff.
- Employee Handbook is in the process of being reviewed, is available on CeriNet, sets out the expected Employee behaviour and includes the Code of Conduct for Local Government Employees.
- MO circulates to political group leaders updates/decisions from the Adjudication Panel for Wales, whose role is to determine alleged breaches by elected and co-opted members against their authority's statutory code of conduct.
- The main duties of the Ethics & Standards Committee are to improve standards of Member conduct and operation of the Code of Conduct for Members. The Ethics and Standards Committee will have new duties (from May 2022) under the Local Government and Elections (Wales) Act 2021 ('2021 Act'), to include:
 - Monitoring compliance by leaders of political groups on the Council with their duties under S.52A(1) Local Government Act 2000;
 - Advising, training or arranging to train leaders of political groups on the Council about matters relating to their duties under S.52A (1) Local Government Act 2000.
 - The duty to monitor compliance of political group leaders is in relation to standards of conduct, and ensure that this is visible, and consistently demonstrated and evidenced to protect the Council's reputation.
- Ethics and Standards Committee championing ethical compliance to ensure that public have trust and confidence that Members and Officers work to highest ethical and moral standards.
- The Ethics and Standards Committee has been proactive, leading on training sessions and putting procedures in place for dispensation arrangements. The structure has recently been reviewed to improve efficiency and effectiveness.
- Members' standards and conduct matters considered by the Council's Ethics and Standards Committee. Public meetings held regularly, and chaired by an independent person-determine dispensations, and consider strategic/policy issues and receive updates from Public Service Ombudsman for Wales Casebook & APW cases.
- Annual Ethics & Standards Committee Report reported to Council in October 2021.
- Carmarthen County Council undertook an independent audit of ethics within the Council during 2019. Follow up Internal Audit of Council's arrangements regarding Ethics in progress (currently in review).

- A good working relationship exists with the Welsh Government as a key regulator. Regular dialogue is maintained with representatives from Audit Wales.
- This vision for the Council has been reviewed and endorsed by Cabinet, and the vision sets out a number of long term Strategic Objectives.
- Corporate Strategy (2017-2022) contains the priorities of the Council.
- The Well-being and Improvement Objectives build on the priority areas identified in the Corporate Strategy 2017-2022 and are reviewed annually. These are developed in consultation with the public and Members. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website.
- Regular dialogue with Public Services Ombudsman for Wales, and other regulators including Estyn, CIW, ICO and IPCO.
- Council Constitution, which is subject to regular reviews, with ongoing updates as required, including presenting proposed changes to Politically Balanced Cross Party Constitution Working Group, to make recommendations on changes to Constitution to Council. Further revision in 2021 is ongoing, as the Constitution is a live document, to reflect legislative changes and according to need. Council approved amendments on 18.3.21 and 23.9.21. Constitution Cross Party Working Group meets regularly to consider proposals for Constitution updates. Meetings held 15.2.21, 19.4.21, 30.6.21, 10.8.21 and 8.11.21. MO/Governance Officer report to Council to update delegations and Constitution. A mandatory E-learning training module, introduced in September 2017, on the Well-Being of Future Generations Act 2015 ('WFGA') must be completed by all Staff (between September 2017 and November 2021 completed by 2,834 employees, of which 343 through Welsh and 2,491 through English). Between April and November 2021, 242 total employees completed the module, 40 through Welsh, 202 through English (figures include leavers. Reminders issued to Staff who not yet completed module and Leadership Groups receive periodic reports.
- Standards Conference 2018 jointly hosted by Powys & Ceredigion County Council (held on 14 September 2018). A similar conference was to be hosted by North Wales Councils in 2021-postponed due to Covid.
- Governance and Audit Committee carry out a benchmarking exercise annually to provide further assurance on the review of the AGS process.
- IA review and report on the process annually. Governance & Audit Committee meets regularly to consider governance and external regulator reports. Chaired by non-executive member.
- Governance and Audit Committee Annual Report reported to Council on 23.9.2021 and approved.
- Covid-19 Governance Structure introduced by the Council, to include temporary delegated powers for the Council's Chief Executive and Leadership Group through use of Urgent Decisions for decisions relating to the Council's COVID-19 response), in accordance with Council's Constitution. The Urgent Decision of the Leader was reviewed regularly, and expired on 31.8.2021.
- Gold Command continues under operational procedures pursuant to Civil Contingencies Act 2004
- Gold Command Record of Decisions published on the Council's website).

Due to the Covid-19 pandemic, decisions have needed to be made by Gold Command for emergency reasons (under the temporary executive function transfer of power in place until 31.8.2021 and for operational procedures under the Civil Contingencies Act 2004 following that date).

- Roadmap produced, which outlines the services the Council does and does not provide, and what the Council's plans are, which is reviewed regularly, for Ceredigion giving overview of services provided in light of Covid-19 Pandemic, current guidance and number of cases in Ceredigion.
- Effective 'Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)' updated and approved by Council 17.6.21 (minutes confirmed 23.9.21).
- Internal Audit Annual Report on Counter Fraud presented to Governance and Audit Committee at year-end.
- Members of Governance and Audit Committee updated on fraud including Internal Audit annual counter fraud report presented to Governance and Audit Committee at year-end.
- Politically Restricted Post Register for Officers maintained and Political Restrictions on Local Government Employees Policy available to employees on CeriNet.
- Whistleblowing Policy available to Employees and Contractors (updated 2018) on CeriNet and is updated as necessary.
- MO is the Corporate Lead Officer ('CLO'), and advises Whistle-blowers, as appropriate.
- A mandatory E-learning training module on Whistleblowing must be completed by all Staff. MO keeps a register of referrals and reports 6-monthly to the Overview and Scrutiny Co-ordinating Committee. Regarding the take up of the Mandatory e-learning Whistleblowing module, between April and November 2021, 237 Staff completed the Module, 42 through Welsh and 195 through English (*these figures include leavers).
- All complaints are dealt with in accordance with the corporate procedures which include informal and formal stages and these are communicated to Staff on a regular basis.
- The complaints system is monitored by the Corporate Complaints and Freedom of Information Manager. Corporate Complaints Policy has been reviewed, new Policy presented to Corporate Resources Overview & Scrutiny Committee 7.7.21 and to Council 23.9.2021, and Revised Concerns and Complaints Policy and Procedures 2021, its implementation and publication approved by Council.
- Improvements are implemented as a result of complaints /recommendations received.
- Council Complaints and Freedom of Information Privacy Notice.
- Annual Complaints Report, including Lessons Learned from complaints, considered by the Governance and Audit Committee and Cabinet prior to approval by Council, presented to Council and noted.
- Minutes for all committees published on the Council's Website. All Committee agendas/minutes contain disclosures of interests.
- Cabinet Decision Notices published on the Council's Website.
- Statutory powers and legal implications included in every decision making Cabinet report.
- Preparation for publication of delegated decisions register ongoing. Gold Command Decision Log (a decision register) published regularly,

presented to Gold Command (and approved) and thereafter to Overview and Scrutiny Co-ordinating Committee (20.1.2021, 16.6.21 and 1.12.2021) and published on Council's Website. Regarding other delegated decisions, Development Control Committee delegated decisions published for each Development Control Committee.

- Register of Contracts published on Council Website.
- The Council is making preparations to comply with the 2021 Act regarding Governance and Audit Committee (Report on changes presented to Governance and Audit Committee 24.2.2021 and 3.6.2021 (to include requirement of Mid Wales Corporate Joint Committee to have Governance and Audit Sub-Committee)), with changes regarding recruitment approved by Council 18.3.2021, as follows:
 - a) the change of name of the Audit Committee to the Governance and Audit Committee, and additional performance and complaints-handling functions effective from 1 April 2021;
 - b) commencement of the recruitment process for independent lay members to the Governance and Audit Committee;
 - c) the proposals for the Shortlisting Selection Panel; and
 - d) the Role Description and Person Specification.
- Necessary changes to Constitution regarding Governance and Audit Committee per 2021 Act approved by Council 23.9.21. Changes made during 2021-2022 include preparations for:
 - terms of reference/remit/composition changes;
 - change of name to 'Governance and Audit Committee';
 - Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act) – recruitment completed, save for Council approval of successful candidates.
 - Committee duty to appoint own Chair and Deputy Chair;
 - Chair must be lay person.
 - Deputy Chair must not be member of Local Authority Executive; and
 - in absence of Chair & Deputy only non-executive Members can chair.
- Report on the size of the Governance and Audit Committee presented to Democratic Services Committee 21.5.2021, which agreed to recommend to Council that the Committee should comprise 6 County Council Members and 3 lay members (9 total). Report on size of Committee presented to Council 17.6.2021 and Council agreed same member composition from 5.5.2022.
- Officers such as Internal Auditors, sign an annual Code of Ethics affirmation.
- Internal Audit Charter approved by Governance & Audit Committee 24 February 2021.
- Training Needs Analysis Questionnaire has been circulated by Council newsletter to Staff requesting opinion on ethical culture of Council & training module planned in response to feedback.
- Training on equality and diversity and recruitment and selection including equal opportunities is mandatory for all Ceredigion County Council Managers.
- Procurement Strategy 2018-2022 approved by Council 19th June 2018 and procurement training also being rolled out to Staff.
- Council Recruitment Policy and DBS Policy.

- Standard Terms and Conditions for all Suppliers of Goods and services include conditions relating to Equality and Diversity and are available on the Council's website.
- In-House software used to retrospectively check for suspected duplicate payments.
- The Council has developed a Modern Slavery Policy (sent to contractors of the Council), Anti-Slavery Annual Statement 2019-2020 and Code of Practice Ethical Employment in Supply Chains.
- MO and Legal Services are available to advise as appropriate, including in advance and at meetings and the Internal Audit Service is available to advise as appropriate.
- MO attends Leadership Group/Cabinet/Council meetings and routinely attends many public meetings, as required, subject to availability. In the absence of the MO, the Deputy MO will attend Cabinet and Council meetings.
- The 2021 Act shall have an effect on corporate bodies, including the Council, and preparations for compliance are ongoing, including through the Cross-Party Constitution Working Group (Members of each political group in attendance), reports to the Governance and Audit Committee and Council, with a Council Action plan having been prepared and updated regularly, and meetings with relevant Officers and CLOs held, as appropriate.
- Job descriptions & person specifications clearly define the roles and responsibilities required of posts and Members' Role descriptions set out their respective responsibilities.
- Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, published 13 April 2016).
- Compliance with CIPFA's Statement on the Role of the Head of Internal Audit in Public Service Organisations (CIPFA, published 9 April 2019) & contribution published in CIPFA's accompanying Putting Principles into Practice document (2019)).
- Terms of reference are included in the Constitution and Governance and Audit Committee Terms of Reference updated according to 2021 Act.
- Reporting to Governance and Audit Committee.
- Financial Regulations and Financial Procedure Rules (Document F Constitution).
- Contract Procedure Rules (Document G in the Council's Constitution).
- Compliance with Specific Codes e.g. Internal Auditors' Public Sector Internal Audit Standards ('PSIAS', March 2017)
- Statutory Officers accountable to the Chief Executive ('CE') and the Council.
- Regular meetings between CE, S.151 Officer & MO, who has direct access to the CE and reports to Council generally and as part of statutory duty. The MO & S.151 Officer are key members of Leadership Group.
- Corporate Manager – Internal Audit ('CMIA') has free & unfettered access to Members and Officers at all levels, and right of access as per Council's Constitution and Internal Audit Charter.
- Effective External Audit, Internal investigations.
- Disciplinary Policy (Nov 2017).

- An Officer in the IA team is an accredited Counter Fraud Technician and Officer(s) of the IA team hold a CIPFA Certificate in Investigative Practices ('CCIP').
- Council complies with Audit Wales's annual National Fraud Initiative requirements, currently co-ordinated by Internal Audit.
- Monitoring and response to fraud alerts (NAFN, wider networks, peers, etc).
- Membership and active participation in professional networks and groups (Tisonline, KHub, etc).
- IA offer advice to services on implementation of new systems and processes to ensure effective internal controls maintained.
- Nominated Council Officers undertake various fraud training to maintain knowledge and expertise.
- Where appropriate, successful prosecutions publicised on Council website (and in local press).
- Covid-19 grant payments audited prior to payment (as easier to stop a payment than recover it).
- Key financial control audits added to audit plan, to check controls, governance & risks whilst staff working from home.
- IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council.

B. Ensuring openness and comprehensive stakeholder engagement:

- All statutory Annual reports are available on the Council's Website.
- Freedom of Information Act publication scheme, Freedom of Information Policy (March 2018) and Complaints and Freedom of Information Privacy Notice. Regular and timely responses to the press and other enquiries to Management and members as well as comprehensive FOI responses. Review of the FOI Publication scheme in progress.
- Corporate Complaints and Freedom of Information Manager in post.
- A host of service areas are available online including council tax self-service and information.
- The Council's goals and values are set out in the Corporate Strategy 2017-2022. The Well-being and Improvement Objectives are included in the Council's Corporate Strategy 2017-2022 and are reviewed each year. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website.
- Council and Cabinet meetings are broadcasted. All Council, Cabinet and Committee meetings open to the public and agendas and papers published on the Council website (with the exception of exempt reports).
- MO and Ethics & Standards generic email addresses created.
- Environmental Information Regulations Policy (March 2018).
- An Overview and Scrutiny Public Engagement Protocol (2018) (Document N Constitution) has been approved by Council and has been used on several occasions. Also, Public Engagement Tool Kit and Engagement with Service Users List.
- Protocol for speaking at the Development Control Committee (Part 4 Document I Constitution). A Protocol is in place for working relationships

between Members and Officers e.g. Officer-Member Protocol) (Part 5 Constitution) and Protocol for access by Cabinet Members to Overview and Scrutiny Committee approved by Council (Part 5 Document M2 Constitution). Integrated Impact Assessment ('IIA') tool and guidance has been approved for implementation.

- IIA tool and guidance to inform effective decision making have been developed and are being implemented with IIA conclusions reported to Council, Cabinet and Overview and Scrutiny. 10 IIAs went to Cabinet over 2021-22 up to 1.12.2021. Committees, which includes consultation.
- Standard templates and guidance for reporting to Council, Cabinet and Overview and Scrutiny Committees are used and all include the IIA results.
- All IIAs for Cabinet are assessed by the Engagement and Equality Officer, including whether effective engagement, involvement and consultation has taken place and informed strategic decision making process.
- Organisational Awareness training available as an optional module of the Corporate Manager Programme, which includes information relating to the decision making process, Wellbeing of Future Generations Act, Equalities, Welsh Language and the use of the IIAs.
- Processes have been introduced to monitor feedback e.g. any consultation/engagement reports are presented to Scrutiny and Cabinet to inform their decision-making.
- Feedback from engagement and how people's views have been taken into account is recorded in the IIAs.
- Council/Cabinet report template updated to include reference to legal implications, staffing implications, property/asset implications and risks.
- Where appropriate, items reported for decisions through Cabinet, Council and Committees are subject to legal and financial advice which will be referenced within each report.
- A calendar of dates of meetings including forward work programmes of the Council, Cabinet and Committees are published on the Council's website.
- Annual reports, Statements of accounts, Improvement progress reports are all published within timescales and are available on the Council's website.
- The Engagement and Consultation Checklist assists with decision making around whether or not to undertake a consultation regarding a proposed change and guidance on dissemination of consultation results is available to Officers.
- A Community Engagement, Consultations and Partnerships Page has been created on CeriNet, which includes links to Community Engagement Policy (11 January 2013), Engagement and Consultation Checklist, Engagement with Service Users and Consultation Decision Making Tool.
- Work is underway to prepare a Community Engagement Policy that will meet the requirements of the 2021 Act, which will also include how the Council will encourage participation in decision-making, although final guidance is awaited from Welsh Government regarding this part of the legislation.
- Participation Standards have been adopted by Council.
- Engagement with Service Users List including stakeholders with whom the authority should engage is in place.

- Summary reports on consultation and engagement activities are reported back to Members and service users.
- Minutes of structured engagement meetings, events and engagement groups with people with protected characteristics.
- A new Draft Engagement Policy has been prepared to take into account the latest engagement methodology, including digital engagement. This will be consulted upon and agreed following the Local Government Elections in 2022.
- A draft new Engagement Strategy for Ceredigion County Council, 'Talking, Listening and Working Together,' has been prepared. This will be consulted upon and agreed following the Local Government Elections in 2022.
- The Council, in collaboration with partners, has carried out significant engagement to produce the Public Service Board's ('PSB') Well-being Assessment and Local Well-being Plan.
- Work has commenced on preparing the next assessment of Local Well-Being that will be published in March 2022.
- Consultations 2020-21.
- Consultations are promoted through Social Media.
- Dissemination of consultation results and reports on completed consultations and engagement exercises are posted on the Council's public consultations webpage in order to provide feedback to the public.
- PSB Terms of Reference available on the Council Website, PSB Project Groups Terms of Reference available and Scrutiny arrangements for the PSB have been put in place.
- A Well-being assessment (PSB) has been carried out that has informed the development of the PSB's Local Well-being Plan, which was published in March 2018.
- Corporate Complaints Policy has been reviewed, new Policy presented to Corporate Resources Overview & Scrutiny Committee 7.7.21 and to Council 23.9.2021, and Revised Concerns and Complaints Policy and Procedures 2021, its implementation and publication approved by Council.
- Social Services Complaints Policy and Procedure has been reviewed.
- Consultation Decision making tool (Consultation Tree and flowchart) for Staff and Members have been developed and includes the use of feedback.
- Further consultation includes:
 - A new Engagement and Equalities post has been created through the restructure of the Policy and Performance service; and
 - All current consultations are available on the Council website.
- Social Media Policy (revised Aug 2018).
- Social media is being used to seek the public's views on matters being considered by Overview and Scrutiny Committees.
- Due to Covid-19, Council has consulted remotely via video conferences and electronic surveys.
- Guidance has been issued on the Ceredigion Council intranet to all Staff to follow with regards to the dissemination of feedback to decision makers. Recent indications are that significant progress is being made in this area by Officers.
- Joint engagement and consultation exercises are held.

- Collaborative projects are running with institutional stakeholders with clear governance arrangements in place.
- Collaboration Standards for New Strategic Projects Guidance and Templates are available.
- Partnerships Include:
 - PSB;
 - West Wales Regional Partnership Board;
 - Community Safety Partnership (reviewed 2019 and subject to Scrutiny);
 - Mid and West Wales Safeguarding Board; and
 - Growing Mid Wales.
- The formal review of partnerships that sit under the PSB has been completed. The new partnership structure has been operational since June 2018 and the partnerships will be reviewed on a periodic basis.
- Regular reporting of partnership meetings and activity to Leadership Group and Cabinet.
- Partnerships such as Growing Mid Wales have been established with governance arrangements. Growing Mid Wales Joint Overview and Scrutiny Committee has been established
- Partnership metrics are subject to internal review, where appropriate.
- A monitoring partnership framework that reports on all key decisions made by existing partnerships is reported to Leadership Group.
- Advice provided to Members and Officers serving on outside bodies.
- Legal Team is actively involved in drafting and reviewing Terms of Reference for Inter Authority Agreements ('IAAs') and formal committees.
- A suite of documents have been developed that relate to strategic collaboration projects that the Authority is considering entering into. The documents include guidance, standards and numerous templates for varying stages of collaboration projects.
- Executive Group Self-assessment carried out.
- All school reorganisation proposals are required to have formally consulted with stakeholders through adhering to the Welsh Government's School Organisation Code.
- Guidelines on Corporate Branding (May 2019).
- Corporate Communications Strategy (2019-2022).
- Effective Community involvement carried out with the well-being assessment work and service users from different backgrounds to inform the new Strategic Equality Plan.
- We have worked in partnership with Local Authorities and Public Services across Mid and West Wales on the review of our Strategic Equality Plans. A joint question set and engagement and consultation framework was produced and as a result, feedback was obtained from people with protected characteristics.
- An annual report on progress made against the Council's Well-being objectives and Corporate priorities in published on the Council Website.
- UNCRC – United Nations Convention on the Rights of the Child have been adopted by the Council.

C. Defining outcomes in terms of sustainable, economic, social and environmental benefits:

- Corporate Strategy 2017-2022
- The Council's Well-being and Improvement Objectives are included in the Council's Corporate Strategy 2017-2022 and are reviewed each year and reported in the Well-being and Improvement objectives annual report published on the Ceredigion County Council website. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website.
- Performance information is outlined in the Council's Well-being and Improvement Objectives Annual report.
- The purpose and the vision of the Council have been determined by Council and is contained in the Corporate Strategy 2017-22. This strategy illustrates how the authority will support and promote the well-being of the citizens of Ceredigion.
- PSB Local Well-being Plan was published in May 2018.
- The Authority has undertaken the following steps towards the implementation of the Well-being of Future Generations (Wales) Act 2015:
 - o Prepared well-being objectives and statement;
 - o Embedded the Well-being Goals and Sustainable; development principal into the business planning process
 - o Developed a new IJA tool and guidance (training has been rolled out for Officers and Members);
 - o Established a Well-being of Future Generations Act group and action plan;
 - o The Constitution is continually monitored and reviewed;
 - o PSB assessment of Local Well-being published in March 2017;
 - o Scrutiny arrangements agreed for PSB;
 - o Cabinet Reports, to include the Social/economic/ environmental impact assessment;
 - o A mandatory e-learning module on the Act has been developed and promoted to all Council Staff;
 - o an Equality, community and Welsh language Impact Assessment must be undertaken on all school restructuring proposals as required under the Welsh Government School Organisation Code; and
 - o Members have contributed to The Future Generations Officer Scrutiny Framework in relation to the WFGA
- All Planning arrangements reflect the Golden Thread and make the links to Corporate plans including;
 - o Strategic Plan;
 - o Corporate Performance Management Reporting; and
 - o Well-being Improvement Objectives
- Community and Engagement Policy (11 Jan 2013) is available.
- A Public Engagement Toolkit 2014 has been developed in order to provide a user-friendly resource for Officers when developing and undertaking effective public engagement with their communities, in accordance with the National Principles of Public Engagement.
- Updates on the budget savings and the work of the Development Group are reported to the Cross Party Transformation and Efficiency Consultative Group.

- Budget setting subject to detailed scrutiny by the five Overview and Scrutiny Committees.
- Business planning process includes resource allocation and Business Plans are prepared on an annual basis and are monitored quarterly by a Performance Board, which includes Cabinet members and the Chairs and Vice Chairs of the Overview and Scrutiny Committees and Chair of the Governance and Audit Committee.
- Quarterly performance arrangements provide a challenge protocol to ensure outcomes are delivered.
- Corporate performance management arrangements include quarterly assessment of risks to the achievement of outcomes or service delivery.
- Risk management includes risk logs for;
 - o Business Plans (Level 1); and
 - o Service Plans (Level 2).
- Local performance measures are included in Business and service delivery plans.
- Capital Plans include;
 - o Rights of Way;
 - o Highways;
 - o Annual Budget Plan; and
 - o Transformation.
- The Risk Management Policy and Strategy and the Risk Management Framework was approved by Cabinet on 24 September 2019.
- Risk Management training to be rolled out to Members and Senior Managers.
- Risk management e-learning package has been developed for all other Staff and training took place in 2019, with workshop with insurers arranged for senior Managers.
- Publication of service performance, including costs and value for money data is routinely considered within service reports.
- The appointed Auditor considers the Council's arrangements to secure economy, efficiency and effectiveness. In his letter he has stated that the Council has complied with its responsibilities to the use of its resources.
- The most recent Audit of the Council's Improvement Plan (2020-2021) was issued in November 2020. The report concluded positively that the Council discharged its duties and has acted in accordance with Welsh Government guidance sufficiently to discharge its duties.
- A capital appraisal form is completed for new capital projects, which covers the requirement for the project, and is used to assess value for money and the revenue implications of major projects.
- Medium Term Financial Strategy, which also contains Capital Investment Strategy.
- Wales procurement policy statement is aligned to the Council's Procurement Strategy 2018-2022.
- I/A tool and guidance is available and used to support decision-making.
- All reports and minutes are published in a timely manner and are open for inspection. All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act.
- Pre-decision Scrutiny encouraged where possible.
- The Transformation Programme.
- Engagement and Consultation Checklists are available on CeriNet.
- The Council wide WFGA Group Action Plan.

- Strategic Equality Plan 2020-2024, and Annual Strategic Equality Plan monitoring report 2020-2021 being submitted for approval, and once approved will be published on Council website.
- Welsh Language Standards and Annual Welsh Language Standards monitoring report.
- A mandatory E-learning training module on Welsh Language Awareness must be completed by all Staff.
- Annual Complaints and Compliments Report 2020/21 presented to Corporate Resources Scrutiny Committee 27.10.21 and approved by Council 9/12/21.

D. Determining the interventions necessary to optimise the achievement of the intended outcomes:

- The IIA tool and guidance is available and training has been rolled out for Officers and Members.
- Standard reporting templates are used in decision making process.
- Organisational Awareness training available as an optional module of the Corporate Manager Programme, which includes information relating to the decision making process, Wellbeing of Future Generations, Equalities, Welsh Language and the use of the IIAs, Head of Democratic Services and MO (CLO-Legal & Governance) advise as necessary.
- Risk Management Policy, Strategy and Framework (approved by Cabinet 24.9.10) with training programme for Members, Senior Management and Managers, published on CeriNet and available to all Members of Staff.
- Documents amended to reflect additional risks and background information to make informed decisions. Corporate Risk Register reported regularly to Governance and Audit Committee (9.9.2021, 3.6.2021).
- Medium Term Financial Strategy has been regularly updated the current version dated 2021/22 Onwards approved by Council 5.3.2021.
- Consultation decision tree tool includes a guidance section on dissemination of consultation results.
- Finance challenge regarding savings on Council Website.
- Corporate Performance Management arrangements include quarterly:
 - o Corporate Lead Officer Service Report;
 - o Performance Board; and
 - o Executive Panel meetings.
- The Business Planning process for 2021-22 is being implemented with Level 1 Business Plans shared with the Performance and Research Team.
- Performance measures have been identified within each Level 1 Business Plan that have in turn translate into the reporting Dashboard for each service. These measures have been closely scrutinised and have received final sign-off from senior leadership. Services report against these measures as part of the performance management process for the year.
- Business Plans include budget and finance information and form part of the quarterly Corporate Performance Management arrangements.
- A calendar is used to report deadlines and Board/Executive Panel dates are published with reports.
- Corporate Communications Strategy 2019-2022

- The Ceredigion PSB has a Local Well-being Plan that has been developed and delivered jointly with external stakeholders and partners.
- An Assessment of Local Well-being has been undertaken by the PSB that has fed the Local Well-being Plan and the Council Well-being Objectives for future years.
- All major collaboration projects have established governance and management arrangements including risk management.
- All projects considered by Corporate Project Management Panel, which is also attended by IA and is an effective forum for advice/challenge and highlighting risks as Service areas develop projects, including collaboration projects.
- The Corporate Project Management Panel helps ensure projects give early consideration to: the Well Being and Future Generations Act; to other guidance; to finance, procurement, governance and legal arrangements; to HR implications; Health & Safety; and Audit. Improve project arrangements prior to reporting to the Development Group and other authorisation processes.
- Account will be taken of legislative changes e.g. work is ongoing in relation to implementing legislative changes such as LGEW 2021 Act changes and considering/monitoring risks facing each partner when working collaboratively, including shared risks. Meetings are being held and preparation being carried out, for example, regarding the 2021 Act's requirement for Corporate Joint Committees, including potential and shared risks (a CJC group has been established, with the first meeting held on 19th April 2021, to consider the requirement to establish the Mid Wales CJC in accordance with the 2021 Act).
- Corporate Project Management Group has been established to formalise project development and management.
- Ensuring Staff with project management skills are available.
- This helps ensure projects give early consideration to: the Well Being and Future Generations Act; to other guidance; to finance, procurement, governance and legal arrangements; to HR implications; Health & Safety; and Audit. Improve project arrangements prior to reporting to the Development Group and other authorisation processes.
- Helps identify capital requirements for inclusion in future capital programmes.
- Local performance indicators have been established and approved for each service element and included in the service plan and are reported upon regularly.
- Budget Framework.
- Service Accountancy – Budget monitoring.
- Financial Regulations and Financial Procedure Rules (Document F Constitution) along with Budgetary Control Guidance are all up to date. Chief Officer Assurance Statements.
- The internal controls in place are subject to regular review by Internal Audit, in accordance with the annual risk-based audit plan.
- Corporate Strategy 2017-2022.
- Internal Audit Strategy & Plan 2021/2021 approved by Governance & Audit Committee 24 February 2021.
- The corporate savings plan has been through a robust governance process to ensure that all savings link to the desired service outcomes.
- Community Benefits is embedded in our Processes and Policies and has been regularly applied, monitored and reported upon.

- Well-being of Future Generations (Wales) Act is integrated into our processes.

E. Developing the entity's capacity, including the capability of its leadership and the individuals within it:

- Corporate and line management induction is now in place. Corporate induction and Corporate Manager Development plans were introduced in April 2018. Corporate induction sessions are part of these requirements, all new Staff must attend an induction session. Senior Managers present within these face-to-face sessions.
- Induction programme is provided for new Members. Ongoing training is provided for Members and arranged for specific issues e.g. Treasury management, also ongoing review of opportunities for skills and refresher training, including Personal Development Review Scheme (information to be used to develop a Members' Training Plan) and new comprehensive induction programme shall be provided post-election (from May 2022) with additional e-learning modules.
- Member development scheme.
- Preparations are being undertaken for (as part of induction programme for Members (from May 2022)) Cabinet Member training, Ethics and Standards Committee (role) training, Political Group Leader Duties training and Governance and Audit Committee (role) training.
- Development/training done as part of person specifications for key finance and legal posts (mandatory qualification, job requirements).
- Personal reviews for Officers and provision of opportunities for ongoing skills and refresher training for Officers.
- CeriNet (the HR intranet and resource to Staff and management) is continually reviewed and improved for effectiveness. Its introduction has improved effectiveness. Induction information is available along with the Staff handbook and Managers Toolkit.
- Learning & Development is now managed via the Ceri system offering opportunities to all Staff, with opportunities also offered to those within a Leadership Role or who are aspiring leaders. E-learning modules are being introduced to ensure training and development is cost effective wherever possible.
- E-learning packages are regularly being developed and rolled out for mandatory and non-mandatory training.
- Strategic Workforce planning toolkit includes the identification of training and learning needs for all service areas.
- Performance Appraisals record training and development needs via the Ceri system.
- Ongoing annual Personal Performance and Development scheme – Performance Reviews link to Corporate and strategic objectives.
- Personal Development Review process in place for Members.
- The Council aims to achieve the standard level for the Wales Charter for Member Support and Development.
- The Corporate Performance Management arrangements provide the forum for performance management's needs and thereafter preparing action plans for

delivery of corporate improvements in performance review of Staff. These have been further strengthened with the introduction of annual appraisals for all Staff via the Ceri HR system.

- All Staff can access learning and development events via Ceri self-service. Managers can also book Staff onto relevant events via Managers Self-service.
- Staff development plans linked to appraisals have been strengthened with the introduction of the Performance Management module in Ceri.
- Ceredigion Manager Programme offers personal development including governance arrangements and organisational knowledge.
- Workforce Plan 2017-2022 includes actions for Staff development in key themes.
- Members attend various events, seminars and conferences (see above).
- Utilisation of research and benchmarking exercises.
- The Ceri HR payroll system has ensured that meaningful data on Staff is now available to Managers on a monthly basis in order to monitor costs turnover and absence.
- Effective operation of partnerships which deliver agreed outcomes. Effective Partnerships have been developed in a number of areas and services including:
 - School Improvement;
 - Health & Social care; and
 - Waste.
- Additional partnerships are included in the strategic Collaboration Projects List.
- A Human Resources Strategy is available on the Intranet.
- Strategic workforce planning is undertaken utilising the Strategic workforce planning tool kit and is completed by all service areas. The outcomes of this tool kit informed the workforce plan for 2017-2022. The Workforce Plan 2017-2022 focuses on 4 key themes:
 1. Engagement & Opportunity;
 2. Flexible & Agile Workforce;
 3. Promote a bilingual workforce; and
 4. Leadership & Management Development.
- Updates on progress of the workforce plan are reported to scrutiny.
- The Leadership and Senior Officer structure has defined these roles, including how they integrate with each other.
- Succession planning is undertaken through discussions and actions within service areas and with partners this cannot always be evidenced. This will be further developed through the Strategic workforce planning toolkit.
- Joint meeting of senior Managers ensures that roles, responsibilities and accountabilities are clear.
- Job descriptions clearly define the roles and responsibilities required of posts.
- The Constitution sets out the roles and responsibilities of Members (Part 3.4 Table 4) and senior Officers (part 2 Article 2) and a Scheme of Delegation (The Constitution Part 3.5) exists and clearly sets out responsibilities for Members and Officers.
- The Strategic Planning Toolkit includes an element of succession planning and talent management.
- Protocols are in place for working relationships between Members and Officers (e.g. Officer-Member Protocol).
- Codes of Conduct for Officers and Members are in place.

- Member Officer working groups in place and working effectively.
- Contract Procedure Rules ('CPR') (Part 4 Document G Constitution) and Financial Regulations and accompanying financial procedures (Part 4 Document F Constitution) are reviewed on a regular basis e.g. CPR updated March 2019.
- The Corporate structure of the Council has been established to ensure that the Statutory Officers are able to perform their roles effectively.
- The CE is responsible for reviewing this structure, as necessary.
- Democratic Services Committee resolved on 15.10.21 to agree the revised set of Member Role Descriptions, designed to be used alongside Welsh member Development (Competency) Framework, of Welsh Local Government Association ('WLGA') Framework Member Role Descriptions and Person Specifications, which includes role description of the Leader (Report for information also been prepared for presenting to Governance and Audit Committee 19.1.21).
- Access to courses/information briefings on new legislation.
- Members Workshops arranged, as necessary.
- Engagement with Service Users list and Service User focus groups.
- Community Engagement Policy.
- Scrutiny Public Engagement Protocol (2016) (Document N Constitution) Council continually consults and engages with local residents, customers and other stakeholders within the county to understand their opinions and views when developing new plans and/or strategies. Feedback is always given due consideration before final versions are agreed.
- Scrutiny self-assessment undertaken annually including survey.
- Attendance records published annually.
- Members are encouraged and supported to complete Annual Reports, which are published on the Council's website.
- Chair of Governance and Audit Committee attends All Wales Governance and Audit Committee Chair's Networking Meetings to develop and compare role within Local Authorities.
- Implementing appropriate Human Resource policies and ensuring that they are working effectively.
- Smoke-Free Workplace Policy and Alcohol and Drug Misuse Policy.
- The Council has introduced a range of resources and options to enhance the health and well-being of Staff e.g. Health and Well-being Strategy 2021-2026 has been introduced to support the improvement in the workforce health and well-being.
- The Council has appointed an Employee Health & Wellbeing Officer to coordinate and promote health and wellbeing within the workforce.
- A Care First employee assistance package has been introduced that offers:
 - Counselling service; and
 - Advice on financial, legal, consumer, eldercare, childcare and employment issues.
- Other support available for Staff includes:
 - Cognitive Behaviour Therapy Interactive health and wellbeing programme;
 - Eyecare scheme;
 - Childcare voucher scheme;
 - Iechyd Da; and
 - Mindfulness training for Staff and Managers.

F. Managing risks and performance through robust internal control and strong financial management:

- Risk Management Policy and Strategy and the Risk Management Framework were approved by Cabinet on 24 September 2019 and Framework continues to be updated. The Council continues to form strategies and plans taking into account the risks caused by the Covid-19 pandemic
- The Corporate Risk Register is considered at all Leadership Group, Corporate Lead Officers, Corporate Performance Management meetings and by the Governance and Audit Committee as a standing item to the Governance and Audit Committee. Updates are reported at each Governance and Audit Committee Meeting to provide ongoing information and assurance that risks continue to be managed. The Committee refers matters to Scrutiny Committees, where appropriate.
- Risk Management is integral to operational business planning Policy and Strategy setting.
- Project and transformation Risks are all logged. The Cross party Transformation and Efficiency Group regularly monitors Transformation Risks and Transformation and Risks are all referred to joint Local Government meetings and Panels.
- All Plans included Risk logs including:
 - The Medium term Financial Plan;
 - Business Plans (level 1); and
 - Service Plans (level 2).
- Business/Service plans are monitored to ensure delivery outcomes are achieved.
- Corporate Risk Management arrangements are audited regularly and the management of risks is included in individual Services service/establishment audit programmes.
- 'Risks' form the basis of Internal Audit's audit programmes of work, as required by the MKI/Pentana audit management software system. Council / Cabinet report template updated to include reference to legal implications, staffing implications, property/asset implications and risks.
- Corporate Performance requires regular updates for Risk.
- The Council revised its Corporate Performance Management arrangements in 2017 to improve monitoring of its business plans and performance indicators, including National Strategic Indicators ('NSI'), PAM and Local Indicators. These are also linked to the Well-being and Improvement Objectives and the Corporate Strategy 2017-2022.
- A Corporate Performance Management Panel meets quarterly. All Corporate Lead Officers report to this Panel and the Dates for reporting are published in the report. The Chairs and Vice Chairs of the Overview and Scrutiny Committees attend with the principle that they can identify areas that require inclusion on their respective Forward Work Programmes.
- Specific Project Risk Monitoring is undertaken and all Risks are allocated to a Corporate Lead Officer (Risk Owner).
- Council considered the draft Well-being and Improvement Objective Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21 in October 2020 (The Well-Being & Improvement Objectives Annual

Report 2020-2021 was also approved by the Council's Overview and Scrutiny Co-ordinating Committee on the 15.9.21, and Cabinet 5.10.21).

- Benchmarking information carried out as part of service re-modelling.
- External & internal assessments by:
 - Audit Wales;
 - Estyn;
 - Care Inspectorate Wales ('CSIW'); Investigatory Powers' Commissioner's Office ('IPCO'); and
 - Information Commissioner's Office ('ICO').
- External assessments, to include Code of Conduct.
- Self-assessment (Governance and Audit Committee) - self-assessment exercise underway for presenting at 10.3.2022 Governance and Audit Committee Meeting.
- Individual Services carry out self-assessment through a performance matrix.
- IA undertake an annual self-assessment and have a 5-yearly independent external assessment / peer review as required by the PSIAS.
- Cost performance (using inputs and outputs).
- Chief Officers provide support and advice to Members. Advice also provided by Chief Financial Officer.
- Reporting requires financial and legal advice/implications to be included in reports/decisions, which are published as appropriate.
- All reports and minutes are published in a timely manner and are open for inspection including.
- Options for recommendations.
- Scrutiny Committees may request reports at any time and Scrutiny Chairs are invited to take issues back to Cabinet
- Governance and Audit Committee refer matters to Scrutiny and receive reports back.
- All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act.
- Agreement on the information that will be needed and timescales
- Scrutiny arrangements are in place that is supported and which provide opportunities to challenge decision making and review the provision of services. The scrutiny function aim is to provide added value to the continuous improvement agenda in their role as "critical friend". In addition, Overview and Scrutiny Committees also provide opportunities to undertake pre-decision and policy development work, which is a function of scrutiny, which has developed over recent years. The Council's aim is to scrutinise, where possible, before decisions are made.
- An Overview and Scrutiny Public Engagement Protocol (2016) (Document N Constitution) has been approved by Council and has been used on several occasions.
- Arrangements in place to seek the views of the public which is gathered via social media and shared with Overview and Scrutiny Committees for consideration.
- The Council's Overview and Scrutiny Co-ordinating Committee will be responsible for taking an overview of the overall effectiveness of the PSB.
- Work undertaken with the Future Generations Office to develop a Scrutiny Framework in relation to the WFGA.
- Reports and also all agendas, minutes, Forward Work programme and Terms of Reference are published on the Council's website.

- A Corporate Performance Management Board meets each quarter, with Chairs of Scrutiny Committees invited to attend.
- Reporting dates are set at beginning of each year.
- Budget monitoring is regular throughout the year, within services, to Cabinet and to Member Officer working groups e.g. Development Group and CMG and transformation programme savings to the Cross Party Transformation and Efficiency Consultative Group, which Chairs of Overview and Scrutiny Committees are invited to observe alongside Performance Board meetings.
- Financial monitoring is regularly undertaken throughout the Council under a devolved accountancy arrangement and formal reporting is made to Cabinet. Monitoring is also incorporated in to the quarterly performance management reports.
- Financial implications are a requirement for inclusion in all Cabinet Meeting reports.
- Financial Regulations and Financial Procedure Rules (Document F Constitution) and the Contract Procedure Rules (Document G Constitution) are all up to date. The current Procurement Strategy 2018-2022 was approved in 2018.
- Accounting practices - Codes of Practice are complied with. Prudential Indicators are prepared and reported to Council and monitored throughout the year. Regular budget monitoring takes place throughout the year. IA also reviews controls over income collection and monitoring.
- Updates in relation to Business Continuity and Civil Contingencies arrangements submitted on a regular basis in line with the Corporate Risk Register, Risk CORP04 and Business Continuity and Civil Contingencies Group meet monthly.
- The annual Internal Audit Plan is risk-assessed and takes account of Council aims and objectives, and corporate policies and procedures; to include a review of the Risk Management corporate arrangements, and testing the mitigating controls in place for a sample of risks noted in the Corporate Risk Register.
- Internal Audit Strategy & Annual Plan 2021-2022 approved by Governance and Audit Committee 24 February 2021, & continues to take account of additional risks presented by the pandemic.
- IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council.
- Internal audit reports issued to Managers highlight the risks of not implementing any IA recommended actions. A follow-up audit is conducted of action plans issued. If CMIA considers that any fundamental risks have not been addressed by a Manager this is reported to Governance and Audit Committee who has the discretion of requesting that Manager to attend & explain reasoning for non-compliance.
- The appointed Auditor considers the Council's arrangements to secure economy, efficiency and effectiveness in his letter he has stated that the Council has complied with its responsibilities to the use of its resources.
- The Council Objectives are aligned to Strategies.
- Regular meetings of the Emergency and Business Continuity Management Group take place to review Corporate and Service Area Emergency and Business Continuity Arrangements and Plans as well as recommendations arising from past incidents and exercises to evidence risk, identify emerging trends, and document any lessons learnt for follow up.

- Risk evaluation always appears on agendas.
- Regular Quarterly Internal Audit Progress Reports to Governance and Audit Committee for monitoring (e.g. Internal Audit Progress Report for period 1 April 2021 to 30 June 2021 presented to Governance & Audit Committee on 9 September 2021).
- Summary of work and audit opinion on assurance provided annually in Internal Audit Annual Report at year-end. IA Annual Report for 2020/21 approved by Governance & Audit Committee 3 June 2021.
- Follow-up IA reviews to monitor implementation of required actions.
- Internal controls, risk & governance processes are monitored according to the Internal Audit Charter (last version approved by Governance & Audit Committee 24/2/21) & the Annual Internal Audit Strategy and Plan.
- Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption ('CIPFA', 2014).
- Internal Auditors have procedures in place if fraud discovered.
- An Officer in the IA team is an accredited Counter Fraud Technician.
- Officer(s) of the IA team hold a CIPFA Certificate in Investigative Practices ('CCIP').
- 'Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)' updated and approved by Council 17 June 2021 (minutes confirmed 23 September 2021) has been written with regard to the Code of Practice & updated to ensure all requirements are included.
- IA undertakes counter fraud work where required (as well as dealing with the discovery of fraud as considered earlier) and presents Counter-Fraud Report to Governance and Audit Committee annually (2020/21 Counter-Fraud Report presented to Governance & Audit Committee on 3 June 2021).
- Council complies with Audit Wales's annual National Fraud Initiative requirements, currently co-ordinated by IA.
- Monitoring and response to fraud alerts (NAFN, wider networks, peers, etc);
- Membership and active participation in professional networks and groups (Tisonline, KHub, etc);
- IA offer advice to services on implementation of new systems and processes to ensure effective internal controls maintained;
- Nominated Council Officers undertake various fraud training to maintain knowledge and expertise;
- Where appropriate, successful prosecutions publicised on Council website (and in local press).
- Covid-19 grant payments audited prior to payment (as easier to stop a payment than recover it);
- Key financial control audits added to audit plan, to check controls, governance & risks whilst staff working from home
- AGS 2020/21 approved by Council on 25 November 2021 with the Statement of Accounts. The AGS contains the CMIA's annual opinion on assurance.
- Up to 31/12/21 the IA function is headed by a CIPFA qualified CMIA, and the CMIA from 1/1/22 onwards is studying to gain an IIA qualification, Both CMIA's have considerable local government experience, and are supported by a team with appropriate knowledge and skills. Regular reporting to Governance and Audit Committee on the activity of IA is undertaken. Robust risk-based forward work programme and business planning is in place.
- IA evaluates and improves the effectiveness of risk management, control & governance processes in accordance with PSIAS, which is self-assessed and

reported to Governance and Audit Committee annually along with any improvements required. A peer review is undertaken every 5 years (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group – see below).

- IA provides an individual assurance to Managers after each audit review – these are then used to provide an overall corporate level of assurance annually, which feeds in to the AGS.
- A re-structure of IA was implemented in May 2019, and another in November 2020. The service has been fully resources since 1 December 2020.
- A new CMIA will be in place from 1 January 2022, who has considerable experience in IA, has a 6-week window to ‘shadow’ the existing CMIA, and is supported by a knowledgeable & skilled Audit Manager (see point G3.2 below).
- Two members of the team are currently pursuing the Institute of Internal Auditors’ professional training qualification.
- Governance and Audit Committee established that sets its own work plan. Committee is chaired by a Member of the opposition group (until May 2022 when Lay Person shall be Chair, per 2021 Act provisions).
- Ongoing preparation and implementation of changes affecting the Governance and Audit Committee in light of the 2021 Act. The Governance and Audit Committee was informed, in a report on 24.2.2021 Meeting, of the changes to their role regarding self-assessment reports of the Council, and regarding panel performance assessments, as well as the change of name, and changes to the Chair/Vice Chair and composition.
- The Governance and Audit Committee’s Terms of Reference were updated on 6 December 2018.
- Update report on 2021 Act presented to Governance and Audit Committee 3.6.2021, to include updating Governance and Audit Committee regarding changes to Constitution affecting Committee including:
 - Recruitment of lay members and the Mid Wales CJC Governance and Audit Sub-Committee; and
 - Regarding the Committee’s functions relating to:
 - reviewing and assessing the performance assessment of the Council;
 - considering the Council’s draft annual Self-Assessment report;
 - considering any report from the Auditor General and Council’s draft response;
 - review of the Council’s complaints handling function; and
 - role regarding Panel Performance Assessments (from May 2022).
- Changes made during 2021-2022 include preparations for:
 - terms of reference/remit/composition changes (including recommendations to Council from Cross-Party Constitution Working Group and changes to Constitution approved by Council at its 23.9.2021 Meeting);
 - change of name to ‘Governance and Audit Committee’;
 - Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act) – –recruitment completed (Council approved appointments 9.12.21);
 - Committee duty to appoint own Chair and Deputy Chair;
 - Chair must be lay person –recruitment completed (Council approved appointments 9.12.21) and Chair/Deputy Chair shall be appointed from Lay Members;

- Deputy Chair must not be member of Local Authority Executive; and
- In absence of Chair & Deputy only non-executive Members can chair.
- Size of Governance and Audit Committee review completed and change of size from May 2022 approved (9).
- The Governance and Audit Committee has an effective Lay Member and Membership of Governance and Audit Committee considered in line with 2021 Act: Lay member recruitment completed, taking into account 2021 Act requirements and termination of term of office of current lay member. Job Direction, Personal specification, and criteria approved by Council 10/12/20.
- Membership details for Governance and Audit Committee and all Scrutiny Committees is available on the Council's website.
- Regular meetings between CMIA and Chair of Governance and Audit Committee, advice given by MO and also regular meetings, as necessary between MO and Chair, and MO, CMIA & Audit Wales.
- Regular Meetings between Governance and Audit Committee Members and external regulator Audit Wales (with and without Officers)
- Training for Members and regular training/updates provided to Governance and Audit Committee.
- Chair of Governance and Audit Committee attends Welsh Governance and Audit Committee Chair network group to develop and compare role within Local Authorities.
- A New ICT and Digital Strategy for 2018-2022 has been approved and all policies are up to date including (all approved in February 2019):
 - Data Protection & GDPR Policy;
 - Information Security Policy; and
 - Records Management Policy.
- Mandatory E-learning training modules on Data Protection and Information Security must be completed by all Staff.
- Designated Data Protection Officer.
- Corporate Lead Officer Customer Contact is the Senior Information Risk Owner ('SIRO') and has attended appropriate training for that role.
- The following responsible Officers are identified:
 - IT Security Officer ('ITSO'); and
 - Information and Records Management Officer ('IRMO')
- In addition, Corporate Data Protection Group and Emergency & Business Continuity Meeting consider Information security.
- Regular Internal Audit of data protection Registration requirements and procedures following Audit Wales audit have been implemented.
- Ceredigion County Council signed Wales Accord on the Sharing of Personal Information ('WASPI') and therefore uses WASPI framework for Information Sharing Agreements.

***The Accord is a common set of principles and standards under which partner organisations will share personal information. Organisations who adopt the Accord will show their commitment in meeting the agreed conditions, obligations and requirements within the framework.
- In most cases agreements are forwarded to the Data Protection Officer.
- There is also a public register on WASPI Website.
- Regular external Assessments e.g. Compliance with Code of Conduct.
- Internal performance monitoring and evidence.
- Cross matching data happens across the different services.
- Performance Indicator values are validated with evidence.

- Retention Schedule –now published on intranet.
- The current Medium Term Financial Strategy ('MTFS') was established during the 2013-14 year and fundamentally updated and approved by Council on the 24th February 2016. The Current MTFS is that of 2018/2019 Onwards, but has now been amended to reflect the 2021/2022 provisional revenue settlement and updated to:
 - Reflect the impact of Covid 19
 - Reflect 'Boosting Ceredigion's Economy – A Strategy for Action 2020-35'
 - Amend the transformation savings plan
 - Project forward cost pressures
 - Reflect data changes, regulations, plans, policies and strategies
 and is being presented to Cabinet for approval 23,2,2021 for approval to then be presented to Council on 5.2.2021.
- This now includes a policy framework for setting the budgets annually as well as a three-year plan. The MTFS features as a corporate risk that is updated at least three times a year. The annual budget setting also included a risk assessment. The Council is responding to the proposal in the 2016 Wales Audit Office (now Audit Wales) Annual Improvement Report, and considering the report in light of the MTFS through ensuring that the Council's financial management arrangements are sufficiently robust to meet the significant challenges ahead.
- A Strategic Plan has been developed and has improved the programme of work necessary to consider service priorities whilst addressing financial constraints.
- An annual budget project plan/timetable is established to ensure that a balanced budget is approved within the statutory period in accordance with the Councils budget framework.
- Regular budget reports are taken to Cabinet and Leadership Group throughout the year and operational budgets are monitored on a monthly basis.
- Quarterly Executive Panel meetings take place if required with Corporate Lead Officers together with the Leader of the Council, the CE, Corporate Lead Officer for Finance and Cabinet Member with Finance responsibility.

