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Cyngor Sir
CEREDIGION
County Council

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Aberaeron, Ceredigion SA46 0PA
ceredigion.gov.uk

9 September 2021

Lisa Evans

01545 574177

Dear Sir / Madam

I write to inform you that a Meeting of the Overview and Scrutiny Co-ordinating Committee will be held remotely by video-conferencing on Wednesday, 15 September 2021 at 10.00 am for the transaction of the following business:

1. **Apologies**
2. **Disclosures of personal interest (including whipping declarations)**
Members are reminded of their personal responsibility to declare any personal and prejudicial interest in respect of matters contained in this agenda in accordance with the provisions of the Local Government Act 2000, the Council's Constitution and the Members Code of Conduct. In addition, Members must declare any prohibited party whip which the Member has been given in relation to the meeting as per the Local Government (Wales) Measure 2011
3. **Cylch Caron Update (Pages 3 - 4)**
4. **Minutes of the Ceredigion Public Services Board (PSB) meeting held on the 12th July 2021 and the Ceredigion Local Well-being Plan Annual Report 2020-21. (Pages 5 - 88)**
5. **'A Fair and Equal Ceredigion.' Strategic Equality Plan (SEP) Monitoring Report 2020-21 (Pages 89 - 184)**
6. **Draft Well-being & Improvement Objectives Annual Report 2020/21 (Pages 185 - 232)**
7. **Report on the Council's use of the Regulation of Investigatory Powers Act 2000 ('RIPA') (Pages 233 - 342)**
8. **CYSUR/CWMPAS Combined Local Operational Group Safeguarding Report Qtr 4 2020/21 (Pages 343 - 386)**
9. **Draft Forward Work Programme (Pages 387 - 400)**
10. **To confirm minutes of the Coordinating meeting held on 16 June 2021 and to consider any matters arising from those minutes (Pages 401 - 404)**

11. Any other matter that the Chairman decides is for the urgent attention of the Committee

Members are reminded to sign the Attendance Register

A Translation Services 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 Overview and Scrutiny Co-ordinating Committee

The remaining Members of the Council for information only.

Cyngor Sir CEREDIGION County Council

REPORT TO: Coordinating Overview and Scrutiny Committee

DATE: 15 September

LOCATION: Council Chamber, Penmorfa

TITLE: Cylch Caron Update

PURPOSE OF REPORT: To advise Committee Members of the current situation in relation to the Cylch Caron Project

REASON SCRUTINY HAS REQUESTED THE INFORMATION: Update on the Cylch Caron project

BACKGROUND:

The Cylch Caron project will deliver a single site GP surgery, community pharmacy, outpatient clinics, community nursing and social care facilities, as well as extra care housing in Tregaron. This scheme will provide an integrated rural model of community care and housing and provide a replacement for Tregaron Hospital and Bryntirion Residential Care Home.

This is a partnership project between Ceredigion County Council and Hywel Dda University Health Board, along with Welsh Government.

Current position

Following the loss of Mid Wales Housing Association (subsequently Barcud) by mutual consent as a development partner for the scheme all other partners remain fully committed to the delivery of an Integrated Resource Centre in Tregaron – Cylch Caron.

The Senior Responsible Officer (SRO) Mr Peter Skitt, continues to lead a dedicated Board of representatives including partners and stakeholders who will continue to drive the strategic aims and the delivery plan for this project.

A working group of Health Board and Council officers are currently reviewing and updating the business case in preparation for progression of the scheme with a view to initiating a retendering for the development partner in the autumn of 2021.

The next step for the partnership project will be to arrange a 'Meet the Buyer' event in order to re-establish the process of attracting a new development partner. A formal tender process is being prepared which will follow the 'Meet the Buyer' event.

RECOMMENDATION (S): To note the information contained within the report.