G.Implementing Good Practices in transparency, reporting and audit to deliver effective accountability:

- Council's Website.
- Council and Cabinet meetings are broadcasted.
- Standard templates for Cabinet, Scrutiny and Council.
- Compliance to the Welsh language Standards.
- Use of Modern.Gov for publishing agendas and Councillor Information.
- Council preparing for implementation of changes to be introduced by 2021 Act, which include for Council to consult and publish a public participation strategy with the aim of increasing public participation in local democracy, and improving transparency.
- Council compliance with The Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020, which allow for remote access for meetings and public access/publishing of documents requirements.

- Work is underway to prepare a Community Engagement Policy that will meet the requirements of the 2021 Act, which will also include how we will encourage participation in decision-making, although final guidance is awaited from Welsh Government regarding this part of the legislation.
- Council Roadmap provides up-to-date information for citizens on services being provided due to Covid-19 pandemic, in order to provide clarity for County residents.
- The Council has been out to tender and awarded the contract for installing equipment in the Council Chamber that will enable hybrid meetings to take place as well as being able to broadcast those meetings. The equipment will be installed over the winter.
- The Council provides alternative ways for citizens to access information if they don't have access to digital services. The Citizen can telephone the Council's Contact Centre or visit its Libraries where public access to computers are available or free 4G Wi-Fi to allow anyone to use their own device.
- Councillors' contact details, attendance records, Committee membership and Declarations of Interests available on the Council's Website.
- Councillors' annual reports available on the Council's Website.
- Overview and Scrutiny Annual Report available on the Council's Website.
- Democratic Services Annual Report available on the Council's Website.
- The County Council's Well-being and Improvement Objectives Annual Report is published on the Ceredigion County website to inform Ceredigion citizens what activities and actions the Council undertakes in support of its Well-being and Improvement Objectives. This also forms part of the Council's self-assessment. A summary plan is also available in public offices for our citizens.
- Annual financial statements are published on the Council's Website.
- Appropriate approvals.
- Corporate Performance Management arrangements.
- Ownership of planning and transformation.
- AGS.
- Council's AGS evidences how it complies with the seven core Governance Framework Principles and sub-principles contained in the Framework and in the Local Code of Corporate Governance, including how it puts in place proper arrangements for the governance of its affairs, facilitates the effective exercise of its functions, and makes arrangements for risk management (the Governance Framework was developed in 2010 and has been revised in accordance with the CIFA/SOLACE Delivering Good Governance in Local Government Framework 2016). In compliance also with Local Government (Wales) Measure 2009 and The Well-being of Future Generations (Wales) Act 2015.
- Assessment of the framework for corporate governance carried out to ensure compliance e.g. updated to reflect changes necessary because of Covid-19 pandemic. Decision by Council whether AGS approved e.g. updated and approved by Council 25 November 2021 (with accounts).
- Council's Local Code of Corporate Governance demonstrates how it has the necessary corporate governance arrangements in place to perform effectively, and is a public statement that sets out the way the Council will meet that commitment.

- AGS shared with accounts, reviewed and updated with Members and Officers providing a wider engagement process. Members and Officers carry out a review of the AGS annually.
- Financial implications are a requirement for inclusion in all Cabinet Meeting reports. Financial Regulations and Financial Procedure Rules (Document F Constitution), Contract Procedure Rules (Document G Constitution) are all up to date. The current Procurement Strategy 2018-2022 was approved in 2018.
- Accounting practices - Codes of Practice are complied with Prudential Indicators are prepared and reported to Council and monitored throughout the year. Regular budget monitoring takes place throughout the year. IA also reviews controls over income collection and monitoring.
- A good working relationship exists with Welsh Government as key regulator and external regulators, including Audit Wales, Estyn, CIW, Financial Services Authority ('FSA') and Food Standards Agency as key regulators. Regular dialogue is maintained with representatives from Audit Wales.
- Audit Wales Protocol documented and procedures in place to ensure all 'Management Response Forms' from each Audit Wales report addressed and that Service responses are presented to Leadership Group, Governance and Audit Committee and Audit Wales.
- Regarding monitoring of progress of actions/recommendations, Governance Officer is Audit Wales point of contact for outstanding Management Response Forms ('MRFs') for 2019/20 & 2020/21, and ongoing governance-related MRFs/governance matters. Corporate Performance and Improvement Officer is point of contact for performance-related MRFs/performance matters. This system is set out in a Protocol, approved by Leadership Group and presented to Governance and Audit Committee, with updated version (to reflect that the Corporate Performance and Improvement Officer is in post) presented to Governance and Audit Committee 9.9.2021 Meeting.
- Monthly meetings are also being held with Audit Wales to discuss ongoing work and matters to be presented to the Governance and Audit Committee and regular dialogue is maintained with representatives from Audit Wales.
- Recommendations from Audit Wales are taken forward in the Corporate Performance Management arrangements.
- All Audit Wales reports presented to Leadership group and Governance and Audit Committee, which monitors implementation of corrective actions required.
- Monitoring of progress of Actions process being developed.
- Up to 31/12/21 the IA function is headed by a CIPFA qualified CMIA, and the CMIA from 1/1/22 onwards is studying to gain an IIA qualification, Both CMIA's have considerable local government experience, and are supported by a team with appropriate knowledge and skills. Two members of Staff currently studying for the Chartered Institute of Internal Auditors qualification, and two are developing ICT auditing skills.
- IA Officers undergoing audit qualifications to enhance knowledge, skills and competency.
- A re-structure of IA was implemented in May 2019, and another in November 2020. The service has been fully resourced since 1 December 2020.
- A new CMIA will be in place from 1 January 2022, who has considerable experience in IA, has a 6-week window to 'shadow' the existing CMIA, and is supported by a knowledgeable & skilled Audit Manager.

- The role of CMIA has free and unfettered access to the Chair of the Governance & Audit Committee and both meet regularly during the year (and these meetings continue remotely during the Covid-19 pandemic).
- Robust risk-based forward work programme and business planning is in place.
- Regular reporting to Governance & Audit Committee on the activity of IA is undertaken, i.e. quarterly Internal Audit Progress Reports to Governance & Audit Committee for monitoring progress performance and improvement and summary of work and audit opinion on assurance provided annually in Internal Audit Annual Report at year end. Follow-up reviews undertaken to monitor corrective actions are implemented.
- Internal Audit Charter regularly reviewed and approved by Governance & Audit Committee (last version approved by Audit Committee 24/2/21).
- CMIA provides annual objective opinion on assurance placed on Council's risk management, control and governance processes, based on the individual assurances given to Managers after each audit review, & feeds into the AGS.
- Compliance with PSIAS reported annually to Governance & Audit Committee with resultant improvement plan. Peer review of assessment every five years (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group).
- IA's mission is to enhance & protect organisational value by providing risk-based & objective assurance, advice & insight. This is detailed in the internal Audit Charter, which also states IA's right of access (as per the Council's Financial Regulations/Constitution).
- Recommendations from Audit Wales are taken forward in the Corporate Performance Management arrangements.
- The Council is learning and continually works towards improvement.
- Five-yearly external assessment of IA is undertaken as required by PSIAS.
- The last Internal Audit External Assessment was undertaken in November 2016 by Conwy County Council and was reported to Audit Committee, along with the resultant improvement Plan (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group).
- IA progress, performance & improvement is reported to Audit Committee quarterly.
- PSB's terms of reference and Well-being Plan, and annual report from PSB.
- The Ceredigion County Council Overview and Scrutiny Co-ordinating Committee is responsible for taking an overview of the overall effectiveness of the Board.
- Partnership and Accountability agreements are established in collaborative projects.

4 Opinion on the level of assurance that the governance arrangements can provide

The Corporate Manager - Internal Audit (CMIA) prepares an Annual Internal Audit Report at year-end, which is usually presented to the Governance and Audit Committee at its June meeting (presented on 3 June 2021). The report sets out the individual and collective outcomes of the audit reviews undertaken during the

year, and provides the overall audit opinion of assurance based on this audit work. The assurance provided also takes into account progress in implementing improvements, consideration of the risk register and assurances provided in reports issued by external regulators. The scope of audit work and how the need to constantly reprioritise to ensure sufficient work is undertaken for the assurance is detailed in the report.

The Annual Report at year-end contains the results of the internal audit annual self-assessment of the service, based on CIPFA's LG Application Note's template. This was subject to an external peer review during 2016-17, and an external assessment is planned to be repeated every five years, as required by the Public Sector Internal Audit Standards (PSIAS) (the next review shall be in 2022). The resultant improvement plans from these assessments are included in the quarterly Progress Reports presented to the Governance and Audit Committee and reviewed annually in the Annual Internal Audit Report.

The Improvement Plans identify improvements made and planned against the recommendations arising from the assessments, along with the results of the service's Quality Assurance Improvement Programme as required by the PSIAS to ensure the Governance and Audit Committee is able to monitor the service's progress.

A Report on the Annual Governance Statement 2021-2022 Progress and Current Year Action Plan was provided to the Governance and Audit Committee on 3 June 2021.

The Internal Audit Progress Report 1/4/2021-30/6/2021 (presented to the Governance and Audit Committee on 9 September 2021) and the Quarter 3 Progress Report (due to be presented to the Governance and Audit Committee on 19 January 2022) include the actions taken to date to achieve the identified proposed improvements.

The Internal Audit staffing structure has been at full complement during the year 2021-2022.

On 24 February 2021, the CMIA also presented to the Governance and Audit Committee the Internal Audit Strategy and Plan for 2021/22. This is designed to ensure a sufficient area of coverage is undertaken to support the annual opinion on the effectiveness of the systems of governance, risk management and internal control across the Council. The Internal Audit Strategy and Plan for 2021/22 summarised the work areas the Internal Audit Section aimed to concentrate their time on during the year, taking account of the situation due to the pandemic.

The service has been provided on a more reactive basis this year, as with the previous year, due to the various risks introduced from necessary changes in the Council's working practices, such as the issuing of one-off grants, set-up of groups to target specific areas of change, more staff working from home, etc. Internal audit work has been assessed on an on-going basis with regular consideration

given to the Council's changing needs and priorities. In addition to this reactive work, assurance for 2021/22 is placed on planned reviews either carried forward or undertaken during the year to assess the annual level of assurance for the Council. All actions taken have been consistent with the guidance note issued by the Internal Audit Standards Advisory Board. In addition, more resources have been dedicated to developing the assurance mapping system to provide additional support to the assurance provided at year-end.

The Council has, for example, had an urgent obligation to award various grants to eligible businesses in the County, and due to potential fraudulent claims, Internal Audit has continued to review a sample of applications prior to payment (easier to stop payments than recover after), adding value to the Council's operations due to changing circumstances, as supported by Internal Audit Standards Advisory Board guidance notes.

The CMIA expects to conclude in her 2021/22 Annual Report to be presented to the Governance and Audit Committee based on:

- the number, scope and assurances from internal and external sources during the year to 31 March 2022, and
 - the acceptance of actions by management (where available),
- that the Council has a satisfactory framework of governance, risk management and internal controls in place to manage the achievement of the organisation's objectives during the year.

Due to the on-going effect of the pandemic, it should be noted that, as with the previous year, no schools were reviewed during the year. However, certain checks have been undertaken whilst auditing the EIG and PDG grants.

The Annual Governance Statement will be the subject of review by the Governance and Audit Wales to ensure that it is consistent with their knowledge and with legislation. In addition, the Internal Audit section undertakes an annual independent review of the Annual Governance Framework and the method of scoring and evidence, as noted in Point 2 above.

The Council's Corporate Lead Officer - Customer Contact acts as the Authority's Senior Information Risk Owner and also has responsibility for Data Protection and ICT Security.

The SIRO Forum traditionally included subject matter experts: E.g. Facilities, Data Protection, IT Security, Head of IT, Legal, HR and some departmental representation. This meets every quarter to discuss information risk and information management issues.

The current key roles and scrutiny of Information Assets are as follows:

- An IT Security Officer ('ITSO') who advises on data security and external advisers and consultants are employed from time to time to test and advise on the Authority's security arrangements;

- An Information and Records Management Officer ('IRMO') advises on legal compliance and ensures that policies and procedures are in place and are being adhered to;
- Corporate Data Protection (known internally as Corporate Data Protection / FOI / EIR Group Meeting) meets quarterly and is chaired by the Head of Service Policy (Deputy HOS ICT&CS); and
- Annual Reports as required to the Council's Governance and Audit Committee.

Additionally:

- ITSO is the Vice-chair of Wales National Public Sector Security Forum (CymruWARP) which meets quarterly.
- IRMO Chairs the Information and Records Management Society Wales/Cymru and arranges events across Wales.
- IRMO is part of the WASPI - Mid and West Wales Quality Assurance Panel.

Following the Governance Framework review, overall governance arrangements are considered to be good on the basis that the majority of scores applied were 9/10.

The introduction of the Local Code for Corporate Governance outlining how the Council is committed to the core principles of the CIPFA/SOLACE delivering Good Governance in Local Government Framework provides guidance to all Members and Officers on the governance agenda.

Regular review of the Local Code of Governance will provide a high level of assurance that the governance arrangements are fit for purpose.

Coronavirus Pandemic

Due to the coronavirus pandemic crisis, all Council offices were closed to the public with effect from 23 March 2020.

In light of the national emergency and urgent situation arising as a result of the pandemic, and in order to protect the Council and the public's interests, in circumstances where the decision is deemed urgent such that any delay would seriously prejudice the Council's or the public's interests, the Council Leader granted temporary delegated powers to the Council's Chief Executive and Leadership Group to make decisions relating to the Council's COVID-19 response.

The decision was made in accordance with part 4 of the Council's Constitution.

The Record of Urgent Decision Notice is available on the Council's website on the Council's page for Governance Structure for decision making during COVID-19 (<https://www.ceredigion.gov.uk/resident/coronavirus-covid-19/governance/>). The

decision was reviewed and in October 2020, February 2021, March 2021 and May 2021 the Leader approved revised decisions (also available on the Council's website).

During the period Gold Command Meetings have been held in order to discuss the Covid-19 pandemic and how to effectively deal with the situation. Gold Command continues to meet regularly.

The Gold Command forum was set-up immediately to facilitate operations and provide a robust decision-making process from the outset, holding daily virtual meetings.

The Temporary Executive function transfer of powers expired on 31st August 2021. From 1st September 2021 to date, Gold Command has been making operational decisions under the Civil Contingencies Act 2004.

Audit Wales's Covid-19 Recovery Interim Assurance letter of 19 October 2020 to the Council summarised its interim conclusions based on the ongoing monitoring of the adjustment process regarding the ongoing impact of the pandemic. In the Appendix, Audit Wales refers to, as part of the Council's adapting decision-making arrangements, the Decision Log as being planned for publication on the Council's website and for reporting to the next meeting of the Overview and Scrutiny – Co-ordinating Committee. The Governance and Audit Committee noted the contents of this letter at its meeting on 12 November 2020 and a Report by the Corporate Lead officer – Legal and Governance/Monitoring Officer was presented to the Overview and Scrutiny Co-ordinating Committee on 20 January 2020, which noted the contents of the Report and the contents of the Gold Command Covid-19 Leadership Group Meetings per the Decision Log.

The Decision Log was first published on the Council website on 5 November 2020 (for decisions made up to 30 September 2020). Decisions from 1 October 2020 to 30 November 2021 have also now been published and decisions up to the end of December 2021 are in preparation for publishing.

The Council had a clear vision that every single person, business and service could understand and agree upon in order to ensure Ceredigion succeeded in not only reducing predicted deaths through the first peak but more importantly for any future predicted peaks. This has been actioned in three phases to date:

- Phase 1: Preparedness – Closing down of all non-essential services
- Phase 2: Implementation – Delivering services under lockdown conditions
- Phase 3: Adjustment and long term resilience

Phase 3 provides an adjustment phase from the first two phases to a fourth, recovery phase. To enable this to happen, the adjustment phase must consider three main components that will be critical to dealing with COVID-19 whilst at the same time releasing elements of the lockdown safely and in a controlled and structured manner. The three elements are:

Containment + Isolation + Eradication

As lockdown restrictions are gradually eased and the Welsh Government amends its guidance, the Council is looking at how and when it can recommence its services or how they will be delivered differently. This is documented in a 'Roadmap' on the Council's website.

It is hoped that the business sectors and community groups will also contribute to this roadmap so that there is clarity for all residents of Ceredigion.

Following an initial immediate suspension of public meetings, Council meetings have been reintroduced via a virtual platform.

Members of the public are able to attend the remote meetings by e-mailing the Democratic Services for registration details. A full list of remote meetings are available on the Council website. These meetings are also available on the Council's Facebook page to view.

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5 Issues identified for last year (2021-2022)

The following table records the actions that have been taken during 2021-22 to resolve the issues identified in the Annual Governance Statement for 2020-2021:

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
<p>A1.1 Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation</p>	<p>Monitoring Officer to advise Officers further on the need to declare interests in organisations which actually, or may conflict with Council interests including:</p> <ul style="list-style-type: none"> • Contractors; • School Governors; • Clerk to Town and Community councils; • Members of Town and Community councils; and • School Governors. <p>MO and CLO Democratic Services to continue to undertake review of Members holding directorships, trusteeships, or memberships when appointed onto outside bodies, and committees, Monitoring Officer to consider member feedback and added value and continue to update Code of Conduct for Officers and Members.</p> <p>Monitoring Officer to advise Officers further on the need to declare</p>	<p>This is an ongoing duty. The Ethics and Standards Committee will have new duties (from May 2022) under the Local Government and Elections (Wales) Act 2021, to include:</p> <ul style="list-style-type: none"> • Monitoring compliance by leaders of political groups on the Council with their duties under S.52A(1) Local Government Act 2000; • Advising, training or arranging to train leaders of political groups on the Council about matters relating to their duties under S.52A (1) Local Government Act 2000. • At the end of each financial year, make an annual report to the Council in respect of that year per 56B Chapter 1 Part 3 Local Government Act 2000. 	<p>EP/LE</p>	<p>March 2022</p>

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	<ul style="list-style-type: none"> • Directorships; and • Other employment <p>Including Whether conflicting with the Council's interests or not.</p> <p>Monitoring Officer to continue to advise Members further on the need to declare hospitality/gifts.</p> <p>Monitoring Officer to advise Chief Officers further on the need to declare:</p> <ul style="list-style-type: none"> • close personal associations with other Officers or Members, 	<p>The duty to monitor compliance of political group leaders is in relation to standards of conduct, and one way that the Council will ensure Members behave with integrity and lead a culture where acting in the public interest is visible, and consistently demonstrated to protect the Council's reputation.</p> <p>The Monitoring Officer's advising of Officers relating to declarations of interests is an ongoing action, which is undertaken regularly through News Updates via the Cerinet system. Most recently, an Update on Council Employees' Declarations of Interest and Hospitality was published on 20 July 2021 on the Council's CeriNet Site, including links to the relevant forms and Code of Conduct for Local Government Employees, along with a reminder that any queries or requests for advice should be made to the Monitoring Officer.</p> <p>An update on Employees' Declaration and Registration of Interests, including regarding COVID-19</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>Restrictions Business Fund NDR Grants for businesses was published on 8 January 2021 on the Council's CeriNet Site.</p> <p>A review is currently being undertaken of the external bodies that have appointed Members, including added value, and also updating of the Constitution.</p> <p>The Code of Conduct for Local Government Employees, and also the Declarations of Interest and Hospitality for Staff are in the process of being substantially reviewed. Regular meetings have been held and input from the Monitoring Officer, Governance Officer, Corporate Lead Officer – People & Organisation and Data Protection Information & Records Management Officer.</p> <p>A draft Data Protection Impact Assessment has also been sent to the Data Protection Officer for consideration in respect of changes proposed to the Code of Conduct and Declarations, with progress updates</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>provided to the Governance and Audit Committee at its 25.11.2021 Meeting (a further progress update to be provided at its 19.1.2022 Meeting).</p> <p>Following completion of the DPIA process, the draft documents shall be sent to and considered by Leadership Group, Trade Unions and Council.</p> <p>Consideration is also being given as to whether Chief Officer Business Interests should be published on the Council's websites, with Meetings held between the MO, Governance Officer, Data Protection Officer and CLO – People and Organisation.</p>		
A1.3 Leading by example and using these standard operating principles or values as a framework for decision making and other actions	Leadership Group to be updated on e-Learning with HR reporting to Leadership Group (A mandatory E-learning training module on the Well-Being of Future Generations Act 2015 ('WFGA') must be completed by all Staff).	The mandatory e-learning module was introduced in September 2017 and up to November 2021 it has been completed by 2,834 employees. Of these 343 completed the Welsh medium module and 2,491 the English medium module.	GE	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	Continue to review Constitution to reflect legislative changes and according to need.	<p>Between April and November 2021, a total of 242 employees completed the e-learning module, 40 through the medium of Welsh and 202 through the medium of English (figures include leavers). Reminders are issued to staff who have not yet undertaken the module and Leadership Group will receive periodic reports on the completion of mandatory e-learning modules.</p> <p>Reviewing the Constitution to reflect legislative changes and according to need is an ongoing task, as the Constitution is a live document. Proposed amendments to the Constitution were last presented to Council at the 23rd September 2021 Meeting, and prior to this at its 18th March 2021 Meeting. The Council's Cross Party Constitution Working Group are meeting on a regular basis, with meetings held on 15th</p>	EP/HR	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>February 2021, 19th April 2021, 30th June 2021, 10th August 2021 and 8th November 2021, with the next Meeting scheduled for 11th February 2022.</p> <p>Significant amendments to the Constitution have included amendments to comply with the Local Government and Elections (Wales) Act 2021 and work is currently being undertaken to implement changes as recommended by Audit Wales in its 2020-21 Review of Ceredigion County Council's Planning Service (Report issued October 2021).</p> <p>A comparison exercise will be undertaken of the Current Constitution against the Model Constitution issued by WLGA.</p>		
A1.4 Demonstrating, communicating and embedding the standard	Council making preparations to comply with Local Government and Elections (Wales) Act 2021 regarding Audit	Proposed changes to the Constitution to comply with the Local Government and Elections (Wales) Act 2021	EP/AW/HR	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	<p>Committee (terms of reference, remit and composition to be reviewed):</p> <p>Changes include:</p> <ul style="list-style-type: none"> - change of name to 'Governance and Audit Committee; - Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act); - Committee duty to appoint own Chair and Deputy Chair; -Chair must be lay person; -Deputy Chair must not be member of Local Authority Executive; and - in absence of Chair & Deputy only non-executive Members can chair. 	<p>requirements were put to the Council's Cross-Party Constitution Working Group on 19th April 2021, 30th June 2021 and 10th August 2021, which made appropriate recommendations to Council. A Report regarding these proposed changes was presented to Council at its 23rd September 2021 Meeting. Council resolved to agree to the proposed changes.</p> <p>A further Report on changes relating to the Governance and Audit Committee arising from the Local Government and Elections (Wales) Act 2021 was presented to the Council's Governance and Audit Committee at its 3rd June 2021 Meeting, including updates to the Constitution, and to inform on the requirements for the Mid Wales CJC to have a Governance and Audit Sub-Committee.</p> <p>A report on changes under the Local Government and Elections (Wales)</p>		Changes re Governance and Audit Committee and 2021 Act Complete

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>Act 2021 affecting the Committee was also presented to the Committee in the 24th February 2021 Committee meeting, including the recruitment of lay members to the Committee. These changes and proposals regarding recruitment were then presented to, and approved by, Council on 18th March 2021. Council noted the contents of the Report, and relevant implementation dates, and approved:</p> <ul style="list-style-type: none"> a) the change of name of the Audit Committee to the Governance and Audit Committee, and additional performance and complaints-handling functions effective from 1 April 2021; b) commencement of the recruitment process for independent lay members to the Audit Committee; c) the proposals for the Shortlisting Selection Panel; and d) the Role Description and Person Specification. 		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	<ul style="list-style-type: none"> • Delegated Decisions Register to be published. 	<p>A Report on the size of the Governance and Audit Committee was presented to the Democratic Services Committee on 21st May 2021, which agreed to recommend to Council that the Committee should comprise 6 County Council Members and 3 lay members (9 total). A Report on the size of the Committee was then presented to Council on 17th June 2021 and Council agreed that same member composition from 5th May 2022. The recruitment process has now been completed and Council resolved on 9th December 2021 to appoint the three candidates recommended by the Shortlisting Selection Panel.</p> <p>The publication of the delegated decisions register is ongoing. The Gold Command Decision Log, a decision register, has been published</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>and updated quarterly, presented to Gold Command (and approved), and thereafter to the Overview and Scrutiny Co-ordinating Committee (most recently on 1st December 2021 and, prior to this, on 16th June 2021) and published on the Council's website.</p> <p>It was proposed at this Meeting to publish the Decision Log more regularly and the MO/Governance Officer are arranging for its publication more regularly (decisions up to 30th November 2021 published and decisions up to 31 December 2021 to be published shortly (December 2021).</p> <p>The Decision Log for decisions between 1 December 2021 and 31 December 2021 shall then be presented to the Overview and Scrutiny Co-ordinating Committee at its 10th February 2022 Meeting.</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	<ul style="list-style-type: none"> • Continued monitoring of the Mandatory e-learning take up of Whistleblowing module. Currently lower than required. • The Complaints / Compliments policy is to be reviewed during 2020-2021. 	<p>In relation to other delegated decisions, Development Control Committee delegated decisions are published for each Development Control Committee. Any other decisions work is in progress, however in particular work is currently being undertaken to prepare a Tree Preservation Order (TPO) Register.</p> <p>Regarding the take up of the Mandatory e-learning Whistleblowing module, between April and November 2021, 237 Staff completed the Module, 42 through Welsh and 195 through English (*these figures include leavers)</p> <p>The Corporate Complaints Policy review is complete. The new policy was presented to the Corporate Resources Overview and Scrutiny Committee on the 7th of July and was</p>		Complaints / Compliments Policy review complete

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	Ethics / Fraud training to be provided.	<p>presented to Council on the 23rd of September. Council resolved to approve the revised Concerns and Complaints Policy and Procedures 2021.</p> <p>The Ethics / Fraud training module is now complete, which was prepared in collaboration with Zurich (Council's insurer). The training was presented by Anthony Connolly from Zurich on 28th May 2021 at the Corporate Managers' quarterly workshop. The slides from the presentation are to be used as a basis for an e-learning module for all staff. The Internal Audit & Governance Services have prepared draft questions and answers for the e-learning module and have provided these to Learning & Development, who shall use them as a basis for the module.</p> <p>This is also supported by the recent review of the Council's Strategy on</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>Counter-Fraud, Corruption and Bribery (to include Anti-Money Laundering).</p> <p>A follow-up internal audit of the Council's arrangements regarding Ethics is also in progress (currently in review).</p>		
A3.1 Ensuring members and Staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations	<ul style="list-style-type: none"> The Local Government and Elections (Wales) Act 2021 shall have an effect on corporate bodies, including the Council, and preparations for compliance are underway. 	<p>As above, compliance with the Local Government and Elections (Wales) Act 2021 requirements is ongoing, including through the Cross-Party Constitution Working Group (Members of each political group in attendance), reports to the Governance and Audit Committee and Council, with a Council Action plan having been prepared and updated regularly, and meetings with relevant Officers and CLOs held, as appropriate.</p>	EP	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
B1.1 Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	FOI policy and EIR policy both updated. Review of the FOI Publication Scheme is in progress.	A review of the FOI Publication Scheme is scheduled for the coming year.	LE/AW/MNH	March 2022
B3.1 Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes	Due to the Covid-19 pandemic, decisions currently need to be made by Gold Command for emergency reasons, therefore it is impossible to consult physically in the community at present for many services, and consequently the scoring has been amended to reflect this.	<p>A Community Engagement, Consultations and Partnerships Page has been created on the new Ceri Net site. https://cerinet.ceredigion.gov.uk/our-council/community-engagement-consultation-and-partnerships/#</p> <p>This includes links to our current Community Engagement Policy, Engagement and Consultation Checklist, Engagement with Service Users and a Consultation Decision Making Tool.</p>	AW/LE/MS	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	<p>Community Engagement Policy is under review and will include provisions for how stakeholders are engaged in future.</p>	<p>All Integrated Impact Assessments (IIAs) for Cabinet are now assessed by the Engagement and Equality Officer. This includes whether effective engagement, involvement and consultation has taken place and informed our strategic decision making process.</p> <p>A draft new Engagement Strategy for Ceredigion County Council, 'Talking, Listening and Working Together,' has been prepared. This will be consulted upon and agreed following the Local Government Elections in 2022.</p> <p>Work is underway to prepare a Community Engagement Policy that will meet the requirements of the Local Government and Elections (Wales) Act 2021, which will also include how we will encourage participation in decision-making, although guidance is awaited from</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		Welsh Government regarding this part of the legislation.		
B3.4 Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account	Further work on monitoring feedback is required and the new Equalities and Engagement post will address this.	<p>Feedback from engagement and how people's views have been taken into account is recorded in the IIAs.</p> <p>Reports on completed consultations and engagement exercises are posted on our public consultations webpage in order to provide feedback to the public. http://www.ceredigion.gov.uk/your-council/consultations/</p> <p>Any consultation / engagement reports are presented to Scrutiny and Cabinet to inform their decision making.</p>	AW/MS	March 2022
C1.5 Managing service users' expectations effectively with regard to	Publicise service performance including costs and value for money data.	Relevant costs and value for money data is routinely considered within service reports.	AW	March 2022 - Complete

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
determining priorities and making the best use of the resources available		Costs and value for money data in context of managing service users expectations, is not available to or held by the Performance Service.		
D2.3 Considering and monitoring risks facing each partner when working collaboratively including shared risks	Account will be taken of legislative changes e.g. Local Government and Elections (Wales) Act 2021.	<p>As above, work is ongoing in relation to implementing legislative changes, such as Local Government and Elections (Wales) Act 2021 changes and considering/monitoring risks facing each partner when working collaboratively, including shared risks.</p> <p>Meetings are being held and preparation being carried out, for example, regarding the 2021 Act's requirement for Corporate Joint Committees, including potential and shared risks (a CJC group has been established, with the first meeting held on 19th April 2021, to consider the requirement to establish the Mid-</p>	AW/EP	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>Wales CJC in accordance with the 2021 Act).</p> <p>Appropriate Joint Scrutiny arrangements are in place in relation to the Growing Mid Wales Board. Similarly, the Mid Wales Corporate Joint Committee will have Sub appropriate arrangements in place (Joint Scrutiny, Standards and Governance and Audit Committee) - arrangements in compliance with legislation and its Standing Orders.</p>		
<p>D2.5 Establishing appropriate local performance indicators (as well as relevant statutory or other national performance indicators) as part of the planning process in order to identify how the performance of services and projects is to be measured</p>	<p>Further work is progressing to link Local Performance measures to all level 1 Business plan Objectives.</p>	<p>The Business Planning process for 2021-22 is being implemented with Level 1 Business Plans shared with the Performance and Research Team.</p> <p>Performance measures have been identified within each Level 1 Business Plan that will in turn translate into the reporting</p>	<p>AW</p>	<p>March 2022</p>

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		Dashboard for each service. These measures have been scrutinised and have received final sign-off from senior leadership. Services will then report against these measures as part of the performance management process for the year.		
F3.5 Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment that its recommendations are listened to and acted upon	<p>Audit Committee terms of reference, remit and composition to be reviewed in light of Local Government and Elections (Wales) Act 2021. Changes include: - change of name to 'Governance and Audit Committee;</p> <p>-- Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act); - Committee duty to appoint own Chair and Deputy Chair;</p> <p>-Chair must be lay person;</p> <p>-Deputy Chair must not be member of Local Authority Executive; and</p> <p>- in absence of Chair & Deputy only non-executive Members can chair.</p>	<p>As above, work is ongoing in relation to changes affecting the Governance and Audit Committee in light of the Local Government and Elections (Wales) Act 2021. The Governance and Audit Committee was informed, in a report at the 24th February 2021 Meeting, of the changes to their role regarding self-assessment reports of the Council, and regarding panel performance assessments, as well as the change of name, and changes to the Chair/Vice Chair and composition.</p> <p>As above, an update report on the 2021 Act was presented to the</p>	EP/AR/HR	March 2022 - Complete

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	<p>Size of Audit Committee review in progress.</p> <p>Lay member recruitment to be undertaken during 2020/21, taking into account any Local Government & Elections (Wales) 2020 Act requirements and termination of term of office of current lay member.</p>	<p>Committee in the 3rd June 2021 Meeting, to include updating the Governance and Audit regarding changes to the Constitution affecting the Committee, including:</p> <ul style="list-style-type: none"> - Recruitment of lay members and the Mid-Wales CJC Governance and Audit Sub-Committee; and - Regarding the Committee's functions relating to: <ul style="list-style-type: none"> o reviewing and assessing the performance assessment of the Council; o considering the Council's draft annual Self-Assessment report; o considering any report from the Auditor General and Council's draft response; o review of the Council's complaints handling function; and 		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>o role regarding Panel Performance Assessments (from May 2022).</p> <p>The Council has approved (23rd September 2021 Meeting) amendments to the Governance and Audit Committee's terms of reference, further to recommendations by the Cross-Party Constitution Working Group. The Constitution has been duly updated with terms of reference to reflect the Committee's current duties from the 2021 Act, with future duties of the Committee to be inserted in the terms of reference at the appropriate date.</p>		
G1.1 Writing and communicating reports for the public and other stakeholders in an understandable style	Council preparing for implementation of changes to be introduced by Local Government and Elections (Wales) Act 2021, which include for Council to consult and publish a public	Work is underway to prepare a Community Engagement Policy that will meet the requirements of the Local Government and Elections (Wales) Act 2021, which will also	LE/AM	March 2022 (– Complete by March 2022)

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
appropriate to the intended audience and ensuring that they are easy to access and interrogate	participation strategy with the aim of increasing public participation in local democracy, and improving transparency.	<p>include how we will encourage participation in decision-making, although guidance is awaited from Welsh Government regarding this part of the legislation.</p> <p>The Council has been out to tender and awarded the contract for installing equipment in the Council Chamber that will enable hybrid meetings to take place as well as being able to broadcast those meetings. The equipment will be installed over the winter and the system will be in place by March 2022.</p>		
G3.1 Ensuring that recommendations for corrective action made by external audit are acted upon	Monitoring of progress of Actions/recommendations	'Audit Wales Protocol' documented and procedures in place to ensure all 'Management Response Forms' from each AW report addressed and that service responses are presented to LG, GAC and AW.	EP/AW/SJ	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>The Governance Officer is the AW point of contact for outstanding Management Response Forms ('MRFs') for 2019/20 and 2020/21, and ongoing governance-related MRFs/governance matters. The Corporate Performance and Improvement Officer is the AW point of contact for performance-related MRFs and performance matters. This system is set out in a Protocol, which has been approved by Leadership Group and presented to the Governance and Audit Committee. An updated version of the Protocol (to reflect that the Corporate Performance and Improvement Officer is in post) was presented to the Governance and Audit Committee at its 9th September 2021 Meeting.</p> <p>The Governance Officer and Corporate Performance and Improvement Officer have also prepared a spreadsheet for current</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>MRFs, as well as historical MRFs (monitored by the Governance Officer) to be presented to the Governance and Audit Committee for monitoring of MRF responses.</p> <p>Monthly meetings are also being held with AW to discuss ongoing work and matters to be presented to the Governance and Audit Committee.</p> <p>These actions are, therefore, ongoing but the appropriate systems/checks have been put in place.</p>		

Note: Any actions not fully completed by the completion date will be carried forward into the 2021-2022 Action Plan

6 Agreed action plan for matters to be considered during 2022-2023

Following the implementation and review of the CIPFA/SOLACE Delivering good governance in Local Government Framework (2016) the following issues have been identified for resolution during 2022-2023:

Issue	Action	Outcome	Lead Officer	Completion Date
<p>A1.1 Ensuring Members and Officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation</p>	<p>MO to continue to advise Members further on the need to declare hospitality/gifts.</p> <p>MO to continue to advise Chief Officers further on the need to declare:</p> <ul style="list-style-type: none"> close personal associations with other Officers or Members, Ongoing review on Chief Officers business declarations <p>MO and CLO Democratic Services to continue to review Members holding directorships, trusteeships, or memberships when appointed onto outside bodies, and committees, MO to consider member feedback and added value and continue to update Code of Conduct for Officers and Members</p>	<p>Further embedding of behaviour with integrity.</p>	<p>EP/LE</p>	<p>March 2023</p>

Issue	Action	Outcome	Lead Officer	Completion Date
	<p>Update Dispensations forms for Members</p> <p>Appraisals were halted due to Covid-19 Pandemic but have now recommenced (undertaken in May 2021 and continue to be held virtually.)</p> <p>Reviewed Code of Conduct for Officers to be issued once updated & approved.</p> <p>Officers to complete a Mandatory Ethics/Fraud e-training module once completed & approved.</p>			
A1.3 Leading by example and using these standard operating principles or values as a framework for decision making and other actions	Leadership Group to be updated on e-learning with HR reporting to Leadership Group.	Further embedment of Standard Operating principles and leading by example for effective decision-making.	GE	March 2023
A1.4 Demonstrating, communicating and embedding the standard operating principles or values through appropriate	Delegated decision Decisions Register to be published.	Further embedment of Standard Operating principles and	EP/ HR	March 2023

Issue	Action	Outcome	Lead Officer	Completion Date
policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	Continued monitoring of the Mandatory e-learning take up of Whistleblowing module. Currently lower than required. Whistleblowing Policy to be reviewed.	communication through publication of documents. Further embedment of Standard Operating principles and leading by example. Further embedment of Standard Operating principles.		
B1.1 Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	Completion of review of the FOI Publication Scheme, which is in progress.	Demonstrating commitment to openness.	LE/AW/MNH	March 2023
B3.1 Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes	Due to the Covid-19 pandemic, decisions have needed to be made by Gold Command for emergency reasons (under the temporary executive function transfer of power in place until 31.8.2021 and for operational procedures under the Civil Contingencies Act 2004 following that date), therefore it has been impossible to consult physically in the community	Improving Community Engagement.	AW	March 2023

Issue	Action	Outcome	Lead Officer	Completion Date
	<p>at present for many services, and consequently the scoring has been amended to reflect this.</p> <p>To continue to progress the review of the Community Engagement Policy that will include provisions for how stakeholders are engaged in future.</p>			
D2.3 Considering and monitoring risks facing each partner when working collaboratively including shared risks	<p>To continue to take into account legislative changes e.g. Local Government and Elections (Wales) Act 2021.</p> <p>To implement legislative changes, such as regarding the Local Government and Elections (Wales) Act 2021 and consider/monitor risks facing each partner when working collaboratively, including shared risks.</p>	Risk management and compliance with legislation to demonstrate commitment to rule of law.	AW/EP	March 2023
G3.1 Ensuring that recommendations for corrective	Monitor progress of actions/recommendations.	Assurances and managing risk	EP/AW/SJ	March 2023

Issue	Action	Outcome	Lead Officer	Completion Date
action made by external audit are acted upon				

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7 Conclusion

The annual governance framework review measured progress against the new CIPFA/SOLACE Delivering Good Governance Framework (2016) and overall governance arrangements were found to be acceptable or good.

The Council has made good progress during the year with recorded achievements against each of the seven core principles.

The development of a Local Code of Corporate Governance bringing together all the local codes and documents together in one document provides assurance that there are clear governance arrangements in place. This enabled the Council to react swiftly to the threats presented by the coronavirus pandemic.

The Council has identified a number of minor issues for resolution during 2022/23 and has set these out in an action plan for completion (as above). The actions taken as a direct result of the pandemic will be recorded, as appropriate.

8 Certification of Annual Governance Statement

We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness throughout the 2022/23 year and will monitor their implementation and operation as part of our next annual review. It is acknowledged that the pandemic may hinder some of these steps, which will be addressed and reported accordingly to Council in the 2022/23 AGS.

Local Code of Corporate Governance



Approved by Council [enter date]

Local Code of Corporate Governance

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1. Introduction

Ceredigion County Council is committed to demonstrating that it has the necessary corporate governance arrangements in place to perform effectively. This Local Code of Governance is a public statement that sets out the way the Council will meet that commitment.

Corporate governance is a term used to describe how organisations direct and control what they do to ensure that the intended outcomes for service users and stakeholders are achieved while acting in the public interest at all times.

Good corporate governance requires local authorities to carry out their functions in a way that demonstrates accountability, transparency, effectiveness, integrity, impartiality and inclusivity. Corporate governance is also the structure through which strategic objectives are set and performance monitored.

2. Coronavirus Pandemic

Due to the coronavirus pandemic crisis, all Council offices were closed to the public with effect from 23 March 2020.

In light of the national emergency and urgent situation arising as a result of the pandemic, and in order to protect the Council and the public's interests, in circumstances where the decision is deemed urgent such that any delay would seriously prejudice the Council's or the public's interests, the Council Leader granted temporary delegated powers to the Council's Chief Executive and Leadership Group to make decisions relating to the Council's COVID-19 response.

The decision was made in accordance with Part 4 of the Council's Constitution. The Record of Urgent Decision Notice is available on the Council's website on the Council's page for Governance Structure for decision making during COVID-19 (<https://www.ceredigion.gov.uk/resident/coronavirus-covid-19/governance/>). The decision was reviewed and in October 2020, February 2021, March 2021 and May 2021 the Leader approved revised decisions (also available on Council's website).

During the period Gold Command Meetings have been held in order to discuss the Covid-19 pandemic and how to effectively deal with the situation. Gold Command continues to meet regularly.

The Gold Command forum was set-up immediately to facilitate operations and provide a robust decision-making process from the outset, holding daily virtual meetings.

The Temporary Executive function transfer of powers expired on 31st August 2021. From 1st September 2021 to date, Gold Command has been making operational decisions under the Civil Contingencies Act 2004.

Audit Wales's Covid-19 Recovery Interim Assurance letter of 19 October 2020 to the Council summarised its interim conclusions based on the ongoing monitoring of the adjustment process regarding the ongoing impact of the pandemic. In the Appendix, Audit Wales refers to, as part of the Council's adapting decision-making arrangements, the Decision Log as being planned for publication on the Council's website and for

reporting to the next meeting of the Overview and Scrutiny – Co-ordinating Committee. The Governance and Audit Committee noted the contents of this letter at its meeting on 12 November 2020 and a Report by the Corporate Lead Officer – Legal and Governance/Monitoring Officer was presented to the Overview and Scrutiny Co-ordinating Committee on 20 January 2020, which noted the contents of the Report and the contents of the Gold Command Covid-19 Leadership Group Meetings per the Decision Log.

The Decision Log was first published on the Council’s website on 5 November 2020 (for decisions made up to 30 September 2020). Decisions from 1 October 2020 to 31 November 2021 have also now been published (and preparations underway to publish Decision Log up to December 2021).

The Council had a clear vision that every single person, business and service could understand and agree upon in order to ensure Ceredigion succeeded in not only reducing predicted deaths through the first peak but more importantly for any future predicted peaks. This has been actioned in three phases to date:

Phase 1: Preparedness – Closing down of all non-essential services

Phase 2: Implementation – Delivering services under lockdown conditions

Phase 3: Adjustment and long term resilience

Phase 3 provides an adjustment phase from the first two phases to a fourth, recovery phase. To enable this to happen, the adjustment phase must consider three main components that will be critical to dealing with COVID-19 whilst at the same time releasing elements of the lockdown safely and in a controlled and structured manner.

The three elements are:

Containment + Isolation + Eradication

As lockdown restrictions are gradually eased and the Welsh Government amends its guidance, the Council is looking at how and when it can recommence its services or how they will be delivered differently. This is documented in a ‘Roadmap’ on the Council’s website.

It is hoped that the business sectors and community groups will also contribute to this roadmap so that there is clarity for all residents of Ceredigion.

Following an initial immediate suspension of public meetings, Council meetings have been reintroduced via a virtual platform.

Members of the public are able to attend the remote meetings by e-mailing the Democratic Services for registration details. A full list of remote meetings are available on the Council website. These meetings are also available on the Council’s Facebook page to view.

3. Responsibilities for Corporate Governance

All Members and Officers have a responsibility for upholding the principles of good governance. It is a key responsibility for the Leader of the Council and the Chief Executive.

The Leadership Group, comprising of the Chief Executive, Corporate Directors and Corporate Lead Officers are responsible for the development, delivery and review of robust corporate governance arrangements.

4. Monitoring and Review

The Leader and Chief Executive are required to ensure that Corporate Governance arrangements are reviewed on an annual basis to measure the extent to which the Council meets the requirements of the core principles and sub-principles contained in the CIPFA Framework Code.

The Governance and Audit Committee is responsible for monitoring and reviewing the Governance arrangements as described in this Code. Full terms of reference for the Governance and Audit Committee is included in the Constitution.

The results of the review are reported through the Annual Governance Statement. Any amendments to the Local Code of Corporate Governance will be reviewed by the Governance and Audit Committee and approved by Council.

Through the Governance and Audit Committee, the Council will ensure that these arrangements are kept under continual review. This will include consideration of:

- The work of Internal and External Audit
- The opinion of other review agencies and inspectorates
- Opinions from the Council's Statutory Officers
- General matters relating to the implementation of the Code
- The production of the Annual Governance Statement and actions planned to address arising governance issues

5. Annual Governance Statement ('AGS')

Each Year the Council will publish an AGS.

This will provide an overall assessment of the Council's Corporate Governance arrangements and an appraisal of the controls in place to manage the Council's key risks.

The AGS will also provide details of where improvements need to be made.

The AGS will be reviewed by Leadership Group and the Governance and Audit Committee, before final approval by Council and signed by the Leader of the Council and the Chief Executive.

The AGS will be published on the Council's website and as part of the Council's Annual Statement of Accounts and will be reviewed by our External Auditors.

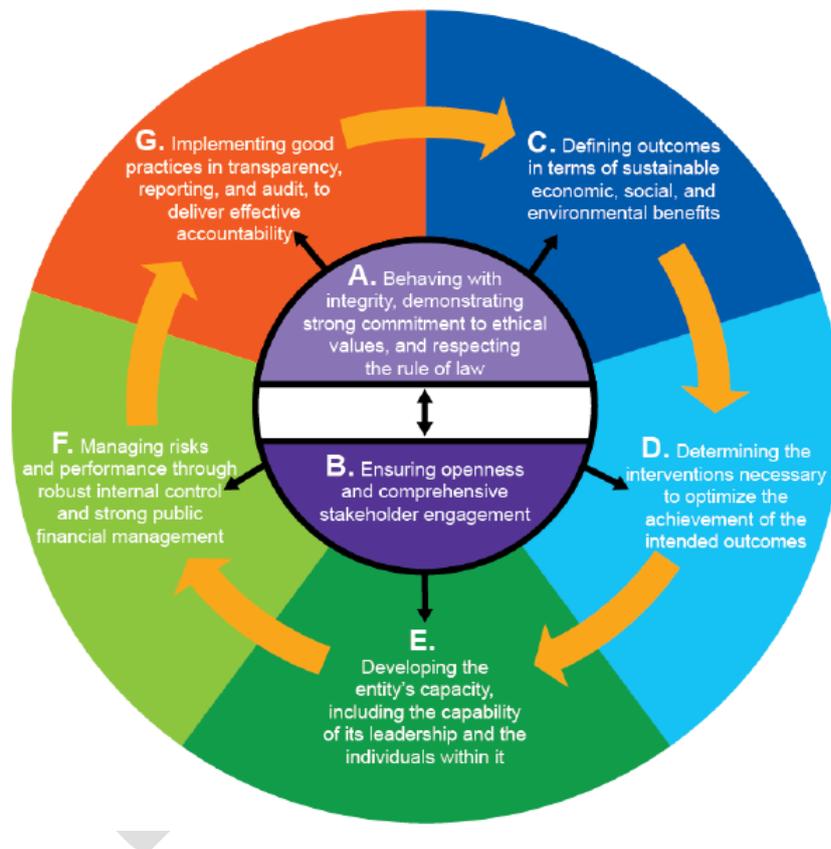
6. The Governance Framework

The Code has been developed in accordance with and is consistent with the Chartered Institute of Public Finance and Accountancy (CIPFA)/Society of Local Authority Chief Executives (SOLACE) Delivering Good Governance in Local Government Framework (2016 Edition) and (CIPFA)/Society of Local Authority Chief Executives (SOLACE) Delivering Good Governance in Local Government Framework Guidance notes for Welsh authorities (2016 Edition).

Figure 1 below defines the relationships between the Principles for Good Governance in the Public Sector:

Figure 1: Relationships between the Principles for Good Governance in the Public Sector

**Achieving the Intended Outcomes
While Acting in the Public Interest at all Times**



The purpose of this Code of Corporate Governance is to demonstrate that the Councils governance structures comply with the core principles and sub-principles contained in the Framework and the table below demonstrates the Council's governance arrangements in relation to it.