REASON FOR RECOMMENDATION (S): To update the Coordinating Overview and Scrutiny Committee pre tender launch

Contact Name: Nerys Lewis

Designation: Services Manager – Direct Services, Adult Services

Date of Report: 22.07.2021

Acronyms: None

Cyngor Sir CEREDIGION County Council

REPORT TO:	Overview and Scrutiny Coordinating Committee
DATE:	15 th Sept 2021
LOCATION:	Virtual meeting
TITLE:	Ceredigion Public Services Board (PSB) meeting held on the 12 th July 2021 and the Ceredigion Local Well-being Plan Annual Report 2020-21.
PURPOSE OF REPORT:	To provide an opportunity for the Overview and Scrutiny Coordinating Committee to scrutinise the decisions made or actions taken by the Ceredigion PSB.
REASON SCRUTINY HAVE REQUESTED THE INFORMATION:	As the designated Scrutiny Committee for taking an overview of the overall effectiveness of the PSB.

BACKGROUND:

Under Section 35 of the Well-being of Future Generations (Wales) Act 2015, Local Authorities are required to ensure their Overview and Scrutiny Committees have the power to scrutinise decisions made, or other action taken, by the Public Services Board for the Local Authority area in the exercise of its functions.

DRAFT MINUTES OF THE CEREDIGION PSB MEETING HELD ON THE 12th JULY 2021

The draft minutes of the Ceredigion PSB meeting held on the 12th July 2021 are presented to the Committee and can be seen in **Appendix 1**.

The most recent reports from the PSB Project Groups, as presented to the PSB, are included as **Appendices 2.1 to 2.5** below:

- 2.1** Climate Change and Natural Resources Project Group – 10th June 2021
- 2.2** Understanding Our Communities Project Group – 21st May 2021
- 2.3** Co-location and Integration of Frontline Services Project Group – 7th June 2021
- 2.4** Enterprise and Innovation Project Group – 26th May 2021
- 2.5** Resilience Training Project Group – 8th June 2021

CEREDIGION LOCAL WELL-BEING PLAN ANNUAL REPORT 2020-21

It is incumbent on the PSB to submit a copy of the Well-being Assessment, the Local Well-being Plan and each annual report to the Welsh Ministers, the Commissioner, the Auditor General for Wales and the council's relevant Overview and Scrutiny Committee, and published on the PSB's website.

In accordance with this responsibility and the report framework agreed by this Committee in

June the Ceredigion Public Services Board has now approved the Ceredigion Local Well-being Plan Annual Report 2020-21 at its meeting on the 12th July. This report is now presented to the Committee and a copy can be seen in **Appendix 3**.

WELLBEING OF FUTURE GENERATIONS:	Has an Integrated Impact Assessment been completed? If not, please state why	Not completed as the report is not a Policy or Service change.
	Summary:	
	Long term:	
	Integration:	
	Collaboration:	
	Involvement:	

RECOMMENDATION (S):

- i. To receive the draft minutes of the Ceredigion PSB meeting held on 12th July 2021.
- ii. To receive the most recent report for each of the PSB Project Groups as presented to the PSB.
- iii. To receive the Ceredigion Local Well-being Plan Annual Report 2020-21.

REASON FOR RECOMMENDATION (S):

In order for the Overview and Scrutiny Coordinating Committee to carry out their role of taking an overview of the overall effectiveness of the PSB.

Contact Name:	Alun Williams
Designation:	Corporate Lead Officer, Policy and Performance
Date of Report:	26.7.21
Acronyms:	Public Services Board (PSB)

Meeting 26

12th of July 2021, 14:00pm

Virtual Meeting via Zoom

MINUTES

Present:

Cllr Ellen ap Gwynn (EaG)	Chair, Ceredigion County Council
Russell Hughes-Pickering (RHP)	Ceredigion County Council
Hazel Lloyd-Lubran (HLL)	CAVO
Iwan Cray (IC)	Mid and West Wales Fire and Rescue Service
Duncan Hamer (DH)	Welsh Government
Ch. Insp Christina Fraser (CF)	Dyfed Powys Police
Ros Jervis (RJ)	Public Health Wales
Anna Bird (AB)	Hywel Dda University Health Board
Cllr Elwyn Williams (EW)	Mid and West Wales Fire and Rescue Service
Eifion Evans (EE)	Ceredigion County Council
Christine Harley (CH)	HM's Prison & Probation Service
Yvette Eley (YE)	National Resources Wales

PSB Support team:

Diana Davies (DD)	Corporate Manager, Partnership and Performance (CCC)
Sara Dafydd (SD)	Partnerships Officer (CCC)
Manon Horscroft (MH)	Support Officer (CCC)
Lynne Walters (LW)	Partnerships Officer (CCC)

Also in attendance:

Rob Starr (RS)	Ceredigion County Council
Amy Richmond-Jones (ARJ)	Mid and West Wales Fire and Rescue Service
Caitlin Theodorou (CT)	Ceredigion County Council
Cllr Rowland Rees-Evans (RRE)	Ceredigion County Council

26.1	Apologies, introductions & disclosures of interest
<p>The Chair began the meeting by welcoming all. There were no disclosures of interest.</p> <p>Apologies: Steve Moore, Hywel Dda University Health Board Alun Williams, Ceredigion County Council Maria Battle, Hywel Dda University Health Board Matt Morden, Coleg Ceredigion/Sir Gar Helen Powell, Department of Work and Pensions Dr Andrew Cornish, Coleg Sir Gar/ Coleg Ceredigion Gwilym Dyfri Jones, University of Wales Trinity Saint David Rhodri Llwyd Morgan, Aberystwyth University Gillian Wells, Natural Resources Wales Pat Smith, Department of Work and Pensions</p>	
26.2	Minutes of previous Ceredigion PSB meeting – 22.02.21
<p>The minutes from the meeting held on 26.04.21 were agreed as a true record.</p>	
26.3	Matters arising from previous meeting
<p>There were no matters arising from the previous meeting.</p>	
26.4	Re-connecting Nature Presentation- Dr Yvette Eley, NRW
<p>The Chair began by sending her deepest condolences on behalf of the whole board to Gillian Wells on her recent bereavement and the sad loss of her father.</p> <p>In the absence of Gillian Wells, Dr Yvette Eley provided members of the PSB with a presentation on “Re-connecting Nature” scoping report. In December 2020, following confirmation of funding from Natural Resources Wales an open tender process was held by Ceredigion County Council, acting on behalf of Ceredigion PSB and the Climate Change and Natural Resources Project Group and Resources for Change Ltd were commissioned to prepare a scoping report. The aim of the project was to identify publicly owned land across the county that would be accessible and would promote biodiversity and health and well-being.</p> <p>The report, which had been circulated to members in advance of this meeting, provides a compilation of a long list of over 170 publicly owned sites with the potential for</p>	

ecological/community enhancement. YE noted that when the tender document was originally submitted, understandable adaptations were subsequently required as a direct result of continued COVID-19 restrictions. These adaptations, which centred on being unable to undertake site visits led to an amendment in the project outcomes resulting in assemblages of sites being identified. In total seven selections of projects were identified throughout the county and these were linked to appropriate themes to reflect the characteristics and priorities of areas. Individually and collectively, these projects are able to demonstrate a variety of opportunities for interaction and development within communities.

The seven selected project sites are namely :

1. **Aberaeron-** Creation and Restoration of Semi natural Grassland.
2. **Aberystwyth-** Community Wildlife Projects.
3. **Cardigan-** Afon Teifi and Pollinators.
4. **Lampeter-** Woodland and Freshwater Wildlife.
5. **Llandysul-** Creation and Restoration of Semi natural Grassland.
6. **Llanilar-** Circular Wildlife Walk.
7. **New Quay to Llanarth-** Coastal scrublands and water quality.