Principle of Good Governance	How we meet these Principles
<p>A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</p>	<ul style="list-style-type: none"> • <u>Code of Conduct for Members</u> (updated in 2016) available on the Council's website, intranet site (CeriNet) under Councillor Resources, and in the <u>Constitution</u>. Also, <u>Members Code of Conduct Flowchart</u> (updated in 2016). • <u>Code of Conduct for Officers*</u> (currently in the process of being substantially reviewed) available along with all Corporate policies and strategies via Council website/<u>CeriNet</u>. • Induction and follow-up training on Code of Conduct and ethics provided to all Members. • Ethics Audit undertaken during 2019. Follow up Internal Audit of Council's arrangements regarding Ethics also in progress (currently in review). • Ethics/Fraud training provided in collaboration with Council's insurer at Corporate Managers' quarterly workshop 28.5.2021. Slides from presentation are forming a basis for e-learning module for all Staff and Internal Audit ('IA') & Governance Services working with Learning & Development to prepare scenarios for training. Training supported by recent review of Council's Strategy on Counter-Fraud, Corruption & Bribery (to include Anti-Money Laundering). Day to day advice is provided by the Monitoring Officer ('MO') and Scrutiny Support Officer. • Committee and Members advised by MO and proactive regular advice and reminders sent to Members and Officers as required. Legal and Financial advice/implications is provided on all appropriate reports for decision, Chief Officers provide support and advice to Members and reporting requires financial and legal advice/implications to be included in reports/decisions which are published as appropriate. • Items reported to Members for decisions through Cabinet, Council and Committees are subject to legal and financial advice which will be referenced within each report. Also, MO operates an 'open' door policy for Members wishing to receive 'conduct' and 'governance' advice. • Personal Development Review. • Individual sign off with regard to compliance. • <u>Register of Members' interests</u>, available from the Council's Democratic Services, reviewed by MO and published on Council website. • <u>Declaration of Interest</u> and <u>Hospitality</u> forms for Officers and Members on CeriNet. • MO circulates reminder re interest/hospitality declarations to Staff quarterly. • Declarations of interest by Members and Officers at meetings and <u>Minutes</u> for all committees contain Declarations of Interest-Officers and Members. • Regular reminders through News Updates on CeriNet system, monitoring and review of MO of Chief Officers' declarations annually and advising Chief Officers on need to declare close personal associations with other Officers or Members, including advising Chief Officers at Leadership Group. Chief Officers informed through CeriNet system news update of MO email re declaring interests and Hospitality and reminder to Chief Officers sent.

- Chief Officers' annual Declarations of Interest and continuing obligations to declare interests. Ongoing review on Chief Officers' business declarations.
- Update advice on Council Employees' Declarations of Interest and Hospitality published on 16 December 2021 and 20 July 2021 on CeriNet, also re Covid-19 Restrictions Business Fund NDR Grants for businesses (News update published 8.1.2021) and links to the relevant forms and Code of Conduct for Local Government Employees, along with a reminder that any queries or requests for advice should be made to the MO.
- Declarations of interest by Members and Officers at meetings, an opportunity to make reference to any close personal contacts/roles etc. MO to advise Officers further on the need to declare interests in organisations which actually, or may conflict with Council interests including:
 - Contractors;
 - School Governors;
 - Clerk to Town and Community councils;
 - Members of Town and Community councils; and
 - School Governors.
- MO to advise Officers further on the need to declare:
 - Directorships; and
 - Other employment

Including whether conflicting with the Council's interests or not.
- Members required to update Register of Interests in accordance with the Code of Conduct, and in addition, annually, which is opportunity to reference any close personal associates/roles etc. This now includes lay/independent members of the Ethics & Standards Committee and Governance & Audit Committee. Register of Interests booklet published for each Member on Council Website.
- NFI match highlights Staff who are directors of companies that have dealings with the Council – any non-declarations investigated by IA and reported to MO.
- Review is currently being undertaken of the external bodies that have appointed Members, including added value, and also updating of the Constitution.
- Update Dispensations forms for Members completed (2020).
- Professional Qualified Officers and Teachers have to meet their professional body/organisation requirements.
- Members complete a HR training module.
- Training on standards of behaviour is provided to Managers for Staff.
- Employee Handbook is in the process of being reviewed, is available on CeriNet, sets out the expected Employee behaviour and includes the Code of Conduct for Local Government Employees.
- MO circulates to political group leaders updates/decisions from the Adjudication Panel for Wales, whose role is to determine alleged breaches by elected and co-opted members against their authority's statutory code of conduct.
- The main duties of the Ethics & Standards Committee are to improve standards of Member conduct and operation of the Code of Conduct for Members. The Ethics and Standards Committee will have new duties

(from May 2022) under the Local Government and Elections (Wales) Act 2021 ('2021 Act'), to include:

- Monitoring compliance by leaders of political groups on the Council with their duties under S.52A(1) Local Government Act 2000;
- Advising, training or arranging to train leaders of political groups on the Council about matters relating to their duties under S.52A (1) Local Government Act 2000.
- The duty to monitor compliance of political group leaders is in relation to standards of conduct, and ensure that this is visible, and consistently demonstrated and evidenced to protect the Council's reputation.
- Ethics and Standards Committee championing ethical compliance to ensure that public have trust and confidence that Members and Officers work to highest ethical and moral standards.
- The Ethics and Standards Committee has been proactive, leading on training sessions and putting procedures in place for dispensation arrangements. The structure has recently been reviewed to improve efficiency and effectiveness.
- Members' standards and conduct matters considered by the Council's Ethics and Standards Committee. Public meetings held regularly, and chaired by an independent person-determine dispensations, and consider strategic/policy issues and receive updates from Public Service Ombudsman for Wales Casebook & APW cases.
- Annual Ethics & Standards Committee Report reported to Council in October 2021.
- Carmarthen County Council undertook an independent audit of ethics within the Council during 2019. Follow up Internal Audit of Council's arrangements regarding Ethics in progress (currently in review).
- A good working relationship exists with the Welsh Government as a key regulator. Regular dialogue is maintained with representatives from Audit Wales.
- This vision for the Council has been reviewed and endorsed by Cabinet, and the vision sets out a number of long term Strategic Objectives.
- Corporate Strategy (2017-2022) contains the priorities of the Council.
- The Well-being and Improvement Objectives build on the priority areas identified in the Corporate Strategy 2017-2022 and are reviewed annually These are developed in consultation with the public and Members. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website.
- Regular dialogue with Public Services Ombudsman for Wales, and other regulators including Estyn, CIW, ICO and IPCO.
- Council Constitution, which is subject to regular reviews, with ongoing updates as required, including presenting proposed changes to Politically Balanced Cross Party Constitution Working Group, to make recommendations on changes to Constitution to Council. Further revision in 2021 is ongoing, as the Constitution is a live document, to reflect legislative changes and according to need. Council approved amendments on 18.3.21 and 23.9.21. Constitution Cross Party

Working Group meets regularly to consider proposals for Constitution updates. Meetings held 15.2.21, 19.4.21, 30.6.21, 10.8.21 and 8.11.21. MO/Governance Officer report to Council to update delegations and Constitution. A comparison exercise will be undertaken of the Current Constitution against the Model Constitution issued by WLGA.

- A mandatory E-learning training module, introduced in September 2017, on the Well-Being of Future Generations Act 2015 ('WFGA') must be completed by all Staff (up to 31.3.21 completed by 2,592 employees, of which 303 through Welsh medium and 2,289 through English medium). For year up to 31.3.21, 493 total employees completed the module, 92 through Welsh medium, 399 through English medium. Reminders issued to Staff who not yet completed module and Leadership Groups receive periodic reports.
- Standards Conference 2018 jointly hosted by Powys & Ceredigion County Council (held on 14 September 2018). A similar conference was to be hosted by North Wales Councils in 2021-postponed due to Covid.
- Governance and Audit Committee carry out a benchmarking exercise annually to provide further assurance on the review of the AGS process.
- IA review and report on the process annually. Governance & Audit Committee meets regularly to consider governance and external regulator reports. Chaired by non-executive member.
- Governance and Audit Committee Annual Report reported to Council on 23.9.2021 and approved.
- Covid-19 Governance Structure introduced by the Council, to include temporary delegated powers for the Council's Chief Executive and Leadership Group through use of Urgent Decisions for decisions relating to the Council's COVID-19 response), in accordance with Council's Constitution. The Urgent Decision of the Leader was reviewed regularly, and expired on 31.8.2021.
- Gold Command continues under operational procedures pursuant to Civil Contingencies Act 2004
- Gold Command Record of Decisions published on the Council's website).
- Due to the Covid-19 pandemic, decisions have needed to be made by Gold Command for emergency reasons (under the temporary executive function transfer of power in place until 31.8.2021 and for operational procedures under the Civil Contingencies Act 2004 following that date).
- Roadmap produced, which outlines the services the Council does and does not provide, and what the Council's plans are, which is reviewed regularly, for Ceredigion giving overview of services provided in light of Covid-19 Pandemic, current guidance and number of cases in Ceredigion.
- Effective 'Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)' updated and approved by Council 17.6.21 (minutes confirmed 23.9.21).
- Internal Audit Annual Report on Counter Fraud presented to Governance and Audit Committee at year-end.

- Members of Governance and Audit Committee updated on fraud including Internal Audit annual counter fraud report presented to Governance and Audit Committee at year-end.
- Politically Restricted Post Register for Officers maintained and Political Restrictions on Local Government Employees Policy available to employees on CeriNet.
- Whistleblowing Policy available to Employees and Contractors (updated 2018) on CeriNet and is updated as necessary.
- MO is the Corporate Lead Officer ('CLO'), and advises Whistleblowers, as appropriate.
- A mandatory E-learning training module on Whistleblowing must be completed by all Staff. MO keeps a register of referrals and reports 6-monthly to the Overview and Scrutiny Co-ordinating Committee. Regarding the take up of the Mandatory e-learning Whistleblowing module, between April and November 2021, 237 Staff completed the Module, 42 through Welsh and 195 through English (*these figures include leavers).
- All complaints are dealt with in accordance with the corporate procedures which include informal and formal stages and these are communicated to Staff on a regular basis.
- The complaints system is monitored by the Corporate Complaints and Freedom of Information Manager. Corporate Complaints Policy has been reviewed, new Policy presented to Corporate Resources Overview & Scrutiny Committee 7.7.21 and to Council 23.9.2021, and Revised Concerns and Complaints Policy and Procedures 2021, its implementation and publication approved by Council.
- Improvements are implemented as a result of complaints /recommendations received.
- Council Complaints and Freedom of Information Privacy Notice.
- Annual Complaints Report, including Lessons Learned from complaints, considered by the Governance and Audit Committee and Cabinet prior to approval by Council, presented to Council and noted.
- Minutes for all committees published on the Council's Website. All Committee agendas/minutes contain disclosures of interests.
- Cabinet Decision Notices published on the Council's Website.
- Statutory powers and legal implications included in every decision making Cabinet report.
- Preparation for publication of delegated decisions register ongoing. Gold Command Decision Log (a decision register) published regularly, presented to Gold Command (and approved) and thereafter to Overview and Scrutiny Co-ordinating Committee (20.1.2021, 16.6.21 and 1.12.2021) and published on Council's Website. Regarding other delegated decisions, Development Control Committee delegated decisions published for each Development Control Committee.
- Register of Contracts published on Council Website.
- The Council is making preparations to comply with the 2021 Act regarding Governance and Audit Committee (Report on changes presented to Governance and Audit Committee 24.2.2021 and 3.6.2021 (to include requirement of Mid Wales Corporate Joint Committee to have Governance and Audit Sub-Committee)), with

changes regarding recruitment approved by Council 18.3.2021, as follows:

- a) the change of name of the Audit Committee to the Governance and Audit Committee, and additional performance and complaints-handling functions effective from 1 April 2021;
 - b) commencement of the recruitment process for independent lay members to the Governance and Audit Committee;
 - c) the proposals for the Shortlisting Selection Panel; and
 - d) the Role Description and Person Specification.
- Necessary changes to Constitution regarding Governance and Audit Committee per 2021 Act approved by Council 23.9.21. Changes made during 2021-2022 include preparations for:
 - terms of reference/remit/composition changes;
 - change of name to 'Governance and Audit Committee';
 - Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act) – recruitment completed, save for Council approval of successful candidates.
 - Committee duty to appoint own Chair and Deputy Chair;
 - Chair must be lay person.
 - Deputy Chair must not be member of Local Authority Executive; and
 - in absence of Chair & Deputy only non-executive Members can chair.
 - Report on the size of the Governance and Audit Committee presented to Democratic Services Committee 21.5.2021, which agreed to recommend to Council that the Committee should comprise 6 County Council Members and 3 lay members (9 total). Report on size of Committee presented to Council 17.6.2021 and Council agreed same member composition from 5.5.2022.
 - Officers such as Internal Auditors, sign an annual Code of Ethics affirmation.
 - Internal Audit Charter approved by Governance & Audit Committee 24 February 2021.
 - Training Needs Analysis Questionnaire has been circulated by Council newsletter to Staff requesting opinion on ethical culture of Council & training module planned in response to feedback.
 - Training on equality and diversity and recruitment and selection including equal opportunities is mandatory for all Ceredigion County Council Managers.
 - Procurement Strategy 2018-2022 approved by Council 19th June 2018 and procurement training also being rolled out to Staff.
 - Council Recruitment Policy and DBS Policy.
 - Standard Terms and Conditions for all Suppliers of Goods and services include conditions relating to Equality and Diversity and are available on the Council's website.
 - In-House software used to retrospectively check for suspected duplicate payments.
 - The Council has developed a Modern Slavery Policy (sent to contractors of the Council), Anti-Slavery Annual Statement 2019-2020 and Code of Practice Ethical Employment in Supply Chains.

- MO and Legal Services are available to advise as appropriate, including in advance and at meetings and the Internal Audit Service is available to advise as appropriate.
- MO attends Leadership Group/Cabinet/Council meetings and routinely attends many public meetings, as required, subject to availability. In the absence of the MO, the Deputy MO will attend Cabinet and Council meetings.
- The 2021 Act shall have an effect on corporate bodies, including the Council, and preparations for compliance are ongoing, including through the Cross-Party Constitution Working Group (Members of each political group in attendance), reports to the Governance and Audit Committee and Council, with a Council Action plan having been prepared and updated regularly, and meetings with relevant Officers and CLOs held, as appropriate.
- Job descriptions & person specifications clearly define the roles and responsibilities required of posts and Members' Role descriptions set out their respective responsibilities.
- Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, published 13 April 2016).
- Compliance with CIPFA's Statement on the Role of the Head of Internal Audit in Public Service Organisations (CIPFA, published 9 April 2019) & contribution published in CIPFA's accompanying Putting Principles into Practice document (2019)).
- Terms of reference are included in the Constitution and Governance and Audit Committee Terms of Reference updated according to 2021 Act.
- Reporting to Governance and Audit Committee.
- Financial Regulations and Financial Procedure Rules (Document F Constitution).
- Contract Procedure Rules (Document G in the Council's Constitution).
- Compliance with Specific Codes e.g. Internal Auditors' Public Sector Internal Audit Standards ('PSIAS', March 2017)
- Statutory Officers accountable to the Chief Executive ('CE') and the Council.
- Regular meetings between CE, S.151 Officer & MO, who has direct access to the CE and reports to Council generally and as part of statutory duty. The MO & S.151 Officer are key members of Leadership Group.
- Corporate Manager – Internal Audit ('CMIA') has free & unfettered access to Members and Officers at all levels, and right of access as per Council's Constitution and Internal Audit Charter.
- Effective External Audit, Internal investigations.
- Disciplinary Policy (Nov 2017).
- An Officer in the IA team is an accredited Counter Fraud Technician and Officer(s) of the IA team hold a CIPFA Certificate in Investigative Practices ('CCIP').
- Council complies with Audit Wales's annual National Fraud Initiative requirements, currently co-ordinated by Internal Audit.
- Monitoring and response to fraud alerts (NAFN, wider networks, peers, etc).

	<ul style="list-style-type: none"> • Membership and active participation in professional networks and groups (Tisonline, KHub, etc). • IA offer advice to services on implementation of new systems and processes to ensure effective internal controls maintained. • Nominated Council Officers undertake various fraud training to maintain knowledge and expertise. • Where appropriate, successful prosecutions publicised on Council website (and in local press). • Covid-19 grant payments audited prior to payment (as easier to stop a payment than recover it). • Key financial control audits added to audit plan, to check controls, governance & risks whilst staff working from home. • IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council.
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Principle of Good Governance	How we meet these Principles
<p>B. Ensuring openness and comprehensive stakeholder engagement</p>	<ul style="list-style-type: none"> • All statutory Annual reports are available on the Council's Website. • Freedom of Information Act publication scheme, Freedom of Information Policy (March 2018) and Complaints and Freedom of Information Privacy Notice. Regular and timely responses to the press and other enquiries to Management and members as well as comprehensive FOI responses. Review of the FOI Publication scheme in progress. • Corporate Complaints and Freedom of Information Manager in post. • A host of service areas are available online including council tax self-service and information. • The Council's goals and values are set out in the Corporate Strategy 2017-2022. <u>The Well-being and Improvement Objectives</u> are included in the Council's <u>Corporate Strategy 2017-2022</u> and are reviewed each year. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the <u>Well-being Objectives for 2022-23</u> on 21.10.21, which are published on the Council's website. • Council and Cabinet meetings are broadcasted. All Council, Cabinet and Committee meetings open to the public and agendas and papers published on the Council website (with the exception of exempt reports). • MO and Ethics & Standards generic email addresses created. • Environmental Information Regulations Policy (March 2018). • An Overview and Scrutiny Public Engagement Protocol (2018) (Document N Constitution) has been approved by Council and has been used on several occasions. Also, <u>Public Engagement Tool Kit</u> and <u>Engagement with Service Users List</u>. • Protocol for speaking at the Development Control Committee (Part 4 Document I Constitution). A Protocol is in place for working relationships between Members and Officers e.g. Officer-Member Protocol) (Part 5 Constitution) and Protocol for access by Cabinet

	<p>Members to Overview and Scrutiny Committee approved by Council (Part 5 Document M2 Constitution). Integrated Impact Assessment ('IIA') tool and guidance has been approved for implementation.</p> <ul style="list-style-type: none"> • IIA tool and guidance to inform effective decision making have been developed and are being implemented with IIA conclusions reported to Council, Cabinet and Overview and Scrutiny. 10 IIAs went to Cabinet over 2021-22 up to 1.12.2021. Committees, which includes consultation. • Standard templates and guidance for reporting to Council, Cabinet and Overview and Scrutiny Committees are used and all include the IIA results. • All IIAs for Cabinet are assessed by the Engagement and Equality Officer, including whether effective engagement, involvement and consultation has taken place and informed strategic decision making process. • Organisational Awareness training available as an optional module of the Corporate Manager Programme, which includes information relating to the decision making process, Wellbeing of Future Generations Act, Equalities, Welsh Language and the use of the IIAs. • Processes have been introduced to monitor feedback e.g. any consultation/engagement reports are presented to Scrutiny and Cabinet to inform their decision-making. • Feedback from engagement and how people's views have been taken into account is recorded in the IIAs. • Council/Cabinet report template updated to include reference to legal implications, staffing implications, property/asset implications and risks. • Where appropriate, items reported for decisions through Cabinet, Council and Committees are subject to legal and financial advice which will be referenced within each report. • A <u>calendar of dates</u> of meetings including forward work programmes of the Council, Cabinet and Committees are published on the Council's website. • Annual reports, Statements of accounts, Improvement progress reports are all published within timescales and are available on the Council's website. • The Engagement and Consultation Checklist assists with decision making around whether or not to undertake a consultation regarding a proposed change and guidance on dissemination of <u>consultation results</u> is available to Officers. • A Community Engagement, Consultations and Partnerships Page has been created on CeriNet, which includes links to <u>Community Engagement Policy</u> (11 January 2013), <u>Engagement and Consultation Checklist</u>, <u>Engagement with Service Users</u> and Consultation Decision Making Tool. • Work is underway to prepare a <u>Community Engagement Policy</u> that will meet the requirements of the 2021 Act, which will also include how the Council will encourage participation in decision-making, although final guidance is awaited from Welsh Government regarding this part of the legislation. • Participation Standards have been adopted by Council.
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- Engagement with Service Users List including stakeholders with whom the authority should engage is in place.
- Summary reports on consultation and engagement activities are reported back to Members and service users.
- Minutes of structured engagement meetings, events and engagement groups with people with protected characteristics.
- A new Draft Engagement Policy has been prepared to take into account the latest engagement methodology, including digital engagement. This will be consulted upon and agreed following the Local Government Elections in 2022.
- A draft new Engagement Strategy for Ceredigion County Council, 'Talking, Listening and Working Together,' has been prepared. This will be consulted upon and agreed following the Local Government Elections in 2022.
- The Council, in collaboration with partners, has carried out significant engagement to produce the Public Service Board's ('PSB') Well-being Assessment and Local Well-being Plan.
- Work has commenced on preparing the next assessment of Local Well-Being that will be published in March 2022.
- Consultations 2020-21.
- Consultations are promoted through Social Media.
- Dissemination of consultation results and reports on completed consultations and engagement exercises are posted on the Council's public consultations webpage in order to provide feedback to the public.
- PSB Terms of Reference available on the Council Website, PSB Project Groups Terms of Reference available and Scrutiny arrangements for the PSB have been put in place.
- A Well-being assessment (PSB) has been carried out that has informed the development of the PSB's Local Well-being Plan, which was published in March 2018.
- Corporate Complaints Policy has been reviewed, new Policy presented to Corporate Resources Overview & Scrutiny Committee 7.7.21 and to Council 23.9.2021, and Revised Concerns and Complaints Policy and Procedures 2021, its implementation and publication approved by Council.
- Social Services Complaints Policy and Procedure has been reviewed.
- Consultation Decision making tool (Consultation Tree and flowchart) for Staff and Members have been developed and includes the use of feedback.
- Further consultation includes:
 - A new Engagement and Equalities post has been created through the restructure of the Policy and Performance service; and
 - All current consultations are available on the Council website.
- Social Media Policy (revised Aug 2018).
- Social media is being used to seek the public's views on matters being considered by Overview and Scrutiny Committees.
- Due to Covid-19, Council has consulted remotely via video conferences and electronic surveys.

	<ul style="list-style-type: none"> • Guidance has been issued on the Ceredigion Council intranet to all Staff to follow with regards to the dissemination of feedback to decision makers. Recent indications are that significant progress is being made in this area by Officers. • Joint engagement and consultation exercises are held. • Collaborative projects are running with institutional stakeholders with clear governance arrangements in place. • Collaboration Standards for New Strategic Projects Guidance and Templates are available. • Partnerships Include: <ul style="list-style-type: none"> ○ <u>PSB</u>; ○ West Wales Regional Partnership Board; ○ Community Safety Partnership <u>(reviewed 2019 and subject to Scrutiny)</u>; ○ Mid and West Wales Safeguarding Board; and ○ Growing Mid Wales. • The formal review of partnerships that sit under the PSB has been completed. The new partnership structure has been operational since June 2018 and the partnerships will be reviewed on a periodic basis. • Regular reporting of partnership meetings and activity to Leadership Group and Cabinet. • Partnerships such as <u>Growing Mid Wales</u> have been established with governance arrangements. Growing Mid Wales Joint Overview and Scrutiny Committee has been established • Partnership metrics are subject to internal review, where appropriate. • A monitoring partnership framework that reports on all key decisions made by existing partnerships is reported to Leadership Group. • Advice provided to Members and Officers serving on outside bodies. • Legal Team is actively involved in drafting and reviewing Terms of Reference for Inter Authority Agreements ('IAAs') and formal committees. • A suite of documents have been developed that relate to strategic collaboration projects that the Authority is considering entering into. The documents include guidance, standards and numerous templates for varying stages of collaboration projects. • Executive Group Self-assessment carried out. • All school reorganisation proposals are required to have formally consulted with stakeholders through adhering to the Welsh Government's School Organisation Code. • <u>Guidelines on Corporate Branding</u> (May 2019). • <u>Corporate Communications Strategy</u> (2019-2022). • Effective Community involvement carried out with the well-being assessment work and service users from different backgrounds to inform the new <u>Strategic Equality Plan</u>. • We have worked in partnership with Local Authorities and Public Services across Mid and West Wales on the review of our <u>Strategic Equality Plans</u>. A joint question set and engagement and consultation framework was produced and as a result, feedback was obtained from people with protected characteristics.
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	<ul style="list-style-type: none"> • An annual report on progress made against the Council’s Well-being objectives and Corporate priorities in published on the Council Website. • UNCRC – United Nations Convention on the Rights of the Child have been adopted by the Council.
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Principle of Good Governance	How we meet these Principles
<p>C. Defining outcomes in terms of sustainable, economic, social and environmental benefits.</p>	<ul style="list-style-type: none"> • <u>Corporate Strategy 2017-2022</u>. • <u>The Council’s Well-being and Improvement Objectives are included in the Council’s Corporate Strategy 2017-2022</u> and are reviewed each year and reported in the Well-being and Improvement objectives annual report published on the Ceredigion County Council website. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council’s website. • <u>Performance</u> information is outlined in the Council’s Well-being and Improvement Objectives Annual Report. • The purpose and the vision of the Council have been determined by Council and is contained in the <u>Corporate Strategy 2017-22</u>. This strategy illustrates how the authority will support and promote the well-being of the citizens of Ceredigion. • PSB <u>Local Well-being Plan</u> was published in May 2018. • The Authority has undertaken the following steps towards the implementation of the Well-being of Future Generations (Wales) Act 2015: <ul style="list-style-type: none"> ○ Prepared well-being objectives and statement; ○ Embedded the Well-being Goals and Sustainable development principal into the business planning process; ○ Developed a new <u>IJA tool and guidance</u> (training has been rolled out for Officers and Members); ○ Established a Well-being of Future Generations Act group and action plan; ○ The Constitution is continually monitored and reviewed; ○ PSB assessment of Local Well-being published in March 2017; ○ Scrutiny arrangements agreed for PSB; ○ Cabinet Reports, to include the Social/economic/ environmental impact assessment; ○ A mandatory e-learning module on the Act has been developed and promoted to all Council Staff; ○ An Equality, community and Welsh language Impact Assessment must be undertaken on all school restructuring proposals as required under the Welsh Government School Organisation Code; and ○ Members have contributed to The Future Generations Officer Scrutiny Framework in relation to the WFGA. • All Planning arrangements reflect the Golden Thread and make the links to Corporate plans including; <ul style="list-style-type: none"> ○ Strategic Plan; ○ Corporate Performance Management Reporting; and

	<ul style="list-style-type: none"> ○ Well-being Improvement Objectives ● <u>Community and Engagement Policy (11 Jan 2013)</u> is available. ● A <u>Public Engagement Toolkit 2014</u> has been developed in order to provide a user-friendly resource for Officers when developing and undertaking effective public engagement with their communities, in accordance with the National Principles of Public Engagement. ● Updates on the budget savings and the work of the Development Group are reported to the Cross Party Transformation and Efficiency Consultative Group. ● Budget setting subject to detailed scrutiny by the five Overview and Scrutiny Committees. ● Business planning process includes resource allocation and Business Plans are prepared on an annual basis and are monitored quarterly by a Performance Board, which includes Cabinet members and the Chairs and Vice Chairs of the Overview and Scrutiny Committees and Chair of the Governance and Audit Committee. ● Quarterly performance arrangements provide a challenge protocol to ensure outcomes are delivered. ● Corporate performance management arrangements include quarterly assessment of risks to the achievement of outcomes or service delivery. ● Risk management includes risk logs for; <ul style="list-style-type: none"> ○ Business Plans (Level 1); and ○ Service Plans (Level 2). ● Local performance measures are included in Business and service delivery plans. ● Capital Plans include; <ul style="list-style-type: none"> ○ Rights of Way; ○ Highways; ○ Annual Budget Plan; and ○ Transformation. ● The Risk Management Policy and Strategy and the Risk Management Framework was approved by Cabinet on 24 September 2019. ● Risk Management training to be rolled out to Members and Senior Managers. ● Risk management e-learning package has been developed for all other Staff and training took place in 2019, with workshop with insurers arranged for senior Managers. ● Publication of service performance, including costs and value for money data is routinely considered within service reports. ● The appointed Auditor considers the Council's arrangements to secure economy, efficiency and effectiveness. In his letter he has stated that the Council has complied with its responsibilities to the use of its resources. ● The most recent Audit of the Council's Improvement Plan (2020-2021) was issued in November 2020. The report concluded positively that the Council discharged its duties and has acted in accordance with Welsh Government guidance sufficiently to discharge its duties. ● A capital appraisal form is completed for new capital projects, which covers the requirement for the project, and is used to assess value for money and the revenue implications of major projects.
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	<ul style="list-style-type: none"> • <u>Medium Term Financial Strategy</u>, which also contains Capital Investment Strategy. • Wales procurement policy statement is aligned to the Council's <u>Procurement Strategy 2018-2022</u>. • <u>IIA tool and guidance</u> is available and used to support decision-making. • All reports and <u>minutes</u> are published in a timely manner and are open for inspection. All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act. • Pre-decision Scrutiny encouraged where possible. • The Transformation Programme. • <u>Engagement and Consultation Checklists</u> are available on CeriNet. • The Council wide WFGA Group Action Plan. • Strategic Equality Plan 2020-2024, and Annual Strategic Equality Plan monitoring report 2020-2021 being submitted for approval, and once approved will be published on Council website. • Welsh Language Standards and Annual Welsh Language Standards monitoring report. • A mandatory E-learning training module on Welsh Language Awareness must be completed by all Staff. • Annual Complaints and Compliments Report 2020/21 presented to Corporate Resources Scrutiny Committee 27.10.21 and <u>approved by Council 9/12/21</u>.
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Principle of Good Governance	How we meet these Principles
<p>D. Determining the interventions necessary to optimise the achievement of the intended outcomes</p>	<ul style="list-style-type: none"> • <u>The IIA tool and guidance</u> is available and training has been rolled out for Officers and Members. • Standard reporting templates are used in decision making process. • Organisational Awareness training available as an optional module of the Corporate Manager Programme, which includes information relating to the decision making process, Wellbeing of Future Generations, Equalities, Welsh Language and the use of the IIAs, Head of Democratic Services and MO (CLO-Legal & Governance) advise as necessary. • Risk Management Policy, Strategy and Framework (approved by Cabinet 24.9.10) with training programme for Members, Senior Management and Managers, published on CeriNet and available to all Members of Staff. • Documents amended to reflect additional risks and background information to make informed decisions. Corporate Risk Register reported regularly to Governance and Audit Committee (9.9.2021, 3.6.2021). • <u>Medium Term Financial Strategy</u> has been regularly updated the current version dated 2021/22 Onwards approved by Council 5.3.2021. • <u>Consultation decision tree tool</u> includes a guidance section on dissemination of consultation results.

- Finance challenge regarding savings on Council Website.
- Corporate Performance Management arrangements include quarterly:
 - Corporate Lead Officer Service Report;
 - Performance Board; and
 - Executive Panel meetings.
- The Business Planning process for 2021-22 is being implemented with Level 1 Business Plans shared with the Performance and Research Team.
- Performance measures have been identified within each Level 1 Business Plan that have in turn translate into the reporting Dashboard for each service. These measures have been closely scrutinised and have received final sign-off from senior leadership. Services report against these measures as part of the performance management process for the year.
- Business Plans include budget and finance information and form part of the quarterly Corporate Performance Management arrangements.
- A calendar is used to report deadlines and Board/Executive Panel dates are published with reports.
- Corporate Communications Strategy 2019-2022.
- The Ceredigion PSB has a Local Well-being Plan that has been developed and delivered jointly with external stakeholders and partners.
- An Assessment of Local Well-being has been undertaken by the PSB that has fed the Local Well-being Plan and the Council Well-being Objectives for future years.
- All major collaboration projects have established governance and management arrangements including risk management.
- All projects considered by Corporate Project Management Panel, which is also attended by IA and is an effective forum for advice/challenge and highlighting risks as Service areas develop projects, including collaboration projects.
- The Corporate Project Management Panel helps ensure projects give early consideration to: the Well Being and Future Generations Act; to other guidance; to finance, procurement, governance and legal arrangements; to HR implications; Health & Safety; and Audit. Improve project arrangements prior to reporting to the Development Group and other authorisation processes.
- Account will be taken of legislative changes e.g. work is ongoing in relation to implementing legislative changes such as LGEW 2021 Act changes and considering/monitoring risks facing each partner when working collaboratively, including shared risks. Meetings are being held and preparation being carried out, for example, regarding the 2021 Act's requirement for Corporate Joint Committees, including potential and shared risks (a CJC group has been established, with the first meeting held on 19th April 2021, to consider the requirement to establish the Mid Wales CJC in accordance with the 2021 Act).
- Appropriate Joint Scrutiny arrangements are in place in relation to the Growing Mid Wales Board. Similarly, the Mid Wales Corporate Joint Committee will have Sub appropriate arrangements in place (Joint Scrutiny, Standards and Governance and Audit Committee)-arrangements in compliance with legislation and its Standing Orders.

	<ul style="list-style-type: none"> • Corporate Project Management Group has been established to formalise project development and management. • Ensuring Staff with project management skills are available. • This helps ensure projects give early consideration to: the Well Being and Future Generations Act; to other guidance; to finance, procurement, governance and legal arrangements; to HR implications; Health & Safety; and Audit. Improve project arrangements prior to reporting to the Development Group and other authorisation processes. • Helps identify capital requirements for inclusion in future capital programmes. • Local performance indicators have been established and approved for each service element and included in the service plan and are reported upon regularly. • Budget Framework. • Service Accountancy – Budget monitoring. • <u>Financial Regulations and Financial Procedure Rules (Document F Constitution)</u> along with Budgetary Control Guidance are all up to date. Chief Officer Assurance Statements. • The internal controls in place are subject to regular review by Internal Audit, in accordance with the annual risk-based audit plan. • <u>Corporate Strategy 2017-2022</u>. • Internal Audit Strategy & Plan 2021/2021 approved by Governance & Audit Committee 24 February 2021. • The corporate savings plan has been through a robust governance process to ensure that all savings link to the desired service outcomes. • Community Benefits is embedded in our Processes and Policies and has been regularly applied, monitored and reported upon. • Well-being of Future Generations (Wales) Act is integrated into our processes.
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Principle of Good Governance	How we meet these Principles
E. Developing the entity's capacity, including the capability of its leadership and the individuals within it	<ul style="list-style-type: none"> • Corporate and line management induction is now in place. Corporate induction and Corporate Manager Development plans were introduced in April 2018. Corporate induction sessions are part of these requirements, all new Staff must attend an induction session. Senior Managers present within these face-to-face sessions. • Induction programme is provided for new Members. Ongoing training is provided for Members and arranged for specific issues e.g. Treasury management, also ongoing review of opportunities for skills and refresher training, including Personal Development Review Scheme (information to be used to develop a Members' Training Plan) and new comprehensive induction programme shall be provided post-election (from May 2022) with additional e-learning modules. • Member development scheme. • Preparations are being undertaken for (as part of induction programme for Members (from May 2022)) Cabinet Member training,

	<p>Ethics and Standards Committee (role) training, Political Group Leader Duties training and Governance and Audit Committee (role) training.</p> <ul style="list-style-type: none"> • Development/Training done as part of person specifications for key finance and legal posts (mandatory qualification, job requirements). • Personal reviews for Officers and provision of opportunities for ongoing skills and refresher training for Officers. • CeriNet (the HR intranet and resource to Staff and management) is continually reviewed and improved for effectiveness. Its introduction has improved effectiveness. Induction information is available along with the Staff handbook and Managers Toolkit. • Learning & Development is now managed via the Ceri system offering opportunities to all Staff, with opportunities also offered to those within a Leadership Role or who are aspiring leaders. E-learning modules are being introduced to ensure training and development is cost effective wherever possible. • E-learning packages are regularly being developed and rolled out for mandatory and non-mandatory training. • Strategic Workforce planning toolkit includes the identification of training and learning needs for all service areas. • Performance Appraisals record training and development needs via the Ceri system. • Ongoing annual Personal Performance and Development scheme – Performance Reviews link to Corporate and strategic objectives. • Personal Development Review process in place for Members. • The Council aims to achieve the standard level for the Wales Charter for Member Support and Development. • The Corporate Performance Management arrangements provide the forum for performance management’s needs and thereafter preparing action plans for delivery of corporate improvements in performance review of Staff. These have been further strengthened with the introduction of annual appraisals for all Staff via the Ceri HR system. • All Staff can access learning and development events via <u>Ceri self-service</u>. Managers can also book Staff onto relevant events via Managers Self-service. • Staff development plans linked to appraisals have been strengthened with the introduction of the Performance Management module in Ceri. • Ceredigion Manager Programme offers personal development including governance arrangements and organisational knowledge. • <u>Workforce Plan 2017-2022</u> includes actions for Staff development in key themes. • Members attend various events, seminars and conferences (see above). • Utilisation of research and benchmarking exercises. • The Ceri HR payroll system has ensured that meaningful data on Staff is now available to Managers on a monthly basis in order to monitor costs turnover and absence. • Effective operation of partnerships which deliver agreed outcomes. Effective Partnerships have been developed in a number of areas and services including: <ul style="list-style-type: none"> ○ School Improvement; ○ Health & Social care;
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	<ul style="list-style-type: none"> ○ Porth Agored; and ○ Waste. ● Additional partnerships are included in the strategic Collaboration Projects List. ● A Human Resources Strategy is available on the Intranet. ● Strategic workforce planning is undertaken utilising the Strategic workforce planning tool kit and is completed by all service areas. The outcomes of this tool kit informed the workforce plan for 2017-2022. The <u>Workforce Plan 2017-2022</u> focuses on 4 key themes: <ul style="list-style-type: none"> 1. Engagement & Opportunity; 2. Flexible & Agile Workforce; 3. Promote a bilingual workforce; and 4. Leadership & Management Development. ● Updates on progress of the workforce plan are reported to scrutiny. ● The Leadership and Senior Officer structure has defined these roles, including how they integrate with each other. ● Succession planning is undertaken through discussions and actions within service areas and with partners this cannot always be evidenced. This will be further developed through the Strategic workforce planning toolkit. ● Joint meeting of senior Managers ensures that roles, responsibilities and accountabilities are clear. ● Job descriptions clearly define the roles and responsibilities required of posts. ● <u>The Constitution</u> sets out the roles and responsibilities of Members (Part 3.4 Table 4) and senior Officers (part 2 Article 2) and a Scheme of Delegation (<u>The Constitution</u> Part 3.5) exists and clearly sets out responsibilities for Members and Officers. ● The Strategic Planning Toolkit includes an element of succession planning and talent management. ● Protocols are in place for working relationships between Members and Officers (e.g. Officer-Member Protocol). ● Codes of Conduct for Officers and Members are in place. ● Member Officer working groups in place and working effectively. ● <u>Contract Procedure Rules ('CPR')</u> (Part 4 Document G Constitution) and <u>Financial Regulations</u> and accompanying financial procedures (Part 4 Document F Constitution) are reviewed on a regular basis e.g. CPR updated March 2019. ● The Corporate structure of the Council has been established to ensure that the Statutory Officers are able to perform their roles effectively. ● The CE is responsible for reviewing this structure, as necessary. ● Democratic Services Committee resolved on 15.10.21 to agree the revised set of Member Role Descriptions, designed to be used alongside Welsh member Development (Competency) Framework, of Welsh Local Government Association ('WLGA') Framework Member Role Descriptions and Person Specifications, which includes role description of the Leader (Report for information also been prepared for presenting to Governance and Audit Committee 19.1.21). ● Access to courses/information briefings on new legislation. ● Members Workshops arranged, as necessary. ● <u>Engagement with Service Users</u> list and Service User focus groups.
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	<ul style="list-style-type: none"> • <u>Community Engagement Policy</u>. • <u>Scrutiny Public Engagement Protocol (2016)</u> (Document N Constitution) Council continually consults and engages with local residents, customers and other stakeholders within the county to understand their opinions and views when developing new plans and/or strategies. Feedback is always given due consideration before final versions are agreed. • Scrutiny self-assessment undertaken annually including survey. • Attendance records published annually. • Members are encouraged and supported to complete Annual Reports, which are published on the Council's website. • Chair of Governance and Audit Committee attends All Wales Governance and Audit Committee Chair's Networking Meetings to develop and compare role within Local Authorities. • Implementing appropriate Human Resource policies and ensuring that they are working effectively. • <u>Smoke-Free Workplace</u> Policy and Alcohol and Drug Misuse Policy. • The Council has introduced a range of resources and options to enhance the health and well-being of Staff e.g. Health and Well-being Strategy 2021-2026 has been introduced to support the improvement in the workforce health and well-being. • The Council has appointed an Employee Health & Wellbeing Officer to coordinate and promote health and wellbeing within the workforce. • A Care First employee assistance package has been introduced that offers: <ul style="list-style-type: none"> ○ Counselling service; and ○ Advice on financial, legal, consumer, eldercare, childcare and employment issues. • Other support available for Staff includes: <ul style="list-style-type: none"> ○ Cognitive Behaviour Therapy Interactive health and wellbeing programme; ○ Eyecare scheme; ○ Childcare voucher scheme; ○ Iechyd Da; and ○ Mindfulness training for Staff and Managers.
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Principle of Good Governance	How we meet these Principles
F. Managing risks and performance through robust internal control and strong public financial management	<ul style="list-style-type: none"> • <u>Risk Management Policy and Strategy and the Risk Management Framework</u> were approved by Cabinet on 24 September 2019 and Framework continues to be updated. The Council continues to form strategies and plans taking into account the risks caused by the Covid-19 pandemic • The Corporate Risk Register is considered at all Leadership Group, Corporate Lead Officers, Corporate Performance Management meetings and by the Governance and Audit Committee as a standing item to the Governance and Audit Committee. Updates are reported at each Governance and Audit Committee Meeting to provide ongoing information and assurance that risks continue to be managed. The Committee refers matters to Scrutiny Committees, where appropriate.

- Risk Management is integral to operational business planning Policy and Strategy setting.
- Project and transformation Risks are all logged. The Cross party Transformation and Efficiency Group regularly monitors Transformation Risks and Transformation and Risks are all referred to joint Local Government meetings and Panels.
- All Plans included Risk logs including:
 - The Medium term Financial Plan;
 - Business Plans (level 1); and
 - Service Plans (level 2).
- Business/Service plans are monitored to ensure delivery outcomes are achieved.
- Corporate Risk Management arrangements are audited regularly and the management of risks is included in individual Services service/establishment audit programmes.
- 'Risks' form the basis of Internal Audit's audit programmes of work, as required by the MKI/Pentana audit management software system. Council / Cabinet report template updated to include reference to legal implications, staffing implications, property/asset implications and risks.
- Corporate Performance requires regular updates for Risk.
- The Council revised its Corporate Performance Management arrangements in 2017 to improve monitoring of its business plans and performance indicators, including National Strategic Indicators ('NSI'), PAM and Local Indicators. These are also linked to the Well-being and Improvement Objectives and the Corporate Strategy 2017-2022.
- A Corporate Performance Management Panel meets quarterly. All Corporate Lead Officers report to this Panel and the Dates for reporting are published in the report. The Chairs and Vice Chairs of the Overview and Scrutiny Committees attend with the principle that they can identify areas that require inclusion on their respective Forward Work Programmes.
- Specific Project Risk Monitoring is undertaken and all Risks are allocated to a Corporate Lead Officer (Risk Owner).
- Council considered the draft Well-being and Improvement Objective Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21 in October 2020 (The Well-Being & Improvement Objectives Annual Report 2020-2021 was also approved by the Council's Overview and Scrutiny Co-ordinating Committee on the 15.9.21, and Cabinet 5.10.21).
- Benchmarking information carried out as part of service re-modelling.
- External & internal assessments by:
 - Audit Wales;
 - Estyn;
 - Care Inspectorate Wales ('CSIW'); Investigatory Powers' Commissioner's Office ('IPCO'); and
 - Information Commissioner's Office ('ICO').
- External assessments, to include Code of Conduct.
- Self-Assessment (Governance and Audit Committee) - self-assessment exercise underway for presenting at 10.3.2022 Governance and Audit Committee Meeting.

- Individual Services carry out self-assessment through a performance matrix.
- IA undertake an annual self-assessment and have a 5-yearly independent external assessment / peer review as required by the PSIAS.
- Cost performance (using inputs and outputs).
- Chief Officers provide support and advice to Members. Advice also provided by Chief Financial Officer.
- Reporting requires financial and legal advice/implications to be included in reports/decisions, which are published as appropriate.
- All reports and minutes are published in a timely manner and are open for inspection including.
- Options for recommendations.
- Scrutiny Committees may request reports at any time and Scrutiny Chairs are invited to take issues back to Cabinet
- Governance and Audit Committee refer matters to Scrutiny and receive reports back.
- All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act.
- Agreement on the information that will be needed and timescales
- Scrutiny arrangements are in place that is supported and which provide opportunities to challenge decision making and review the provision of services. The scrutiny function aim is to provide added value to the continuous improvement agenda in their role as “critical friend”. In addition, Overview and Scrutiny Committees also provide opportunities to undertake pre-decision and policy development work, which is a function of scrutiny, which has developed over recent years. The Council’s aim is to scrutinise, where possible, before decisions are made.
- An Overview and Scrutiny Public Engagement Protocol (2016) (Document N Constitution) has been approved by Council and has been used on several occasions.
- Arrangements in place to seek the views of the public which is gathered via social media and shared with Overview and Scrutiny Committees for consideration.
- The Council’s Overview and Scrutiny Co-ordinating Committee will be responsible for taking an overview of the overall effectiveness of the PSB.
- Work undertaken with the Future Generations Office to develop a Scrutiny Framework in relation to the WFGA.
- Reports and also all agendas, minutes, Forward Work programme and Terms of Reference are published on the Council’s website.
- A Corporate Performance Management Board meets each quarter, with Chairs of Scrutiny Committees invited to attend.
- Reporting dates are set at beginning of each year.
- Budget monitoring is regular throughout the year, within services, to Cabinet and to Member Officer working groups e.g. Development Group and CMG and transformation programme savings to the Cross Party Transformation and Efficiency Consultative Group, which Chairs of Overview and Scrutiny Committees are invited to observe alongside Performance Board meetings.

- Financial monitoring is regularly undertaken throughout the Council under a devolved accountancy arrangement and formal reporting is made to Cabinet. Monitoring is also incorporated in to the quarterly performance management reports.
- Financial implications are a requirement for inclusion in all Cabinet Meeting reports.
- Financial Regulations and Financial Procedure Rules (Document F Constitution) and the Contract Procedure Rules (Document G Constitution) are all up to date. The current Procurement Strategy 2018-2022 was approved in 2018.
- Accounting practices - Codes of Practice are complied with. Prudential Indicators are prepared and reported to Council and monitored throughout the year. Regular budget monitoring takes place throughout the year. IA also reviews controls over income collection and monitoring.
- Updates in relation to Business Continuity and Civil Contingencies arrangements submitted on a regular basis in line with the Corporate Risk Register, Risk CORP04 and Business Continuity and Civil Contingencies Group meet monthly.
- The annual Internal Audit Plan is risk-assessed and takes account of Council aims and objectives, and corporate policies and procedures; to include a review of the Risk Management corporate arrangements, and testing the mitigating controls in place for a sample of risks noted in the Corporate Risk Register.
- Internal Audit Strategy & Annual Plan 2021-2022 approved by Governance and Audit Committee 24 February 2021, & continues to take account of additional risks presented by the pandemic.
- IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council.
- Internal audit reports issued to Managers highlight the risks of not implementing any IA recommended actions. A follow-up audit is conducted of action plans issued. If CMIA considers that any fundamental risks have not been addressed by a Manager this is reported to Governance and Audit Committee who has the discretion of requesting that Manager to attend & explain reasoning for non-compliance.
- The appointed Auditor considers the Council's arrangements to secure economy, efficiency and effectiveness in his letter he has stated that the Council has complied with its responsibilities to the use of its resources.
- The Council Objectives are aligned to Strategies.
- Regular meetings of the Emergency and Business Continuity Management Group take place to review Corporate and Service Area Emergency and Business Continuity Arrangements and Plans as well as recommendations arising from past incidents and exercises to evidence risk, identify emerging trends, and document any lessons learnt for follow up.
- Risk evaluation always appears on agendas.
- Regular Quarterly Internal Audit Progress Reports to Governance and Audit Committee for monitoring (e.g. Internal Audit Progress Report for

	<p>period 1 April 2021 to 30 June 2021 presented to Governance & Audit Committee on 9 September 2021).</p> <ul style="list-style-type: none"> • Summary of work and audit opinion on assurance provided annually in Internal Audit Annual Report at year-end. IA Annual Report for 2020/21 approved by Governance & Audit Committee 3 June 2021 • Follow-up IA reviews to monitor implementation of required actions. • Internal controls, risk & governance processes are monitored according to the Internal Audit Charter (last version approved by <u>Governance & Audit Committee 24/2/21</u>) & the Annual Internal Audit Strategy and Plan. • Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption ('CIPFA', 2014). • Internal Auditors have procedures in place if fraud discovered. • An Officer in the IA team is an accredited Counter Fraud Technician. • Officer(s) of the IA team hold a CIPFA Certificate in Investigative Practices ('CCIP'). • 'Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)' updated and approved by Council 17 June 2021 (minutes confirmed 23 September 2021) has been written with regard to the Code of Practice & updated to ensure all requirements are included. • IA undertakes counter fraud work where required (as well as dealing with the discovery of fraud as considered earlier) and presents Counter-Fraud Report to Governance and Audit Committee annually (<u>2020/21 Counter-Fraud Report presented to Governance & Audit Committee on 3 June 2021</u>). • Council complies with Audit Wales's annual National Fraud Initiative requirements, currently co-ordinated by IA. • Monitoring and response to fraud alerts (NAFN, wider networks, peers, etc); • Membership and active participation in professional networks and groups (Tisonline, KHub, etc); • IA offer advice to services on implementation of new systems and processes to ensure effective internal controls maintained; • Nominated Council Officers undertake various fraud training to maintain knowledge and expertise; • Where appropriate, successful prosecutions publicised on Council website (and in local press). • Covid-19 grant payments audited prior to payment (as easier to stop a payment than recover it); • Key financial control audits added to audit plan, to check controls, governance & risks whilst staff working from home • <u>AGS 2020/21</u> approved by Council on 25 November 2021 with the Statement of Accounts. The AGS contains the CMIA's annual opinion on assurance. • Up to 31/12/21 the IA function is headed by a CIPFA qualified CMIA, and the CMIA from 1/1/22 onwards is studying to gain an IIA qualification, Both CMIA's have considerable local government experience, and are supported by a team with appropriate knowledge and skills. Regular reporting to Governance and Audit Committee on
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	<p>the activity of IA is undertaken. Robust risk-based forward work programme and business planning is in place.</p> <ul style="list-style-type: none"> • IA evaluates and improves the effectiveness of risk management, control & governance processes in accordance with PSIAS, which is self-assessed and reported to Governance and Audit Committee annually along with any improvements required. A peer review is undertaken every 5 years (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group – see below). • IA provides an individual assurance to Managers after each audit review – these are then used to provide an overall corporate level of assurance annually, which feeds in to the <u>AGS</u>. • A re-structure of IA was implemented in May 2019, and another in November 2020. The service has been fully resourced since 1 December 2020. • A new CMIA will be in place from 1 January 2022, who has considerable experience in IA, has a 6-week window to ‘shadow’ the existing CMIA, and is supported by a knowledgeable & skilled Audit Manager (see point G3.2 below). • Two members of the team are currently pursuing the Institute of Internal Auditors’ professional training qualification. • Governance and Audit Committee established that sets its own work plan. Committee is chaired by a Member of the opposition group (until May 2022 when Lay Person shall be Chair, per 2021 Act provisions). • Ongoing preparation and implementation of changes affecting the Governance and Audit Committee in light of the 2021 Act. The Governance and Audit Committee was informed, in a report on 24.2.2021 Meeting, of the changes to their role regarding self-assessment reports of the Council, and regarding panel performance assessments, as well as the change of name, and changes to the Chair/Vice Chair and composition. • The Governance and Audit Committee’s Terms of Reference were updated on 6 December 2018. • Update report on 2021 Act presented to Governance and Audit Committee 3.6.2021, to include updating Governance and Audit Committee regarding changes to Constitution affecting Committee including: <ul style="list-style-type: none"> -Recruitment of lay members and the Mid Wales CJC Governance and Audit Sub-Committee; and -Regarding the Committee’s functions relating to: <ul style="list-style-type: none"> ○ reviewing and assessing the performance assessment of the Council; ○ considering the Council’s draft annual Self-Assessment report; ○ considering any report from the Auditor General and Council’s draft response; ○ review of the Council’s complaints handling function; and ○ role regarding Panel Performance Assessments (from May 2022). • Changes made during 2021-2022 include preparations for:
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	<ul style="list-style-type: none"> ○ Terms of reference/remit/composition changes (including recommendations to Council from Cross-Party Constitution Working Group and changes to Constitution approved by Council at its 23.9.2021 Meeting); ○ Change of name to 'Governance and Audit Committee'; ○ Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act) – –recruitment completed (Council approved appointments 9.12.21); ○ Committee duty to appoint own Chair and Deputy Chair; ○ Chair must be lay person –recruitment completed (Council approved appointments 9.12.21) and Chair/Deputy Chair shall be appointed from Lay Members; ○ Deputy Chair must not be member of Local Authority Executive; and ○ In absence of Chair & Deputy only non-executive Members can chair. <ul style="list-style-type: none"> ● Size of Governance and Audit Committee review completed and change of size from May 2022 approved (9). ● The Governance and Audit Committee has an effective Lay Member and Membership of Governance and Audit Committee considered in line with 2021 Act: Lay member recruitment completed, taking into account 2021 Act requirements and termination of term of office of current lay member. Job Direction, Personal specification, and criteria approved by Council 10/12/20. ● <u>Membership details</u> for Governance and Audit Committee and all Scrutiny Committees is available on the Council's website. ● Regular meetings between CMIA and Chair of Governance and Audit Committee, advice given by MO and also regular meetings, as necessary between MO and Chair, and MO, CMIA & Audit Wales. ● Regular Meetings between Governance and Audit Committee Members and external regulator Audit Wales (with and without Officers) ● Training for Members and regular training/updates provided to Governance and Audit Committee. ● Chair of Governance and Audit Committee attends Welsh Governance and Audit Committee Chair network group to develop and compare role within Local Authorities. ● A New <u>ICT and Digital Strategy for 2018-2022</u> has been approved and all policies are up to date including (all approved in February 2019): <ul style="list-style-type: none"> ○ <u>Data Protection & GDPR Policy</u>; ○ <u>Information Security Policy</u>; and ○ <u>Records Management Policy</u>. ● Mandatory E-learning training modules on Data Protection and Information Security must be completed by all Staff. ● Designated Data Protection Officer. ● Corporate Lead Officer Customer Contact is the Senior Information Risk Owner ('SIRO') and has attended appropriate training for that role. ● The following responsible Officers are identified: <ul style="list-style-type: none"> ○ IT Security Officer ('ITSO'); and ○ Information and Records Management Officer ('IRMO')
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- In addition, Corporate Data Protection Group and Emergency & Business Continuity Meeting consider Information security.
- Regular Internal Audit of data protection Registration requirements and procedures following Audit Wales audit have been implemented.
- Ceredigion County Council signed Wales Accord on the Sharing of Personal Information ('WASPI') and therefore uses WASPI framework for Information Sharing Agreements.
 ***The Accord is a common set of principles and standards under which partner organisations will share personal information. Organisations who adopt the Accord will show their commitment in meeting the agreed conditions, obligations and requirements within the framework.
- In most cases agreements are forwarded to the Data Protection Officer.
- There is also a public register on WASPI Website.
- Regular external Assessments e.g. Compliance with Code of Conduct.
- Internal performance monitoring and evidence.
- Cross matching data happens across the different services.
- Performance Indicator values are validated with evidence.
- Retention Schedule –now published on intranet.
- The current Medium Term Financial Strategy ('MTFS') was established during the 2013-14 year and fundamentally updated and approved by Council on the 24th February 2016. The Current MTFS is that of 2018/2019 Onwards, but has now been amended to reflect the 2021/2022 provisional revenue settlement and updated to:
 - Reflect the impact of Covid-19
 - Reflect 'Boosting Ceredigion's Economy – A Strategy for Action 2020-35'
 - Amend the transformation savings plan
 - Project forward cost pressures
 - Reflect data changes, regulations, plans, policies and strategies
 and is being presented to Cabinet for approval 23,2,2021 for approval to then be presented to Council on 5.2.2021.
- This now includes a policy framework for setting the budgets annually as well as a three-year plan. The MTFS features as a corporate risk that is updated at least three times a year. The annual budget setting also included a risk assessment. The Council is responding to the proposal in the 2016 Wales Audit Office (now Audit Wales) Annual Improvement Report, and considering the report in light of the MTFS through ensuring that the Council's financial management arrangements are sufficiently robust to meet the significant challenges ahead.
- A Strategic Plan has been developed and has improved the programme of work necessary to consider service priorities whilst addressing financial constraints.
- An annual budget project plan/timetable is established to ensure that a balanced budget is approved within the statutory period in accordance with the Councils budget framework.

	<ul style="list-style-type: none"> • Regular budget reports are taken to Cabinet and Leadership Group throughout the year and operational budgets are monitored on a monthly basis. • Quarterly Executive Panel meetings take place if required with Corporate Lead Officers together with the Leader of the Council, the CE, Corporate Lead Officer for Finance and Cabinet Member with Finance responsibility.
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Principle of Good Governance	How we meet these Principles
<p>G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability</p>	<ul style="list-style-type: none"> • Council's Website. • Council and Cabinet meetings are broadcasted. • Standard templates for Cabinet, Scrutiny and Council. • Compliance to the Welsh language Standards. • Use of Modern.Gov for publishing agendas and Councillor Information. • Council preparing for implementation of changes to be introduced by 2021 Act, which include for Council to consult and publish a public participation strategy with the aim of increasing public participation in local democracy, and improving transparency. • Council compliance with The Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020, which allow for remote access for meetings and public access/publishing of documents requirements. • Work is underway to prepare a Community Engagement Policy that will meet the requirements of the 2021 Act, which will also include how we will encourage participation in decision-making, although final guidance is awaited from Welsh Government regarding this part of the legislation. • Council Roadmap provides up-to-date information for citizens on services being provided due to Covid-19 pandemic, in order to provide clarity for County residents. • The Council has been out to tender and awarded the contract for installing equipment in the Council Chamber that will enable hybrid meetings to take place as well as being able to broadcast those meetings. The equipment will be installed over the winter. • The Council provides alternative ways for citizens to access information if they don't have access to digital services. The Citizen can telephone the Council's Contact Centre or visit its Libraries where public access to computers are available or free 4G Wi-Fi to allow anyone to use their own device. • Councillors' contact details, attendance records, Committee membership and Declarations of Interests available on the Council's Website. • Councillors' annual reports available on the Council's Website. • Overview and Scrutiny Annual Report available on the Council's Website. • Democratic Services Annual Report available on the Council's Website.

- The County Council's Well-being and Improvement Objectives Annual Report is published on the Ceredigion County website to inform Ceredigion citizens what activities and actions the Council undertakes in support of its Well-being and Improvement Objectives. This also forms part of the Council's self-assessment. A summary plan is also available in public offices for our citizens.
- Annual financial statements are published on the Council's Website.
- Appropriate approvals.
- Corporate Performance Management arrangements.
- Ownership of planning and transformation.
- AGS.
- Council's AGS evidences how it complies with the seven core Governance Framework Principles and sub-principles contained in the Framework and in the Local Code of Corporate Governance, including how it puts in place proper arrangements for the governance of its affairs, facilitates the effective exercise of its functions, and makes arrangements for risk management (the Governance Framework was developed in 2010 and has been revised in accordance with the CIFA/SOLACE Delivering Good Governance in Local Government Framework 2016). In compliance also with Local Government (Wales) Measure 2009 and The Well-being of Future Generations (Wales) Act 2015.
- Assessment of the framework for corporate governance carried out to ensure compliance e.g. updated to reflect changes necessary because of Covid-19 pandemic. Decision by Council whether AGS approved e.g. updated and approved by Council 25 November 2021 (with accounts).
- Council's Local Code of Corporate Governance demonstrates how it has the necessary corporate governance arrangements in place to perform effectively, and is a public statement that sets out the way the Council will meet that commitment.
- AGS shared with accounts, reviewed and updated with Members and Officers providing a wider engagement process. Members and Officers carry out a review of the AGS annually.
- Financial implications are a requirement for inclusion in all Cabinet Meeting reports. Financial Regulations and Financial Procedure Rules (Document F Constitution), Contract Procedure Rules (Document G Constitution) are all up to date. The current Procurement Strategy 2018-2022 was approved in 2018.
- Accounting practices - Codes of Practice are complied with Prudential Indicators are prepared and reported to Council and monitored throughout the year. Regular budget monitoring takes place throughout the year. IA also reviews controls over income collection and monitoring.
- A good working relationship exists with Welsh Government as key regulator and external regulators, including Audit Wales, Estyn, CIW, Financial Services Authority ('FSA') and Food Standards Agency as key regulators. Regular dialogue is maintained with representatives from Audit Wales.
- Audit Wales Protocol documented and procedures in place to ensure all 'Management Response Forms' from each Audit Wales report

	<p>addressed and that Service responses are presented to Leadership Group, Governance and Audit Committee and Audit Wales.</p> <ul style="list-style-type: none"> • Regarding monitoring of progress of actions/recommendations, Governance Officer is Audit Wales point of contact for outstanding Management Response Forms ('MRFs') for 2019/20 & 2020/21, and ongoing governance-related MRFs/governance matters. Corporate Performance and Improvement Officer is point of contact for performance-related MRFs/performance matters. This system is set out in a Protocol, approved by Leadership Group and presented to Governance and Audit Committee, with updated version (to reflect that the Corporate Performance and Improvement Officer is in post) presented to Governance and Audit Committee 9.9.2021 Meeting. • Monthly meetings are also being held with Audit Wales to discuss ongoing work and matters to be presented to the Governance and Audit Committee and regular dialogue is maintained with representatives from Audit Wales. • Recommendations from Audit Wales are taken forward in the Corporate Performance Management arrangements. • All Audit Wales reports presented to Leadership group and Governance and Audit Committee, which monitors implementation of corrective actions required. • Monitoring of progress of Actions process being developed. • Up to 31/12/21 the IA function is headed by a CIPFA qualified CMIA, and the CMIA from 1/1/22 onwards is studying to gain an IIA qualification, Both CMIA's have considerable local government experience, and are supported by a team with appropriate knowledge and skills. Two members of Staff currently studying for the Chartered Institute of Internal Auditors qualification, and two are developing ICT auditing skills. • IA Officers undergoing audit qualifications to enhance knowledge, skills and competency. • A re-structure of IA was implemented in May 2019, and another in November 2020. The service has been fully resources since 1 December 2020. • A new CMIA will be in place from 1 January 2022, who has considerable experience in IA, has a 6-week window to 'shadow' the existing CMIA, and is supported by a knowledgeable & skilled Audit Manager. • The role of CMIA has free and unfettered access to the Chair of the Governance & Audit Committee and both meet regularly during the year (and these meetings continue remotely during the Covid-19 pandemic). • Robust risk-based forward work programme and business planning is in place. • Regular reporting to Governance & Audit Committee on the activity of IA is undertaken, i.e. quarterly Internal Audit Progress Reports to Governance & Audit Committee for monitoring progress performance and improvement and summary of work and audit opinion on assurance provided annually in Internal Audit Annual Report at year end. Follow-up reviews undertaken to monitor corrective actions are implemented.
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- Internal Audit Charter regularly reviewed and approved by Governance & Audit Committee (last version approved by Audit Committee 24/2/21).
- CMA provides annual objective opinion on assurance placed on Council's risk management, control and governance processes, based on the individual assurances given to Managers after each audit review, & feeds into the AGS.
- Compliance with PSIAS reported annually to Governance & Audit Committee with resultant improvement plan. Peer review of assessment every five years (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group).
- IA's mission is to enhance & protect organisational value by providing risk-based & objective assurance, advice & insight. This is detailed in the internal Audit Charter, which also states IA's right of access (as per the Council's Financial Regulations/Constitution).
- Recommendations from Audit Wales are taken forward in the Corporate Performance Management arrangements.
- The Council is learning and continually works towards improvement.
- Five-yearly external assessment of IA is undertaken as required by PSIAS.
- The last Internal Audit External Assessment was undertaken in November 2016 by Conwy County Council and was reported to Audit Committee, along with the resultant improvement Plan (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group).
- IA progress, performance & improvement is reported to Audit Committee quarterly.
- PSB's terms of reference and Well-being Plan, and annual report from PSB.
- The Ceredigion County Council Overview and Scrutiny Co-ordinating Committee is responsible for taking an overview of the overall effectiveness of the Board.
- Partnership and Accountability agreements are established in collaborative projects.

7. Related Documents

The following table sets out the Key Documents, Contributory Processes and Regulatory Monitoring that support the achievement of the core principles.

Key Documents which support the achievement of the core Principles		Contributory Processes / Regulatory Monitoring
Alcohol and Drug Misuse Policy Annual Governance Statement Annual Statement of Accounts Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering) Property Asset Management Plan Cabinet & Committee Reports Code of Conduct for Members Code of Conduct for Officers Community Engagement Policy Concerns and Complaints Policy Concerns and Complaints Information Booklet Confidential Reporting Code Constitution Contract Procedure Rules 2017 Corporate Communications Strategy 2019-2022 Inc. Media Relations Corporate Health, Safety and Well-being Strategy Corporate Risk Register Corporate Strategy 2017-2022 Data Protection Policy and GDPR Policy Declaration and Registration of Hospitality and Interests Policy Democratic Services Annual Report Dignity at Work Policy Disciplinary Policy Disclosure and Barring Service/Safe Recruitment Policy Domestic Violence Policy Community Engagement Policy (2013) Complaints Policy (public) 2015 Data Protection Policy 2019 Economic Strategy 2020-2035 Email Policy Environmental Information Regulations Policy	Managing Employee Performance Policy Managing Change Policy Market Forces Supplement Policy Model Performance Management Policy Modern Slavery Policy Local Code of Corporate Governance Medium Term Financial Strategy 2018-2019 onwards Members Allowances 2019-2020 Member Handbook Member Personal Development Schedule of Members' Remuneration Members learning & development strategy Minutes of Meetings Office Accommodation Strategy Officer & Member declarations of Interest Gifts & Hospitality Registers Overview and Scrutiny Annual Report Pay policies Policy and Guidelines for Safeguarding Children and Adults at Risk Political Restrictions Policy Public Engagement Toolkit Procurement Strategy 2018-22 Redeployment Policy Regulation of Investigatory Powers Act 2000 ('RIPA') Part II Directed Surveillance, Use of Covert Human Intelligence Sources and Obtaining Communications Data Corporate Policy and Procedures Document	Governance and Audit Committee Leadership Group Ceredigion Procurement Forum Community Safety Partnership CPM Performance Board CPM Executive Panel Democratic Services Committee Ethics & Standards Committee Employee Forum External Inspection & Review Agencies Iechyd Dda Group Internal Audit Mid & West Wales Safeguarding Board Overview & Scrutiny Committee Public Service Board Police & Crime Panel Cross Party Transformation and Efficiency Group Cross Part Constitution Working Group Audit Wales Office Welsh Language Committee

<p>Overview and Scrutiny Public Engagement Protocol Engagement with Service Users List External Audit Reports Financial Management Standards Financial Procedure Rules 2009 Forward Plan of Decisions Freedom of Information Act 2000 Policy Grievance Procedure Honorary Policy Health and Safety Policy 2019 Income Management and Service Cost Recovery Policy ICT and Digital Strategy Information Security Policy 2019 Inspection Reports Integrated Impact Assessment Toolkit Internal Audit Plan</p>	<p>RIPA Social Media Selection and Recruitment Policy Smoke-free Workplace Policy Information and Records Management Policy Record of Decisions Risk Management Strategy Scheme of Delegation Service Plans Social Services Complaints Policy and Procedure Social Media Policy Social Media Editorial and Administration Policy Strategic Equality Plan 2020 – 2024 Stress Management Policy Suspension Policy and Procedure Training and Development Strategy Treasury Management Policy Well-being and Improvement Plan Unacceptable Actions Policy Whistleblowing Policy Welsh Language Standards Workforce Plan Strategic Plan Work Life Balance Policy</p>	
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CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 3 March 2022

Title: Approval of Teacher Pay Policies

Purpose of the report: To approve the model Teachers' Pay Policy to commend to School Governing Bodies within Ceredigion for adoption.

To gain approval of the Model Unattached Teacher Pay Policy for centrally employed teachers

For: Decision

**Cabinet Portfolio and Cllr Catrin Miles
Cabinet Member:**

The third School Teachers' Pay and Conditions (Wales) Document (STPC(W)D) was presented by the Minister for Education in June 2021 and confirms the teachers' pay arrangements in Wales for 2021/22. The statutory elements of the STPC(W)D that are required to be implemented are as follows:

- A 1.75% uplift has been applied to all statutory scale points and allowances.
- All pay lifts will be payable from 1 September 2021.

The STPC(W)D makes provision for the September 2021 pay award and clarifies the position of the five point Main Pay scale, pay progression and performance, and pay progression on the upper pay range. Inclusion of a set of mandatory and discretionary principles of pay portability and clarification of the position of headteachers responsible for more than one school has been added. Further as a result of the extra bank holiday to celebrate the Queen's Platinum Jubilee in 2022, for the academic year 2021/2022, teachers must be available to work for 194 days. (1258.5 hours of directed time).

Following consultation with our Local Trade Union Officers, a comprehensive list of relevant equality legislation has been included. Also, to enhance the commitment of pay portability it is proposed that most recent service under either the STPC(W) or STPCD is recognised, but reviewed annually to consider any divergence between the pay scales.

The Model Pay Policy, which applies to school based teachers and the Model Unattached Teacher Pay Policy, which applies to centrally employed teachers, reflect these changes and adopt the requirements of the STPC(W)D.

The Pay Policies 2021/2022 have been the subject of consultation with the teaching trade unions on a regional and local basis.

Has an Integrated Impact Assessment been completed? If, not, please state why

Summary:

Wellbeing of Future Generations:

Long term: This policy is updated every year in order to ensure compliance with the annual STPC(W)D

Collaboration: Local trade unions have been consulted and provided feedback on the policy.

Involvement:

Prevention:

Integration:

Recommendation(s):

The Council is requested to approve

1. The Model School Pay Policy 2021/22 to commend to Governing Bodies for adoption within schools in Ceredigion

2.The Model Unattached Teacher Pay Policy for centrally employed teachers

Reasons for decision: To ensure:

- **compliance with the STPC(W)D 2021**
- **consistency across schools and services in Ceredigion.**

Overview and Scrutiny:

Policy Framework: The School Teachers Pay & Conditions (Wales) document requires all schools to approve a Pay Policy. The pay policy is an updated version for commending to Governing Bodies that complies with the STPC(W)D 2021

Corporate Priorities:

Finance and Procurement implications: Within budget.

Legal Implications: Failure to adhere to the statutory requirements

Staffing implications:

Property / asset implications: None

Risk(s): Risk of non-compliance with School Teachers Pay & Conditions (Wales) Document

Statutory Powers: Requirements of the School Teachers Pay & Conditions (Wales) Document

Background Papers:

Appendices: Model Teachers Pay Policy
Model Unattached Teachers Pay Policy

Corporate Officer: **Lead** Geraint Edwards

Reporting Officer: Geraint Edwards

Date: 10 January 2022

**DRAFT
Model
Teachers' Pay Policy
2021/2022**

DOCUMENT CONTROL	
Policy Name	Teachers' Pay Policy 2021/22
Service	People and Organisation
Reviewing Officers	HR Officers
CONSULTATION PROCESS	
<p>The following Trade Unions have been consulted in respect of this Policy:</p> <ul style="list-style-type: none">• ASCL• NAHT• NASUWT• NEU• UCAC	

MODEL TEACHERS' PAY POLICY 2021/22

The Governing Body of _____ School
formally adopted this Policy on _____ .

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1. INTRODUCTION

- 1.1. This Pay Policy provides a framework for making decisions on Teachers' pay. It has been developed to comply with the requirements of the School Teachers' Pay and Conditions (Wales) Document (STPC(W)D) and has been subject to consultation with all recognised Teaching Associations.
- 1.2. This pay policy only applies to those directly employed by Local Authorities and does not apply to anyone employed via an agency.

2. STATEMENT OF INTENT

- 2.1. The primary statutory duty of Governing Bodies in Wales, as set out in paragraph 21(2) of the Education Act 2002 is to '...conduct the school with a view to promoting high standards of educational achievement at the school'. This Policy intends to support that statutory duty.
- 2.2. The procedures for determining pay in this School will be consistent with the principles of public life: objectivity, openness and accountability.
- 2.3. The Governing Body will act with integrity, confidentiality, objectivity and honesty in the best interest of the School in relation to the operation of this Policy.
- 2.4. The Governing Body will be open about pay decisions made and actions taken, and will be prepared to explain decisions and actions to the interested persons.
- 2.5. Any future revisions to this policy will comply with the STPC(W)D and will be subject to consultation with relevant parties, including recognised trade unions.

3. EQUALITIES

- 3.1. The School is committed to ensuring equality in everything that we do. The Governing Body will comply with all relevant equalities legislation, including.
- Employment Relations Act 1999;
 - Equality Act 2010;
 - Employment Rights Act 1996;
 - The Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000;
 - The Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002; and
 - The Agency Workers Regulations 2010
- 3.2. This Policy will be applied consistently to all employees irrespective of age, disability, race, gender (sex), gender reassignment, marriage / civil partnership, pregnancy / maternity, religion, belief and sexual orientation.
- 3.3. The Governing Body will promote equality in all aspects of school life, particularly in relation to all decisions on the advertising of posts, appointing, promoting and paying staff, training and staff development.

- 3.4. The Governing Body will ensure that pay processes are transparent and fair. All decisions made will be objectively justified and recorded. Reasonable adjustments will be made on a case by case basis to take account of individuals' circumstances such as long-term absence on the grounds of maternity or ill-health including any Covid related absences.

4. JOB DESCRIPTIONS

- 4.1. The Headteacher will ensure that each member of staff is provided with a job description in accordance with the School's staffing structure (**see Appendix 10**), as agreed by the Governing Body.

5. APPRAISALS

- 5.1. The Governing Body will comply with the School Teacher Appraisal (Wales) Regulations 2011 concerning the appraisal of Headteachers and Teachers through the application of the School's Performance Management Policy.

6. GOVERNING BODY'S OBLIGATIONS

- 6.1. The Governing Body will:
- fulfil its obligations as set out in the STPC(W)D and the Conditions of Service for School Teachers in England and Wales (the 'Burgundy Book');
 - establish a Pay Committee and Pay Appeals Committee;
 - determine relevant pay decisions, taking account of recommendations from the Headteacher;
 - ensure that it makes funds available to support pay decisions, in accordance with this Pay Policy and the School's spending plan;
 - ensure that Teachers, via the Headteacher, are informed about pay decisions which affect them, and that records are kept of recommendations and decisions made; and
 - monitor, on an annual basis, the outcomes of pay decisions, including the extent to which different groups of Teachers may progress at different rates. The outcome of the review will be shared with school-level trade union representatives.

7. HEADTEACHER'S OBLIGATIONS

- 7.1. The Headteacher will:
- ensure that appraisers (where not the Headteacher) provide accurate, relevant, complete and timely information about pay recommendations;
 - moderate performance assessments and initial pay recommendations to ensure consistency and fairness;
 - submit relevant pay recommendations to the Pay Committee and ensure the Pay Committee has relevant information upon which to make pay decisions;

- inform Teachers about the School's Pay Policy and ensure its accessibility;
- notify payroll and/or HR staff within the Local Authority about pay decisions to be implemented; and
- ensure that a report on the operation of the Pay Policy is presented to the Governing Body and the relevant Trade Unions on an annual basis.

8. TEACHERS' OBLIGATIONS

8.1. Teachers will:

- familiarise themselves with the provisions of this Pay Policy, the STPC(W)D, the relevant professional standards and all relevant school employment policies; and
- engage positively with the processes set out in this Policy.

9. DIFFERENTIALS

- 9.1. Within the framework of the STPC(W)D, appropriate differentials will be created and maintained between posts within the School, recognising accountability and job weight, and the Governing Body's need to recruit and retain sufficient Teachers of the required quality at all levels.

10. SAFEGUARDING

- 10.1. Where a pay determination leads, or may lead, to the start of a period of safeguarding, the Governing Body will comply with the relevant provisions of the STPC(W)D and will give the required notification as soon as possible and within no later than one month after the determination.

11. CAPABILITY AND PAY PROGRESSION

- 11.1. Where the Teacher is subject to the formal stages of the School's Capability Procedure, the School's performance management processes will be suspended in relation to the Teacher concerned until the Capability Procedure has been concluded.
- 11.2. On conclusion of the Capability Procedure, the Teacher will resume performance management processes in accordance with the School's Policy.
- 11.3. Pay progression will not be permissible in accordance with this Pay Policy while a Teacher is subject to the formal stages of the School's Capability Procedure.
- 11.4. On conclusion of the Capability Procedure, the Teacher would re-enter the Performance Management cycle.

11.5. Pay progression will not be applied retrospectively in any case of formal capability.

12. PAY DETERMINATION

12.1. The Governing Body has delegated its pay determination powers to the Pay Committee.

12.2. Annual Determination of Pay

12.2.1. All teaching staff salaries, including those of the leadership group, will be reviewed annually to take effect from 1st September. The Governing Body will conclude Teachers' annual appraisals, and assessments of applications to progress to the Upper Pay Scale, by 31st October; the Headteacher's annual appraisals will be concluded by 31st December.

12.2.2. Reviews may take place at other times of the year to reflect, for example, any changes in circumstances, changes in a job description that lead to a change in the basis for calculating an individual's pay.

12.2.3. The Governing Body will apply any future national pay awards as specified by the STPC(W)D.

12.3. Notification of Pay Determination

12.3.1. A written statement will be given to each Teacher setting out the pay and any other financial benefits to which they are entitled following a determination. Where applicable, this will include information about the basis on which it was made. This will be done by 31st October for Teachers, 31st December for Headteachers, or by no later than one month following the determination.

12.4. Appeals Procedure

12.4.1. The Governing Body has an appeals procedure in relation to pay. This is set out in **Appendix 8** of this Pay Policy.

13. HEADTEACHER PAY

13.1. The Governing Body will ensure that the process of determining the remuneration of the Headteacher is fair and transparent.

13.2. The Governing Body will assign a seven-point leadership pay range taken from the Leadership Scale within the STPC(W)D as set out in Appendix 1. This can be reviewed as necessary for the Headteacher based on the school group size and any permanent additional relevant factors as determined within the framework of the STPC(W)D (specifically paragraphs 9.2, 9.3 and 9.4).

13.3. Additional factors to be taken into account will include all permanent responsibilities of the post, challenges specific to the role and all other relevant considerations, alongside any factors relating to recruitment and retention.

- 13.4. The Governing Body may re-determine the Headteacher's pay range if it becomes necessary to change the Headteacher group (including where the Headteacher becomes responsible and accountable for more than one school in a federation on a permanent basis). The Headteacher's pay range may also be reviewed at any time if it considers it necessary to reflect a significant change in the responsibilities of the post.
- 13.5. Payments in respect of temporary responsibilities for the Headteacher will not be included in the pay range but will be determined in accordance with the STPC(W)D as explained in **Appendix 6**.
- 13.6. In this School, the Governing Body will apply discretionary reference pay points for leadership pay as indicated in **Appendix 1** and has agreed a seven step pay range of L xxx to L xxx (*details to be inserted here by the school*).
- 13.7. **Pay on Appointment**
- 13.7.1. For new appointments, the Governing Body will determine the leadership pay range to be advertised and will agree the starting pay on appointment, taking account of the full role of the Headteacher and the provisions of the STPC(W)D.
- 13.7.2. The Governing Body will adopt a three-stage process when setting the pay for new Headteacher appointments as set out in **Appendix 6**.
- 13.7.3. The Pay Committee will review the School's Headteacher group and the Headteacher's leadership pay range, as necessary, to ensure fair pay relativities within the School.
- 13.7.4. See **Appendix 6** of this Pay Policy for guidelines on leadership pay ranges and **Appendix 7** for the Annual Review Pay Statement.
- 13.8. **Headteachers responsible and accountable for more than one school on a permanent basis**
- 13.8.1. When a Headteacher is appointed to be permanently responsible and accountable for more than one school, the Governing Body should base the determination of the Headteacher group on the total number of pupil units across all schools, which will give a group size for the federation in accordance with **Appendix 6**.
- 13.8.2. Consideration also needs to be given to the remuneration of other Teachers who, as a result of the Headteacher's role, are taking on additional responsibilities. This will be based on any additional responsibilities attached to the post (not the Teacher), which is recorded. An increase in remuneration should only be agreed where the post accrues extra responsibilities as a result of the Headteacher's enlarged role, it is not automatic.

14. DEPUTY / ASSISTANT HEADTEACHER PAY

- 14.1. In this School, the Governing Body will use the discretionary reference pay points for leadership pay as indicated in **Appendix 1**.
- 14.2. The Governing Body will assign a five-point leadership pay range taken from the Leadership Scale within the STPC(W)D as set out in Appendix 1. This can be reviewed as necessary for Deputy / Assistant Headteacher posts based on the school group size and any permanent additional relevant factors as determined within the framework of the STPC(W)D.
- 14.3. The range for individual posts will be determined according to the duties and responsibilities of the post and may vary between posts.
- 14.4. In this School, the Deputy Headteacher five-step pay range is L xx to L xxx (*pay details to be inserted here by the school*).
- 14.5. In this School, the Assistant Headteacher five-step pay range is L xx to L xxx (*pay details to be inserted here by the school*).
- 14.6. **Pay on appointment**
- 14.6.1. When a new appointment needs to be made, the Governing Body will determine the leadership pay range for the post to be advertised and will agree the starting pay on appointment.
- 14.6.2. The pay range will be determined in accordance with the STPC(W)D.
- 14.6.3. The Governing Body will adopt the three-stage process when setting the pay for new appointments to the wider leadership team as set out in **Appendix 6**.

15. PAY PROGRESSION FOR LEADERSHIP GROUP MEMBERS

- 15.1. The Governing Body must consider annually whether or not to increase the salary of members of the leadership group who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary within the relevant pay range determined in accordance with the STPC(W)D.
- 15.2. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 15.3. Pay progression should be on an annual basis from 1st September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year.

- 15.4. The Governing Body may award an additional point to any Headteacher, Deputy or Assistant Headteacher whose performance in the previous year was excellent, with particular regard to agreed objectives.
- 15.5. A decision may be made not to award progression where the Headteacher, Deputy or Assistant Headteacher is subject to formal capability proceedings.
- 15.6. The Pay Committee will record its decision regarding pay progression on the Annual Pay Review form contained at **Appendix 7**. A copy of this form will be provided to the member of staff.
- 15.7. Where pay progression is granted, the member of staff's salary will increase with effect from 1st September of the current academic year.
- 15.8. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Pay Review form. The member of staff has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.

16. CLASSROOM TEACHER PAY

16.1. Pay on Appointment

- 16.1.1. Advertisements for vacant posts in the School will be considered by the Headteacher [and the (*insert details of committee*) where appropriate]. All posts will be advertised either internally or externally, locally or nationally as appropriate.
- 16.1.2. The advertisement will include details of the pay range and any additional payments or allowances applicable to the post.
- 16.1.3. The Governing Body will determine the starting salary of a vacant classroom Teacher post, in accordance with the Main Pay Scale and Upper Pay Scale, detailed at **Appendix 1**.
- 16.1.4. The Governing Body will determine the starting salary of a vacant classroom teacher post. The Governing Body is committed to the principle of pay portability for Teachers who are currently paid in accordance with the provisions of the STPC(W)D or STPCD and will apply the principles set out in paragraph 12.3 of the STPC(W)D in practice when making new appointments.
- 16.1.5. When determining the starting pay for an existing classroom Teacher in a local authority maintained school in Wales, or a local authority maintained school or academy in England, and paid under the STPC(W)D or STPCD, the Governing Body will pay the Teacher on the main pay scale or upper pay scale at a scale point, which at least maintains the Teacher's previous pay entitlement, plus any pay progression, which they would have received had they remained in their previous post.

- 16.1.6. Pay portability will be applied on a “pro rata” basis when a teacher moves to/from a part-time teaching post.
- 16.1.7. In addition, if the successful applicant is a Teacher who has had a break in service, then the Governing Body may determine their scale point based on their previous final salary paid under STPC(W)D or STPCD including any increment that the teacher would have been entitled to be awarded had they remained in their previous post at the time when the change in employment occurred. The Governing Body may take into account any relevant experience gained from a teaching role in another sector in Wales or jurisdiction or a period of employment in a relevant sector outside teaching.
- 16.1.8. Pay portability must span a break in teaching service for health and social reasons such as maternity/paternity, medical or family reasons. In a situation where the new employer proposes to take a different view, the grounds for doing so must be non-discriminatory in relation to equality and other relevant legislation.
- 16.1.9. The Governing Body will not restrict the pay range advertised or starting salary and pay progression prospects available for classroom Teacher posts, other than the minimum of the Main Pay Scale and the maximum of the Upper Pay Scale.
- 16.2. **Pay Progression for Existing Main Pay Scale Teachers**
- 16.2.1. The Governing Body must consider annually whether or not to increase the salary of Teachers (excluding NQTs undertaking their induction year) who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary on the relevant pay scale determined in accordance with the STPC(W)D.
- 16.2.2. Teachers in their induction year will be awarded pay progression on the successful completion of their induction.
- 16.2.3. A person has completed a ‘year of employment’ if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person’s service during that period has been full-time, part-time, regular or otherwise.
- 16.2.4. The Governing Body must award a Teacher on scale points M2 to M6 of the Main Pay Scale progression of one point following completion of a year of employment completed as a qualified Teacher during the previous school year, unless the Teacher has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 16.2.5. Pay progression should be on an annual basis from 1st September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year.

- 16.2.6. The Governing Body may award an additional point to any Main Scale Teacher whose performance in the previous school year was excellent, with particular regard to classroom teaching.
- 16.2.7. A decision may be made not to award progression where the Teacher is subject to formal capability proceedings.
- 16.2.8. The Pay Committee will record its decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of this form will be provided to the Teacher.
- 16.2.9. Where pay progression is granted, the Teacher's salary will be increased with effect from 1st September of the current academic year.
- 16.2.10. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.

16.3. Pay Progression for Existing Upper Pay Scale Teachers

- 16.3.1. The Governing Body must consider annually whether or not to increase the salary of Teachers on the upper pay Scale who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary within the relevant pay range determined in accordance with the STPC(W)D.
- 16.3.2. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 16.3.3. Pay progression on the Upper Pay Scale should be in most cases on a **two-yearly basis**, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that period, as prescribed by the School Teachers Appraisal (Wales) Regulations 2011.
- 16.3.4. The Pay Committee will record its decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of this form will be provided to the Teacher.
- 16.3.5. Where pay progression is granted, the Teacher's salary will be increased with effect from 1st September of the current academic year.

16.3.6. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.

17. APPLICATIONS TO BE PAID ON THE UPPER PAY SCALE

17.1. A qualified Teacher may apply once each year to be paid on the Upper Pay Scale in accordance with the STPC(W)D and this School's Pay Policy.

17.2. It is each Teacher's responsibility to decide whether to submit an application.

17.3. In order for the assessment to be robust and transparent, it will be an evidence-based process.

17.4. Personal objectives for the forthcoming appraisal cycle will be set, and agreed where possible, at a level which is sufficient to ensure that the criteria included in the STPC(W)D for progression to the Upper Pay Scale can be met, including that the Teacher is highly competent in all elements of the relevant standards, and their achievements and contribution to the school are substantial and sustained.

17.5. Teachers who have been absent from work for sickness, disability or maternity-related reasons, along with those who are not subject to the Appraisal Regulations 2011 (i.e. a Teacher who is employed on a short term contract of less than one term), may cite written evidence from a suitable and relevant period before the date of application in support of their application.

17.6. Process

17.6.1. The closing date for an application to be submitted by a Teacher to their appraiser is *(school to insert date here - normally prior to the end of the Summer Term i.e. 31st August)*.

17.6.2. Exceptions may be made in some specific circumstances, e.g. those Teachers who are on maternity leave or on sick leave as at the closing date for receipt of applications. In such circumstances, the Teacher may request - at least 2 weeks before the specified closing date - an extension of no more than half a term for the submission of an application.

17.6.3. The process for applications is:

- Teacher to inform appraiser in writing that they wish to be considered for progression to the Upper Pay Scale and that their personal objectives for the forthcoming appraisal period should reflect this request.

Following completion of the relevant appraisal period:

- The appraiser will complete an assessment pro-forma as shown in **Appendix 4**, setting out the appraiser's recommendation in relation to progression to the Upper Pay Scale, following completion of the relevant appraisal period.

- The Headteacher will consider the appraiser's recommendation and will make a recommendation to the Pay Committee.
- The Pay Committee will make a decision about progression to the Upper pay Scale, following receipt of advice from the Headteacher.
- The Teacher will receive written notification of the outcome of their application by 31st October in the relevant year.
- Where the application is unsuccessful, the written notification will set out details of the areas of the Teacher's performance which are not considered to have satisfied the relevant criteria set out in this Policy (see "Assessment" below).
- If requested, oral feedback will be provided by the Headteacher. Oral feedback will normally be given within 10 working days of the date of notification of the outcome of the application. Feedback will be given in a positive manner and will include advice and support about areas for improvement in order for the Teacher to meet the relevant criteria.
- Where the application is successful the teacher will move to step 1 of the Upper Pay Scale on 1st September in the relevant year i.e. following successful completion of objectives set in academic year to 31st August 2020, the teacher will move to UPS1 on 1st September 2020.

17.6.4. Unsuccessful applicants may appeal the decision as outlined in **Appendix 8**.

17.7. **Assessment**

17.7.1. An application will only be successful where the Governing Body is satisfied that all of the requirements of the STPC(W)D have been met, including that:

- the Teacher is highly competent in all elements of the relevant standards; and
- the Teacher's achievements and contribution to an educational setting or settings are substantial and sustained.

17.7.2. For the purposes of this Pay Policy, the Pay Committee will be satisfied that the Teacher has met the Governing Body's expectations for progression to the Upper Pay Scale where the Upper Pay Scale criteria (see **Appendix 3**) have been satisfied as evidenced by a successful appraisal review.

17.7.3. Further information, including details about sources of evidence, is contained in the School's Performance Management Policy.

18. **LEADING PRACTITIONER ROLE**

18.1. The Governing Body may establish Leading Practitioner posts for Teachers whose primary purpose is the modelling and leading improvement of teaching skills.

- 18.2. Where the Governing Body wishes to establish such posts, it will determine the responsibilities and pay range for these posts. Consultation with relevant staff and trade unions will take place in relation to any such proposed changes to the staffing structure.
- 18.3. The Policy of the Governing Body will be to appoint any new Leading Practitioner Teacher to a 5-point range, as deemed appropriate by the Governing Body.
- 18.4. The pay range for Leading Practitioners will be in accordance with the STPC(W)D, which is currently a minimum of £43,145 per annum and a maximum of £65,590 per annum.
- 18.5. In this School, the Governing Body will use the discretionary reference pay points detailed at **Appendix 1**.
- 18.6. Pay progression for Leading Practitioners will be determined as per the process set out at 16.3.1 to 16.3.4 above.

19. UNQUALIFIED TEACHERS

- 19.1. A Teacher on the unqualified pay scale will be paid an annual salary in accordance with the STPC(W)D. In this School, the Governing Body will use the statutory pay points detailed at **Appendix 1**.
- 19.2. Under the Education (Specified and Registration) (Wales) Regulations 2010 there are specific circumstances when those other than qualified Teachers who are registered with the Education Workforce Council may carry out 'specified work'.
- 19.3. The School will comply with these legal requirements and will only employ unqualified Teachers as specified in these Regulations.
- 19.4. The Governing Body may pay an additional allowance to an unqualified Teacher who meets the criteria as defined in the STPC(W)D.
- 19.5. The Governing Body must award a Teacher on scale points 1 to 6 of the Unqualified Teacher Pay Scale progression of one point following completion of a year of employment completed during the previous school year, unless the Teacher has been notified through the formal capability process that service was unsatisfactory in respect of that year.
- 19.6. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.

MODEL TEACHERS' PAY POLICY 2021/22

- 19.7. Pay progression on the 6-point Unqualified Teacher Pay Scale should be on an annual basis from 1st September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 19.8. The Pay Committee will record its decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of the form will be provided to the unqualified Teacher.
- 19.9. Where pay progression is granted, the unqualified Teacher's salary will be increased with effect from 1st September of the current academic year.
- 19.9.1. A decision may be made not to award progression where the Teacher is subject to formal capability proceedings.
- 19.10. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.
- 19.11. An unqualified Teacher who obtains qualified Teacher status will be paid on the pay scales for qualified Teachers, in accordance with this Pay Policy and STPC(W)D.

20. DISCRETIONARY ALLOWANCES AND PAYMENTS

20.1. Teaching and Learning Responsibility Payments (TLRs)

- 20.1.1. The Governing Body will award TLR1 and TLR2 payments to post holders as indicated in the School's staffing structure (see **Appendix 10**).
- 20.1.2. These payments will be awarded to Teachers who undertake clearly defined and sustained additional responsibility in the context of the School's staffing structure for the purpose of ensuring the continued delivery of high quality teaching and learning and for which the Teacher is made accountable.
- 20.1.3. All job descriptions will be regularly reviewed and will make clear the responsibility or package of responsibilities for which a TLR is awarded.
- 20.1.4. The criteria for awarding a TLR1 and TLR2 payment will be in accordance with the STPC(W)D.
- 20.1.5. The minimum and maximum range for a TLR1 is £8,437 to £14,276 per annum.
- 20.1.6. The minimum and maximum range for a TLR2 is £2,924 to £7,140 per annum.
- 20.1.7. In this School the value of TLRs currently in use is as follows

TLR1 - (details of each TLR1 to be inserted here by school)
TLR2 - (details of each TLR2 to be inserted here by school)

MODEL TEACHERS' PAY POLICY 2021/22

20.1.8. The Governing Body may award a fixed-term TLR3 payment to a Teacher of between £581 and £2,883 per annum for a clearly time-limited school improvement project, or one-off externally driven responsibilities.

20.1.9. The duration of the fixed term, and the amount of annual payment will be established at the outset and will be paid on a monthly basis.

20.1.10. Where the Governing Body wishes to make TLR3 payments, the proposed responsibilities, level of payment and the duration of payment will be set out clearly following consultation with relevant staff and union representatives.

20.1.11. A Teacher in receipt of either a TLR1 or 2 may also hold a concurrent TLR3.

20.1.12. No safeguarding will apply in relation to an award of a TLR3.

20.1.13. A TLR1 or 2 payment awarded to a part-time Teacher will be on a pro rata basis but where a TLR3 payment is awarded to a part-time Teacher, the pro rata principle will **not** apply.

20.2. **Additional Learning Needs (ALN) Allowances**

20.2.1. The Governing Body will award ALN allowances in accordance with the criteria and provisions set out in the STPC(W)D.

20.2.2. An ALN Allowance of no less than £2,310 per annum, and no more than £4,558 per annum, will be payable to a classroom Teacher in accordance with STPC(W)D.

20.2.3. In this School, the ALN values are: (*details of each ALN Allowance / value to be inserted here by school*)

20.2.4. In deciding the ALN value, the Governing Body will take into account the structure of the School's ALN provision, whether any mandatory qualifications are required for the post, the qualifications or expertise of the Teacher relevant to the post, and the relative demands of the post.

20.3. **Acting Allowances**

20.3.1. Acting allowances are payable to Teachers who are assigned and carry out the duties of Headteacher, Deputy Headteacher or Assistant Headteacher in accordance with the STPC(W)D.

20.3.2. The Governing Body will, within a four-week period of the commencement of acting duties, determine whether or not the acting postholder will be paid an allowance. In the event of a planned and prolonged absence, an acting allowance may be agreed in advance and paid from the first day of absence.

20.3.3. Any Teacher who carries out the duties of Headteacher, Deputy Headteacher, or Assistant Headteacher, for a period of four weeks or more, will be paid at an appropriate point of the Headteacher's pay range, Deputy Headteacher pay range or Assistant Headteacher pay range, as determined by the Pay Committee.

Payment will be backdated to the commencement of the duties but will normally be paid a month in arrears.

20.3.4. Acting allowances may also apply to Teachers covering absent colleagues in receipt of a TLR and / or ALN allowance.

20.3.5. Additional allowances may be payable to unqualified teachers in line with SCTP(W)D.

20.4. **Additional Payments**

20.4.1. With exception of those on the leadership range the Governing Body may make additional payments to a Teacher, in respect of:

- continuing professional development undertaken outside the school day;
- activities relating to the provision of initial Teacher training as part of the ordinary conduct of the School;
- participation in out-of-school hours learning activity agreed between the Teacher and the Headteacher; and
- additional responsibilities and activities due to, or in respect of, the provisions of services by the Teacher relating to the raising of educational standards to one or more additional schools.

20.5. **Recruitment or Retention Incentive Benefits**

20.5.1. The Governing Body can award lump sum payments, periodic payments, or provide other financial assistance, support or benefits for a recruitment or retention incentive. In deciding any such awards, the Governing Body will have regard to the STPC(W)D and specialist HR advice.

20.5.2. Headteachers, Deputy Headteachers and Assistant Headteachers may not be awarded such a payment other than as reimbursement of reasonably incurred housing or relocation costs.

20.5.3. All other recruitment and retention considerations in relation to a Headteacher, Deputy Headteacher or Assistant Headteacher post will be taken into account when determining the pay range.

20.5.4. The reason for the award of any additional payment, the expected duration of any such incentive or benefit, and the review date after which they may be withdrawn will be made clear at the outset, in writing.

20.5.5. The Governing Body will conduct an annual review of all such awards.

21. **PART-TIME TEACHERS' PAY AND TIME CALCULATIONS**

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- 21.1. Teachers employed on an ongoing basis at the school but who work less than a full working week will be deemed to be part-time.
- 21.2. Part-time Teachers will be provided with a written statement detailing their working time obligations and the standard mechanism used to determine their pay, subject to the provisions of the statutory pay and working time arrangements and by comparison with the School's timetabled teaching week for a full-time Teacher in an equivalent post. This does not affect the TLR3 payment which is not pro rata for part-time staff. See **Appendix 9** for further information.

22. TEACHERS EMPLOYED ON A SHORT-TERM NOTICE BASIS (SUPPLY)

- 22.1. Teachers employed on a supply basis will be paid on a daily basis calculated on the assumption that a full working year consists of 195 days; periods of employment for less than a day being calculated pro rata.
- 22.2. If the school is using an agency, the school enters into a voluntary supply agency pledge whereby they only procure from agencies identified on the NPS Framework Approved Supply Agencies and commit to a minimum daily rate of M2 ÷ 195 days. The exception will be that when agencies on the NPS framework are unable to supply a suitably skilled teacher, the school will be able to approach alternative agencies but with a commitment to pay as a minimum, the M2 pay rate. **Please delete where the governing body has not signed up to the voluntary agency pledge.**

2020/21 PAY SCALES**Main Pay Scale:**

Point	Value
M2	£27,491
M3	£29,699
M4	£31,987
M5	£34,506
M6	£37,974

Upper Pay Scale:

Point	Value
U1	£39,368
U2	£40,827
U3	£42,333

Leading Practitioner Pay Range:

Point	Value
LP1	£43,145
LP2	£44,226
LP3	£45,330
LP4	£46,458
LP5	£47,615
LP6	£48,809
LP7	£50,124
LP8	£51,279

LP9	£52,560
LP10	£53,911
LP11	£55,309
LP12	£56,584
LP13	£57,998
LP14	£59,444
LP15	£60,923
LP16	£62,543
LP17	£63,979
LP 18	£65,590

Unqualified Teachers Pay Scale:

Point	Value
UNQ1	£18,487
UNQ2	£20,637
UNQ3	£22,786
UNQ4	£24,936
UNQ5	£27,088
UNQ6	£29,238

Leadership Pay Range:

Point	Value
L1	£42,934
L2	£44,008
L3	£45,107
L4	£46,230

L5	£47,381
L6	£48,571
L7	£49,877
L8	£51,029
L9	£52,302
L10	£53,646
L11	£55,038
L12	£56,307
L13	£57,714
L14	£59,153
L15	£60,624
L16	£62,237
L17	£63,665
L18*	£64,620
L18	£65,266
L19	£66,886
L20	£68,543
L21*	£69,544
L21	£70,240
L22	£71,984
L23	£73,766
L24*	£74,847
L24	£75,596
L25	£77,474
L26	£79,391
L27*	£80,553

L27	£81,358
L28	£83,376
L29	£85,441
L30	£87,568
L31*	£88,841
L31	£89,731
L32	£91,961
L33	£94,245
L34	£96,575
L35*	£97,996
L35	£98,976
L36	£101,426
L37	£103,947
L38	£106,520
L39*	£108,035
L39	£109,116
L40	£111,838
L41	£114,632
L42	£117,504
L43	£119,248

* These points and Point L43 are the maximum scale points for the eight Headteacher Group Ranges

ANNUAL TEACHERS' PAY REVIEW STATEMENT

Name:	Employee No.:
School:	Effective Date:

SALARY DETAILS

Salary and Point - Main Pay Scale (MPR2 - MPR6)	£	Point
Salary and Point - Upper Pay Scale (UPS1 – UPS3)	£	Point
Salary and Point - Unqualified Range (UNQ1 - UNQ6)	£	Point
Salary and Leading Practitioner Range	£	Point

ALLOWANCES

Details e.g. temp
(with dates), reason
for allowance

Teaching and Learning Responsibility Payments (See Pay Policy Advice) TLR1 / TLR2 / TLR3	TLR____ £
Recruitment or Retention (See Pay Policy Advice)	£
Additional Learning Needs Allowance (See Pay Policy Advice)	£
Other Allowances - Please specify (See Pay Policy Advice)	£
SAFEGUARDING	£
TOTAL SALARY	£

Pay Committee Meeting on:

Signature of Headteacher / Chair of Committee: Date:

UPPER PAY RANGE PROGRESSION CRITERIA

1. Professional Attributes

- 1.1. Contribute significantly, where appropriate, to implementing workplace policies and practice and to promoting collective responsibility for their implementation.

2. Professional Knowledge and Understanding

- 2.1. Have an extensive knowledge and understanding of how to use and adapt a range of teaching, learning and behaviour management strategies, including how to personalise learning to provide opportunities for all learners to achieve their potential.
- 2.2. Have an extensive knowledge and well-informed understanding of the assessment requirements and arrangements for the subjects/curriculum areas they teach, including those related to public examinations and qualifications.
- 2.3. Have up-to-date knowledge and understanding of the different types of qualifications and specifications and their suitability for meeting learners' needs.
- 2.4. Have a more developed knowledge and understanding of their subjects/curriculum areas and related pedagogy including how learning progresses within them.
- 2.5. Have sufficient depth of knowledge and experience to be able to give advice on the development and wellbeing of children and young people

3. Professional Skills

- 3.1. Be flexible, creative and adept at designing learning sequences within lessons and across lessons that are effective and consistently well-matched to learning objectives and the needs of learners and which integrate recent developments, including those relating to subject/curriculum knowledge.
- 3.2. Have teaching skills which lead to learners achieving well relative to their prior attainment, making progress as good as, or better than, similar learners nationally.
- 3.3. Promote collaboration and work effectively as a team member.
- 3.4. Contribute to the professional development of colleagues through coaching and mentoring, demonstrating effective practice, and providing advice and feedback.

ASSESSMENT OF TEACHER APPLICATION TO PROGRESS TO UPPER PAY RANGE

For Completion by the Teacher's Appraiser

Teacher's Name:	
Post:	

Evidence from most recent appraisal Please state which appraisal statement is attached:	
*Criteria Met	*Criteria Not Met
(* Please delete as appropriate)	
If criteria have not been met in full, please record details below (and continue overleaf, as necessary) about the areas of the Teacher's performance which do not satisfy the criteria:	

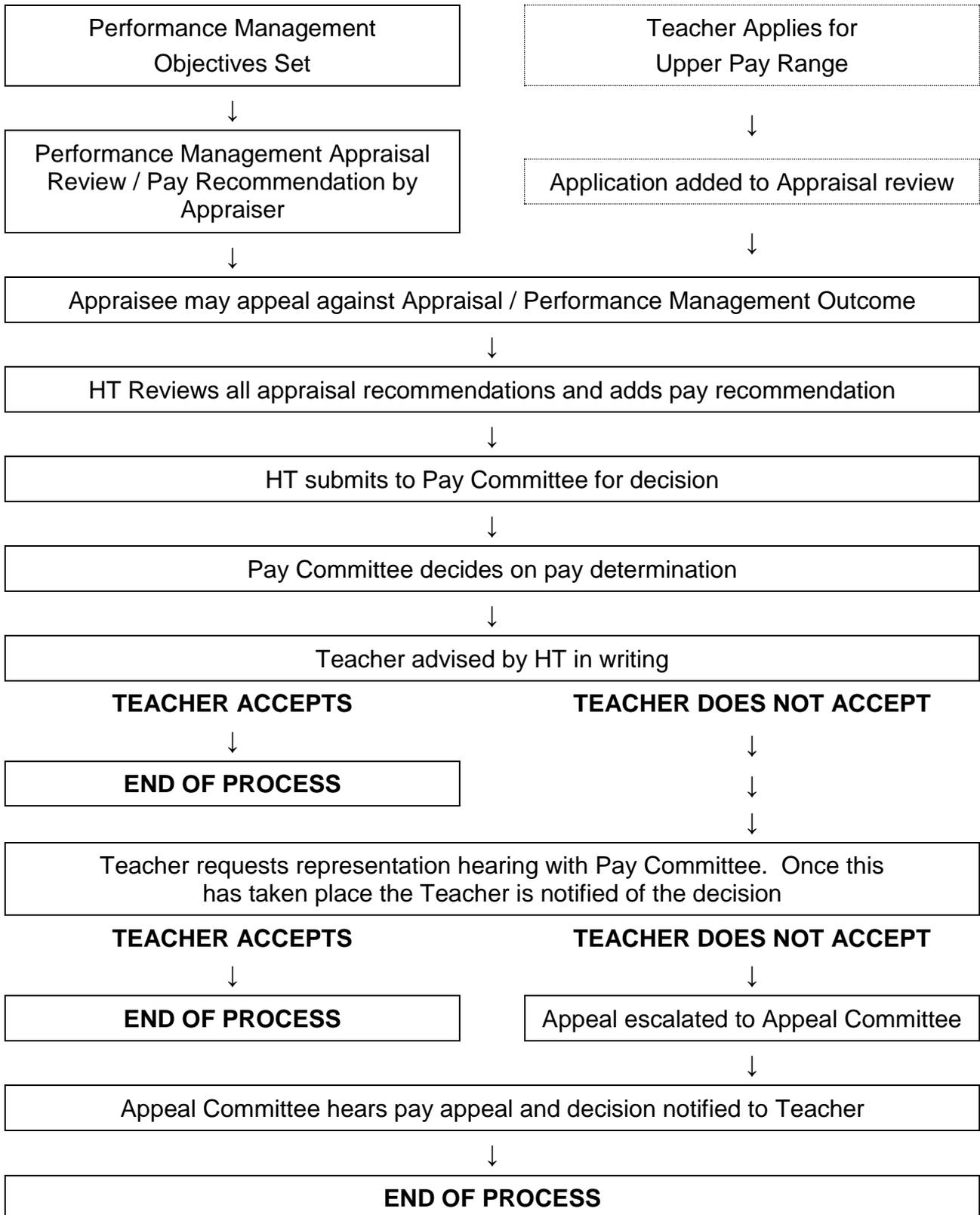
Signed _____ (Appraiser)

Date: _____

TO BE SUBMITTED TO THE HEADTEACHER

<u>School Use Only</u>
Application Form Received on: _____
Assessment made on: _____
By: _____

**FLOWCHART OF PAY REVIEW PROCESS
(Not including Headteachers)**



LEADERSHIP GROUP SALARIES GUIDANCE

1. Headteacher and Leadership Team (ALL SCHOOLS)

A statutory 43 step Leadership Pay Scale has been reintroduced. Headteachers, Deputy Headteachers and Assistant Headteachers will be paid as determined by the Governing Body. These are set out below:

2. School Groups (ALL SCHOOLS)

There are eight school groups determined from the unit score of the school. The STPC(W)D specifies a maximum and minimum pay value for each group and the indicative pay rates published jointly by the employers and trade unions attach values to individual pay points within those ranges

The Governing Body has established a 7 point pay range for the Headteacher and a 5 point pay range for all other leadership posts.

3. Unit Score of School

a. All Schools (excluding Special Schools)

The unit score is calculated to determine the group of the School, using the formula in the STPC(W)D. In this Authority*, the LA will recalculate the unit score annually and the results will be applied from 1st January each year. If a school has reasonable grounds to expect a change in pupil numbers, they should request a recalculation by the Authority at that time.

** Delete if not appropriate*

Information on how the unit score is calculated:

This is determined by pupil numbers as shown on the most recent STATS 1 (annual school census) return to the Welsh Government.

For each pupil at the foundation phase/ KS1/KS2	7 units
For each pupil in the school at KS3	9 units
For each pupil in the school at KS4	11 units
For each pupil in the school at KS5	13 units

Each pupil with a **statement of special educational needs** shall, if they are in a special class consisting wholly or mainly of such pupils, count three units more than they would otherwise count. If they are not in such a special class count three such units only where the relevant body so determine.

Each pupil who attends for no more than half a day on each day for which they attend the school shall count half as many units as they would otherwise count.

Total Unit Score	School Group
Up to 1,000	1
1,001 - 2,200	2
2,201 - 3,500	3
3,501 - 5,000	4
5,001 - 7,500	5
7,501 - 11,000	6
11,001 - 17,000	7
17,001 and over	8

b. Modified Unit Score (Special Schools Only)

The modified unit score is calculated to determine the group of the school, using the formula in the STPC(W)D. In this Authority* the LA will recalculate the unit score annually and the results will be applied from 1st January each year. If a school has reasonable grounds to expect a change in pupil numbers, they should request a recalculation by the Authority at that time.

* Delete if not appropriate

A special school must be assigned to a Headteacher group in accordance with the following table by reference to its modified total unit score calculated in accordance with sub-sections (i) and (ii) below:

Total Unit Score	School Group
Up to 2,200	2
2,201 - 3,500	3
3,501 - 5,000	4
5,001 - 7,500	5
7,501 - 11,000	6
11,001 - 17,000	7
17,001 and over	8

(i) Information on how the staff-pupil ratio is calculated

The proportion of staff to pupils at the school must be calculated and expressed as a percentage ('the staff-pupil ratio') in accordance with the following formula:

$$\frac{A}{B} \times 100$$

Where A is the number of Teachers and Support Staff weighted as provided at (a) below, and B is the number of pupils at the school weighted as provided at (b) below:

- a) The weighting for a Teacher is two units for each full-time equivalent Teacher, and the weighting for each Support Staff member is one unit for each full-time equivalent individual; and
- b) The weighting for a full-time pupil is one unit and the weighing for a part-time pupil is half a unit.

The staff-pupil ratio modifier must be calculated in accordance with the following table by reference to the staff-pupil ratio determined in accordance with the above:

Staff-Pupil Ratio	Staff-Pupil Ratio Modifier
1 - 20%	1
21 - 35%	2
36 - 50%	3
51 - 65%	4
66 - 80%	5
81% or more	6

NB: 'Support Staff member' means a member of the school staff who is not:

- A Teacher;
- A person employed in connection with the provision of meals;
- A person employed in connection with the security or maintenance of the school premises; or
- A person employed in a residential school to supervise and care for pupils out of school hours.

(ii) Information on how the modified total unit score is calculated

This is determined by pupil numbers as shown on the most recent STATS 1 (annual school census) return to Welsh Government.

The relevant body must determine the school's total unit score in accordance with the number of pupils on the school register calculated as follows:

Key Stage	Units Per Pupil
For each pupil in the Foundation Phase, KS1 and KS2	10
For each pupil in KS3	12
For each pupil in KS4	14
For each pupil in KS5	16

The relevant body must determine the school's modified total unit score by multiplying the school's total unit score determined under this section (i.e. as per the above table) by the staff-pupil ratio modifier calculated under section 3.

NB: Where the Headteacher is appointed as Headteacher of more than one school on a permanent basis, the relevant body of the Headteacher's original school or, under the Collaboration Regulations (5), the collaborating body must calculate the Headteacher group by combining the unit score of all the schools for which the Headteacher is responsible to arrive at a total unit score, which then determines the Headteacher group.

4. New Leadership Appointments / Changes to existing Leadership Pay Structures - Three Stage Process (ALL SCHOOLS)

The Governing Body should follow the three-stage process when setting the pay for **new appointments or revising existing pay structures in respect of headship or the wider leadership team.**

Stage 1 - Defining the role and determining the Headteacher group

Stage 2 - Setting the indicative pay range

Stage 3 - Deciding the starting salary and individual pay range

All decisions and the reasons for them should be well documented at every stage. All pay decisions must be made on objective criteria so that there is no discriminatory effect of any group of Teachers with a particular protected characteristic under the Equality Act 2010.

It is suggested that schools seek advice when calculating and recording leadership pay structure decisions

Stage 1 - Defining the Role and Determining the Headteacher Group

The Governing Body should, at this stage, define the job and identify the broad pay range as a provisional guide to determining appropriate level of pay. The Governing Body will need to define and set out the specific role, responsibilities and accountabilities of the post as well as the skills and relevant competences required.

For Headteacher posts, the Governing Body will assign the School to a Headteacher group (as defined in 3 above) which will determine the appropriate broad pay range as outlined below:

Group Size	Range of Steps	Salary Range (STPC(W)D 2020)
1	L6 - L18*	£ 48,571- £ 64,620
2	L8 - L21*	£ 51,029- £ 69,544
3	L11 - L24*	£ 55,038- £ 74,847
4	L14 - L27*	£ 59,153- £ 80,553
5	L18 - L31*	£ 65,266- £ 88,841
6	L21 - L35*	£ 70,240- £ 97,996
7	L24 - L39*	£ 75,596- £ 108,035
8	L28 - L43	£ 83,376- £ 119,248

For other leadership group posts, the Governing Body should consider how the role fits within the wider leadership structure of the School. The pay range for a Deputy Headteacher or Assistant Headteacher should only overlap the Headteacher's pay range **in exceptional circumstances**.

Stage 2 - Setting the Indicative Pay Range

At this stage, the Governing Body will need to consider the complexity and challenge of the role in the particular context of the School and make a judgement on pay in light of this.

For Headteacher posts, it is expected that normally the Governing Body will conclude that the total unit score fully captures the complexity of the Headteacher role and that the relevant broad pay range accommodates appropriate levels of reward, in line with the STPC(W)D. The Governing Body will need to consider whether the indicative pay range should start at the minimum of the Headteacher group or whether they wish it to start at a higher level because of the level of challenge of the post.

There may be circumstances, however, in which there are additional factors that suggest the indicative pay range should be higher than would be provided by the basic calculation in Stage 1.

The following represent some examples of additional factors to be considered (this list is not exhaustive):

- The context and challenge arising from pupils' needs e.g. if there is a high level of deprivation in the community (Free School Meal entitlement and/or English as an Additional Language) or there are high numbers of looked after children or children with Additional Learning Needs and this affects the challenge in relation to improving outcomes;
- A high degree of complexity and challenge e.g. accountability for multiple schools or managing across several dispersed sites, which goes significantly beyond that expected of any Headteacher of similar-sized school(s) and is not already reflected in the total unit score used at stage 1;
- Additional accountability not reflected in stage 1, e.g. leading a teaching school alliance; and
- Factors that may impede the school's ability to attract appropriately qualified and experienced leadership candidates e.g. location, language medium, subject area / specialism and/or level of support from the wider leadership team.

The Governing Body may set the indicative pay range with a **maximum of up to 25% above the top of the relevant Headteacher group range.**

Above that limit, external independent advice must be sought and, should the advice suggest a range which exceeds this limit is appropriate, a business case must be made and agreed by the full Governing Body.

The Governing Body should ensure that no **double counting** takes place e.g. of things taken account of in stage 1, such as responsibility for an additional school already reflected in the total unit score; or from using overlapping indicators, such as FSM and the pupil premium.

The Governing Body **SHOULD NOT** increase base pay nor pay an additional allowance for regular local collaboration which is part of the role of all Headteachers.

For other leadership roles the process is broadly the same. The Governing Body will wish to consider how the other leadership roles should be set in accordance with the level set for the Headteacher and to ensure that there is sufficient scope for progression. Consideration should also be given to any teaching posts that carry additional allowances.

At the end of this stage, the Governing Body should decide where in the broad range to position the indicative pay range and set this out clearly when advertising the post. An overall judgement should be made on the position and breadth of range, allowing appropriate scope for progression over time.

There should be a clear audit trail for all decisions made and the reasoning behind them.

It is also expected where possible that the School will undertake a process of benchmarking of salaries before setting the pay range for the Headteacher or other leadership posts.

For those factors which are not expected to persist, such as temporary responsibility for an additional school, these should be reflected through an allowance rather than consolidated into the indicative pay range.

Stage 3 - Deciding the starting salary and Individual Pay Range for new appointments

The first two stages provide the means for determining the appropriate pay range. The third stage is essentially about deciding on the starting salary for the individual who is to be offered the post.

At this stage, the Governing Body will have a preferred candidate for the role and will wish to set the starting salary in the light of candidate-specific factors, such as the extent to which the candidate meets the specific requirements of the post.

It will be important to ensure there is scope for progression over time.

There must be a clear audit trail for any advice given and a full and accurate record of all decisions made and the reasoning behind them.

5. Establishing a Pay Range above the School's Headteacher Group (ALL SCHOOLS)

The expectation is that in most cases the pay range will be within the limits of the Headteacher group. However, in some cases e.g. where there may be significant difficulty in making an appointment or there is a need to incentivise a Headteacher to take on responsibility for a very large school or to lead multiple large schools, it may be appropriate to consider extending the individual pay range.

The Governing Body can, in such cases, decide that the maximum of the pay range may be above the maximum of the Headteacher group, **up to an additional 25%**.

If it is considered that there are exceptional circumstances that warrant an extension beyond that limit, a business case would be required. The Governing Body would need to seek external independent advice from an appropriate person or body who can consider whether it is justifiable to exceed the limit in a particular case.

There must be a clear audit trail for any advice given and a full and accurate record of all decisions made and the reasoning behind them.

6. Temporary Payments for Headteachers (ALL SCHOOLS)

The Governing Body may consider an additional payment to the Headteacher in respect of clearly temporary additional duties and responsibilities or duties that are in addition to the post for which their salary has been determined e.g. where they are providing services to other schools. Including where the Headteacher is appointed as a temporary Headteacher of one or more additional schools not included as a permanent factor in the calculation of the pay range.

7. Salary Protection (ALL SCHOOLS)

If the School is assigned to a lower group, or the Governing Body chooses to reduce the leadership pay range, the member of staff will be entitled to receive a safeguarded sum for a period of up to three years, subject to the STPC(W)D.

HEADTEACHER / DEPUTY HEADTEACHER / ASSISTANT HEADTEACHER
ANNUAL REVIEW FORM
(September 20__)

Name: _____	Employee No.: _____
School: _____	

*** Headteacher:**

School Group: _____ Headteacher Pay Range: £ _____ to £ _____

*** Deputy / Assistant Headteacher:**

Pay Range: £ _____ to £ _____

Salary and Point at August 20__: £ _____ Point: _____

Rationale used for Pay Decision:

Revised Salary and Point at August 20__: £ _____ Point: _____

Certified by Chair of Governors / Pay Committee: _____

Certified by Headteacher: _____ Date: _____

*** Please delete as appropriate**

PAY APPEALS PROCESS

The Governing Body is committed to ensuring that appeals against pay decisions are dealt with quickly, fairly and are consistent with equalities and other relevant legislation, as well as the STPC(W)D.

Teachers, including Headteachers, may appeal any determination in relation to their pay or any other decision taken by the Governing Body (or a Committee or individual acting with delegated authority) that affects their pay.

Reasons for appeal may include the following, which is not an exhaustive list. That the person or Committee making the decision:

- a) incorrectly applied any provision of the STPC(W)D;
- b) failed to have proper regard for statutory guidance;
- c) failed to take proper account of relevant evidence;
- d) took account of irrelevant or inaccurate evidence
- e) was biased; or
- f) otherwise unlawfully discriminated against the Teacher.

For both the representation hearing and the appeal hearing, the Teacher is entitled to be accompanied by a work colleague or trade union representative.

Stage 1 - Informal Discussion (Optional Stage)

A Teacher who is dissatisfied with a pay recommendation has the opportunity to discuss the recommendation with the Headteacher before the recommendation is actioned and confirmation of the pay decision is made by the School.

If, having had an informal discussion with the person making the pay recommendation, or on receipt of the notification of pay determination the Teacher believes that an incorrect recommendation has been made, they may choose to make representation to the Pay Committee of the Governing Body (see Stage 2 below).

Stage 2 - Representation Hearing

1. The Teacher receives written notification of the pay determination and, where applicable, details of the basis on which the decision was made. The Pay Committee will ensure the Teacher is aware of the process for making representation and appealing against the decision, if appropriate.
2. If the Teacher wishes to make representation, they should do so by writing to the Clerk to Governors within 10 school days of receiving the decision. The decision to request a representation hearing rests with the teacher.
3. The Clerk to Governors will arrange for a representation hearing to take place as soon as possible, which will be chaired by the Pay Committee. The Headteacher may be required to attend the hearing to clarify the grounds for the pay recommendation.

4. The Teacher will be provided with between 5 and 10 school days' notice of the representation hearing. The Teacher may attend the hearing in order to present evidence, call witnesses and ask questions of the Pay Committee.
5. The Pay Committee will decide if the original pay determination is to be amended and will write to the Teacher about the outcome within 5 school days of the decision being reached.
6. Where the Teacher continues to be dissatisfied, they may appeal this decision within 10 school days of receiving the Committee's outcome letter by proceeding to Stage 3 of the process.

Stage 3 - Appeal Hearing

1. The Teacher should clearly set out in writing the grounds for appealing the pay decision and send it to the Clerk to Governors within 10 school days of receipt of the written outcome.
2. The Clerk to Governors will arrange for an appeal hearing to take place as soon as possible, but normally within 20 school days of the receipt of the written appeal notification.
3. The Teacher should be provided with between 5 and 10 school days' notice of the hearing.
4. The appeal should be heard by the Pay Appeals Committee comprising of a minimum of three eligible governors who were not involved in the original decision, or where the original Pay Committee comprised of more than three members, a number at least equal to that of the Pay Committee.
5. The Pay Appeals Committee's decision is final.
6. Those required to attend the appeal hearing include:
 - Chair and other Appeal Committee members
 - The Teacher and their representative or work colleague (if the Teacher is accompanied)
 - Witnesses for the employee side (if appropriate)
 - a member of the original Pay Committee who will clarify the reasons for the original decision
 - Witnesses for the management side (if appropriate)
 - Clerk to the hearing
 - HR Adviser to give advice to the Appeal Committee (subject to the provisions of any Service Level Agreement)

A model procedure for formal appeal meetings

Chair introduces everyone and their role in the proceedings.

- The Teacher will present their case including any evidence to be considered and any witnesses they have called;
- Pay Appeals Committee members may ask questions of the Teacher, as may the Pay Committee representative;
- Pay Committee representative will state their case including the evidence on which the decision was based and call any witnesses to support the case, if appropriate
- Pay Appeals Committee members may ask questions of the Pay Committee representative, as may the Teacher;
- Both parties may make a closing statement if they wish (Teacher first, followed by Pay Committee representative). No new evidence can be introduced at this stage;
- Both parties leave the hearing;
- The Pay Appeals Committee may request advice from the HR Adviser (if applicable). Once this has been given, the HR Adviser will leave the hearing but may be recalled for further advice (if applicable);
- The Pay Appeals Committee will consider all the evidence and reach a final decision;
- The Pay Appeals Committee will call the parties back to inform the Teacher of the decision (if awaiting the decision) or instruct the Clerk to write to the Teacher on their behalf with their decision and the reasons for it; and
- The Clerk will notify the Local Authority of change of pay, if appropriate.

PART-TIME TEACHERS' PAY AND TIME CALCULATIONS

A **School's Timetabled Teaching Week** must be established and a part-time Teacher must be paid a proportion of the STTW.

Each school must establish a STTW week for each Teacher, this refers to school sessions hours that are timetabled for teaching, including PPA but excluding break times, registration and assemblies.

Part-time Teachers will then be paid on actual teaching time excluding registration assemblies and breaks.

For Example:

If the school day, excluding registration and assembly, runs from 9.00am to 12.15pm and again from 1.15pm to 3.30pm with one 15 minute break in the morning session and one 15 minute break in the afternoon session, the STTW for a full-time Teacher would be calculated as 25 hours. If a part-time Teacher were employed for mornings only working 9.00am to 12.15pm every day, their percentage of the timetabled teaching week would be calculated as 15 hours. This is shown below:

	Morning Session (less breaks, registration & assembly)	+	Afternoon Session (less breaks, registration & assembly)	x	No. of Days in Timetable	=	STTW	% of STTW
Full-Time	3 Hours	+	2 Hours	x	5 Days	=	25 Hours	100%
Part-Time	3 Hours			x	5 Days	=	15 Hours	60%

PPA and Management Time must be included when calculating class contact time.

Directed Time - a Headteacher may allocate directed time to part-time Teachers (subject to conditions) as a proportion of a FTE 1258.5. Part-time Teachers can now be directed to cover breaks, assemblies and registration as part of their directed duties.

Part-time Teachers cannot be required to be available for work (either for teaching or other duties) on days they do not normally work. However, they may attend by mutual agreement with the Headteacher. Any resultant additional hours should be paid at the Teacher's normal salary.

Part-time Teachers may be required to carry out duties, other than teaching pupils, outside school sessions on the day on which the Teacher is normally required to be available for work (whether the Teacher is normally required to be available for work for the whole or part of that day). This can form part of directed time.

SCHOOL STAFFING STRUCTURE

(School to enter details below as applicable at the time of this Pay Policy being adopted by the Governing Body)

Cyngor Sir Ceredigion County Council - Integrated Impact Assessment (IIA)

An integrated tool to inform effective decision making



This **Integrated Impact Assessment tool** incorporates the principles of the Well-being of Future Generations (Wales) Act 2015 and the Sustainable Development Principles, the Equality Act 2010 and the Welsh Language Measure 2011 (Welsh Language Standards requirements) and Risk Management in order to inform effective decision making and ensuring compliance with respective legislation.

1. PROPOSAL DETAILS: (Policy/Change Objective/Budget saving)

Proposal Title	Approval School Teacher Pay Policy
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Service Area	People and Organisation	Head of Service	Geraint Edwards	Strategic Director	James Starbuck
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Name of Officer completing the IIA	Geraint Edwards	E-mail	Geraint.Edwards2@ceredigion.gov.uk	Phone no	2019
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Please give a brief description of the purpose of the proposal

The Model Pay Policy provides a framework for making decisions on teachers' pay. It has been developed to comply with the requirements of the School Teachers Pay and Conditions (Wales) Document (STPC(W)D) and it has been consulted with Teaching Unions.

Who will be directly affected by this proposal? (e.g. The general public, specific sections of the public such as youth groups, carers, road users, people using country parks, people on benefits, staff members or those who fall under the protected characteristics groups as defined by the Equality Act and for whom the authority must have due regard).

School Teachers and Governing Bodies

VERSION CONTROL: The IIA should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development, Welsh language and equality considerations wherever possible.

Author	Decision making stage	Version number	Date considered	Brief description of any amendments made following consideration
	Council	V1		

COUNCIL STRATEGIC OBJECTIVES: Which of the Council's Strategic Objectives does the proposal address and how?

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Boosting the Economy	
Investing in People's Future	This policy will determine teachers' pay, when the annual pay review will take place and how any teachers' pay grievances will be addressed by Governors.
Enabling Individual and Family Resilience	
Promoting Environmental and Community Resilience	

NOTE: As you complete this tool you will be asked for **evidence to support your views**. These need to include your baseline position, measures and studies that have informed your thinking and the judgement you are making. It should allow you to identify whether any changes resulting from the implementation of the recommendation will have a positive or negative effect. Data sources include for example:

- *Quantitative data - data that provides numerical information, e.g. population figures, number of users/non-users*
- *Qualitative data – data that furnishes evidence of people's perception/views of the service/policy, e.g. analysis of complaints, outcomes of focus groups, surveys*
- *Local population data from the census figures (such as Ceredigion Welsh language Profile and Ceredigion Demographic Equality data)*
- *National Household survey data*
- *Service User data*
- *Feedback from consultation and engagement campaigns*
- *Recommendations from Scrutiny*
- *Comparisons with similar policies in other authorities*
- *Academic publications, research reports, consultants' reports, and reports on any consultation with e.g. trade unions or the voluntary and community sectors, 'Is Wales Fairer' document.*
- *Welsh Language skills data for Council staff*

2. SUSTAINABLE DEVELOPMENT PRINCIPLES: How has your proposal embedded and prioritised the five sustainable development principles, as outlined in the Well-being of Future Generations (Wales) Act 2015, in its development?

Sustainable Development Principle	Does the proposal demonstrate you have met this principle? If yes, describe how. If not, explain why.	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to the principle?
Long Term	<ul style="list-style-type: none"> • This policy is updated every year in order to ensure compliance with the 		

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Balancing short term need with long term and planning for the future.	annual School Teachers Pay and Conditions (Wales) Document		
Collaboration Working together with other partners to deliver.	<ul style="list-style-type: none"> Regional and local trade unions have been consulted and provided feedback on the policy 		
Involvement Involving those with an interest and seeking their views.			
Prevention Putting resources into preventing problems occurring or getting worse.			
Integration Positively impacting on people, economy, environment and culture and trying to benefit all three.	<ul style="list-style-type: none"> 		



3. WELL-BEING GOALS: Does your proposal deliver any of the seven National Well-being Goals for Wales as outlined on the Well-being of Future Generations (Wales) Act 2015? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. We need to ensure that the steps we take to meet one of the goals aren't detrimental to meeting another.			
Well-being Goal	Does the proposal contribute to this goal? Describe the positive or negative impacts-	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to the goal?
3.1. A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs.	This Pay Policy provides a framework for making decisions on Teachers' pay. It has been developed to comply with the requirements of the School Teachers Pay and Conditions (Wales) Document (STPC(W)D		
3.2. A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change).	N/A		
3.3. A healthier Wales People's physical and mental wellbeing is maximised and health impacts are understood.	n/a		
3.4. A Wales of cohesive communities Communities are attractive, viable, safe and well connected.	n/a		
3.5. A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental well-being.	n/a		

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<p>3.6. A more equal Wales People can fulfil their potential no matter what their background or circumstances.</p> <p><i>In this section you need to consider the impact on equality groups, the evidence and any action you are taking for improvement.</i></p> <p><i>You need to consider how might the proposal impact on equality protected groups in accordance with the Equality Act 2010?</i></p> <p><i>These include the protected characteristics of age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, race, religion or beliefs, gender, sexual orientation.</i></p> <p>Please also consider the following guide:: Equality Human Rights - Assessing Impact & Equality Duty</p>	<p>Describe why it will have a positive/negative or negligible impact.</p> <p><i>Using your evidence consider the impact for each of the protected groups. You will need to consider do these groups have equal access to the service, or do they need to receive the service in a different way from other people because of their protected characteristics. It is not acceptable to state simply that a proposal will universally benefit/disadvantage everyone. You should demonstrate that you have considered all the available evidence and address any gaps or disparities revealed.</i></p>	<p>What evidence do you have to support this view?</p> <p><i>Gathering Equality data and evidence is vital for an IIA. You should consider who uses or is likely to use the service. Failure to use <u>data</u> or <u>engage</u> where change is planned can leave decisions open to legal challenge. Please link to involvement box within this template. Please also consider the general guidance.</i></p>	<p>What action (s) can you take to mitigate any negative impacts or better contribute to positive impacts?</p> <p><i>These actions can include a range of positive actions which allows the organisation to treat individuals according to their needs, even when that might mean treating some more favourably than others, in order for them to have a good outcome. You may also have actions to identify any gaps in data or an action to engage with those who will/likely to be effected by the proposal. These actions need to link to Section 4 of this template.</i></p>																					
<p>Age Do you think this proposal will have a positive or a negative impact on people because of their age? (Please tick ✓)</p> <table border="1" data-bbox="71 989 788 1372"> <tr> <td rowspan="2">Children and Young People up to 18</td> <td>Positive</td> <td>Negative</td> <td>None/ Negligible</td> </tr> <tr> <td></td> <td></td> <td>✓</td> </tr> <tr> <td rowspan="2">People 18-50</td> <td>Positive</td> <td>Negative</td> <td>None/ Negligible</td> </tr> <tr> <td></td> <td></td> <td>✓</td> </tr> <tr> <td rowspan="2">Older People 50+</td> <td>Positive</td> <td>Negative</td> <td>None/ Negligible</td> </tr> <tr> <td></td> <td></td> <td>✓</td> </tr> </table>	Children and Young People up to 18	Positive	Negative	None/ Negligible			✓	People 18-50	Positive	Negative	None/ Negligible			✓	Older People 50+	Positive	Negative	None/ Negligible			✓	<p>The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.</p>		
Children and Young People up to 18		Positive	Negative	None/ Negligible																				
			✓																					
People 18-50	Positive	Negative	None/ Negligible																					
			✓																					
Older People 50+	Positive	Negative	None/ Negligible																					
			✓																					
<p>Disability</p>																								

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Do you think this proposal will have a positive or a negative impact on people because of their disability? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Hearing Impairment	Positive	Negative	None/ Negligible			
			✓			
Physical Impairment	Positive	Negative	None/ Negligible			
			✓			
Visual Impairment	Positive	Negative	None/ Negligible			
			✓			
Learning Disability	Positive	Negative	None/ Negligible			
			✓			
Long Standing Illness	Positive	Negative	None/ Negligible			
			✓			
Mental Health	Positive	Negative	None/ Negligible			
			✓			
Other	Positive	Negative	None/ Negligible			
			✓			
Transgender Do you think this proposal will have a positive or a negative impact on transgender people? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Transgender	Positive	Negative	None/ Negligible			
			✓			
Marriage or Civil Partnership						

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Do you think this proposal will have a positive or a negative impact on marriage or Civil partnership? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Marriage	Positive	Negative	None/ Negligible			
			✓			
Civil partnership	Positive	Negative	None/ Negligible			
			✓			

Pregnancy or Maternity Do you think this proposal will have a positive or a negative impact on pregnancy or maternity? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Pregnancy	Positive	Negative	None/ Negligible			
			✓			
Maternity	Positive	Negative	None/ Negligible			
			✓			

Race Do you think this proposal will have a positive or a negative impact on race? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
White	Positive	Negative	None/ Negligible			
			✓			
Mixed/Multiple Ethnic Groups	Positive	Negative	None/ Negligible			
			✓			
Asian / Asian British	Positive	Negative	None/ Negligible			
			✓			

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Black / African / Caribbean / Black British	Positive	Negative	None/ Negligible			
			✓			
Other Ethnic Groups	Positive	Negative	None/ Negligible			
			✓			

Religion or non-beliefs				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Do you think this proposal will have a positive or a negative impact on people with different religions, beliefs or non-beliefs? (Please tick ✓)						
Christian	Positive	Negative	None/ Negligible			
			✓			
Buddhist	Positive	Negative	None/ Negligible			
			✓			
Hindu	Positive	Negative	None/ Negligible			
			✓			
Humanist	Positive	Negative	None/ Negligible			
			✓			
Jewish	Positive	Negative	None/ Negligible			
			✓			
Muslim	Positive	Negative	None/ Negligible			
			✓			
Sikh	Positive	Negative	None/ Negligible			
			✓			
Non-belief	Positive	Negative	None/ Negligible			

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			✓			
Other	Positive	Negative	None/ Negligible			
			✓			

Sex Do you think this proposal will have a positive or a negative impact on men and/or women? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Men	Positive	Negative	None/ Negligible			
			✓			
Women	Positive	Negative	None/ Negligible			
			✓			

Sexual Orientation Do you think this proposal will have a positive or a negative impact on people with different sexual orientation? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Bisexual	Positive	Negative	None/ Negligible			
			✓			
Gay Men	Positive	Negative	None/ Negligible			
			✓			
Gay Women / Lesbian	Positive	Negative	None/ Negligible			
			✓			
Heterosexual / Straight	Positive	Negative	None/ Negligible			
			✓			

Having due regards in relation to the three aims of the Equality Duty - determine whether the proposal will assist or inhibit your ability to eliminate discrimination; advance equality and foster good relations.

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3.6.2. How could/does the proposal help advance/promote equality of opportunity?

You should consider whether the proposal will help you to:

- Remove or minimise disadvantage
- To meet the needs of people with certain characteristics
- Encourage increased participation of people with particular characteristics

This Policy will be applied consistently to all employees irrespective of age, disability, race, gender (sex), gender reassignment, marriage / civil partnership, pregnancy / maternity, religion, belief and sexual orientation

3.6.3. How could/does the proposal/decision help to eliminate unlawful discrimination, harassment, or victimisation?

You should consider whether there is evidence to indicate that:

- The proposal may result in less favourable treatment for people with certain characteristics
- The proposal may give rise to indirect discrimination
- The proposal is more likely to assist or impeded you in making reasonable adjustments

3.6.4. How could/does the proposal impact on advancing/promoting good relations and wider community cohesion?

You should consider whether the proposal with help you to:

- Tackle prejudice
- Promote understanding



3.7. A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh Language are promoted and protected. <i>In this section you need to consider the impact, the evidence and any action you are taking for improvement. This in order to ensure that the opportunities for people who choose to live their lives and access services through the medium of Welsh are not inferior to what is afforded to those choosing to do so in English, in accordance with the requirement of the Welsh Language Measure 2011.</i>				Describe why it will have a positive/negative or negligible impact.	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to positive impacts?
Will the proposal be delivered bilingually (Welsh & English)?	Positive	Negative	None/ Negligible	This is a bilingual policy and any training will be delivered in both Welsh and English		
	✓					
Will the proposal have an effect on opportunities for persons to use the Welsh language?	Positive	Negative	None/ Negligible	Staff and Managers will be able to access support, advice and employment opportunities in Welsh.		
	✓					
Will the proposal increase or reduce the opportunity for persons to access services through the medium of Welsh?	Positive	Negative	None/ Negligible	Employees will have the opportunity to access support through the medium of Welsh		
	✓					
How will the proposal treat the Welsh language no less favourably than the English language?	Positive	Negative	None/ Negligible	The policy is bilingual and all training on its implementation will be delivered in both languages		
	✓					
Will it preserve promote and enhance local culture and heritage?	Positive	Negative	None/ Negligible	There are no negative impacts if the policy is implemented		

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			✓	The policy is bilingual and all training on its implementation will be delivered in both languages		
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4. STRENGTHENING THE PROPOSAL: If the proposal is likely to have a negative impact on any of the above (including any of the protected characteristics), what practical changes/actions could help reduce or remove any negative impacts as identified in sections 2 and 3?

4.1 Actions.

What are you going to do?	When are you going to do it?	Who is responsible?	Progress

4.2. If no action is to be taken to remove or mitigate negative impacts please justify why.
(Please remember that if you have identified unlawful discrimination, immediate and potential, as a result of this proposal, the proposal must be changed or revised).

There are no negative impacts if the policy is implemented

4.3. Monitoring, evaluating and reviewing.

How will you monitor the impact and effectiveness of the proposal?

The Policy will be monitored on an annual basis to ensure compliance with any changes to the School Teachers Pay and Conditions (Wales) Document

5. RISK: What is the risk associated with this proposal?

Impact Criteria	1 - Very low	2 - Low	3 - Medium	4 - High	5 - Very High
Likelihood Criteria	1 - Unlikely to occur	2 - Lower than average chance of occurrence	3 - Even chance of occurrence	4 - Higher than average chance of occurrence	5 - Expected to occur
Risk Description	Impact (severity)		Probability (deliverability)		Risk Score
					<i>Probability x Impact e.g. 3 x 5 = 15</i>

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Does your proposal have a potential impact on another Service area?

No

6. SIGN OFF

Position	Name	Signature	Date
Service Manager	Martyn Saycell		15/12/2021
Head of Service	Geraint Edwards		10/01/2022
Strategic Director			
Portfolio Holder			

DRAFT
Model
Unattached Teachers' Pay Policy
2021/2022

DOCUMENT CONTROL	
Policy Name	Unattached Teachers' Pay Policy 2021/22
Service	People and Organisation
Reviewing Officers	HR Officers
CONSULTATION PROCESS	
<p>The following Trade Unions have been consulted in respect of this Policy:</p> <ul style="list-style-type: none">• ASCL• NAHT• NASUWT• NEU• UCAC	

MODEL UNATTACHED TEACHERS' PAY POLICY 2021/22

The Governing Body of _____ School
formally adopted this Policy on _____ .

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1. INTRODUCTION

- 1.1. This Pay Policy provides a framework for making decisions on Teachers' pay. It has been developed to comply with the requirements of the School Teachers' Pay and Conditions (Wales) Document (STPC(W)D) and has been subject to consultation with all recognised Teaching Associations.
- 1.2. For the purpose of this policy, unattached Teachers refers to Teachers who do not fall under the control of School's Governing Bodies e.g. Peripatetic Teachers, Athrawon Bro, Centrally Employed Teachers etc.

2. STATEMENT OF INTENT

- 2.1. The primary statutory duty of Governing Bodies in Wales, as set out in paragraph 21(2) of the Education Act 2002 is to '...conduct the school with a view to promoting high standards of educational achievement at the school'. This Policy intends to support that statutory duty.
- 2.2. The procedures for determining pay in this School will be consistent with the principles of public life: objectivity, openness and accountability.
- 2.3. Line Managers will act with integrity, confidentiality, objectivity and honesty in the best interest of the School in relation to the operation of this Policy.
- 2.4. Line Managers will be open about pay decisions made and actions taken, and will be prepared to explain decisions and actions to the interested persons.
- 2.5. Any future revisions to this policy will comply with the STPC(W)D and will be subject to consultation with relevant parties, including recognised trade unions.

3. EQUALITIES

- 3.1. The Local Authority is committed to ensuring equality in everything that we do. The Local Authority will comply with all relevant equalities legislation, including.
 - Employment Relations Act 1999;
 - Equality Act 2010;
 - Employment Rights Act 1996;
 - The Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000;
 - The Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002; and
 - The Agency Workers Regulations 2010
- 3.2. This Policy will be applied consistently to all employees irrespective of age, disability, race, gender (sex), gender reassignment, marriage / civil partnership, pregnancy / maternity, religion, belief and sexual orientation.

MODEL UNATTACHED TEACHERS' PAY POLICY 2021/22

- 3.3. The Local Authority will promote equality in all aspects of school life, particularly in relation to all decisions on the advertising of posts, appointing, promoting and paying staff, training and staff development.
- 3.4. The Local Authority will ensure that pay processes are transparent and fair. All decisions made will be objectively justified and recorded. Reasonable adjustments will be made on a case by case basis to take account of individuals' circumstances such as long-term absence on the grounds of maternity or ill-health including any Covid related absences.

4. JOB DESCRIPTIONS

- 4.1. The Local Authority will ensure that each member of staff is provided with a job description in accordance with the School's staffing structure (**see Appendix 10**), as agreed by the Governing Body.

5. APPRAISALS

- 5.1. The Local Authority will comply with the School Teacher Appraisal (Wales) Regulations 2011 concerning the appraisal of Headteachers and Teachers through the application of the School's Performance Management Policy.

6. LOCAL AUTHORITY'S OBLIGATIONS

- 6.1. The Local Authority will:

- fulfil its obligations as set out in the STPC(W)D and the Conditions of Service for School Teachers in England and Wales (the 'Burgundy Book');
- establish a mechanism for dealing with Pay Decisions and Pay Appeals;
- determine relevant pay decisions, taking account of recommendations from the Line Manager;
- ensure that it makes funds available to support pay decisions, in accordance with this Pay Policy and the School's spending plan;
- ensure that Teachers, via their Line Manager, are informed about pay decisions which affect them, and that records are kept of recommendations and decisions made; and
- monitor, on an annual basis, the outcomes of pay decisions, including the extent to which different groups of Teachers may progress at different rates. The outcome of the review will be shared with school-level trade union representatives.

7. LINE MANAGER'S OBLIGATIONS

- 7.1. The Line Manager will:

- ensure that appraisers (where not the Line Manager) provide accurate, relevant, complete and timely information about pay recommendations;
- moderate performance assessments and initial pay recommendations to ensure consistency and fairness;

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- submit relevant pay recommendations to the appropriate Head of Service / Pay Panel and ensure the Head of Service / Pay Panel has relevant information upon which to make pay decisions;
- inform Teachers about the Local Authority's Pay Policy and ensure its accessibility;
- notify payroll and/or HR staff within the Local Authority about pay decisions to be implemented; and
- ensure that a report on the operation of the Pay Policy is made available for discussion at service area level with the relevant Trade Unions on an annual basis.

8. TEACHERS' OBLIGATIONS

8.1. Teachers will:

- familiarise themselves with the provisions of this Pay Policy, the STPC(W)D, the relevant professional standards and all relevant Local Authority employment policies; and
- engage positively with the processes set out in this Policy.

9. DIFFERENTIALS

- 9.1. Within the framework of the STPC(W)D, appropriate differentials will be created and maintained between posts within the School, recognising accountability and job weight, and the Local Authority's need to recruit and retain sufficient Teachers of the required quality at all levels.

10. SAFEGUARDING

- 10.1. Where a pay determination leads, or may lead, to the start of a period of safeguarding, the Local Authority will comply with the relevant provisions of the STPC(W)D and will give the required notification as soon as possible and within no later than one month after the determination.

11. CAPABILITY AND PAY PROGRESSION

- 11.1. Where the Teacher is subject to the formal stages of the Local Authority's Capability Procedure, the School's performance management processes will be suspended in relation to the Teacher concerned until the Capability Procedure has been concluded.
- 11.2. On conclusion of the Capability Procedure, the Teacher will resume performance management processes in accordance with the Local Authority's Policy.

- 11.3. Pay progression will not be permissible in accordance with this Pay Policy while a Teacher is subject to the formal stages of the Local Authority's Capability Procedure.
- 11.4. On conclusion of the Capability Procedure, the Teacher would re-enter the Performance Management cycle.
- 11.5. Pay progression will not be applied retrospectively in any case of formal capability.

12. PAY DETERMINATION

12.1. The Governing Body has delegated its pay determination powers to the Pay Committee. The appropriate Head of Service/Pay panel for the service area will make pay decisions. For all Teachers pay the teacher will be advised by the appropriate Line Manager.

12.2. Annual Determination of Pay

12.2.1. All teaching staff salaries, including those of the manager, deputy or assistant manager, will be reviewed annually to take effect from 1st September. The Local Authority will conclude Teachers' annual appraisals, and assessments of applications to progress to the Upper Pay Scale, by 31st October; the Headteacher's annual appraisals will be concluded by 31st December.

12.2.2. Reviews may take place at other times of the year to reflect, for example, any changes in circumstances, changes in a job description that lead to a change in the basis for calculating an individual's pay.

12.2.3. The Local Authority will apply any future national pay awards as specified by the STPC(W)D.

12.3. Notification of Pay Determination

12.3.1. A written statement will be given to each Teacher setting out the pay and any other financial benefits to which they are entitled following a determination. Where applicable, this will include information about the basis on which it was made. This will be done by 31st October for Teachers, 31st December for Managers, or by no later than one month following the determination.

12.4. Appeals Procedure

12.4.1. The Local Authority has an appeals procedure in relation to pay. This is set out in **Appendix 8** of this Pay Policy.

13. MANAGER'S PAY

13.1. The Local Authority will ensure that the process of determining the remuneration of the Manager is fair and transparent.

- 13.2. The Local Authority will assign a seven-point leadership pay range taken from the Leadership Scale within the STPC(W)D as set out in Appendix 1. This can be reviewed as necessary for the Manager based on the school group size and any permanent additional relevant factors as determined within the framework of the STPC(W)D (specifically paragraphs 9.2, 9.3 and 9.4).
- 13.3. Additional factors to be taken into account will include all permanent responsibilities of the post, challenges specific to the role and all other relevant considerations, alongside any factors relating to recruitment and retention.
- 13.4. The Local Authority may re-determine the Manager's pay range if it becomes necessary to change the Manager group (including where the Manager becomes responsible and accountable for more than one school in a federation on a permanent basis). The Manager's pay range may also be reviewed at any time if it considers it necessary to reflect a significant change in the responsibilities of the post.
- 13.5. Payments in respect of temporary responsibilities for the Manager will not be included in the pay range but will be determined in accordance with the STPC(W)D as explained in **Appendix 6**.
- 13.6. The Local Authority will apply discretionary reference pay points for leadership pay as indicated in **Appendix 1** and has agreed a seven step pay range of L xxx to L xxx (*details to be inserted here by the school*).
- 13.7. **Pay on Appointment**
- 13.7.1. For new appointments, the Local Authority will determine the leadership pay range to be advertised and will agree the starting pay on appointment, taking account of the full role of the Manager and the provisions of the STPC(W)D.
- 13.7.2. The Local Authority will adopt a three-stage process when setting the pay for new Headteacher appointments as set out in **Appendix 6**.
- 13.7.3. The Local Authority will review the Manager's pay range, as necessary, to ensure fair pay relativities within the Service are / Local Authority
- 13.7.4. See **Appendix 6** of this Pay Policy for guidelines on leadership pay ranges and **Appendix 7** for the Annual Review Pay Statement.
- 13.8. **Manager's responsible and accountable for more than one school on a permanent basis**
- 13.8.1. When a Manager is appointed to be permanently responsible and accountable for more than one school, the Local Authority should base the determination of the Headteacher group on the total number of pupil units across all schools, which will give a group size for the federation in accordance with **Appendix 6**.
- 13.8.2. Consideration also needs to be given to the remuneration of other Teachers who, as a result of the Manager's role, are taking on additional responsibilities. This will

be based on any additional responsibilities attached to the post (not the Teacher), which is recorded. An increase in remuneration should only be agreed where the post accrues extra responsibilities as a result of the Manager's enlarged role, it is not automatic.

14. DEPUTY / ASSISTANT HEADTEACHER PAY

- 14.1. The Local Authority will use the discretionary reference pay points for leadership pay as indicated in **Appendix 1**.
- 14.2. The Local Authority will assign a five-point leadership pay range taken from the Leadership Scale within the STPC(W)D as set out in Appendix 1. This can be reviewed as necessary for Deputy / Assistant Headteacher posts based on the school group size and any permanent additional relevant factors as determined within the framework of the STPC(W)D.
- 14.3. The range for individual posts will be determined according to the duties and responsibilities of the post and may vary between posts.
- 14.4. In this Local Authority, the Assistant Manager five-step pay range is L xx to L xxx *(pay details to be inserted here by the school)*.
- 14.5. In this Local Authority, the Assistant Manager five-step pay range is L xx to L xxx *(pay details to be inserted here by the school)*.
- 14.6. **Pay on appointment**
 - 14.6.1. When a new appointment needs to be made, the Local Authority will determine the leadership pay range for the post to be advertised and will agree the starting pay on appointment.
 - 14.6.2. The pay range will be determined in accordance with the STPC(W)D.
 - 14.6.3. The Local Authority will adopt the three-stage process when setting the pay for new appointments to the wider leadership team as set out in **Appendix 6**.

15. PAY PROGRESSION FOR LEADERSHIP GROUP MEMBERS

- 15.1. The Local Authority must consider annually whether or not to increase the salary of members of the leadership group who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary within the relevant pay range determined in accordance with the STPC(W)D.
- 15.2. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the

beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.

- 15.3. Pay progression should be on an annual basis from 1st September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 15.4. The Local Authority may award an additional point to any Headteacher, Deputy or Assistant Headteacher whose performance in the previous year was excellent, with particular regard to agreed objectives.
- 15.5. A decision may be made not to award progression where the Manager, or Assistant Manager is subject to formal capability proceedings.
- 15.6. The Head of Service / Pay Panel will record its decision regarding pay progression on the Annual Pay Review form contained at **Appendix 7**. A copy of this form will be provided to the member of staff.
- 15.7. Where pay progression is granted, the member of staff's salary will increase with effect from 1st September of the current academic year.
- 15.8. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Pay Review form. The member of staff has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.

16. CLASSROOM TEACHER PAY

16.1. Pay on Appointment

- 16.1.1. Advertisements for vacant posts in the School will be considered by the Line Manager[and the (*insert details of committee*) where appropriate]. All posts will be advertised either internally or externally, locally or nationally as appropriate.
- 16.1.2. The advertisement will include details of the pay range and any additional payments or allowances applicable to the post.
- 16.1.3. The Local Authority will determine the starting salary of a vacant classroom Teacher post, in accordance with the Main Pay Scale and Upper Pay Scale, detailed at **Appendix 1**.
- 16.1.4. The Local Authority will determine the starting salary of a vacant classroom teacher post. The Local Authority is committed to the principle of pay portability for Teachers who are currently paid in accordance with the provisions of the STPC(W)D or STPCD and will apply the principles set out in paragraph 12.3 of the STPC(W)D in practice when making new appointments.

- 16.1.5. When determining the starting pay for an existing classroom Teacher in a local authority maintained school in Wales, or a local authority maintained school or academy in England, and paid under the STPC(W)D or STPCD, the Local Authority will pay the Teacher on the main pay scale or upper pay scale at a scale point, which at least maintains the Teacher's previous pay entitlement, plus any pay progression, which they would have received had they remained in their previous post.
- 16.1.6. Pay portability will be applied on a "pro rata" basis when a teacher moves to/from a part-time teaching post.
- 16.1.7. In addition, if the successful applicant is a Teacher who has had a break in service, then the Local Authority may determine their scale point based on their previous final salary paid under STPC(W)D or STPCD including any increment that the teacher would have been entitled to be awarded had they remained in their previous post at the time when the change in employment occurred. The Local Authority may take into account any relevant experience gained from a teaching role in another sector in Wales or jurisdiction or a period of employment in a relevant sector outside teaching.
- 16.1.8. Pay portability must span a break in teaching service for health and social reasons such as maternity/paternity, medical or family reasons. In a situation where the new employer proposes to take a different view, the grounds for doing so must be non-discriminatory in relation to equality and other relevant legislation.
- 16.1.9. The Local Authority will not restrict the pay range advertised or starting salary and pay progression prospects available for classroom Teacher posts, other than the minimum of the Main Pay Scale and the maximum of the Upper Pay Scale.

16.2. **Pay Progression for Existing Main Pay Scale Teachers**

- 16.2.1. The Local Authority must consider annually whether or not to increase the salary of Teachers (excluding NQTs undertaking their induction year) who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary on the relevant pay scale determined in accordance with the STPC(W)D.
- 16.2.2. Teachers in their induction year will be awarded pay progression on the successful completion of their induction.
- 16.2.3. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.

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- 16.2.4. The Local Authority must award a Teacher on scale points M2 to M6 of the Main Pay Scale progression of one point following completion of a year of employment completed as a qualified Teacher during the previous school year, unless the Teacher has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 16.2.5. Pay progression should be on an annual basis from 1st September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 16.2.6. The Local Authority may award an additional point to any Main Scale Teacher whose performance in the previous school year was excellent, with particular regard to classroom teaching.
- 16.2.7. A decision may be made not to award progression where the Teacher is subject to formal capability proceedings.
- 16.2.8. The Line Manager / Head of Service will record their decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of this form will be provided to the Teacher.
- 16.2.9. Where pay progression is granted, the Teacher's salary will be increased with effect from 1st September of the current academic year.
- 16.2.10. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.
- 16.3. **Pay Progression for Existing Upper Pay Scale Teachers**
- 16.3.1. The Local Authority must consider annually whether or not to increase the salary of Teachers on the upper pay Scale who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary within the relevant pay range determined in accordance with the STPC(W)D.
- 16.3.2. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 16.3.3. Pay progression on the Upper Pay Scale should be in most cases on a **two-yearly basis**, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that period, as prescribed by the School Teachers Appraisal (Wales) Regulations 2011.

- 16.3.4. The Line Manger / Head of Service will record their decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of this form will be provided to the Teacher.
- 16.3.5. Where pay progression is granted, the Teacher's salary will be increased with effect from 1st September of the current academic year.
- 16.3.6. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.

17. APPLICATIONS TO BE PAID ON THE UPPER PAY SCALE

- 17.1. A qualified Teacher may apply once each year to be paid on the Upper Pay Scale in accordance with the STPC(W)D and this School's Pay Policy.
- 17.2. It is each Teacher's responsibility to decide whether to submit an application.
- 17.3. In order for the assessment to be robust and transparent, it will be an evidence-based process.
- 17.4. Personal objectives for the forthcoming appraisal cycle will be set, and agreed where possible, at a level which is sufficient to ensure that the criteria included in the STPC(W)D for progression to the Upper Pay Scale can be met, including that the Teacher is highly competent in all elements of the relevant standards, and their achievements and contribution to the school are substantial and sustained.
- 17.5. Teachers who have been absent from work for sickness, disability or maternity-related reasons, along with those who are not subject to the Appraisal Regulations 2011 (i.e. a Teacher who is employed on a short term contract of less than one term), may cite written evidence from a suitable and relevant period before the date of application in support of their application.
- 17.6. **Process**
 - 17.6.1. The closing date for an application to be submitted by a Teacher to their appraiser is *(LA to insert date here - normally prior to the end of the Summer Term i.e. 31st August)*.
 - 17.6.2. Exceptions may be made in some specific circumstances, e.g. those Teachers who are on maternity leave or on sick leave as at the closing date for receipt of applications. In such circumstances, the Teacher may request - at least 2 weeks before the specified closing date - an extension of no more than half a term for the submission of an application.
 - 17.6.3. The process for applications is:

- Teacher to inform appraiser in writing that they wish to be considered for progression to the Upper Pay Scale and that their personal objectives for the forthcoming appraisal period should reflect this request.

Following completion of the relevant appraisal period:

- The appraiser will complete an assessment pro-forma as shown in **Appendix 4**, setting out the appraiser's recommendation in relation to progression to the Upper Pay Scale, following completion of the relevant appraisal period.
- The Line Manager will consider the appraiser's recommendation and will make a recommendation to the Head of Service / Pay Panel.
- The Head of Service / Pay Panel will make a decision about progression to the Upper pay Scale, following receipt of advice from the Headteacher.
- The Teacher will receive written notification of the outcome of their application by 31st October in the relevant year.
- Where the application is unsuccessful, the written notification will set out details of the areas of the Teacher's performance which are not considered to have satisfied the relevant criteria set out in this Policy (see "Assessment" below).
- If requested, oral feedback will be provided by the Headteacher. Oral feedback will normally be given within 10 working days of the date of notification of the outcome of the application. Feedback will be given in a positive manner and will include advice and support about areas for improvement in order for the Teacher to meet the relevant criteria.
- Where the application is successful the teacher will move to step 1 of the Upper Pay Scale on 1st September in the relevant year i.e. following successful completion of objectives set in academic year to 31st August 2020, the teacher will move to UPS1 on 1st September 2020.

17.6.4. Unsuccessful applicants may appeal the decision as outlined in **Appendix 8**.

17.7. **Assessment**

17.7.1. An application will only be successful where the Governing Body is satisfied that all of the requirements of the STPC(W)D have been met, including that:

- the Teacher is highly competent in all elements of the relevant standards; and
- the Teacher's achievements and contribution to an educational setting or settings are substantial and sustained.

17.7.2. For the purposes of this Pay Policy, the Head of Service / Pay Panel will be satisfied that the Teacher has met the Local Authority's expectations for progression to the Upper Pay Scale where the Upper Pay Scale criteria (see **Appendix 3**) have been satisfied as evidenced by a successful appraisal review.

- 17.7.3. Further information, including details about sources of evidence, is contained in the School's Performance Management Policy.

18. LEADING PRACTITIONER ROLE

- 18.1. The Local Authority may establish Leading Practitioner posts for Teachers whose primary purpose is the modelling and leading improvement of teaching skills.
- 18.2. Where the Local Authority wishes to establish such posts, it will determine the responsibilities and pay range for these posts. Consultation with relevant staff and trade unions will take place in relation to any such proposed changes to the staffing structure.
- 18.3. The Policy of the Local Authority will be to appoint any new Leading Practitioner Teacher to a 5-point range, as deemed appropriate by the Governing Body.
- 18.4. The pay range for Leading Practitioners will be in accordance with the STPC(W)D, which is currently a minimum of £43,145 per annum and a maximum of £65,590 per annum.
- 18.5. The Local Authority will use the discretionary reference pay points detailed at **Appendix 1**.
- 18.6. Pay progression for Leading Practitioners will be determined as per the process set out at 16.3.1 to 16.3.4 above.

19. UNQUALIFIED TEACHERS

- 19.1. A Teacher on the unqualified pay scale will be paid an annual salary in accordance with the STPC(W)D. In this School, the Governing Body will use the statutory pay points detailed at **Appendix 1**.
- 19.2. Under the Education (Specified and Registration) (Wales) Regulations 2010 there are specific circumstances when those other than qualified Teachers who are registered with the Education Workforce Council may carry out 'specified work'.
- 19.3. The Local Authority will comply with these legal requirements and will only employ unqualified Teachers as specified in these Regulations.
- 19.4. The Local Authority may pay an additional allowance to an unqualified Teacher who meets the criteria as defined in the STPC(W)D.
- 19.5. The Local Authority must award a Teacher on scale points 1 to 6 of the Unqualified Teacher Pay Scale progression of one point following completion of a year of employment completed during the previous school year, unless the Teacher has been notified through the formal capability process that service was unsatisfactory in respect of that year.

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- 19.6. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 19.7. Pay progression on the 6-point Unqualified Teacher Pay Scale should be on an annual basis from 1st September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 19.8. The Head of Service / Pay Panel will record its decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of the form will be provided to the unqualified Teacher.
- 19.9. Where pay progression is granted, the unqualified Teacher's salary will be increased with effect from 1st September of the current academic year.
- 19.9.1. A decision may be made not to award progression where the Teacher is subject to formal capability proceedings.
- 19.10. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.
- 19.11. An unqualified Teacher who obtains qualified Teacher status will be paid on the pay scales for qualified Teachers, in accordance with this Pay Policy and STPC(W)D.

20. DISCRETIONARY ALLOWANCES AND PAYMENTS

20.1. Teaching and Learning Responsibility Payments (TLRs)

- 20.1.1. The Local Authority will award TLR1 and TLR2 payments to post holders as indicated in the School's staffing structure (see **Appendix 10**).
- 20.1.2. These payments will be awarded to Teachers who undertake clearly defined and sustained additional responsibility in the context of the School's staffing structure for the purpose of ensuring the continued delivery of high quality teaching and learning and for which the Teacher is made accountable.
- 20.1.3. All job descriptions will be regularly reviewed and will make clear the responsibility or package of responsibilities for which a TLR is awarded.
- 20.1.4. The criteria for awarding a TLR1 and TLR2 payment will be in accordance with the STPC(W)D.
- 20.1.5. The minimum and maximum range for a TLR1 is £8,437 to £14,276 per annum.

20.1.6. The minimum and maximum range for a TLR2 is £2,924 to £7,140 per annum.

20.1.7. The value of TLRs currently in use is as follows

TLR1 - (details of each TLR1 to be inserted here by school)

TLR2 - (details of each TLR2 to be inserted here by school)

20.1.8. The Local Authority may award a fixed-term TLR3 payment to a Teacher of between £581 and £2,883 per annum for a clearly time-limited school improvement project, or one-off externally driven responsibilities.

20.1.9. The duration of the fixed term, and the amount of annual payment will be established at the outset and will be paid on a monthly basis.

20.1.10. Where the Local Authority wishes to make TLR3 payments, the proposed responsibilities, level of payment and the duration of payment will be set out clearly following consultation with relevant staff and union representatives.

20.1.11. A Teacher in receipt of either a TLR1 or 2 may also hold a concurrent TLR3.

20.1.12. No safeguarding will apply in relation to an award of a TLR3.

20.1.13. A TLR1 or 2 payment awarded to a part-time Teacher will be on a pro rata basis but where a TLR3 payment is awarded to a part-time Teacher, the pro rata principle will **not** apply.

20.2. Additional Learning Needs (ALN) Allowances

20.2.1. The Local Authority will award ALN allowances in accordance with the criteria and provisions set out in the STPC(W)D.

20.2.2. An ALN Allowance of no less than £2,310 per annum, and no more than £4,558 per annum, will be payable to a classroom Teacher in accordance with STPC(W)D.

20.2.3. ALN values are: (details of each ALN Allowance / value to be inserted here by school)

20.2.4. In deciding the ALN value, the Local Authority will take into account the structure of the ALN provision, whether any mandatory qualifications are required for the post, the qualifications or expertise of the Teacher relevant to the post, and the relative demands of the post.

20.3. Acting Allowances

20.3.1. Acting allowances are payable to Teachers who are assigned and carry out the duties of the Manager, Deputy Manager or Assistant Manager in accordance with the STPC(W)D.

20.3.2. The Local Authority will, within a four-week period of the commencement of acting duties, determine whether or not the acting postholder will be paid an allowance.

In the event of a planned and prolonged absence, an acting allowance may be agreed in advance and paid from the first day of absence.

20.3.3. Any Teacher who carries out the duties of Manager, Deputy Manager, or Assistant Manager, for a period of four weeks or more, will be paid at an appropriate point of the Manager's pay range, Deputy Manager pay range or Assistant Manager pay range, as determined by the Head of Service / Pay Panel. Payment will be backdated to the commencement of the duties but will normally be paid a month in arrears.

20.3.4. Acting allowances may also apply to Teachers covering absent colleagues in receipt of a TLR and / or ALN allowance.

20.3.5. Additional allowances may be payable to unqualified teachers in line with SCTP(W)D.

20.4. **Additional Payments**

20.4.1. With exception of those on the leadership range the Local Authority may make additional payments to a Teacher, in respect of:

- continuing professional development undertaken outside the school day;
- activities relating to the provision of initial Teacher training as part of the ordinary conduct of the School;
- participation in out-of-school hours learning activity agreed between the Teacher and the Headteacher; and
- additional responsibilities and activities due to, or in respect of, the provisions of services by the Teacher relating to the raising of educational standards to one or more additional schools.

20.5. **Recruitment or Retention Incentive Benefits**

20.5.1. The Local Authority can award lump sum payments, periodic payments, or provide other financial assistance, support or benefits for a recruitment or retention incentive. In deciding any such awards, the Local Authority will have regard to the STPC(W)D and specialist HR advice.

20.5.2. Managers, Deputy Managers and Assistant Managers may not be awarded such a payment other than as reimbursement of reasonably incurred housing or relocation costs.

20.5.3. All other recruitment and retention considerations in relation to a Manager, Deputy Manager or Assistant Manager post will be taken into account when determining the pay range.

20.5.4. The reason for the award of any additional payment, the expected duration of any such incentive or benefit, and the review date after which they may be withdrawn will be made clear at the outset, in writing.

20.5.5. The Local Authority will conduct an annual review of all such awards.

21. PART-TIME TEACHERS' PAY AND TIME CALCULATIONS

21.1. Teachers employed on an ongoing basis at the school but who work less than a full working week will be deemed to be part-time.

21.2. Part-time Teachers will be provided with a written statement detailing their working time obligations and the standard mechanism used to determine their pay, subject to the provisions of the statutory pay and working time arrangements and by comparison with the School's timetabled teaching week for a full-time Teacher in an equivalent post. This does not affect the TLR3 payment which is not pro rata for part-time staff. See **Appendix 9** for further information.

22. TEACHERS EMPLOYED ON A SHORT-TERM NOTICE BASIS (SUPPLY)

22.1. Teachers employed on a supply basis will be paid on a daily basis calculated on the assumption that a full working year consists of 195 days; periods of employment for less than a day being calculated pro rata.

22.2. If the school is using an agency, the school enters into a voluntary supply agency pledge whereby they only procure from agencies identified on the NPS Framework Approved Supply Agencies and commit to a minimum daily rate of M2 ÷ 195 days. The exception will be that when agencies on the NPS framework are unable to supply a suitably skilled teacher, the school will be able to approach alternative agencies but with a commitment to pay as a minimum, the M2 pay rate. **Please delete where the governing body has not signed up to the voluntary agency pledge.**

2020/21 PAY SCALES

Main Pay Scale:

Point	Value
M2	£27,491
M3	£29,699
M4	£31,987
M5	£34,506
M6	£37,974

Upper Pay Scale:

Point	Value
U1	£39,368
U2	£40,827
U3	£42,333

Leading Practitioner Pay Range:

Point	Value
LP1	£43,145
LP2	£44,226
LP3	£45,330
LP4	£46,458
LP5	£47,615
LP6	£48,809
LP7	£50,124
LP8	£51,279

LP9	£52,560
LP10	£53,911
LP11	£55,309
LP12	£56,584
LP13	£57,998
LP14	£59,444
LP15	£60,923
LP16	£62,543
LP17	£63,979
LP 18	£65,590

Unqualified Teachers Pay Scale:

Point	Value
UNQ1	£18,487
UNQ2	£20,637
UNQ3	£22,786
UNQ4	£24,936
UNQ5	£27,088
UNQ6	£29,238

Leadership Pay Range:

Point	Value
L1	£42,934
L2	£44,008
L3	£45,107
L4	£46,230

L5	£47,381
L6	£48,571
L7	£49,877
L8	£51,029
L9	£52,302
L10	£53,646
L11	£55,038
L12	£56,307
L13	£57,714
L14	£59,153
L15	£60,624
L16	£62,237
L17	£63,665
L18*	£64,620
L18	£65,266
L19	£66,886
L20	£68,543
L21*	£69,544
L21	£70,240
L22	£71,984
L23	£73,766
L24*	£74,847
L24	£75,596
L25	£77,474
L26	£79,391
L27*	£80,553

L27	£81,358
L28	£83,376
L29	£85,441
L30	£87,568
L31*	£88,841
L31	£89,731
L32	£91,961
L33	£94,245
L34	£96,575
L35*	£97,996
L35	£98,976
L36	£101,426
L37	£103,947
L38	£106,520
L39*	£108,035
L39	£109,116
L40	£111,838
L41	£114,632
L42	£117,504
L43	£119,248

* These points and Point L43 are the maximum scale points for the eight Headteacher Group Ranges

ANNUAL TEACHERS' PAY REVIEW STATEMENT

Name:	Employee No.:
School:	Effective Date:

SALARY DETAILS

Salary and Point - Main Pay Scale (MPR2 - MPR6)	£	Point
Salary and Point - Upper Pay Scale (UPS1 – UPS3)	£	Point
Salary and Point - Unqualified Range (UNQ1 - UNQ6)	£	Point
Salary and Leading Practitioner Range	£	Point

ALLOWANCES

Details e.g. temp
(with dates), reason
for allowance

Teaching and Learning Responsibility Payments (See Pay Policy Advice) TLR1 / TLR2 / TLR3	TLR____ £
Recruitment or Retention (See Pay Policy Advice)	£
Additional Learning Needs Allowance (See Pay Policy Advice)	£
Other Allowances - Please specify (See Pay Policy Advice)	£
SAFEGUARDING	£
TOTAL SALARY	£

Head of Service / Pay Panel Meeting on:

Signature of Line Manager: Date:

UPPER PAY RANGE PROGRESSION CRITERIA

1. Professional Attributes

- 1.1. Contribute significantly, where appropriate, to implementing workplace policies and practice and to promoting collective responsibility for their implementation.

2. Professional Knowledge and Understanding

- 2.1. Have an extensive knowledge and understanding of how to use and adapt a range of teaching, learning and behaviour management strategies, including how to personalise learning to provide opportunities for all learners to achieve their potential.
- 2.2. Have an extensive knowledge and well-informed understanding of the assessment requirements and arrangements for the subjects/curriculum areas they teach, including those related to public examinations and qualifications.
- 2.3. Have up-to-date knowledge and understanding of the different types of qualifications and specifications and their suitability for meeting learners' needs.
- 2.4. Have a more developed knowledge and understanding of their subjects/curriculum areas and related pedagogy including how learning progresses within them.
- 2.5. Have sufficient depth of knowledge and experience to be able to give advice on the development and wellbeing of children and young people

3. Professional Skills

- 3.1. Be flexible, creative and adept at designing learning sequences within lessons and across lessons that are effective and consistently well-matched to learning objectives and the needs of learners and which integrate recent developments, including those relating to subject/curriculum knowledge.
- 3.2. Have teaching skills which lead to learners achieving well relative to their prior attainment, making progress as good as, or better than, similar learners nationally.
- 3.3. Promote collaboration and work effectively as a team member.
- 3.4. Contribute to the professional development of colleagues through coaching and mentoring, demonstrating effective practice, and providing advice and feedback.

ASSESSMENT OF TEACHER APPLICATION TO PROGRESS TO UPPER PAY RANGE

For Completion by the Teacher's Appraiser

Teacher's Name:	
Post:	

Evidence from most recent appraisal Please state which appraisal statement is attached:	
*Criteria Met	*Criteria Not Met
(* Please delete as appropriate)	
If criteria have not been met in full, please record details below (and continue overleaf, as necessary) about the areas of the Teacher's performance which do not satisfy the criteria:	

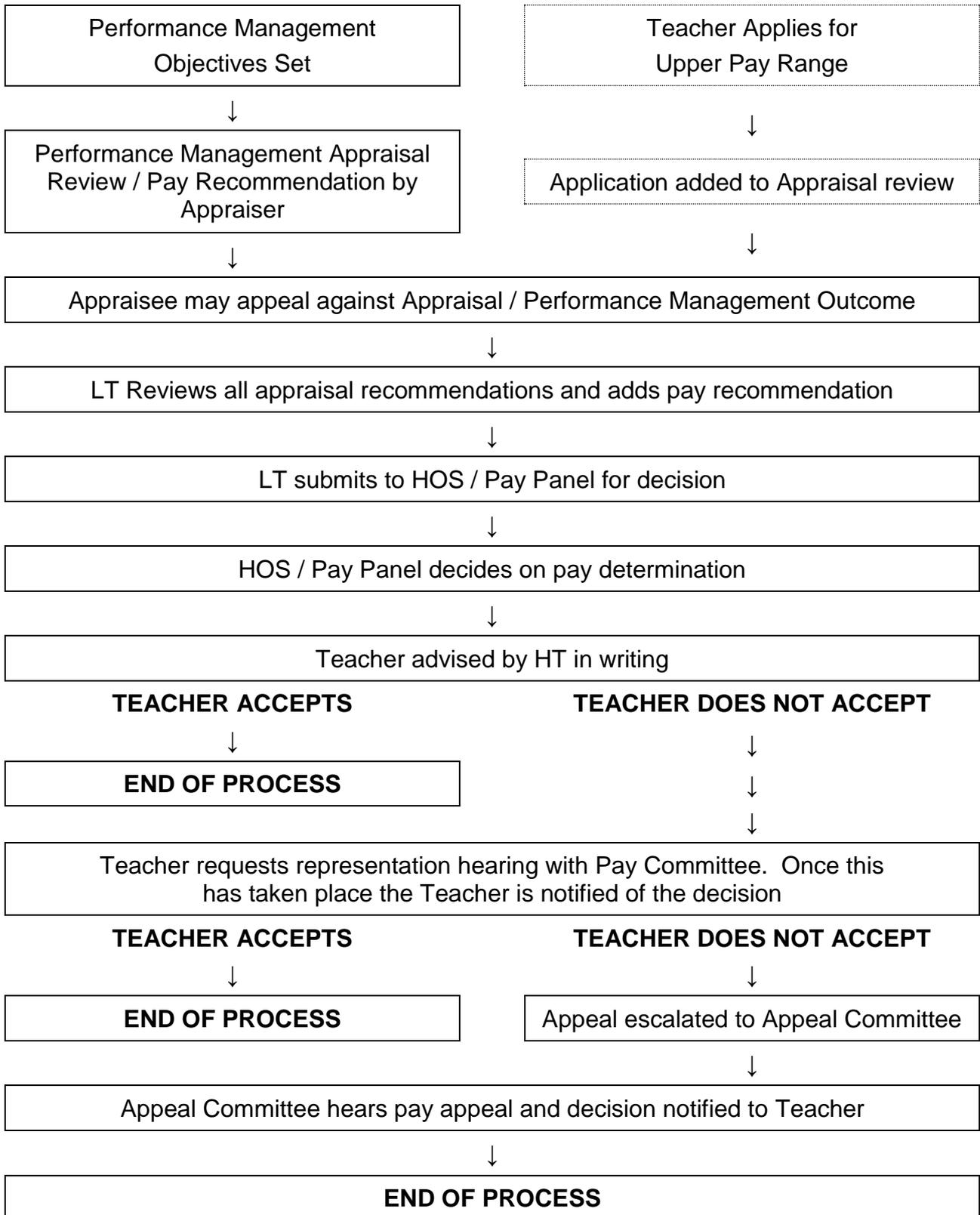
Signed _____ (Appraiser)

Date: _____

TO BE SUBMITTED TO THE HEADTEACHER

<u>School Use Only</u>
Application Form Received on: _____
Assessment made on: _____
By: _____

**FLOWCHART OF PAY REVIEW PROCESS
(Not including Headteachers)**



LEADERSHIP GROUP SALARIES GUIDANCE

1. Manager and Leadership Team (ALL SCHOOLS)

A statutory 43 step Leadership Pay Scale has been reintroduced. Managers, Deputy Managers and Assistant Managers will be paid as determined by the Local Authority. These are set out below:

2. School Groups (ALL SCHOOLS)

There are eight school groups determined from the unit score of the school. The STPC(W)D specifies a maximum and minimum pay value for each group and the indicative pay rates published jointly by the employers and trade unions attach values to individual pay points within those ranges

The Local Authority has established a 7 point pay range for the Manager and a 5 point pay range for all other leadership posts.

3. Unit Score of School

a. All Schools (excluding Special Schools)

The unit score is calculated to determine the group of the School, using the formula in the STPC(W)D. In this Authority*, the LA will recalculate the unit score annually and the results will be applied from 1st January each year. If a school has reasonable grounds to expect a change in pupil numbers, they should request a recalculation by the Authority at that time.

** Delete if not appropriate*

Information on how the unit score is calculated:

This is determined by pupil numbers as shown on the most recent STATS 1 (annual school census) return to the Welsh Government.

For each pupil at the foundation phase/ KS1/KS2	7 units
For each pupil in the school at KS3	9 units
For each pupil in the school at KS4	11 units
For each pupil in the school at KS5	13 units

Each pupil with a **statement of special educational needs** shall, if they are in a special class consisting wholly or mainly of such pupils, count three units more than they would otherwise count. If they are not in such a special class count three such units only where the relevant body so determine.

Each pupil who attends for no more than half a day on each day for which they attend the school shall count half as many units as they would otherwise count.

Total Unit Score	School Group
Up to 1,000	1
1,001 - 2,200	2
2,201 - 3,500	3
3,501 - 5,000	4
5,001 - 7,500	5
7,501 - 11,000	6
11,001 - 17,000	7
17,001 and over	8

b. Modified Unit Score (Special Schools Only)

The modified unit score is calculated to determine the group of the school, using the formula in the STPC(W)D. In this Authority* the LA will recalculate the unit score annually and the results will be applied from 1st January each year. If a school has reasonable grounds to expect a change in pupil numbers, they should request a recalculation by the Authority at that time.

* Delete if not appropriate

A special school must be assigned to a Manager group in accordance with the following table by reference to its modified total unit score calculated in accordance with sub-sections (i) and (ii) below:

Total Unit Score	School Group
Up to 2,200	2
2,201 - 3,500	3
3,501 - 5,000	4
5,001 - 7,500	5
7,501 - 11,000	6
11,001 - 17,000	7
17,001 and over	8

(i) Information on how the staff-pupil ratio is calculated

The proportion of staff to pupils at the school must be calculated and expressed as a percentage ('the staff-pupil ratio') in accordance with the following formula:

$$\frac{A}{B} \times 100$$

Where A is the number of Teachers and Support Staff weighted as provided at (a) below, and B is the number of pupils at the school weighted as provided at (b) below:

- a) The weighting for a Teacher is two units for each full-time equivalent Teacher, and the weighting for each Support Staff member is one unit for each full-time equivalent individual; and
- b) The weighting for a full-time pupil is one unit and the weighing for a part-time pupil is half a unit.

The staff-pupil ratio modifier must be calculated in accordance with the following table by reference to the staff-pupil ratio determined in accordance with the above:

Staff-Pupil Ratio	Staff-Pupil Ratio Modifier
1 - 20%	1
21 - 35%	2
36 - 50%	3
51 - 65%	4
66 - 80%	5
81% or more	6

NB: 'Support Staff member' means a member of the school staff who is not:

- A Teacher;
- A person employed in connection with the provision of meals;
- A person employed in connection with the security or maintenance of the school premises; or
- A person employed in a residential school to supervise and care for pupils out of school hours.

(ii) Information on how the modified total unit score is calculated

This is determined by pupil numbers as shown on the most recent STATS 1 (annual school census) return to Welsh Government.

The relevant body must determine the school's total unit score in accordance with the number of pupils on the school register calculated as follows:

Key Stage	Units Per Pupil
For each pupil in the Foundation Phase, KS1 and KS2	10
For each pupil in KS3	12
For each pupil in KS4	14
For each pupil in KS5	16

The relevant body must determine the school's modified total unit score by multiplying the school's total unit score determined under this section (i.e. as per the above table) by the staff-pupil ratio modifier calculated under section 3.

NB: Where the Manager is appointed as Manager of more than one school on a permanent basis, the relevant body of the Manager's original school or, under the Collaboration Regulations (5), the collaborating body must calculate the Manager group by combining the unit score of all the schools for which the Manager is responsible to arrive at a total unit score, which then determines the Manager group.

4. New Leadership Appointments / Changes to existing Leadership Pay Structures - Three Stage Process (ALL SCHOOLS)

The Local Authority should follow the three-stage process when setting the pay for **new appointments or revising existing pay structures in respect of headship or the wider leadership team.**

- Stage 1** - Defining the role and determining the Manager group
- Stage 2** - Setting the indicative pay range
- Stage 3** - Deciding the starting salary and individual pay range

All decisions and the reasons for them should be well documented at every stage. All pay decisions must be made on objective criteria so that there is no discriminatory effect of any group of Teachers with a particular protected characteristic under the Equality Act 2010.

It is suggested that schools seek advice when calculating and recording leadership pay structure decisions

Stage 1 - Defining the Role and Determining the Headteacher Group

The Local Authority should, at this stage, define the job and identify the broad pay range as a provisional guide to determining appropriate level of pay. The Local Authority will need to define and set out the specific role, responsibilities and accountabilities of the post as well as the skills and relevant competences required.

For Manager posts, the Local Authority will assign the School to a Manager group (as defined in 3 above) which will determine the appropriate broad pay range as outlined below:

Group Size	Range of Steps	Salary Range (STPC(W)D 2020)
1	L6 - L18*	£ 48,571- £ 64,620
2	L8 - L21*	£ 51,029- £ 69,544
3	L11 - L24*	£ 55,038- £ 74,847
4	L14 - L27*	£ 59,153- £ 80,553
5	L18 - L31*	£ 65,266- £ 88,841
6	L21 - L35*	£ 70,240- £ 97,996
7	L24 - L39*	£ 75,596- £ 108,035
8	L28 - L43	£ 83,376- £ 119,248

For other leadership group posts, the Local Authority should consider how the role fits within the wider leadership structure of the School. The pay range for a Deputy Manager or Assistant Manager should only overlap the Manager's pay range **in exceptional circumstances.**

Stage 2 - Setting the Indicative Pay Range

At this stage, the Local Authority will need to consider the complexity and challenge of the role in the particular context of the School and make a judgement on pay in light of this.

For Manager posts, it is expected that normally the Local Authority will conclude that the total unit score fully captures the complexity of the Headteacher role and that the relevant broad pay range accommodates appropriate levels of reward, in line with the STPC(W)D. The Local Authority will need to consider whether the indicative pay range should start at the minimum of the Manager group or whether they wish it to start at a higher level because of the level of challenge of the post.

There may be circumstances, however, in which there are additional factors that suggest the indicative pay range should be higher than would be provided by the basic calculation in Stage 1.

The following represent some examples of additional factors to be considered (this list is not exhaustive):

APPENDIX 6.

- The context and challenge arising from pupils' needs e.g. if there is a high level of deprivation in the community (Free School Meal entitlement and/or English as an Additional Language) or there are high numbers of looked after children or children with Additional Learning Needs and this affects the challenge in relation to improving outcomes;
- A high degree of complexity and challenge e.g. accountability for multiple schools or managing across several dispersed sites, which goes significantly beyond that expected of any Headteacher of similar-sized school(s) and is not already reflected in the total unit score used at stage 1;
- Additional accountability not reflected in stage 1, e.g. leading a teaching school alliance; and
- Factors that may impede the school's ability to attract appropriately qualified and experienced leadership candidates e.g. location, language medium, subject area / specialism and/or level of support from the wider leadership team.

The Local Authority may set the indicative pay range with a **maximum of up to 25% above the top of the relevant Headteacher group range.**

Above that limit, external independent advice must be sought and, should the advice suggest a range which exceeds this limit is appropriate, a business case must be made and agreed by the Local Authority.

The Local Authority should ensure that no **double counting** takes place e.g. of things taken account of in stage 1, such as responsibility for an additional school already reflected in the total unit score; or from using overlapping indicators, such as FSM and the pupil premium.

The Local Authority **SHOULD NOT** increase base pay nor pay an additional allowance for regular local collaboration which is part of the role of all Managers.

For other leadership roles the process is broadly the same. The Local Authority will wish to consider how the other leadership roles should be set in accordance with the level set for the Manager and to ensure that there is sufficient scope for progression. Consideration should also be given to any teaching posts that carry additional allowances.

At the end of this stage, the Local Authority should decide where in the broad range to position the indicative pay range and set this out clearly when advertising the post. An overall judgement should be made on the position and breadth of range, allowing appropriate scope for progression over time.

There should be a clear audit trail for all decisions made and the reasoning behind them.

It is also expected where possible that the School will undertake a process of benchmarking of salaries before setting the pay range for the Manager or other leadership posts.

For those factors which are not expected to persist, such as temporary responsibility for an additional school, these should be reflected through an allowance rather than consolidated into the indicative pay range.

Stage 3 - Deciding the starting salary and Individual Pay Range for new appointments

The first two stages provide the means for determining the appropriate pay range. The third stage is essentially about deciding on the starting salary for the individual who is to be offered the post.

At this stage, the Local Authority will have a preferred candidate for the role and will wish to set the starting salary in the light of candidate-specific factors, such as the extent to which the candidate meets the specific requirements of the post.

It will be important to ensure there is scope for progression over time.

There must be a clear audit trail for any advice given and a full and accurate record of all decisions made and the reasoning behind them.

5. Establishing a Pay Range above the School's Manager Group (ALL SCHOOLS)

The expectation is that in most cases the pay range will be within the limits of the Manager group. However, in some cases e.g. where there may be significant difficulty in making an appointment or there is a need to incentivise a Manager to take on responsibility for a very large school or to lead multiple large schools, it may be appropriate to consider extending the individual pay range.

The Local Authority can, in such cases, decide that the maximum of the pay range may be above the maximum of the Headteacher group, **up to an additional 25%**.

If it is considered that there are exceptional circumstances that warrant an extension beyond that limit, a business case would be required. The Local Authority would need to seek external independent advice from an appropriate person or body who can consider whether it is justifiable to exceed the limit in a particular case.

There must be a clear audit trail for any advice given and a full and accurate record of all decisions made and the reasoning behind them.

6. Temporary Payments for Managers (ALL SCHOOLS)

The Local Authority may consider an additional payment to the Manager in respect of clearly temporary additional duties and responsibilities or duties that are in addition to the post for which their salary has been determined e.g. where they are providing services to other schools. Including where the Manager is appointed as a temporary Manager of one or more additional schools not included as a permanent factor in the calculation of the pay range.

7. Salary Protection (ALL SCHOOLS)

If the School is assigned to a lower group, or the Local Authority chooses to reduce the leadership pay range, the member of staff will be entitled to receive a safeguarded sum for a period of up to three years, subject to the STPC(W)D.

MANAGER / DEPUTY MANAGER / ASSISTANT MANAGER
ANNUAL REVIEW FORM
(September 20__)

Name: _____	Employee No.: _____
School: _____	

*** Manager:**

School Group: _____ Headteacher Pay Range: £ _____ to £ _____

*** Deputy / Assistant Manager:**

Pay Range: £ _____ to £ _____

Salary and Point at August 20__: £ _____ Point: _____

Rationale used for Pay Decision:

Revised Salary and Point at August 20__: £ _____ Point: _____

Certified by Head of Service/ Pay Panel: _____

Certified by Line _____ Date: _____
Manager: _____

*** Please delete as appropriate**

PAY APPEALS PROCESS

The Local Authority is committed to ensuring that appeals against pay decisions are dealt with quickly, fairly and are consistent with equalities and other relevant legislation, as well as the STPC(W)D.

Teachers, including Managers, may appeal any determination in relation to their pay or any other decision taken by the Local Authority (or a Committee or individual acting with delegated authority) that affects their pay.

Reasons for appeal may include the following, which is not an exhaustive list. That the person or Committee making the decision:

- a) incorrectly applied any provision of the STPC(W)D;
- b) failed to have proper regard for statutory guidance;
- c) failed to take proper account of relevant evidence;
- d) took account of irrelevant or inaccurate evidence
- e) was biased; or
- f) otherwise unlawfully discriminated against the Teacher.

For both the representation hearing and the appeal hearing, the Teacher is entitled to be accompanied by a work colleague or trade union representative.

Stage 1 - Informal Discussion (Optional Stage)

A Teacher who is dissatisfied with a pay recommendation has the opportunity to discuss the recommendation with the Headteacher before the recommendation is actioned and confirmation of the pay decision is made by the Local Authority .

If, having had an informal discussion with the person making the pay recommendation, or on receipt of the notification of pay determination the Teacher believes that an incorrect recommendation has been made, they may choose to make representation to the Head of Service / Pay Panel (see Stage 2 below).

Stage 2 - Representation Hearing

1. The Teacher receives written notification of the pay determination and, where applicable, details of the basis on which the decision was made. The Head of Service / Pay Panel will ensure the Teacher is aware of the process for making representation and appealing against the decision, if appropriate.
2. If the Teacher wishes to make representation, they should do so by writing to the Head of Service / Pay Panel within 10 school days of receiving the decision. The decision to request a representation hearing rests with the teacher.
3. The Head of Service / Pay Panel will arrange for a representation hearing to take place as soon as possible, which will be chaired by the Head of Service / Pay Panel. The Linemanager may be required to attend the hearing to clarify the grounds for the pay recommendation.

4. The Teacher will be provided with between 5 and 10 school days' notice of the representation hearing. The Teacher may attend the hearing in order to present evidence, call witnesses and ask questions of the Head of Service / Pay Panel.
5. The Head of Service / Pay Panel will decide if the original pay determination is to be amended and will write to the Teacher about the outcome within 5 school days of the decision being reached.
6. Where the Teacher continues to be dissatisfied, they may appeal this decision within 10 working days of receiving the Head of Service / Pay Panel's outcome letter by proceeding to Stage 3 of the process.

Stage 3 - Appeal Hearing

1. The Teacher should clearly set out in writing the grounds for appealing the pay decision and send it to the Line Manager within 10 working days of receipt of the written outcome.
2. The Line Manager will arrange for an appeal hearing to take place as soon as possible, but normally within 20 working days of the receipt of the written appeal notification.
3. The Teacher should be provided with between 5 and 10 working days' notice of the hearing.
4. The appeal should be heard by the Panel. The Panel will comprise of a Head of a Service and a Manager not involved in the original decision.
5. The Pay Appeals Committee's decision is final.
6. Those required to attend the appeal hearing include:
 - Chair and other Appeal Panel members
 - The Teacher and their representative or work colleague (if the Teacher is accompanied)
 - Witnesses for the employee side (if appropriate)
 - The Head of Service / Chair of Pay Panel who will clarify the reasons for the original decision
 - Witnesses for the management side (if appropriate)
 - Clerk to the hearing
 - HR Adviser to give advice to the Appeal Panel (subject to the provisions of any Service Level Agreement)

A model procedure for formal appeal meetings

Chair introduces everyone and their role in the proceedings.

- The Teacher will present their case including any evidence to be considered and any witnesses they have called;
- Appeals Panel members may ask questions of the Teacher, as may the Pay Committee representative;
- Head of Service / Pay Panel representative will state their case including the evidence on which the decision was based and call any witnesses to support the case, if appropriate
- Appeals panel members may ask questions of the Pay Committee representative, as may the Teacher;
- Both parties may make a closing statement if they wish (Teacher first, followed by Head of Service / Pay Panel representative). No new evidence can be introduced at this stage;
- Both parties leave the hearing;
- The Appeals Panel may request advice from the HR Adviser (if applicable). Once this has been given, the HR Adviser will leave the hearing but may be recalled for further advice (if applicable);
- The Appeals Panel will consider all the evidence and reach a final decision;
- The Appeals Panel will call the parties back to inform the Teacher of the decision (if awaiting the decision) or instruct the Clerk to write to the Teacher on their behalf with their decision and the reasons for it; and
- The Clerk will notify the Local Authority of change of pay, if appropriate.

PART-TIME TEACHERS' PAY AND TIME CALCULATIONS

A **School's Timetabled Teaching Week** must be established and a part-time Teacher must be paid a proportion of the STTW.

Each school must establish a STTW week for each Teacher, this refers to school sessions hours that are timetabled for teaching, including PPA but excluding break times, registration and assemblies.

Part-time Teachers will then be paid on actual teaching time excluding registration assemblies and breaks.

For Example:

If the school day, excluding registration and assembly, runs from 9.00am to 12.15pm and again from 1.15pm to 3.30pm with one 15 minute break in the morning session and one 15 minute break in the afternoon session, the STTW for a full-time Teacher would be calculated as 25 hours. If a part-time Teacher were employed for mornings only working 9.00am to 12.15pm every day, their percentage of the timetabled teaching week would be calculated as 15 hours. This is shown below:

	Morning Session (less breaks, registration & assembly)	+	Afternoon Session (less breaks, registration & assembly)	x	No. of Days in Timetable	=	STTW	% of STTW
Full-Time	3 Hours	+	2 Hours	x	5 Days	=	25 Hours	100%
Part-Time	3 Hours			x	5 Days	=	15 Hours	60%

PPA and Management Time must be included when calculating class contact time.

Directed Time - a Headteacher may allocate directed time to part-time Teachers (subject to conditions) as a proportion of a FTE 1258.5. Part-time Teachers can now be directed to cover breaks, assemblies and registration as part of their directed duties.

Part-time Teachers cannot be required to be available for work (either for teaching or other duties) on days they do not normally work. However, they may attend by mutual agreement with the Headteacher. Any resultant additional hours should be paid at the Teacher's normal salary.

Part-time Teachers may be required to carry out duties, other than teaching pupils, outside school sessions on the day on which the Teacher is normally required to be available for work (whether the Teacher is normally required to be available for work for the whole or part of that day). This can form part of directed time.

SCHOOL STAFFING STRUCTURE

(School to enter details below as applicable at the time of this Pay Policy being adopted by the Local Authority)

Cyngor Sir Ceredigion County Council - Integrated Impact Assessment (IIA)

An integrated tool to inform effective decision making



This **Integrated Impact Assessment tool** incorporates the principles of the Well-being of Future Generations (Wales) Act 2015 and the Sustainable Development Principles, the Equality Act 2010 and the Welsh Language Measure 2011 (Welsh Language Standards requirements) and Risk Management in order to inform effective decision making and ensuring compliance with respective legislation.

1. PROPOSAL DETAILS: (Policy/Change Objective/Budget saving)

Proposal Title	Approval Unattached Teachers Pay Policy
----------------	--

Service Area	People and Organisation	Head of Service	Geraint Edwards	Strategic Director	James Starbuck
--------------	-------------------------	-----------------	-----------------	--------------------	----------------

Name of Officer completing the IIA	Geraint Edwards	E-mail	Geraint.Edwards2@ceredigion.gov.uk	Phone no	2019
------------------------------------	-----------------	--------	------------------------------------	----------	------

Please give a brief description of the purpose of the proposal

The Model Unattached Teachers Pay Policy provides a framework for making decisions on teachers' pay. It has been developed to comply with the requirements of the School Teachers Pay and Conditions (Wales) Document (STPC(W)D) and it has been consulted with Teaching Unions.

Who will be directly affected by this proposal? (e.g. The general public, specific sections of the public such as youth groups, carers, road users, people using country parks, people on benefits, staff members or those who fall under the protected characteristics groups as defined by the Equality Act and for whom the authority must have due regard).

Centrally employed teachers eg Athrawon Bro

VERSION CONTROL: The IIA should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development, Welsh language and equality considerations wherever possible.

Author	Decision making stage	Version number	Date considered	Brief description of any amendments made following consideration
	Council	V1		

COUNCIL STRATEGIC OBJECTIVES: Which of the Council's Strategic Objectives does the proposal address and how?

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Boosting the Economy	
Investing in People's Future	This policy will determine teachers' pay, when the annual pay review will take place and how any teachers' pay grievances will be addressed by the Schools service.
Enabling Individual and Family Resilience	
Promoting Environmental and Community Resilience	

NOTE: As you complete this tool you will be asked for **evidence to support your views**. These need to include your baseline position, measures and studies that have informed your thinking and the judgement you are making. It should allow you to identify whether any changes resulting from the implementation of the recommendation will have a positive or negative effect. Data sources include for example:

- *Quantitative data - data that provides numerical information, e.g. population figures, number of users/non-users*
- *Qualitative data – data that furnishes evidence of people's perception/views of the service/policy, e.g. analysis of complaints, outcomes of focus groups, surveys*
- *Local population data from the census figures (such as Ceredigion Welsh language Profile and Ceredigion Demographic Equality data)*
- *National Household survey data*
- *Service User data*
- *Feedback from consultation and engagement campaigns*
- *Recommendations from Scrutiny*
- *Comparisons with similar policies in other authorities*
- *Academic publications, research reports, consultants' reports, and reports on any consultation with e.g. trade unions or the voluntary and community sectors, 'Is Wales Fairer' document.*
- *Welsh Language skills data for Council staff*

2. SUSTAINABLE DEVELOPMENT PRINCIPLES: How has your proposal embedded and prioritised the five sustainable development principles, as outlined in the Well-being of Future Generations (Wales) Act 2015, in its development?

Sustainable Development Principle	Does the proposal demonstrate you have met this principle? If yes, describe how. If not, explain why.	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to the principle?
Long Term	<ul style="list-style-type: none"> • This policy is updated every year in order to ensure compliance with the 		

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Balancing short term need with long term and planning for the future.	annual School Teachers Pay and Conditions (Wales) Document		
Collaboration Working together with other partners to deliver.	<ul style="list-style-type: none"> Regional and local trade unions have been consulted and provided feedback on the policy 		
Involvement Involving those with an interest and seeking their views.			
Prevention Putting resources into preventing problems occurring or getting worse.			
Integration Positively impacting on people, economy, environment and culture and trying to benefit all three.	<ul style="list-style-type: none"> 		



3. WELL-BEING GOALS: Does your proposal deliver any of the seven National Well-being Goals for Wales as outlined on the Well-being of Future Generations (Wales) Act 2015? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. We need to ensure that the steps we take to meet one of the goals aren't detrimental to meeting another.			
Well-being Goal	Does the proposal contribute to this goal? Describe the positive or negative impacts-	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to the goal?
3.1. A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs.	This Pay Policy provides a framework for making decisions on Teachers' pay. It has been developed to comply with the requirements of the School Teachers Pay and Conditions (Wales) Document (STPC(W)D)		
3.2. A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change).	N/A		
3.3. A healthier Wales People's physical and mental wellbeing is maximised and health impacts are understood.	n/a		
3.4. A Wales of cohesive communities Communities are attractive, viable, safe and well connected.	n/a		
3.5. A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental well-being.	n/a		

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<p>3.6. A more equal Wales People can fulfil their potential no matter what their background or circumstances.</p> <p><i>In this section you need to consider the impact on equality groups, the evidence and any action you are taking for improvement.</i></p> <p><i>You need to consider how might the proposal impact on equality protected groups in accordance with the Equality Act 2010?</i></p> <p><i>These include the protected characteristics of age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, race, religion or beliefs, gender, sexual orientation.</i></p> <p>Please also consider the following guide:: Equality Human Rights - Assessing Impact & Equality Duty</p>	<p>Describe why it will have a positive/negative or negligible impact.</p> <p><i>Using your evidence consider the impact for each of the protected groups. You will need to consider do these groups have equal access to the service, or do they need to receive the service in a different way from other people because of their protected characteristics. It is not acceptable to state simply that a proposal will universally benefit/disadvantage everyone. You should demonstrate that you have considered all the available evidence and address any gaps or disparities revealed.</i></p>	<p>What evidence do you have to support this view?</p> <p><i>Gathering Equality data and evidence is vital for an IIA. You should consider who uses or is likely to use the service. Failure to use <u>data</u> or <u>engage</u> where change is planned can leave decisions open to legal challenge. Please link to involvement box within this template. Please also consider the general guidance.</i></p>	<p>What action (s) can you take to mitigate any negative impacts or better contribute to positive impacts?</p> <p><i>These actions can include a range of positive actions which allows the organisation to treat individuals according to their needs, even when that might mean treating some more favourably than others, in order for them to have a good outcome. You may also have actions to identify any gaps in data or an action to engage with those who will/likely to be effected by the proposal. These actions need to link to Section 4 of this template.</i></p>																					
<p>Age Do you think this proposal will have a positive or a negative impact on people because of their age? (Please tick ✓)</p> <table border="1" data-bbox="71 989 788 1372"> <tr> <td rowspan="2">Children and Young People up to 18</td> <td>Positive</td> <td>Negative</td> <td>None/ Negligible</td> </tr> <tr> <td></td> <td></td> <td style="text-align: center;">✓</td> </tr> <tr> <td rowspan="2">People 18-50</td> <td>Positive</td> <td>Negative</td> <td>None/ Negligible</td> </tr> <tr> <td></td> <td></td> <td style="text-align: center;">✓</td> </tr> <tr> <td rowspan="2">Older People 50+</td> <td>Positive</td> <td>Negative</td> <td>None/ Negligible</td> </tr> <tr> <td></td> <td></td> <td style="text-align: center;">✓</td> </tr> </table>	Children and Young People up to 18	Positive	Negative	None/ Negligible			✓	People 18-50	Positive	Negative	None/ Negligible			✓	Older People 50+	Positive	Negative	None/ Negligible			✓	<p>The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.</p>		
Children and Young People up to 18		Positive	Negative	None/ Negligible																				
			✓																					
People 18-50	Positive	Negative	None/ Negligible																					
			✓																					
Older People 50+	Positive	Negative	None/ Negligible																					
			✓																					
<p>Disability</p>																								

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Do you think this proposal will have a positive or a negative impact on people because of their disability? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Hearing Impairment	Positive	Negative	None/ Negligible			
			✓			
Physical Impairment	Positive	Negative	None/ Negligible			
			✓			
Visual Impairment	Positive	Negative	None/ Negligible			
			✓			
Learning Disability	Positive	Negative	None/ Negligible			
			✓			
Long Standing Illness	Positive	Negative	None/ Negligible			
			✓			
Mental Health	Positive	Negative	None/ Negligible			
			✓			
Other	Positive	Negative	None/ Negligible			
			✓			
Transgender Do you think this proposal will have a positive or a negative impact on transgender people? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Transgender	Positive	Negative	None/ Negligible			
			✓			
Marriage or Civil Partnership						

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Do you think this proposal will have a positive or a negative impact on marriage or Civil partnership? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Marriage	Positive	Negative	None/ Negligible			
			✓			
Civil partnership	Positive	Negative	None/ Negligible			
			✓			

Pregnancy or Maternity Do you think this proposal will have a positive or a negative impact on pregnancy or maternity? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Pregnancy	Positive	Negative	None/ Negligible			
			✓			
Maternity	Positive	Negative	None/ Negligible			
			✓			

Race Do you think this proposal will have a positive or a negative impact on race? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
White	Positive	Negative	None/ Negligible			
			✓			
Mixed/Multiple Ethnic Groups	Positive	Negative	None/ Negligible			
			✓			
Asian / Asian British	Positive	Negative	None/ Negligible			
			✓			

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Black / African / Caribbean / Black British	Positive	Negative	None/ Negligible			
			✓			
Other Ethnic Groups	Positive	Negative	None/ Negligible			
			✓			

Religion or non-beliefs Do you think this proposal will have a positive or a negative impact on people with different religions, beliefs or non-beliefs? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Christian	Positive	Negative	None/ Negligible			
			✓			
Buddhist	Positive	Negative	None/ Negligible			
			✓			
Hindu	Positive	Negative	None/ Negligible			
			✓			
Humanist	Positive	Negative	None/ Negligible			
			✓			
Jewish	Positive	Negative	None/ Negligible			
			✓			
Muslim	Positive	Negative	None/ Negligible			
			✓			
Sikh	Positive	Negative	None/ Negligible			
			✓			
Non-belief	Positive	Negative	None/ Negligible			

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			✓			
Other	Positive	Negative	None/ Negligible			
			✓			

Sex Do you think this proposal will have a positive or a negative impact on men and/or women? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Men	Positive	Negative	None/ Negligible			
			✓			
Women	Positive	Negative	None/ Negligible			
			✓			

Sexual Orientation Do you think this proposal will have a positive or a negative impact on people with different sexual orientation? (Please tick ✓)				The policy sets out the approach to pay in regards to teachers pay, therefore it sets out clear guidelines to reduce the risk of discrimination.		
Bisexual	Positive	Negative	None/ Negligible			
			✓			
Gay Men	Positive	Negative	None/ Negligible			
			✓			
Gay Women / Lesbian	Positive	Negative	None/ Negligible			
			✓			
Heterosexual / Straight	Positive	Negative	None/ Negligible			
			✓			

Having due regards in relation to the three aims of the Equality Duty - determine whether the proposal will assist or inhibit your ability to eliminate discrimination; advance equality and foster good relations.

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3.6.2. How could/does the proposal help advance/promote equality of opportunity?

You should consider whether the proposal will help you to:

- Remove or minimise disadvantage
- To meet the needs of people with certain characteristics
- Encourage increased participation of people with particular characteristics

This Policy will be applied consistently to all employees irrespective of age, disability, race, gender (sex), gender reassignment, marriage / civil partnership, pregnancy / maternity, religion, belief and sexual orientation

3.6.3. How could/does the proposal/decision help to eliminate unlawful discrimination, harassment, or victimisation?

You should consider whether there is evidence to indicate that:

- The proposal may result in less favourable treatment for people with certain characteristics
- The proposal may give rise to indirect discrimination
- The proposal is more likely to assist or impeded you in making reasonable adjustments

3.6.4. How could/does the proposal impact on advancing/promoting good relations and wider community cohesion?

You should consider whether the proposal with help you to:

- Tackle prejudice
- Promote understanding



3.7. A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh Language are promoted and protected. <i>In this section you need to consider the impact, the evidence and any action you are taking for improvement. This in order to ensure that the opportunities for people who choose to live their lives and access services through the medium of Welsh are not inferior to what is afforded to those choosing to do so in English, in accordance with the requirement of the Welsh Language Measure 2011.</i>				Describe why it will have a positive/negative or negligible impact.	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to positive impacts?
Will the proposal be delivered bilingually (Welsh & English)?	Positive	Negative	None/ Negligible	This is a bilingual policy and any training will be delivered in both Welsh and English		
	✓					
Will the proposal have an effect on opportunities for persons to use the Welsh language?	Positive	Negative	None/ Negligible	Teachers and Managers will be able to access support, advice and employment opportunities in Welsh.		
	✓					
Will the proposal increase or reduce the opportunity for persons to access services through the medium of Welsh?	Positive	Negative	None/ Negligible	Employees will have the opportunity to access support through the medium of Welsh		
	✓					
How will the proposal treat the Welsh language no less favourably than the English language?	Positive	Negative	None/ Negligible	The policy is bilingual and all training on its implementation will be delivered in both languages		
	✓					
Will it preserve promote and enhance local culture and heritage?	Positive	Negative	None/ Negligible	There are no negative impacts if the policy is implemented		

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			✓	The policy is bilingual and all training on its implementation will be delivered in both languages		
--	--	--	---	--	--	--



4. STRENGTHENING THE PROPOSAL: If the proposal is likely to have a negative impact on any of the above (including any of the protected characteristics), what practical changes/actions could help reduce or remove any negative impacts as identified in sections 2 and 3?

4.1 Actions.

What are you going to do?	When are you going to do it?	Who is responsible?	Progress

4.2. If no action is to be taken to remove or mitigate negative impacts please justify why.
(Please remember that if you have identified unlawful discrimination, immediate and potential, as a result of this proposal, the proposal must be changed or revised).

There are no negative impacts if the policy is implemented

4.3. Monitoring, evaluating and reviewing.

How will you monitor the impact and effectiveness of the proposal?

The Policy will be monitored on an annual basis to ensure compliance with any changes to the School Teachers Pay and Conditions (Wales) Document

5. RISK: What is the risk associated with this proposal?

Impact Criteria	1 - Very low	2 - Low	3 - Medium	4 - High	5 - Very High
Likelihood Criteria	1 - Unlikely to occur	2 - Lower than average chance of occurrence	3 - Even chance of occurrence	4 - Higher than average chance of occurrence	5 - Expected to occur
Risk Description	Impact (severity)		Probability (deliverability)		Risk Score
					<i>Probability x Impact e.g. 3 x 5 = 15</i>

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Does your proposal have a potential impact on another Service area?

No

6. SIGN OFF

Position	Name	Signature	Date
Service Manager	Martyn Saycell		15/12/2021
Head of Service	Geraint Edwards		10/01/2022
Strategic Director			
Portfolio Holder			

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CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 03 March 2022

Title: Report on the Council's proposed Pay Policy for 2022/23

Purpose of the report: The Council is required, under Section 38 (1) of the Localism Act 2011 to produce and publish a Pay Policy Statement for each financial year.

The proposed Pay Policy for 2022/23 is enclosed for consideration

For: Approval

Cabinet Member and Portfolio: Councillor Ray Quant, Deputy Leader of the Council and Cabinet Member for Customer Contact, Legal and Governance, People and Organisation

Introduction

The purpose of this report is to provide for the Council's approval a Pay Policy for 2021/22 in accordance with the requirements of the Localism Act 2011. Pay Policy statements must be prepared and approved by the Council for each financial year and published on the relevant website by 31 March.

Pay policies have been prepared under this Act and considered and approved by Council each year since March 2012. The details of what is required to be in a pay policy statement and its overall purpose have been outlined as part of the initial approval and subsequent changes have been highlighted as appropriate.

In November 2021 Welsh Government issued Statutory Guidance on '*Pay Accountability in Local Government in Wales*' which set out additional content to be included in the annual Pay Policy Statement, such as:

- the role of the chief executive;
- a short pen picture of the post holder;
- policy and procedures for decision-making concerning senior officer pay;
- approval process of exit packages over £100k;
- talent management
- off payroll arrangements.

These have been incorporated into this year's revised Pay Policy Statement, which has been based on the sample statement included in the statutory guidance.

In the interest of clarity the 2022/23 pay policy annual only relates to the remuneration and reward of staff employed on the following terms and conditions:

- National Joint Council for Local Government Services

- Joint National Council for Chief Executives
- Joint National Council for Chief Officers
- Soulbury Committee

Changes

1. Negotiations on nationally agreed pay deals for 2021/22 remain ongoing and cannot therefore be included in the current statement. Once agreed these will be implemented and backdated to 1 April 2021. Note that negotiations have not yet started for 2022/23.
2. NJC Spinal Points 1 and 2 have been increased in lieu of any negotiated pay award to ensure compliance with the minimum National Living Wage rate of £9.50 per hour with effect from 01/04/2022,
3. Noting that a referral was made to, and subsequent approval received from of, the Independent Remuneration Panel in Wales regarding changes to the Chief Executive pay scale.
4. Any severance package for a Chief Officer must be approved by Full Council.
5. Employees who leave the Council under an efficiency scheme (voluntary redundancy, early retirement or severance) will not be permitted to return to employment with the Council for a period of 2 years, apart from exceptional circumstances and only where approved by the relevant Corporate Director and Corporate Lead Officer - People & Organisation.
6. Chief Officers who leave the Council under an efficiency scheme (voluntary redundancy, early retirement or severance) will not normally be permitted to return to employment with the Council, or as an agency worker or on a consultancy basis, apart from exceptional circumstances and only where approved by Chief Executive and Cabinet Member for Legal & Governance, People & Organisation and Democratic Services.

Wellbeing of Future Generations:	<p>Has an Integrated Impact Assessment been completed? If, not, please state why Summary: Long term: Integration: Collaboration: Involvement: Prevention:</p>
Recommendation(s):	To approve the attached Pay Policy for 2022/23
Reasons for decision:	Ensure compliance with section 38 (1) of the Localism Act 2011.

Overview and Scrutiny: Not considered

Policy Framework: Welsh Government Regulations

Corporate Priorities: The Pay Policy 2022/23 supports the Council in achieving all its Corporate Priorities.

Financial implications: Part of budget setting for 2022/23

Statutory Powers: Local Government Finance Act 1972
Localism Act 2011
Local Government (Wales) Measure 2011

Background Papers: None

Appendices: Ceredigion County Council Pay Policy 2022/23

Corporate Officer: **Lead** Geraint Edwards, Interim Corporate Lead Officer – People & Organisation

Reporting Officer: Geraint Edwards

Date: 09 February 2022



Cyngor Sir CEREDIGION County Council
Pobl a Threfniadaeth | People and Organisation

DRAFT

Pay Policy Statement

2022/2023

www.ceri.ceredigion.gov.uk

Ceredigion County Council
Pay Policy Statement 2022/2023

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1 INTRODUCTION AND PURPOSE

- 1.1 The purpose of this statement is to provide transparency regarding the Council's approach to setting the pay of its employees (excluding teachers) by identifying the methods by which salaries of all employees are determined. It takes account of the "Pay Accountability in Local Government in Wales" Statutory Guidance issued by the Welsh Government in November 2021.
- 1.2 This Statement covers the period 1 April 2022 to 31 March 2023.

2 LEGISLATIVE FRAMEWORK

- 2.1 This Pay Policy statement sets out the Council's approach to Pay Policy in accordance with the requirements of Section 38 (1) of the Localism Act 2011 which requires English and Welsh Local Authorities to produce and publish a Pay Policy Statement that details:
- a) The Council's policies towards all aspects and elements of the remuneration of Chief Officers;
 - b) The approach to the publication of, and access to, information relating to all aspects of the remuneration of Chief Officers;
 - c) The Council's policy on the remuneration of its lowest paid employees;
 - d) The relationship between the remuneration of its Chief Officers and other employees.
- 2.2 The provisions in the Act do not apply to teaching staff in local authority schools and therefore these are not included in the scope of this document.
- 2.3 Under Section 112 of the Local Government Act 1972, the Council has the "power to appoint officers on such reasonable terms and conditions as the Authority thinks fit". In determining the pay and remuneration of all of its employees, the Council will comply with all relevant employment legislation. This includes the following:-
- a) Equality Act 2010;
 - b) Part Time Employment (Prevention of Less Favourable Treatment) Regulations 2000;
 - c) Agency Workers Regulations 2010; and, where relevant, the
 - d) Transfer of Undertakings (Protection of Earnings) Regulations
- 2.4 With regard to the Equal Pay requirements contained within the Equality Act, the Council aims to ensure that there is no pay discrimination within its pay structures and that all pay differentials can be objectively justified through the use of an equality proofed job evaluation mechanism which directly relates salaries to the requirements, demands and responsibilities of the role. The Council publishes an annual Gender Pay report detailing any gender gap and the action being taken to address gender gap issues.

3 TERMS AND CONDITIONS OF EMPLOYMENT

- 3.1 The Council employs approximately 3,600 employees. The posts they are employed within are covered by a range of terms and conditions drawn from either:

- National Joint Council for Local Government Services
- Joint National Council for Chief Executives
- Joint National Council for Chief Officers
- Soulbury Committee
- Teachers (not within the scope of this statement)

3.2 The following pay scales are provided as Appendices to this policy:

- Appendix A Pay Scale of NJC Employees (NJC)
- Appendix B Chief Officer Pay Scales (JNC)
- Appendix C Soulbury Pay Scales

3.3 A breakdown of staff numbers by pay band and gender is published separately in the Annual Workforce Equality Report.

3.4 **National Pay Awards**

3.4.1 For all employee groups, any nationally agreed pay awards, negotiated at a national level by the local government employers in conjunction with the recognised Trade Unions will be applied. The Council will pay these nationally agreed pay awards as and when determined unless Full Council decides otherwise.

3.5 **Job Evaluation**

3.5.1 Job evaluation is a systematic way of determining the value/worth of a job in relation to other jobs within an organisation. It aims to make a systematic comparison between jobs to assess their relative worth for the purpose of establishing a rational pay structure and pay equity between jobs. In 2012 the Council implemented a Job Evaluation exercise in relation to jobs which are governed by the NJC's terms and conditions of employment.

3.5.2 For NJC posts, the Council currently uses the Greater London Provincial Council (GLPC) Job Evaluation Scheme. For Chief Officer posts, the Council currently uses the Local Government Association's Senior Manager - Job Evaluation Scheme.

3.5.3 The Council uses the National Joint Council (NJC) nationally negotiated pay spine as the basis for its grading structure with the exception that it has extended the maximum of the grade from spinal column point 44 to 53. This determines the salaries of the majority of the non-teaching workforce. From 1 April 2019 the National Employers for Local Government Services introduced a new pay spine, these changes were agreed with Trade Unions for implementation in April 2019. The pay spine is attached at Appendix A.

3.5.4 Negotiations for the April 2021 pay award are still ongoing and as a result those for April 2022 have not yet commenced.

3.5.5 The Council seeks to maintain the equality proofed pay and grading structure by subjecting any newly established job or jobs which have significantly changed to a job evaluation assessment. A Joint Job Evaluation Panel, comprising of trained management and trade union representatives will meet basis to consider and determine grading appeals.

3.6 Starting salaries

- 3.6.1 It is the Council's policy that all appointments to jobs with the Council are made at the minimum of the relevant pay grade, although this can be varied where necessary to secure the best available candidate(s).
- 3.6.2 Corporate Lead Officers can authorise a variation of starting salary for all jobs other than those employed on Chief Officer terms and conditions. Full Council will determine the starting salary of the Chief Executive, Corporate Directors and Corporate Lead Officers.

3.7 Other pay-related allowances

- 3.7.1 All other pay related allowances are the subject of either nationally or locally negotiated arrangements and referred to Cabinet and/or Full Council as appropriate (refer to Decision Making for more information).
- 3.7.2 The terms and conditions of employment relating to annual leave, hours of work, overtime payment, weekend working arrangements and sick pay for all employee groups (with the exception of teaching staff) are set out in Appendix D.

3.8 Honoraria Payments

- 3.8.1 There may be occasions when an employee is asked to carry out additional duties to those of their substantive post for a period of time. In such circumstances an additional payment may be made in line with the Council's Honorarium Policy. The policy can be found at Appendix E.

3.9 Market Forces Supplement

- 3.9.1 Job evaluation has enabled the Council to set appropriate pay levels based on internal job size relativities within the Council. However, in exceptional circumstances, it may be necessary to take account of the external pay market in order to attract and retain employees with the necessary specific knowledge, skills and experience.
- 3.9.2 The Council has a Market Forces Supplement Scheme to ensure that the requirement for any market pay supplements is objectively justified by reference to clear and transparent evidence of relevant market comparators, using appropriate data sources. The Market Forces Supplement Scheme can be found at Appendix F. It is the Council's policy that any such additional payments are kept to a minimum and reviewed on a regular basis so that they can be withdrawn where no longer considered necessary.
- 3.9.3 The principles underpinning this Market Forces Supplement scheme are applied to all employee groups within the Council. Where it is proposed to apply a market supplement to a Chief Officer post within the Council, approval must be sought from Full Council. Should the market supplement result in the total pay package exceeding £100,000 approval must be sought from Full Council.

3.10 Local Government Pension Scheme (LGPS)

- 3.10.1 To help people save more for their retirement, the Government now requires employers to automatically enrol their workers into a workplace pension

scheme. Ceredigion County Council participates in the Local Government Pension Scheme. If an employee has a contract of employment for at least 3 months (and is under 75 years of age), they will be automatically enrolled into the LGPS, from the date employment commenced. Opt out provisions apply.

- 3.10.2 The table below set out the employee contribution rates, which are defined by statute, and are based on a percentage of pensionable pay depending on full time equivalent salary levels. The Employer contribution rate is set by Actuaries advising the Dyfed Pension Fund and reviewed on a triennial basis in order to ensure the scheme is appropriately funded.

Band	Whole-time equivalent pay range	Employee contribution rate	50/50 Section	Employer contribution rate
1	Up to £14,600	5.5%	2.75%	15.8%
2	£14,601 - £22,900	5.8%	2.90%	15.8%
3	£22,901 - £37,200	6.5%	3.25%	15.8%
4	£37,201 - £47,100	6.8%	3.40%	15.8%
5	£47,101 - £65,900	8.5%	4.25%	15.8%
6	£65,901 - £93,400	9.9%	4.95%	15.8%
7	£93,401 - £110,000	10.5%	5.25%	15.8%
8	£110,001 - £165,000	11.4%	5.70%	15.8%
9	£165,001 or more	12.5%	6.25%	15.8%

Rates effective as of 1 April 2021

- 3.10.4 A triennial valuation will take place during 2022/23 with an effective date of 1 April 2023.
- 3.10.5 Employees who are members of the LGPS (see above) have the opportunity to join the Salary Sacrifice Shared Costs Additional Voluntary Contributions (AVC) Scheme, assisting employees who wish to increase pension benefits at retirement by paying additional voluntary contributions into the Local Government AVC Scheme.

3.11 Other employee benefits

- 3.11.1 The Council believes that it has a responsibility to help support the health, wellbeing and welfare of its employees in order to ensure that they are able to perform at their best. As part of this approach and in common with other large employers the council provides a small number of non-pay benefits such as eye test vouchers for users of display screen equipment at work, childcare vouchers via a salary sacrifice scheme (following the Government's closure of such schemes, this benefit is now only available for those who joined the scheme prior to October 2018), salary sacrifice car benefit scheme and participation in the Cycle to Work scheme.

4 DECISION MAKING

- 4.1 In accordance with the Constitution of the Council, the Cabinet is responsible for decision making in relation to the recruitment, pay, terms and conditions and severance arrangements in relation to employees of the Council.
- 4.2 Under the Local Authorities (Standing Order) (Wales) (Amendment) Regulations 2014 any decision to determine or vary the remuneration of chief

officers, or those to be appointed as chief officers, must be made by Full Council.

5 COLLECTIVE BARGAINING ARRANGEMENTS WITH TRADE UNIONS

5.1 The Council recognises the following trade unions:

5.1.1 *NJC for Local Government Services*

- UNISON
- GMB
- UNITE

5.1.2 *JNC for Chief Officers*

- UNISON
- GMB

5.1.3 *Teachers*

- NAHT
- NASUWT
- NEU
- UCAC
- ASCL

5.2 Recognition is for the purposes of consultation and negotiation on a collective basis in relation to relevant matters, which are not determined by national negotiating bodies, which both parties agree are appropriate / beneficial to be determined by agreement. Negotiations are conducted with the aim of reaching agreement and avoiding disputes. Recognition also relates to representation on an individual trade union member basis.

6 SENIOR PAY REMUNERATION

6.1 Chief Executive

6.1.1 The Chief Executive is the senior officer who leads and takes responsibility of the council. The Chief Executive is the statutory appointed Chief Executive Officer pursuant to S56 of the Local Government and Elections (Wales) Act 2021. The Council is a large and complex organisation with a multi-million pound budget. It has a very wide range of functions and has responsibility for the provision of a wide range of essential services, employing some 3,600 staff.

6.1.2 The role of Chief Executive is a full time and permanent position. The post holder is selected on merit, against objective criteria, following public advertisement. The Chief Executive is appointed by Full Council.

6.1.3 The Chief Executive works closely with Elected Members to deliver the strategic aims of the Council, including the following priorities:

- Boosting the economy;
- Investing in people's future;
- Enabling individual and family resilience;
- Promoting environmental and community resilience.

- 6.1.4 The Chief Executive routinely works in the evenings and on weekends as well as the standard Monday to Friday business week. The Chief Executive also heads the 'on call' arrangements particularly to cover emergency planning arrangements.
- 6.1.5 The current Chief Executive, Mr Eifion Evans, has been in post since October 2017 and has worked for the Council for over 30 years. Mr Evans began his career in the County as a teacher in 1991, before becoming a Headteacher in 1997. In 2007 Mr Evans was appointed Assistant Director of Education Services, he became Director of Education and Community Services in 2009 and Strategic Director - Learning and Partnerships in 2013. Immediately prior to his current role Mr Evans held the role of Deputy Chief Executive
- 6.1.6 With effect from 1 April 2022 (pay award pending), the Chief Executive's salary falls within the pay band £121,618 to £130,108 per annum (please see Appendix B for more details).
- 6.1.7 The Council has a statutory duty to appoint a Returning Officer for specified Elections and Referenda and has appointed the Council's Chief Executive to this role. The Returning Officer is personally responsible for a wide range of functions in relation to the conduct of Elections and Referenda and is paid for discharging these functions in accordance with prescribed fees.
- 6.1.8 Details of the Chief Executive's pay, including any additional payments are published in the Statement of Accounts. This document is published separately.
- 6.1.9 Expenses in relation to car mileage, public transport, overnight accommodation and parking etc. are claimed back in accordance with the Council's Travel and Subsistence Policy.
- 6.1.10 The Chief Executive is a member of the Local Government Pension Scheme and details are disclosed in the Statement of Accounts. There have been no increases or enhancements to the pension outside of standard arrangements.

6.2 Senior Staff

- 6.2.1 For the purposes of this statement, senior staff means 'Chief Officers' as defined within S43 of the Localism Act. The posts falling within the statutory definition are set out in the Council's Constitution as:
- **Chief Officers:**
 - Chief Executive
 - Corporate Director (two roles)
 - **Deputy Chief Officers** (twelve roles):
 - Corporate Lead Officer – Finance and Procurement (Section 151 Officer) (A2)
 - Corporate Lead Officer – Porth Cynnal (Statutory Director of Social Services) (A2)
 - Corporate Lead Officer – Schools and Culture (Chief Education Officer) (A2)

- Corporate Lead Officer – Customer Contact (A1)
- Corporate Lead Officer – Democratic Services (A1)
- Corporate Lead Officer – Economy and Regeneration (A1)
- Corporate Lead Officer – Highways and Environmental (A1)
- Corporate Lead Officer – Legal and Governance (Monitoring Officer) (A1)
- Corporate Lead Officer – People and Organisation (A1)
- Corporate Lead Officer – Policy, Performance and Public Protection (A1)
- Corporate Lead Officer – Porth Cymorth Cynnar (A1)
- Corporate Lead Officer – Porth Gofal (A1)

6.3 Pay

- 6.3.1 From 1 April 2021, (pay award pending) Corporate Director posts attract a salary within the pay band £97,294 to £104,086 per annum (please see Appendix B for more details).
- 6.3.2 From 1st April 2021, (pay award pending) Corporate Lead Officer A2 posts attract a salary within the pay band of £78,869 to £83,931 per annum (please see Appendix B for more details).
- 6.3.3 From 1st April 2021, (pay award pending) Corporate Lead Officer A1 posts attract a salary within the pay band of £72,158 to £77,192 per annum (please see Appendix B for more details).
- 6.3.4 Details of senior staff pay are published in the Statement of Accounts.

6.4 Recruitment of Chief Officers

- 6.4.1 The Council's Policy and Procedures with regard to recruitment of Chief Officers is contained within the Officer Employment Procedure Rules as set out in Part 4 of the Constitution. The determination of the remuneration to be offered to any newly appointed Chief Officer will be in accordance with the pay structure and relevant Council policies in place at the time of recruitment. Any salary package that exceeds the threshold of £100,000 must be approved beforehand by Full Council.

6.5 Additions to Chief Officers' Pay

- 6.5.1 The Council pays a standard mileage rate of 45 pence per mile to Chief Officers (and all other employees) where the Chief Officer uses their private vehicle on Council business. The Council also reimburses any other reasonable expenses, incurred by the Chief Officer on behalf of the council whilst on council business, on production of receipts and in accordance with JNC conditions and other local conditions.
- 6.5.2 The Council does not pay the cost of membership of a professional body for any employee with the exception of those undertaking course of study for a professional qualification, and for the duration of the course only.

6.6 Independent Remuneration Panel

- 6.6.1 Section 143A of the Local Government (Wales) Measure 2011 refers to the Independent Remuneration Panel in Wales ("the IRP") and sets out their functions in relation to salaries of Chief Executives. The IRP may make

recommendations about any policy in this Pay Policy Statement which relates to the salary of the Council's Chief Executive and any proposed change to the salary of the Council's Chief Executive.

- 6.6.2 Section 39 of the Local Government (Wales) Act 2015 extended the duties of the IRP for Wales from 26 January 2016 to require that all local authority proposed chief officer changes in pay which are not 'commensurate with a change to the remuneration of the authority's other staff' be submitted to the IRP for their recommendation before the change is made, and that the authority have regard to any recommendation received from the IRP when deciding whether or not to proceed with the change. An authority which chooses not to follow the advice of the Panel may become subject to a Ministerial direction to reconsider their position.
- 6.6.3 The Council consulted the IRP during 2018/19 regarding its proposed changes to Chief Officer remuneration. The IRP approved the proposal as submitted for the restructure of the senior management arrangement within the Council and this revised structure was approved by Full Council in January 2019.
- 6.6.4 The Council consulted the IRP during 2021/22 regarding its proposed changes to Chief Executive remuneration. The IRP approved the proposal as submitted for the revision to the Chief Executive pay scale and this revised pay scale was approved by Full Council in September 2021.
- 6.6.5 The Council will, as required, consult the IRP in relation to any change to the salaries of the Chief Executive or Chief Officers which is not commensurate with a change of the salaries of the Council's other staff, and will have regard to any recommendation received from the IRP when deciding whether or not to proceed with making the change.

7 TALENT MANAGEMENT

- 7.1 The Performance Appraisal process, as well as placing an emphasis on performance, seeks to put in place individual learning plans, developing the skills necessary not only for current roles, but with a future focus to support career development and succession planning.
- 7.2 The Council's Learning and Development team provide a very wide range of in-house and externally provided training and development options, this includes providing employee access to qualifications via a Corporate Qualifications Panel process which supports employee development at every level of the organisation. Workforce succession planning and career progression is also supported through the provision of specific courses for 'Aspiring Managers' and 'Managing for the First Time'. Entry level apprenticeship positions across the authority provide routes into a variety of careers and also offer a means of early talent identification.
- 7.3 Institute of Leadership and Management (ILM) Qualifications have been introduced to support managers and offer a consistent management qualification across the authority. Three cohorts of ILM Level 4 have enabled 28 completions and a further 15 managers are working towards completion, 15 have progressed on to the Level 5 award and are currently working towards completion. To further develop and support talent and career progression,

planning is also underway to introduce delivery of the ILM Level 3 later this year.

8 PERFORMANCE RELATED PAY

8.1 The Council does not apply any bonuses or performance related pay to its staff.

9 SUPPORT FOR LOWER PAID STAFF

9.1 The Council has committed to continuing discussions with Trade Unions with the objective of introducing the Real Living Wage on an affordable and sustainable basis when circumstances allow. The lowest spinal column point on the JNC pay spine, SCP 1, currently equates to £9.50 per hour (temporary rate to allow for pay award negotiations for 2021/22 and 2022/23 to complete) which is below the National Living Wage Foundation's real living wage rate of £9.90 per hour.

10 PAY RELATIVITIES WITHIN THE COUNCIL

10.1 The lowest paid employee is on £18,333 per annum (interim adjustment to Spinal Points 1 and 2 as a result of the pay negotiations for 2021/22 and 2022/23 continuing), in accordance with the minimum spinal column point (SCP 1) of the NJC pay spine for Local Government Services employees. This excludes apprentices who are engaged on different arrangements with training being the main feature of the arrangement and it also excludes agency staff.

10.2 The highest paid employee is the Chief Executive and the pay band minimum is £121,618 rising to the pay band maximum of £130,108 (pay award pending for 2021/22 and 2022/23). The current post holder earns £130,108.

10.3 The median salary in the Council is £19,698.

- The multiple between the lowest paid full time equivalent employee and the Chief Executive's maximum salary is **1:7.1**
- The multiple between the lowest paid employee and the average of the Chief Officers' maximum salary is **1:4.7**
- The multiple between the median full time equivalent earnings (excluding teachers) and the Chief Executive's maximum salary is **1:6.6**
- The multiple between the median full time equivalent earnings (excluding teachers) and the average of the Chief Officers' maximum salary is **1:4.3**

11 EXIT POLICY

11.1 Early Retirement, Voluntary Redundancy and Compulsory Redundancy

11.1.1 The Council's approach to statutory and discretionary payments on termination of employment of employees, prior to reaching normal retirement age, is set out within its Employers Discretions Policy (Local Government Pensions Scheme) statement, in accordance with Regulations 5 and 6 of the Local Government (Early Termination of Employment) (Discretionary Compensation) Regulations 2006. Please refer to Appendix G. This is in respect of a redundancy payment being based on actual weekly earnings (Regulation 5) and an enhanced redundancy payment of up to 45 weeks' pay would be granted (Regulation 6). Regulations 12 and 13 of the Local Government Pension Scheme (Benefits, Membership and Contribution)

Regulations 2007 do not apply as the Authority does not increase the total membership of active members (Regulation 12) or award additional pension (Regulation 13).

- 11.1.2 All Early Retirement and Voluntary Redundancy expressions of interest are subject to a robust business case, seeking to limit discretionary compensation to an affordable limit, as well as considering the costs of any consequential organisational / pay grade changes.
- 11.1.3 When calculating the value of a severance package, the following payments should be included:
- salary paid in lieu of notice
 - lump sum redundancy / severance payment
 - cost to the Council of the strain on the pension fund arising from providing early access to an unreduced pension.
- 11.1.4 Any severance package in respect of early termination of employment that exceeds a threshold of £100,000 must be approved beforehand by Full Council. Members will be advised of any contractual or statutory elements of the severance package, along with the consequences of withholding these from an employment law context.
- 11.1.5 The Council has operated a Voluntary Redundancy Scheme during the financial year 2020/2021 and the costs relating to employees who exited the Council's employment under this Scheme can be found in the annual Statement of Accounts.

11.2 Chief Officer

- 11.2.1 Any severance package in respect of termination of employment of a Chief Officer must be approved by Full Council.

11.3 Re-employment

- 11.3.1 Employees who leave the Council's employment on grounds of early retirement, severance or voluntary redundancy who are employed in Chief Officer roles will not normally be permitted to return to any paid temporary or permanent Ceredigion County Council employment (which includes schools) or be re-engaged as an agency worker or on a consultancy basis. However, in exceptional circumstances, re-employment may be permitted on the basis of a robust business case where approved by the Chief Executive and Cabinet Member for People and Organisation.
- 11.3.2 Where the re-employment is regarding the post of the Chief Executive or a Chief Officer this decision will require Full Council approval.
- 11.3.3 All other employees who leave the council's employment on the grounds of early retirement or voluntary redundancy will not be permitted to return to employment with the Council for a period of 2 years following their leaving date. However, again, and in exceptional circumstances, earlier re-employment may be permitted if the "employing" Corporate Lead Officer is able to provide a robust business case for doing so which is acceptable to the relevant Corporate Director and Corporate Lead Officer – People and Organisation.

11.4 Flexible retirement

- 11.4.1 Employees are permitted to take flexible retirement in accordance with the provisions of the Local Government Pension Scheme and the Council's Flexible Retirement Scheme.

12 OFF PAYROLL ARRANGEMENTS

- 12.1 Where the Council is unable to recruit to a job under a contract of service, or where there is a need for specialist support for a specific project, the Council will, where necessary, consider engaging individuals under a contract for service. These will be sourced through the relevant procurement process under the Council's Contract Procedure Rules, ensuring the Council is able to demonstrate value for money from competition in securing the relevant service.
- 12.2 Where the contract for service is to provide cover for a vacant post, in addition to ensuring adherence to Contract Procedure Rules, decision making in relation to the appointment will be in line with the Council's rules in relation to appointments i.e. Full Council will determine appointments at Chief Officer level and Corporate Lead Officers or those acting under their authority will determine appointments at Corporate Manager level and below.
- 12.3 With effect from April 2017, the UK Government introduced "Intermediaries Legislation", known as IR35, reforming tax rules for off-payroll working in the public sector and the Council has implemented the new rules in line with the legislation.

13 PUBLICATION

- 13.1 Upon approval by the full Council, this statement will be published on the Council's website.
- 13.2 The Council will comply with its requirement under the Accounts and Audit (Wales) (Amendment) Regulations 2010 to include in its Annual Statement of Accounts the required information in relation to those employees where the full time equivalent pay is at least £60,000 per annum.

PAY SCALES FOR NJC EMPLOYEES

Last Pay Award: 1 April 2020 (shown below)

Next Pay Award Due: 1 April 2021 and 1 April 2022 (pending)

* Scale Points 1 & 2 have been increased to comply with statutory National Living Wage whilst pay negotiations for 2021/22 and 2022/23 are continuing.

Grade	Job Evaluation Score Band	Scale Point	Annual Salary (FTE)
Grade 2	200 – 294	1	£18,333*
		2	£18,333*
Grade 3	295 – 329	3	£18,562
Grade 4	330 – 364	4	£18,933
Grade 5	365 – 399	5	£19,312
		6	£19,698
Grade 6	400 – 434	7	£20,092
		8	£20,493
		9	£20,903
		10	£21,322
Grade 7	435 – 469	12	£22,183
		13	£22,627
		14	£23,080
		15	£23,541
		16	£24,012
Grade 8	470 – 504	18	£24,982
		19	£25,481
		20	£25,991
		21	£26,511
		22	£27,041
Grade 9	505 – 539	24	£28,672
		25	£29,577
		26	£30,451
Grade 10	540 – 579	28	£32,234
		29	£32,910
		30	£33,782
		32	£35,745

Grade 11	580 – 619	33	£36,922
		34	£37,890
Grade 12	620 – 659	35	£38,890
		36	£39,880
		37	£40,876
Grade 13	660 – 699	39	£42,821
		40	£43,857
		41	£44,863
Grade 14	700 – 739	43	£46,845
		44	£47,820
		45	£48,780
Grade 15	740 – 779	47	£50,719
		48	£51,685
		49	£52,655
Grade 16	780 – 1000	51	£54,782
		52	£55,878
		53	£56,995

CHIEF OFFICERS PAY SCALES

Last Pay Award: 1 April 2020 (shown below)

Next Pay Award Due: 1 April 2021 and 1 April 2022 (pending)

CHIEF EXECUTIVE PAY SCALE

Grade	Scale Point	Annual Salary (FTE)
Chief Executive	1	£121,618
	2	£124,449
	3	£127,278
	4	£130,108

CORPORATE DIRECTOR PAY SCALE

Grade	Scale Point	Annual Salary (FTE)
Corporate Director	1	£97,294
	2	£99,559
	3	£101,822
	4	£104,086

CORPORATE LEAD OFFICER PAY SCALE

Grade	Scale Point	Annual Salary (FTE)
A1	1	£72,158
	2	£73,837
	3	£75,515
	4	£77,192
A2	1	£78,869
	2	£80,546
	3	£82,223
	4	£83,931

SOULBURY PAY SCALES

Last Pay Award: 1 September 2020 (shown below)

Next Pay Award Due: 1 September 2021 and 1 September 2022 (pending)

EDUCATIONAL IMPROVEMENT PROFESSIONALS (EIPS)

Scale Point	Annual Salary (FTE)
1	£36,419
2	£37,723
3	£38,955
4	£40,203
5	£41,443
6	£42,684
7	£43,988
8	£45,243*
9	£46,705
10	£48,009
11	£49,295
12	£50,541
13	£51,951**
14	£53,209
15	£54,598
16	£55,854
17	£57,114
18	£58,350
19	£59,625
20	£60,283***
21	£61,549
22	£62,653
23	£63,867
24	£64,957
25	£66,121

Scale Point	Annual Salary (FTE)
26	£67,257
27	£68,419
28	£69,597
29	£70,777
30	£71,956
31	£73,124
32	£74,311
33	£75,498
34	£76,714
35	£77,927
36	£79,174
37	£80,402
38	£81,642
39	£82,866
40	£84,089
41	£85,318
42	£86,546
43	£87,773
44	£89,006
45	£90,236
46	£91,468
47	£92,705
48	£93,930
49	£95,160
50	£96,392

Notes:

Salary scales to consist of not more than four consecutive points, based on the duties and responsibilities attaching to posts and the need to recruit and motivate staff.

- * normal minimum point for EIP undertaking the full range of duties at this level
- ** normal minimum point for senior EIP undertaking the full range of duties at this level
- *** normal minimum point for leading EIP undertaking the full range of duties at this level
- **** extension to range to accommodate structured professional assessments.

EDUCATIONAL PSYCHOLOGISTS - SCALE A

Scale Point	Annual Salary (FTE)
1	£38,197
2	£40,136
3	£42,075
4	£44,012
5	£45,951
6	£47,889
7	£49,714
8	£51,538
9	£53,247*
10	£54,959*
11	£56,554*

Notes:

Salary scales to consist of six consecutive points, based on the duties and responsibilities attaching to posts and the need to recruit, retain and motivate staff.

- * Extension to scale to accommodate structured professional assessment points.

SENIOR AND PRINCIPAL EDUCATIONAL PSYCHOLOGISTS SALARY RANGE B

Scale Point	Annual Salary (FTE)
1	£47,889
2	£49,714
3	£51,538*

4	£53,247
5	£54,959
6	£56,554
7	£57,209
8	£58,433
9	£59,646
10	£60,880
11	£62,090
12	£63,323
13	£64,577
14	£65,790**
15	£67,061**
16	£68,318**
17	£69,585**
18	£70,850**

Notes:

Salary scales to consist of not more than four consecutive points, based on the duties and responsibilities attaching to posts and the need to recruit, retain and motivate staff.

* Normal minimum point for the principal educational psychologist undertaking the full range of duties at this level

** Extension to range to accommodate discretionary scale points and structured professional assessments

ASSISTANT EDUCATIONAL PSYCHOLOGISTS

Scale Point	Annual Salary (FTE)
1	£30,166
2	£31,399
3	£32,630
4	£33,856

TRAINEE EDUCATIONAL PSYCHOLOGISTS

Scale Point	Annual Salary (FTE)
1	£24,541
2	£26,337
3	£28,131
4	£29,929
5	£31,724
6	£33,520

ALL EMPLOYEE GROUPS – MAIN CONDITIONS OF SERVICE

ANNUAL LEAVE (pro rata for part time employees)	
<ul style="list-style-type: none"> ➤ Chief Executive ➤ Chief Officers 	33 days per annum 36 days after 10 years' service
<ul style="list-style-type: none"> ➤ National Joint Council (NJC) 	26 days per annum 30 days after 5 years' service 33 days after 10 years' service
<ul style="list-style-type: none"> ➤ Soulbury 	26 days per annum 30 days after 5 years' service 33 days after 10 years' service
HOURS OF WORK	
<ul style="list-style-type: none"> ➤ Chief Executive ➤ Chief Officers 	Minimum of 37 hours per week, together with additional evening, weekend and bank holiday working as required
<ul style="list-style-type: none"> ➤ Chief Executive 	Standard working week is 37 hours
<ul style="list-style-type: none"> ➤ Soulbury 	Standard working week is 37 hours
OVERTIME PAYMENTS	
<ul style="list-style-type: none"> ➤ Chief Executive ➤ Chief Officers ➤ Soulbury 	None payable
<ul style="list-style-type: none"> ➤ National Joint Council (NJC) 	Grade 8 and below: time and a half; Grade 9 and above: TOIL or plain time if cannot be taken within 13 weeks.
WEEKEND WORKING PAYMENTS	
<ul style="list-style-type: none"> ➤ Chief Executive ➤ Chief Officers ➤ Soulbury 	None payable
<ul style="list-style-type: none"> ➤ National Joint Council (NJC) 	Grade 8 and below: Saturday – time and a quarter; Sunday – time and a half Grade 9 and above: Saturday & Sunday – plain time

SICK PAY SCHEME		
<ul style="list-style-type: none"> ➤ Chief Executive ➤ Chief Officers ➤ Soulbury ➤ National Joint Council (NJC) 	During 1 st year of service	1 month's full pay; and after 4 month's service 2 month half pay
	During 2 nd year of service	2 months' full pay; 2 months half pay;
	During 3 rd year of service	4 months' full pay; 4 months' half pay
	During 4 th & 5 th years of service	5 months' full pay; 5 months' half pay
	After 5 years of service	6 months' full pay; 6 months' half pay

HONORARIUM POLICY

1. Policy Statement

- 1.1 The Council recognises that it may be necessary from time to time to apply an additional payment when an employee is requested to 'act up' into a higher graded post or temporarily undertake additional duties associated with a higher grade.
- 1.2 Where changes to the job are likely to be permanent, the post should be re-evaluated under the Council's Job Evaluation scheme and a formal grade established.
- 1.3 The purpose of this Policy is to ensure that the additional payments are properly considered and implemented on a consistent basis. This policy sets out the criteria that will apply for all posts regardless of the amount of payment involved.

2. Honorarium

- 2.1 An honorarium payment may be made where an employee is requested to undertake some of the duties and/or responsibilities of a higher graded post.
- 2.2 If there is more than one suitable employee, with the appropriate skills and experience to undertake the additional duties and/or responsibilities, then a selection process will need to be followed to determine the best person to undertake those duties and/or responsibilities.
- 2.3 Payment of any allowance or honorarium will only apply to situations of more than one month's duration and backdated to day one.
- 2.4 Any honorarium payment will be for a maximum of 12 months. If there is an expectation that the duration is longer, the post will be re-evaluated using the Council's Job Evaluation scheme.

3. Procedure

- 3.1 Prior to the implementation of the Council's new grading structure, all current honorarium payments will be reviewed as outlined below.
- 3.2 Where an honorarium is in place the basis of which consists of duties that have been incorporated into the job evaluation questionnaire and evaluated the assessed grade will be applicable from the implementation date and the honorarium will cease.
- 3.3 As an additional payment to basic salary the Council is mindful of the Equal Pay position and as such all such payments would be temporary, subject to review and would have to be objectively justified.
- 3.4 A business case must be made by the relevant manager to support the application for an honorarium payment using the "Request for a Honorarium

Payment” form (Appendix 1) and submitted to the departmental Director for approval.

Types of evidence include:

- The reason for the payment, e.g. to cover for long term absence, or to undertake a specific piece of work
- Details of the post affected and the grades of the substantive and potential higher level post
- Whether the extent of the duties are full or partial, if partial then a percentage must be given
- Cost – calculation of the amount per month the employee would be entitled to receive.

3.5 In such cases the full amount or percentage of the difference between the existing salary and the minimum salary of the higher grade should be paid.

3.6 Where longer term situations may apply, e.g. maternity cover, consideration should be given to advertising the post following the Council’s normal recruitment procedure.

3.7 Employees in receipt of a protected salary that undertake acting up duties higher than their evaluated post but less than their protected salary are not entitled to receive an additional payment.

4 Method of payment

4.1 The above payments can be made as a regular monthly amount if the details are known in advance, or they can be made as a retrospective one-off payment at the end of the relevant period.

5 Consultation

5.1 Directors have delegated powers to grant the payment of Honoraria. In order to ensure consistency, Directors must consult with the Head of Corporate Human Resources when considering payments under this scheme and forward a copy of the “Request for a Honorarium Payment” form. The Head of Corporate Human Resources will forward the form to Payroll Section for payment purposes.

MARKET FORCES SUPPLEMENT

1. Policy Statement

- 1.1 Ceredigion County Council is committed to ensuring that all employees receive equal pay for work rated as equivalent.
- 1.2 In so doing the Council recognises that it may be necessary from time to time to apply a market force supplement to the assessed grade of a job. Usually this will be as a result of a skills shortage in the jobs market (local or national) or because the market rate for a particular skill set is higher than that determined by local job evaluation and the pay and grading structure.
- 1.3 It is clear that whilst the process of job evaluation will offer outcomes that satisfy equal pay considerations there are potential difficulties for some posts in terms of recruitment & retention. Although meeting the Equal Pay provisions the rate of pay for certain posts may compare unfavourably with a similar post elsewhere.
- 1.4 Where this is the case, a supplement may be added to the grade of the job. Supplements shall be clearly expressed as such in employment documents. Annual reviews will be applied on the anniversary of the implementation of the supplement. Market force supplements may be withdrawn subject to written notice of not less than 3 months.
- 1.5 The purpose of this Policy is to ensure that the attachment of market supplements to posts are properly considered and implemented on a consistent basis.

2. Objective Justification

- 21 If the pay of a particular job is to be enhanced to reflect market conditions it is necessary to demonstrate that there are 'objectively justified grounds', i.e. that recruitment and retention difficulties exist in relation to the job(s) concerned which would result in actual or foreseeable organisational and/or operational problems.
- 22 Equal Pay considerations should be taken into account and the possibility of an equal pay challenge assessed. The Council will not be able to rely on the fact that the market suggests that certain jobs, usually done by women are paid less than jobs usually done by men because the market rate may itself be based on discriminatory assumptions. The overriding principle of the decision must be based on what the Council needs to pay to get the person needed to fill the vacancy.
- 23 Other considerations when making this decision should also be taken into account such as operational issues and the reputation of the Council which may suffer if key services are not fully staffed.

- 24 In addition there is a need to show that the comparator job is substantially the same in terms of duties and responsibilities and that there are no material differences in the overall reward package i.e. holiday entitlement, sick pay scheme, flexible working arrangements. These are not cash rewards but could account for the lower rate of pay.
- 25 The application/renewal/withdrawal, of a market force supplement is subject to approval of the relevant Head of Service, in consultation with the Group Manager – Human Resources.
- 26 Market force supplements will apply equally to all staff in the particular job (or specialist area). Costs will be met from the relevant service area.

3. Evidence

- 3.1 The business case for such supplements has to provide objective justification with supporting evidence. Anecdotal evidence is not sufficient.

Types of evidence include:

- salary benchmark data, what is the 'going rate' for the job?
- evidence of any recent (unsuccessful) recruitment processes, e.g. How has the post been advertised in the past? Has the correct media been used? What is the response rate to adverts? What is the turnover rate for the post?
- the level and overall cost of the recommended supplements,
- any alternative measures that have been, or could be, considered, e.g. could the post be remodelled to deliver the service required?
- the operational and/or reputational risks
- details of any perceived detrimental impact on service delivery or failure to recruit (or retain) the right calibre of employee(s).
- details of any potential knock on effects and how they might be resolved, e.g. maintenance of pay relativities between posts within a section or work group

4 Payment

- 4.1 Having obtained the necessary pay data, an assessment will be made as to whether a market supplement needs to be applied and, if so, the actual value of the supplement.
- 4.2 Each application is to be dealt with on a case-by-case basis and will require objective justification using the pro forma shown in Appendix I and II, before approval by the relevant Head of Service.
- 4.3 The market supplement will be kept separate from the agreed rate of pay for the post. This must be made clear when undertaking recruitment to vacant posts and also upon the recruitment of successful candidates. Employees need to understand that the market supplement payment can vary year on year or cease completely.

- 4.4 Employees occupying or appointed to posts that attract a market supplement will be given written confirmation detailing the amount of the payment, the arrangements for review and how any subsequent changes will be implemented. A standard letter for this purpose can be found at Appendix III.
- 4.5 Payment will be as an allowance in addition to the monthly salary and (as it is based on incremental points) will be subject to annual cost of living pay awards. As it forms part of an employee's pay it will be pensionable.
- 4.6 Where appropriate, supplements will be paid pro-rata to the hours worked.

5. Calculation of a Market Supplement

- 5.1 All supplements will be calculated as additional increments based on the evidence supplied and will be the nearest increment below the comparator salary. The payment should be set at a level that is considered will alleviate the recruitment & retention/operational difficulties but which is not excessive and can be justified in terms of salary paid to the comparator jobs in the market place.
- 5.2 The purpose, justification and extent of any market supplement must be transparent, and records must be maintained to demonstrate this, so that the Council can respond effectively to any challenge regarding the rationale for such a payment.

6. Timescales

- 6.1 In order to ensure the continued fairness and equity of the pay structure and that the payment is still justified and appropriate, supplements will be subject to annual review.
- 6.2 Following the review a decision should be made by the Head of Service in conjunction with the Job Evaluation Team and the appropriate Trades Union as to whether to withdraw the supplement from the post(s) concerned, retain the supplement at its current value, or adjust the amount to be paid.
- 6.3 Market force supplements may be withdrawn subject to written notice of not less than 3 months.

7. Appeal

- 7.1 An employee may believe that full consideration relating to the application / renewal / withdrawal of a supplement has not been given and may want to appeal this decision.
- 7.2 To appeal, an employee must write to the Chief Executive, setting out the grounds for the appeal within 14 days after receiving written notice of the decision on the entitlement, or variance, to the supplement.

- 7.3 The Chief Executive must arrange a meeting with the employee to discuss the appeal within 14 days of the written appeal letter. The employee has a right to be accompanied at this meeting. After the meeting has been held the Chief Executive will write to the employee within 14 days notifying the employee of the outcome of the appeal.
- 7.4 If it is not possible to respond within that timescale the employee should be given an explanation for the delay and told when a response can be expected, but no longer than a further 14 days.
- 7.5 This acts as written notice of the appeal outcome and constitutes Ceredigion County Council's final decision and is effectively the end of the formal procedure within the workplace.
- 7.6 An employee who fails to attend the appeal meeting without notification should contact the Chief Executive as soon as possible to explain their absence. The Chief Executive should rearrange the meeting at the next mutually convenient time. It is important that reasonable notice of the meeting is given. If the employee fails to attend a meeting more than once and does not provide a reasonable explanation, the application will be treated as having been withdrawn. In such circumstances, the Chief Executive will write to the employee confirming that the application is now considered withdrawn.

8. Right of Accompaniment

- 8.1 Employees have the right to be accompanied by their Trade Union Representative or work colleague at any meetings arranged to discuss the withdrawal of a supplement or subsequent appeal.
- 8.2. If the person accompanying the employee is unable to attend the meeting, the employee should re-arrange the meeting for a date within 7 days of the originally proposed time, ensuring the new time is convenient to all parties; or, consider an alternative individual to accompany the employee to the meeting.



Local Government (Early Termination of Employment) (Discretionary Compensation) (England and Wales) Regulations 2006 (as amended)

Under Regulation 7 of the Discretionary Compensation Regulations, each authority (other than an Admitted Body) is required to formulate and keep under review a policy which applies in respect of exercising their discretion in relation to:

Discretion	Regulation	Policy
<p>To base redundancy/severance payments on an actual weeks pay where this exceeds the statutory weeks' pay limit.</p>	<p>5</p>	<p>To pay redundancy/severance/compensation based on actual pay</p>
<p>To award lump sum compensation of up to 104 weeks' pay in cases of redundancy/severance, termination of employment on efficiency grounds, or cessation of a joint appointment.</p>	<p>6</p>	<p>Redundancy Release of pension benefits where age 55 attained at date of termination with statutory redundancy weeks uplifted by a factor of 1.5 (i.e. a maximum of 45 weeks). Such compensation to include statutory redundancy pay values. By election, individuals would be able to convert the difference between statutory redundancy and actual compensation awarded to purchase additional pension via GAD provided factors.</p> <p>Efficiency Termination Release of pension benefits only where age 55 attained by date of termination.</p> <p>Severance Where there is a mutual agreement for the release of an individual under the Council's Severance Scheme the</p>

		<p>Authority will use its discretion under Regulation 5 to give compensation payments based on actual salary. The discretionary severance payments will be based on the statutory redundancy ready reckoner with the number of week's entitlement based on age and Service, with a multiplier to be applied of 1.5, and limited to a maximum of 45 weeks. The voluntary severance payment is inclusive of the statutory redundancy payment. Where an individual has reached aged 55 they will also receive release of unreduced pension benefits built up to the date of termination. 2 years continuous qualifying service is required to access these compensation arrangements.</p>
<p>To award compensatory added years to a person aged 50 or over with 5 or more years membership (or notional membership) of the LGPS in cases of redundancy, termination of employment on efficiency grounds, or cessation of a joint appointment which occurred after 30th September 2006 and before 1st April 2007 (but only if employment had commenced pre 1st October 2006)</p>	<p>11(2)</p>	<p>Not to apply this discretion</p>

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CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 03 March 2022

Title: Report on the Council's proposed Pay Policy for 2022/23

Purpose of the report: The Council is required, under Section 38 (1) of the Localism Act 2011 to produce and publish a Pay Policy Statement for each financial year.

The proposed Pay Policy for 2022/23 is enclosed for consideration

For: Approval

Cabinet Member and Portfolio: Councillor Ray Quant, Deputy Leader of the Council and Cabinet Member for Customer Contact, Legal and Governance, People and Organisation

Introduction

The purpose of this report is to provide for the Council's approval a Pay Policy for 2022/23 in accordance with the requirements of the Localism Act 2011. Pay Policy statements must be prepared and approved by the Council for each financial year and published on the relevant website by 31 March.

Pay policies have been prepared under this Act and considered and approved by Council each year since March 2012. The details of what is required to be in a pay policy statement and its overall purpose have been outlined as part of the initial approval and subsequent changes have been highlighted as appropriate.

In November 2021 Welsh Government issued Statutory Guidance on '*Pay Accountability in Local Government in Wales*' which set out additional content to be included in the annual Pay Policy Statement, such as:

- the role of the chief executive;
- a short pen picture of the post holder;
- policy and procedures for decision-making concerning senior officer pay;
- approval process of exit packages over £100k;
- talent management
- off payroll arrangements.

These have been incorporated into this year's revised Pay Policy Statement, which has been based on the sample statement included in the statutory guidance.

In the interest of clarity the 2022/23 pay policy annual only relates to the remuneration and reward of staff employed on the following terms and conditions:

- National Joint Council for Local Government Services

- Joint National Council for Chief Executives
- Joint National Council for Chief Officers
- Soulbury Committee

Changes

1. Negotiations on nationally agreed pay deals for 2021/22 for NJC staff were not concluded until 28/02/2022 but are being backdated to 1 April 2021. Note that negotiations have not yet started for 2022/23.
2. NJC Spinal Column Point 1 was increased by 2.75% and all other spinal column points by 1.75%.
3. The national pay award for Chief Executives and Chief Officers has been agreed at 1.5% and backdated to 1 April 2021.
4. The national pay award for Soulbury Committee has been agreed at 1.75% and backdated to 1 September 2021.
5. Noting that a referral was made to, and subsequent approval received from of, the Independent Remuneration Panel in Wales regarding changes to the Chief Executive pay scale.
6. Any severance package for a Chief Officer must be approved by Full Council.
7. Employees who leave the Council under an efficiency scheme (voluntary redundancy, early retirement or severance) will not be permitted to return to employment with the Council for a period of 2 years, apart from exceptional circumstances and only where approved by the relevant Corporate Director and Corporate Lead Officer - People & Organisation.
8. Chief Officers who leave the Council under an efficiency scheme (voluntary redundancy, early retirement or severance) will not normally be permitted to return to employment with the Council, or as an agency worker or on a consultancy basis, apart from exceptional circumstances and only where approved by Chief Executive and Cabinet Member for Legal & Governance, People & Organisation and Democratic Services.

Wellbeing of Future Generations:	<p>Has an Integrated Impact Assessment been completed? If, not, please state why Summary: Long term: Integration: Collaboration: Involvement: Prevention:</p>
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Recommendation(s): To approve the attached Pay Policy for 2022/23

Reasons for decision: Ensure compliance with section 38 (1) of the Localism Act 2011.

Overview and Scrutiny: Not considered

Policy Framework: Welsh Government Regulations

Corporate Priorities: The Pay Policy 2022/23 supports the Council in achieving all its Corporate Priorities.

Financial implications: Part of budget setting for 2022/23

Statutory Powers: Local Government Finance Act 1972
Localism Act 2011
Local Government (Wales) Measure 2011

Background Papers: None

Appendices: Ceredigion County Council Pay Policy 2022/23

Corporate Lead Officer: Geraint Edwards, Corporate Lead Officer – People & Organisation

Reporting Officer: Geraint Edwards

Date: 28 February 2022



Cyngor Sir CEREDIGION County Council
Pobl a Threfniadaeth | People and Organisation

DRAFT

Pay Policy Statement

2022/2023

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Ceredigion County Council
Pay Policy Statement 2022/2023

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1 INTRODUCTION AND PURPOSE

- 1.1 The purpose of this statement is to provide transparency regarding the Council's approach to setting the pay of its employees (excluding teachers) by identifying the methods by which salaries of all employees are determined. It takes account of the "Pay Accountability in Local Government in Wales" Statutory Guidance issued by the Welsh Government in November 2021.
- 1.2 This Statement covers the period 1 April 2022 to 31 March 2023.

2 LEGISLATIVE FRAMEWORK

- 2.1 This Pay Policy statement sets out the Council's approach to Pay Policy in accordance with the requirements of Section 38 (1) of the Localism Act 2011 which requires English and Welsh Local Authorities to produce and publish a Pay Policy Statement that details:
- a) The Council's policies towards all aspects and elements of the remuneration of Chief Officers;
 - b) The approach to the publication of, and access to, information relating to all aspects of the remuneration of Chief Officers;
 - c) The Council's policy on the remuneration of its lowest paid employees;
 - d) The relationship between the remuneration of its Chief Officers and other employees.
- 2.2 The provisions in the Act do not apply to teaching staff in local authority schools and therefore these are not included in the scope of this document.
- 2.3 Under Section 112 of the Local Government Act 1972, the Council has the "power to appoint officers on such reasonable terms and conditions as the Authority thinks fit". In determining the pay and remuneration of all of its employees, the Council will comply with all relevant employment legislation. This includes the following:-
- a) Equality Act 2010;
 - b) Part Time Employment (Prevention of Less Favourable Treatment) Regulations 2000;
 - c) Agency Workers Regulations 2010; and, where relevant, the
 - d) Transfer of Undertakings (Protection of Earnings) Regulations
- 2.4 With regard to the Equal Pay requirements contained within the Equality Act, the Council aims to ensure that there is no pay discrimination within its pay structures and that all pay differentials can be objectively justified through the use of an equality proofed job evaluation mechanism which directly relates salaries to the requirements, demands and responsibilities of the role. The Council publishes an annual Gender Pay report detailing any gender gap and the action being taken to address gender gap issues.

3 TERMS AND CONDITIONS OF EMPLOYMENT

- 3.1 The Council employs approximately 3,600 employees. The posts they are employed within are covered by a range of terms and conditions drawn from either:

- National Joint Council for Local Government Services
- Joint National Council for Chief Executives
- Joint National Council for Chief Officers
- Soulbury Committee
- Teachers (not within the scope of this statement)

3.2 The following pay scales are provided as Appendices to this policy:

- Appendix A Pay Scale of NJC Employees (NJC)
- Appendix B Chief Officer Pay Scales (JNC)
- Appendix C Soulbury Pay Scales

3.3 A breakdown of staff numbers by pay band and gender is published separately in the Annual Workforce Equality Report.

3.4 **National Pay Awards**

3.4.1 For all employee groups, any nationally agreed pay awards, negotiated at a national level by the local government employers in conjunction with the recognised Trade Unions will be applied. The Council will pay these nationally agreed pay awards as and when determined unless Full Council decides otherwise.

3.5 **Job Evaluation**

3.5.1 Job evaluation is a systematic way of determining the value/worth of a job in relation to other jobs within an organisation. It aims to make a systematic comparison between jobs to assess their relative worth for the purpose of establishing a rational pay structure and pay equity between jobs. In 2012 the Council implemented a Job Evaluation exercise in relation to jobs which are governed by the NJC's terms and conditions of employment.

3.5.2 For NJC posts, the Council currently uses the Greater London Provincial Council (GLPC) Job Evaluation Scheme. For Chief Officer posts, the Council currently uses the Local Government Association's Senior Manager - Job Evaluation Scheme.

3.5.3 The Council uses the National Joint Council (NJC) nationally negotiated pay spine as the basis for its grading structure with the exception that it has extended the maximum of the grade from spinal column point 44 to 53. This determines the salaries of the majority of the non-teaching workforce. From 1 April 2019 the National Employers for Local Government Services introduced a new pay spine, these changes were agreed with Trade Unions for implementation in April 2019. The pay spine is attached at Appendix A.

3.5.4 Negotiations for the April 2022 pay award have not yet commenced.

3.5.5 The Council seeks to maintain the equality proofed pay and grading structure by subjecting any newly established job or jobs which have significantly changed to a job evaluation assessment. A Joint Job Evaluation Panel, comprising of trained management and trade union representatives will meet as required to consider and determine grading appeals.

3.6 Starting salaries

- 3.6.1 It is the Council's policy that all appointments to jobs with the Council are made at the minimum of the relevant pay grade, although this can be varied where necessary to secure the best available candidate(s).
- 3.6.2 Corporate Lead Officers can authorise a variation of starting salary for all jobs other than those employed on Chief Officer terms and conditions. Full Council will determine the starting salary of the Chief Executive, Corporate Directors and Corporate Lead Officers.

3.7 Other pay-related allowances

- 3.7.1 All other pay related allowances are the subject of either nationally or locally negotiated arrangements and referred to Cabinet and/or Full Council as appropriate (refer to Decision Making for more information).
- 3.7.2 The terms and conditions of employment relating to annual leave, hours of work, overtime payment, weekend working arrangements and sick pay for all employee groups (with the exception of teaching staff) are set out in Appendix D.

3.8 Honoraria Payments

- 3.8.1 There may be occasions when an employee is asked to carry out additional duties to those of their substantive post for a period of time. In such circumstances an additional payment may be made in line with the Council's Honorarium Policy. The policy can be found at Appendix E.

3.9 Market Forces Supplement

- 3.9.1 Job evaluation has enabled the Council to set appropriate pay levels based on internal job size relativities within the Council. However, in exceptional circumstances, it may be necessary to take account of the external pay market in order to attract and retain employees with the necessary specific knowledge, skills and experience.
- 3.9.2 The Council has a Market Forces Supplement Scheme to ensure that the requirement for any market pay supplements is objectively justified by reference to clear and transparent evidence of relevant market comparators, using appropriate data sources. The Market Forces Supplement Scheme can be found at Appendix F. It is the Council's policy that any such additional payments are kept to a minimum and reviewed on a regular basis so that they can be withdrawn where no longer considered necessary.
- 3.9.3 The principles underpinning this Market Forces Supplement scheme are applied to all employee groups within the Council. Where it is proposed to apply a market supplement to a Chief Officer post within the Council, approval must be sought from Full Council. Should the market supplement result in the total pay package exceeding £100,000 approval must be sought from Full Council.

3.10 Local Government Pension Scheme (LGPS)

- 3.10.1 To help people save more for their retirement, the Government now requires employers to automatically enrol their workers into a workplace pension

scheme. Ceredigion County Council participates in the Local Government Pension Scheme. If an employee has a contract of employment for at least 3 months (and is under 75 years of age), they will be automatically enrolled into the LGPS, from the date employment commenced. Opt out provisions apply.

3.10.2 The table below set out the employee contribution rates, which are defined by statute, and are based on a percentage of pensionable pay depending on full time equivalent salary levels. The Employer contribution rate is set by Actuaries advising the Dyfed Pension Fund and reviewed on a triennial basis in order to ensure the scheme is appropriately funded.

Band	Whole-time equivalent pay range	Employee contribution rate	50/50 Section	Employer contribution rate
1	Up to £14,600	5.5%	2.75%	15.8%
2	£14,601 - £22,900	5.8%	2.90%	15.8%
3	£22,901 - £37,200	6.5%	3.25%	15.8%
4	£37,201 - £47,100	6.8%	3.40%	15.8%
5	£47,101 - £65,900	8.5%	4.25%	15.8%
6	£65,901 - £93,400	9.9%	4.95%	15.8%
7	£93,401 - £110,000	10.5%	5.25%	15.8%
8	£110,001 - £165,000	11.4%	5.70%	15.8%
9	£165,001 or more	12.5%	6.25%	15.8%

Rates effective as of 1 April 2021

3.10.4 A triennial valuation will take place during 2022/23 with an effective date of 1 April 2023.

3.10.5 Employees who are members of the LGPS (see above) have the opportunity to join the Salary Sacrifice Shared Costs Additional Voluntary Contributions (AVC) Scheme, assisting employees who wish to increase pension benefits at retirement by paying additional voluntary contributions into the Local Government AVC Scheme.

3.11 Other employee benefits

3.11.1 The Council believes that it has a responsibility to help support the health, wellbeing and welfare of its employees in order to ensure that they are able to perform at their best. As part of this approach and in common with other large employers the council provides a small number of non-pay benefits such as eye test vouchers for users of display screen equipment at work, childcare vouchers via a salary sacrifice scheme (following the Government's closure of such schemes, this benefit is now only available for those who joined the scheme prior to October 2018), salary sacrifice car benefit scheme and participation in the Cycle to Work scheme.

4 DECISION MAKING

4.1 In accordance with the Constitution of the Council, the Cabinet is responsible for setting policy and procedures in relation to the recruitment, terms and conditions, and severance arrangements in relation to employees of the Council.

4.2 Under the Local Authorities (Standing Order) (Wales) (Amendment) Regulations 2014 any decision to determine or vary the remuneration of chief officers, or those to be appointed as chief officers, must be made by Full Council.

5 COLLECTIVE BARGAINING ARRANGEMENTS WITH TRADE UNIONS

5.1 The Council recognises the following trade unions:

5.1.1 *NJC for Local Government Services*

- UNISON
- GMB
- UNITE

5.1.2 *JNC for Chief Officers*

- UNISON
- GMB

5.1.3 *Teachers*

- NAHT
- NASUWT
- NEU
- UCAC
- ASCL

5.2 Recognition is for the purposes of consultation and negotiation on a collective basis in relation to relevant matters, which are not determined by national negotiating bodies, which both parties agree are appropriate / beneficial to be determined by agreement. Negotiations are conducted with the aim of reaching agreement and avoiding disputes. Recognition also relates to representation on an individual trade union member basis.

6 SENIOR PAY REMUNERATION

6.1 Chief Executive

6.1.1 The Chief Executive is the senior officer who leads and takes responsibility of the council. The Chief Executive is the statutory appointed Chief Executive Officer pursuant to S56 of the Local Government and Elections (Wales) Act 2021. The Council is a large and complex organisation with a multi-million pound budget. It has a very wide range of functions and has responsibility for the provision of a wide range of essential services, employing some 3,600 staff.

6.1.2 The role of Chief Executive is a full time and permanent position. The post holder is selected on merit, against objective criteria, following public advertisement. The Chief Executive is appointed by Full Council.

6.1.3 The Chief Executive works closely with Elected Members to deliver the strategic aims of the Council, including the following priorities:

- Boosting the economy;
- Investing in people's future;
- Enabling individual and family resilience;
- Promoting environmental and community resilience.

- 6.1.4 The Chief Executive routinely works in the evenings and on weekends as well as the standard Monday to Friday business week. The Chief Executive also heads the 'on call' arrangements particularly to cover emergency planning arrangements.
- 6.1.5 The current Chief Executive, Mr Eifion Evans, has been in post since October 2017 and has worked for the Council for over 30 years. Mr Evans began his career in the County as a teacher in 1991, before becoming a Headteacher in 1997. In 2007 Mr Evans was appointed Assistant Director of Education Services, he became Director of Education and Community Services in 2009 and Strategic Director - Learning and Partnerships in 2013. Immediately prior to his current role Mr Evans held the role of Deputy Chief Executive
- 6.1.6 With effect from 1 April 2022 (pay award pending), the Chief Executive's salary falls within the pay band £123,442 to £132,060 per annum (please see Appendix B for more details).
- 6.1.7 The Council has a statutory duty to appoint a Returning Officer for specified Elections and Referenda and has appointed the Council's Chief Executive to this role. The Returning Officer is personally responsible for a wide range of functions in relation to the conduct of Elections and Referenda and is paid for discharging these functions in accordance with prescribed fees.
- 6.1.8 Details of the Chief Executive's pay, including any additional payments are published in the Statement of Accounts. This document is published separately.
- 6.1.9 Expenses in relation to car mileage, public transport, overnight accommodation and parking etc. are claimed back in accordance with the Council's Travel and Subsistence Policy.
- 6.1.10 The Chief Executive is a member of the Local Government Pension Scheme and details are disclosed in the Statement of Accounts. There have been no increases or enhancements to the pension outside of standard arrangements.

6.2 Senior Staff

- 6.2.1 For the purposes of this statement, senior staff means 'Chief Officers' as defined within S43 of the Localism Act. The posts falling within the statutory definition are set out in the Council's Constitution as:
- **Chief Officers:**
 - Chief Executive
 - Corporate Director (two roles)
 - **Deputy Chief Officers** (twelve roles):
 - Corporate Lead Officer – Finance and Procurement (Section 151 Officer) (A2)
 - Corporate Lead Officer – Porth Cynnal (Statutory Director of Social Services) (A2)
 - Corporate Lead Officer – Schools and Culture (Chief Education Officer) (A2)

- Corporate Lead Officer – Customer Contact (A1)
- Corporate Lead Officer – Democratic Services (A1)
- Corporate Lead Officer – Economy and Regeneration (A1)
- Corporate Lead Officer – Highways and Environmental (A1)
- Corporate Lead Officer – Legal and Governance (Monitoring Officer) (A1)
- Corporate Lead Officer – People and Organisation (A1)
- Corporate Lead Officer – Policy, Performance and Public Protection (A1)
- Corporate Lead Officer – Porth Cymorth Cynnar (A1)
- Corporate Lead Officer – Porth Gofal (A1)

6.3 Pay

- 6.3.1 From 1 April 2022, (pay award pending) Corporate Director posts attract a salary within the pay band £98,753 to £105,647 per annum (please see Appendix B for more details).
- 6.3.2 From 1st April 2022, (pay award pending) Corporate Lead Officer A2 posts attract a salary within the pay band of £80,052 to £85,190 per annum (please see Appendix B for more details).
- 6.3.3 From 1st April 2022, (pay award pending) Corporate Lead Officer A1 posts attract a salary within the pay band of £73,240 to £78,350 per annum (please see Appendix B for more details).
- 6.3.4 Details of senior staff pay are published in the Statement of Accounts.

6.4 Recruitment of Chief Officers

- 6.4.1 The Council's Policy and Procedures with regard to recruitment of Chief Officers is contained within the Officer Employment Procedure Rules as set out in Part 4 of the Constitution. The determination of the remuneration to be offered to any newly appointed Chief Officer will be in accordance with the pay structure and relevant Council policies in place at the time of recruitment. Any salary package that exceeds the threshold of £100,000 must be approved beforehand by Full Council.

6.5 Additions to Chief Officers' Pay

- 6.5.1 The Council pays a standard mileage rate of 45 pence per mile to Chief Officers (and all other employees) where the Chief Officer uses their private vehicle on Council business. The Council also reimburses any other reasonable expenses, incurred by the Chief Officer on behalf of the council whilst on council business, on production of receipts and in accordance with JNC conditions and other local conditions.
- 6.5.2 The Council does not pay the cost of membership of a professional body for any employee with the exception of those undertaking course of study for a professional qualification, and for the duration of the course only.

6.6 Independent Remuneration Panel

- 6.6.1 Section 143A of the Local Government (Wales) Measure 2011 refers to the Independent Remuneration Panel in Wales ("the IRP") and sets out their functions in relation to salaries of Chief Executives. The IRP may make

recommendations about any policy in this Pay Policy Statement which relates to the salary of the Council's Chief Executive and any proposed change to the salary of the Council's Chief Executive.

- 6.6.2 The Council consulted the IRP during 2021/22 regarding its proposed changes to Chief Executive remuneration. The IRP approved the proposal as submitted for the revision to the Chief Executive pay scale and this revised pay scale was approved by Full Council in September 2021.
- 6.6.3 The Council will, as required, consult the IRP in relation to any change to the salaries of the Chief Executive which is not commensurate with a change of the salaries of the Council's other staff, and will have regard to any recommendation received from the IRP when deciding whether or not to proceed with making the change.

7 TALENT MANAGEMENT

- 7.1 The Performance Appraisal process, as well as placing an emphasis on performance, seeks to put in place individual learning plans, developing the skills necessary not only for current roles, but with a future focus to support career development and succession planning.
- 7.2 The Council's Learning and Development team provide a very wide range of in-house and externally provided training and development options, this includes providing employee access to qualifications via a Corporate Qualifications Panel process which supports employee development at every level of the organisation. Workforce succession planning and career progression is also supported through the provision of specific courses for 'Aspiring Managers' and 'Managing for the First Time'. Entry level apprenticeship positions across the authority provide routes into a variety of careers and also offer a means of early talent identification.
- 7.3 Institute of Leadership and Management (ILM) Qualifications have been introduced to support managers and offer a consistent management qualification across the authority. Three cohorts of ILM Level 4 have enabled 28 completions and a further 15 managers are working towards completion, 15 have progressed on to the Level 5 award and are currently working towards completion. To further develop and support talent and career progression, planning is also underway to introduce delivery of the ILM Level 3 later this year.

8 PERFORMANCE RELATED PAY

- 8.1 The Council does not apply any bonuses or performance related pay to its staff.

9 SUPPORT FOR LOWER PAID STAFF

- 9.1 The Council has committed to continuing discussions with Trade Unions with the objective of introducing the Real Living Wage on an affordable and sustainable basis when circumstances allow. The lowest spinal column point on the NJC pay spine, SCP 1, currently equates to £9.50 per hour which is below the National Living Wage Foundation's real living wage rate of £9.90 per hour.

10 PAY RELATIVITIES WITHIN THE COUNCIL

- 10.1 The lowest paid employee is on £18,333 per annum, in accordance with the minimum spinal column point (SCP 1) of the NJC pay spine for Local Government Services employees. This excludes apprentices who are engaged on different arrangements with training being the main feature of the arrangement and it also excludes agency staff.
- 10.2 The highest paid employee is the Chief Executive and the pay band minimum is £123,442 rising to the pay band maximum of £132,060 (pay award pending for 2022/23). The current post holder earns £132,060.
- 10.3 The median salary in the Council is £19,698, based on salaries as at 31 January 2022.
- The multiple between the lowest paid full time equivalent employee and the Chief Executive's maximum salary is **1:7.1**
 - The multiple between the lowest paid employee and the average of the Chief Officers' maximum salary is **1:4.7**
 - The multiple between the median full time equivalent earnings (excluding teachers) and the Chief Executive's maximum salary is **1:6.6**
 - The multiple between the median full time equivalent earnings (excluding teachers) and the average of the Chief Officers' maximum salary is **1:4.3**

11 EXIT POLICY

11.1 Early Retirement, Voluntary Redundancy and Compulsory Redundancy

- 11.1.1 The Council's approach to statutory and discretionary payments on termination of employment of employees, prior to reaching normal retirement age, is set out within its Employers Discretions Policy (Local Government Pensions Scheme) statement, in accordance with Regulations 5 and 6 of the Local Government (Early Termination of Employment) (Discretionary Compensation) Regulations 2006. Please refer to Appendix G. This is in respect of a redundancy payment being based on actual weekly earnings (Regulation 5) and an enhanced redundancy payment of up to 45 weeks' pay would be granted (Regulation 6). Regulations 12 and 13 of the Local Government Pension Scheme (Benefits, Membership and Contribution) Regulations 2007 do not apply as the Authority does not increase the total membership of active members (Regulation 12) or award additional pension (Regulation 13).
- 11.1.2 All Early Retirement and Voluntary Redundancy expressions of interest are subject to a robust business case, seeking to limit discretionary compensation to an affordable limit, as well as considering the costs of any consequential organisational / pay grade changes.
- 11.1.3 When calculating the value of a severance package, the following payments should be included:
- salary paid in lieu of notice
 - lump sum redundancy / severance payment
 - cost to the Council of the strain on the pension fund arising from providing early access to an unreduced pension.

- 11.1.4 Any severance package in respect of early termination of employment that exceeds a threshold of £100,000 must be approved beforehand by Full Council. Members will be advised of any contractual or statutory elements of the severance package, along with the consequences of withholding these from an employment law context.
- 11.1.5 The Council has operated a Voluntary Redundancy Scheme during the financial year 2021/2022 and the costs relating to employees who exited the Council's employment under this Scheme can be found in the annual Statement of Accounts.

11.2 Chief Officer

- 11.2.1 Any severance package in respect of termination of employment of a Chief Officer must be approved by Full Council.

11.3 Re-employment

- 11.3.1 Employees who leave the Council's employment on grounds of early retirement, severance or voluntary redundancy who are employed in Chief Officer roles will not normally be permitted to return to any paid temporary or permanent Ceredigion County Council employment (which includes schools) or be re-engaged as an agency worker or on a consultancy basis. However, in exceptional circumstances, re-employment may be permitted on the basis of a robust business case where approved by the Chief Executive and Cabinet Member for People and Organisation.
- 11.3.2 Where the re-employment is regarding the post of the Chief Executive or a Chief Officer this decision will require Full Council approval.
- 11.3.3 All other employees who leave the council's employment on the grounds of early retirement or voluntary redundancy will not be permitted to return to employment with the Council for a period of 2 years following their leaving date. However, again, and in exceptional circumstances, earlier re-employment may be permitted if the "employing" Corporate Lead Officer is able to provide a robust business case for doing so which is acceptable to the relevant Corporate Director and Corporate Lead Officer – People and Organisation.

11.4 Flexible retirement

- 11.4.1 Employees are permitted to take flexible retirement in accordance with the provisions of the Local Government Pension Scheme and the Council's Flexible Retirement Scheme.

12 OFF PAYROLL ARRANGEMENTS

- 12.1 Where the Council is unable to recruit to a job under a contract of service, or where there is a need for specialist support for a specific project, the Council will, where necessary, consider engaging individuals under a contract for service. These will be sourced through the relevant procurement process under the Council's Contract Procedure Rules, ensuring the Council is able to demonstrate value for money from competition in securing the relevant service.
- 12.2 Where the contract for service is to provide cover for a vacant post, in addition to ensuring adherence to Contract Procedure Rules, decision making in relation

to the appointment will be in line with the Council's rules in relation to appointments i.e. Full Council will determine appointments at Chief Officer level and Corporate Lead Officers or those acting under their authority will determine appointments at Corporate Manager level and below.

- 12.3 With effect from April 2017, the UK Government introduced "Intermediaries Legislation", known as IR35, reforming tax rules for off-payroll working in the public sector and the Council has implemented the new rules in line with the legislation.

13 PUBLICATION

- 13.1 Upon approval by the full Council, this statement will be published on the Council's website.
- 13.2 The Council will comply with its requirement under the Accounts and Audit (Wales) (Amendment) Regulations 2010 to include in its Annual Statement of Accounts the required information in relation to those employees where the full time equivalent pay is at least £60,000 per annum.

PAY SCALES FOR NJC EMPLOYEES

Last Pay Award: 1 April 2021 (shown below)

Next Pay Award Due: 1 April 2022 (pending)

Grade	Job Evaluation Score Band	Scale Point	Annual Salary (FTE)
Grade 2	200 – 294	1	£18,333
		2	£18,516
Grade 3	295 – 329	3	£18,887
Grade 4	330 – 364	4	£19,264
Grade 5	365 – 399	5	£19,650
		6	£20,043
Grade 6	400 – 434	7	£20,444
		8	£20,852
		9	£21,269
		10	£21,695
Grade 7	435 – 469	12	£22,571
		13	£23,023
		14	£23,484
		15	£23,953
		16	£24,432
Grade 8	470 – 504	18	£25,419
		19	£25,927
		20	£26,446
		21	£26,975
		22	£27,514
Grade 9	505 – 539	24	£29,174
		25	£30,095
		26	£30,984
Grade 10	540 – 579	28	£32,798
		29	£33,486
		30	£34,373
		32	£36,371

Grade 11	580 – 619	33	£37,568
		34	£38,553
Grade 12	620 – 659	35	£39,571
		36	£40,578
		37	£41,591
Grade 13	660 – 699	39	£43,570
		40	£44,624
		41	£45,648
Grade 14	700 – 739	43	£47,665
		44	£48,657
		45	£49,634
Grade 15	740 – 779	47	£51,607
		48	£52,589
		49	£53,576
Grade 16	780 – 1000	51	£55,741
		52	£56,856
		53	£57,992

CHIEF OFFICERS PAY SCALES

Last Pay Award: 1 April 2021 (shown below)

Next Pay Award Due: 1 April 2022 (pending)

CHIEF EXECUTIVE PAY SCALE

Grade	Scale Point	Annual Salary (FTE)
Chief Executive	1	£123,442
	2	£126,316
	3	£129,187
	4	£132,060

CORPORATE DIRECTOR PAY SCALE

Grade	Scale Point	Annual Salary (FTE)
Corporate Director	1	£98,753
	2	£101,052
	3	£103,349
	4	£105,647

CORPORATE LEAD OFFICER PAY SCALE

Grade	Scale Point	Annual Salary (FTE)
A1	1	£73,240
	2	£74,945
	3	£76,648
	4	£78,350
A2	1	£80,052
	2	£81,754
	3	£83,456
	4	£85,190

SOULBURY PAY SCALES

Last Pay Award: 1 September 2021 (shown below)

Next Pay Award Due: 1 September 2022 (pending)

EDUCATIONAL IMPROVEMENT PROFESSIONALS (EIPS)

Scale Point	Annual Salary (FTE)	Scale Point	Annual Salary (FTE)
1	£37,056	26	£68,434
2	£38,383	27	£69,616
3	£39,637	28	£70,815
4	£40,907	29	£72,016
5	£42,168	30	£73,215
6	£43,431	31	£74,404
7	£44,758	32	£75,611
8	£46,035*	33	£76,819
9	£47,522	34	£78,056
10	£48,849	35	£79,291
11	£50,158	36	£80,560
12	£51,425	37	£81,809
13	£52,860**	38	£83,071
14	£54,140	39	£84,316
15	£55,553	40	£85,561
16	£56,831	41	£86,811
17	£58,113	42	£88,061
18	£59,371	43	£89,309
19	£60,668	44	£90,564
20	£61,338***	45	£91,815
21	£62,626	46	£93,069
22	£63,749	47	£94,327
23	£64,985	48	£95,574****
24	£66,094	49	£96,825****
25	£67,278	50	£98,079****

Notes:

Salary scales to consist of not more than four consecutive points, based on the duties and responsibilities attaching to posts and the need to recruit and motivate staff.

- * normal minimum point for EIP undertaking the full range of duties at this level
- ** normal minimum point for senior EIP undertaking the full range of duties at this level
- *** normal minimum point for leading EIP undertaking the full range of duties at this level
- **** extension to range to accommodate structured professional assessments.

EDUCATIONAL PSYCHOLOGISTS - SCALE A

Scale Point	Annual Salary (FTE)
1	£38,865
2	£40,838
3	£42,811
4	£44,782
5	£46,755
6	£48,727
7	£50,584
8	£52,440
9	£54,179*
10	£55,921*
11	£57,544*

Notes:

Salary scales to consist of six consecutive points, based on the duties and responsibilities attaching to posts and the need to recruit, retain and motivate staff.

* Extension to scale to accommodate structured professional assessment points.

SENIOR AND PRINCIPAL EDUCATIONAL PSYCHOLOGISTS SALARY RANGE B

Scale Point	Annual Salary (FTE)
1	£48,727
2	£50,584
3	£52,440*
4	£54,179
5	£55,921

6	£57,544
7	£58,210
8	£59,456
9	£60,690
10	£61,945
11	£63,177
12	£64,431
13	£65,707
14	£66,941**
15	£68,235**
16	£69,514**
17	£70,803**
18	£72,090**

Notes:

Salary scales to consist of not more than four consecutive points, based on the duties and responsibilities attaching to posts and the need to recruit, retain and motivate staff.

* Normal minimum point for the principal educational psychologist undertaking the full range of duties at this level

** Extension to range to accommodate discretionary scale points and structured professional assessments

ASSISTANT EDUCATIONAL PSYCHOLOGISTS

Scale Point	Annual Salary (FTE)
1	£30,694
2	£31,948
3	£33,201
4	£34,448

TRAINEE EDUCATIONAL PSYCHOLOGISTS

Scale Point	Annual Salary (FTE)
1	£24,970
2	£26,798
3	£28,623
4	£30,453
5	£32,279
6	£34,107

ALL EMPLOYEE GROUPS – MAIN CONDITIONS OF SERVICE

ANNUAL LEAVE (pro rata for part time employees)	
<ul style="list-style-type: none"> ➤ Chief Executive ➤ Chief Officers 	33 days per annum 36 days after 10 years' service
<ul style="list-style-type: none"> ➤ National Joint Council (NJC) 	26 days per annum 30 days after 5 years' service 33 days after 10 years' service
<ul style="list-style-type: none"> ➤ Soulbury 	26 days per annum 30 days after 5 years' service 33 days after 10 years' service
HOURS OF WORK	
<ul style="list-style-type: none"> ➤ Chief Executive ➤ Chief Officers 	Minimum of 37 hours per week, together with additional evening, weekend and bank holiday working as required
<ul style="list-style-type: none"> ➤ National Joint Council (NJC) 	Standard working week is 37 hours
<ul style="list-style-type: none"> ➤ Soulbury 	Standard working week is 37 hours
OVERTIME PAYMENTS	
<ul style="list-style-type: none"> ➤ Chief Executive ➤ Chief Officers ➤ Soulbury 	None payable
<ul style="list-style-type: none"> ➤ National Joint Council (NJC) 	Grade 8 and below: time and a half; Grade 9 and above: TOIL or plain time if cannot be taken within 13 weeks.
WEEKEND WORKING PAYMENTS	
<ul style="list-style-type: none"> ➤ Chief Executive ➤ Chief Officers ➤ Soulbury 	None payable
<ul style="list-style-type: none"> ➤ National Joint Council (NJC) 	Grade 8 and below: Saturday – time and a quarter; Sunday – time and a half Grade 9 and above: Saturday & Sunday – plain time

SICK PAY SCHEME		
	During 1 st year of service	1 month's full pay; and after 4 month's service 2 month half pay
➤ Chief Executive	During 2 nd year of service	2 months' full pay; 2 months half pay;
➤ Chief Officers	During 3 rd year of service	4 months' full pay; 4 months' half pay
➤ Soulbury	During 4 th & 5 th years of service	5 months' full pay; 5 months' half pay
➤ National Joint Council (NJC)	After 5 years of service	6 months' full pay; 6 months' half pay

HONORARIUM POLICY

1. Policy Statement

- 1.1 The Council recognises that it may be necessary from time to time to apply an additional payment when an employee is requested to 'act up' into a higher graded post or temporarily undertake additional duties associated with a higher grade.
- 1.2 Where changes to the job are likely to be permanent, the post should be re-evaluated under the Council's Job Evaluation scheme and a formal grade established.
- 1.3 The purpose of this Policy is to ensure that the additional payments are properly considered and implemented on a consistent basis. This policy sets out the criteria that will apply for all posts regardless of the amount of payment involved.

2. Honorarium

- 2.1 An honorarium payment may be made where an employee is requested to undertake some of the duties and/or responsibilities of a higher graded post.
- 2.2 If there is more than one suitable employee, with the appropriate skills and experience to undertake the additional duties and/or responsibilities, then a selection process will need to be followed to determine the best person to undertake those duties and/or responsibilities.
- 2.3 Payment of any allowance or honorarium will only apply to situations of more than one month's duration and backdated to day one.
- 2.4 Any honorarium payment will be for a maximum of 12 months. If there is an expectation that the duration is longer, the post will be re-evaluated using the Council's Job Evaluation scheme.

3. Procedure

- 3.1 Prior to the implementation of the Council's new grading structure, all current honorarium payments will be reviewed as outlined below.
- 3.2 Where an honorarium is in place the basis of which consists of duties that have been incorporated into the job evaluation questionnaire and evaluated the assessed grade will be applicable from the implementation date and the honorarium will cease.
- 3.3 As an additional payment to basic salary the Council is mindful of the Equal Pay position and as such all such payments would be temporary, subject to review and would have to be objectively justified.
- 3.4 A business case must be made by the relevant manager to support the application for an honorarium payment using the "Request for a Honorarium

Payment” form (Appendix 1) and submitted to the departmental Director for approval.

Types of evidence include:

- The reason for the payment, e.g. to cover for long term absence, or to undertake a specific piece of work
- Details of the post affected and the grades of the substantive and potential higher level post
- Whether the extent of the duties are full or partial, if partial then a percentage must be given
- Cost – calculation of the amount per month the employee would be entitled to receive.

3.5 In such cases the full amount or percentage of the difference between the existing salary and the minimum salary of the higher grade should be paid.

3.6 Where longer term situations may apply, e.g. maternity cover, consideration should be given to advertising the post following the Council’s normal recruitment procedure.

3.7 Employees in receipt of a protected salary that undertake acting up duties higher than their evaluated post but less than their protected salary are not entitled to receive an additional payment.

4 Method of payment

4.1 The above payments can be made as a regular monthly amount if the details are known in advance, or they can be made as a retrospective one-off payment at the end of the relevant period.

5 Consultation

5.1 Directors have delegated powers to grant the payment of Honoraria. In order to ensure consistency, Directors must consult with the Head of Corporate Human Resources when considering payments under this scheme and forward a copy of the “Request for a Honorarium Payment” form. The Head of Corporate Human Resources will forward the form to Payroll Section for payment purposes.

MARKET FORCES SUPPLEMENT

1. Policy Statement

- 1.1 Ceredigion County Council is committed to ensuring that all employees receive equal pay for work rated as equivalent.
- 1.2 In so doing the Council recognises that it may be necessary from time to time to apply a market force supplement to the assessed grade of a job. Usually this will be as a result of a skills shortage in the jobs market (local or national) or because the market rate for a particular skill set is higher than that determined by local job evaluation and the pay and grading structure.
- 1.3 It is clear that whilst the process of job evaluation will offer outcomes that satisfy equal pay considerations there are potential difficulties for some posts in terms of recruitment & retention. Although meeting the Equal Pay provisions the rate of pay for certain posts may compare unfavourably with a similar post elsewhere.
- 1.4 Where this is the case, a supplement may be added to the grade of the job. Supplements shall be clearly expressed as such in employment documents. Annual reviews will be applied on the anniversary of the implementation of the supplement. Market force supplements may be withdrawn subject to written notice of not less than 3 months.
- 1.5 The purpose of this Policy is to ensure that the attachment of market supplements to posts are properly considered and implemented on a consistent basis.

2. Objective Justification

- 21 If the pay of a particular job is to be enhanced to reflect market conditions it is necessary to demonstrate that there are 'objectively justified grounds', i.e. that recruitment and retention difficulties exist in relation to the job(s) concerned which would result in actual or foreseeable organisational and/or operational problems.
- 22 Equal Pay considerations should be taken into account and the possibility of an equal pay challenge assessed. The Council will not be able to rely on the fact that the market suggests that certain jobs, usually done by women are paid less than jobs usually done by men because the market rate may itself be based on discriminatory assumptions. The overriding principle of the decision must be based on what the Council needs to pay to get the person needed to fill the vacancy.
- 23 Other considerations when making this decision should also be taken into account such as operational issues and the reputation of the Council which may suffer if key services are not fully staffed.

- 24 In addition there is a need to show that the comparator job is substantially the same in terms of duties and responsibilities and that there are no material differences in the overall reward package i.e. holiday entitlement, sick pay scheme, flexible working arrangements. These are not cash rewards but could account for the lower rate of pay.
- 25 The application/renewal/withdrawal, of a market force supplement is subject to approval of the relevant Head of Service, in consultation with the Group Manager – Human Resources.
- 26 Market force supplements will apply equally to all staff in the particular job (or specialist area). Costs will be met from the relevant service area.

3. Evidence

- 3.1 The business case for such supplements has to provide objective justification with supporting evidence. Anecdotal evidence is not sufficient.

Types of evidence include:

- salary benchmark data, what is the 'going rate' for the job?
- evidence of any recent (unsuccessful) recruitment processes, e.g. How has the post been advertised in the past? Has the correct media been used? What is the response rate to adverts? What is the turnover rate for the post?
- the level and overall cost of the recommended supplements,
- any alternative measures that have been, or could be, considered, e.g. could the post be remodelled to deliver the service required?
- the operational and/or reputational risks
- details of any perceived detrimental impact on service delivery or failure to recruit (or retain) the right calibre of employee(s).
- details of any potential knock on effects and how they might be resolved, e.g. maintenance of pay relativities between posts within a section or work group

4 Payment

- 4.1 Having obtained the necessary pay data, an assessment will be made as to whether a market supplement needs to be applied and, if so, the actual value of the supplement.
- 4.2 Each application is to be dealt with on a case-by-case basis and will require objective justification using the pro forma shown in Appendix I and II, before approval by the relevant Head of Service.
- 4.3 The market supplement will be kept separate from the agreed rate of pay for the post. This must be made clear when undertaking recruitment to vacant posts and also upon the recruitment of successful candidates. Employees need to understand that the market supplement payment can vary year on year or cease completely.

- 4.4 Employees occupying or appointed to posts that attract a market supplement will be given written confirmation detailing the amount of the payment, the arrangements for review and how any subsequent changes will be implemented. A standard letter for this purpose can be found at Appendix III.
- 4.5 Payment will be as an allowance in addition to the monthly salary and (as it is based on incremental points) will be subject to annual cost of living pay awards. As it forms part of an employee's pay it will be pensionable.
- 4.6 Where appropriate, supplements will be paid pro-rata to the hours worked.

5. Calculation of a Market Supplement

- 5.1 All supplements will be calculated as additional increments based on the evidence supplied and will be the nearest increment below the comparator salary. The payment should be set at a level that is considered will alleviate the recruitment & retention/operational difficulties but which is not excessive and can be justified in terms of salary paid to the comparator jobs in the market place.
- 5.2 The purpose, justification and extent of any market supplement must be transparent, and records must be maintained to demonstrate this, so that the Council can respond effectively to any challenge regarding the rationale for such a payment.

6. Timescales

- 6.1 In order to ensure the continued fairness and equity of the pay structure and that the payment is still justified and appropriate, supplements will be subject to annual review.
- 6.2 Following the review a decision should be made by the Head of Service in conjunction with the Job Evaluation Team and the appropriate Trades Union as to whether to withdraw the supplement from the post(s) concerned, retain the supplement at its current value, or adjust the amount to be paid.
- 6.3 Market force supplements may be withdrawn subject to written notice of not less than 3 months.

7. Appeal

- 7.1 An employee may believe that full consideration relating to the application / renewal / withdrawal of a supplement has not been given and may want to appeal this decision.
- 7.2 To appeal, an employee must write to the Chief Executive, setting out the grounds for the appeal within 14 days after receiving written notice of the decision on the entitlement, or variance, to the supplement.

- 7.3 The Chief Executive must arrange a meeting with the employee to discuss the appeal within 14 days of the written appeal letter. The employee has a right to be accompanied at this meeting. After the meeting has been held the Chief Executive will write to the employee within 14 days notifying the employee of the outcome of the appeal.
- 7.4 If it is not possible to respond within that timescale the employee should be given an explanation for the delay and told when a response can be expected, but no longer than a further 14 days.
- 7.5 This acts as written notice of the appeal outcome and constitutes Ceredigion County Council's final decision and is effectively the end of the formal procedure within the workplace.
- 7.6 An employee who fails to attend the appeal meeting without notification should contact the Chief Executive as soon as possible to explain their absence. The Chief Executive should rearrange the meeting at the next mutually convenient time. It is important that reasonable notice of the meeting is given. If the employee fails to attend a meeting more than once and does not provide a reasonable explanation, the application will be treated as having been withdrawn. In such circumstances, the Chief Executive will write to the employee confirming that the application is now considered withdrawn.

8. Right of Accompaniment

- 8.1 Employees have the right to be accompanied by their Trade Union Representative or work colleague at any meetings arranged to discuss the withdrawal of a supplement or subsequent appeal.
- 8.2. If the person accompanying the employee is unable to attend the meeting, the employee should re-arrange the meeting for a date within 7 days of the originally proposed time, ensuring the new time is convenient to all parties; or, consider an alternative individual to accompany the employee to the meeting.



Local Government (Early Termination of Employment) (Discretionary Compensation) (England and Wales) Regulations 2006 (as amended)

Under Regulation 7 of the Discretionary Compensation Regulations, each authority (other than an Admitted Body) is required to formulate and keep under review a policy which applies in respect of exercising their discretion in relation to:

Discretion	Regulation	Policy
<p>To base redundancy/severance payments on an actual weeks pay where this exceeds the statutory weeks' pay limit.</p>	<p>5</p>	<p>To pay redundancy/severance/compensation based on actual pay</p>
<p>To award lump sum compensation of up to 104 weeks' pay in cases of redundancy/severance, termination of employment on efficiency grounds, or cessation of a joint appointment.</p>	<p>6</p>	<p>Redundancy Release of pension benefits where age 55 attained at date of termination with statutory redundancy weeks uplifted by a factor of 1.5 (i.e. a maximum of 45 weeks). Such compensation to include statutory redundancy pay values. By election, individuals would be able to convert the difference between statutory redundancy and actual compensation awarded to purchase additional pension via GAD provided factors.</p> <p>Efficiency Termination Release of pension benefits only where age 55 attained by date of termination.</p> <p>Severance Where there is a mutual agreement for the release of an individual under the Council's Severance Scheme the</p>

		<p>Authority will use its discretion under Regulation 5 to give compensation payments based on actual salary. The discretionary severance payments will be based on the statutory redundancy ready reckoner with the number of week's entitlement based on age and Service, with a multiplier to be applied of 1.5, and limited to a maximum of 45 weeks. The voluntary severance payment is inclusive of the statutory redundancy payment. Where an individual has reached aged 55 they will also receive release of unreduced pension benefits built up to the date of termination. 2 years continuous qualifying service is required to access these compensation arrangements.</p>
<p>To award compensatory added years to a person aged 50 or over with 5 or more years membership (or notional membership) of the LGPS in cases of redundancy, termination of employment on efficiency grounds, or cessation of a joint appointment which occurred after 30th September 2006 and before 1st April 2007 (but only if employment had commenced pre 1st October 2006)</p>	<p>11(2)</p>	<p>Not to apply this discretion</p>

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