YE noted that the report focused on overcoming barriers to participation and consideration had been given to what needed to be undertaken in order to improve the diversity and access required by people who make usage of the green spaces across Ceredigion. Considerations which have been taken into account include the following:

- Overcome physical and psychological barriers.
- Breadth and diversity of ideas to take forward.
- Community art to draw new audiences.
- Creating wildlife refuges (e.g. bird and bat boxes) to attract craft and community groups.
- Creation of circular walks that do not depend on access to cars or public transport.
- Production of apps and/or leaflets to encourage participation.

To conclude her presentation YE covered the final section of the report which had identified a range of funding/grants available. A range of grants between £10,000 as an upper limit and £500 as a lower limit had been identified by Resources for Change Ltd as being potentially suitable for individual project actions to be taken forward.

These project ideas now need anchor organisations to be identified for moving them forward to an implementation phase and the support and assistance of PSB partners was requested. It was agreed that these will be considered in greater detail as funding opportunities are presented and each partner agreed to discuss the content of the report with colleagues.

YE was thanked for her informative presentation and for addressing the points raised during the positive discussion which followed.

During this discussion Ros Jervis (RJ), who was welcomed back, having not been able to attend PSB meetings for the last 18 months as a direct result of Covid-19, raised a query in terms of actively securing community participation for all. She referred to the regional Social and Green Solutions for Health symposium held at the University of Wales, Lampeter in January 2020 and the opportunity to consider the feedback alongside the Resources for Change report. These opportunities included direct reference to the provision of integrated services for those who are mentally and physically disabled. RJ welcomed further details on overcoming physical and psychological barriers and it was agreed that these points would be reported back to the Climate Change and Natural Resources Project Group at their next meeting later this month.

At this point RJ also wanted to confirm the importance of the identification of engagement leads within communities and thanked everyone for the warm welcome back to today's meeting.

ACTION: Dr Yvette Eley to liaise with the PSB Support Team and Climate Change Project Group and share further details of the Action Plan with PSB members once available.

At this juncture, Hazel Lloyd-Lubran (HLL) raised the matter of Project Group work plans moving forward. HLL stated that from discussions with other Project Group Chairs it is felt that we are currently in a transition phase where focus is shifting to the gathering of thoughts and ideas for the next Local Well-being Plan 2023-28. It was suggested that the focus now needs to be on how the remaining period within the current plan can be utilised as a transition phase to maximise impact. Due to Covid-19 capacity has been a great issue within the Project Groups and HLL emphasised that with an increased focus a lot can be done whilst working together in partnership. Consideration was given to a possible place based approach for the future work of the PSB and its groups and HLL suggested that by utilising a pilot based delivery framework this could benefit future actions and inform the new Local Well-being Plan.

A discussion ensued and the PSB requested for the Project Group Chairs to discuss this proposed change in approach at their individual Project Group meetings during July and August with a view to presenting a revised place based delivery framework to the PSB at its next meeting in September for consideration.

DECISION: The PSB agreed to review the current delivery framework with a view to move to pilot a place based approach for the remainder of the current Local Well-being Plan.

ACTION: The PSB Project Group Chairs to hold meetings of their respective groups during July and August in order to present the view of the PSB and to seek their input into themes and project ideas for the new place based delivery framework pilot. The new delivery framework to be presented for consideration at the next PSB meeting in September.

26.5 Ceredigion Local Well-being Plan Annual Report 2020/21

Lynne Walters (LW) provided a brief update to members on the work completed on the Local Well-being Annual Report for 2020-21. A copy of the Annual Report 2020-21 had been circulated to all members for their consideration prior to this meeting and in a similar approach to last year LW confirmed that the guidance released by WG requested a brief report within the context of COVID-19.

A reflection of the work undertaken throughout the year is included in the Annual Report and it has been organized around three areas of consideration for each Project Group, namely;

1. To revisit key priorities.
2. To provide details of individual activities from each group including any task and finish groups established.
3. Consideration of future priorities.

LW also highlighted that in addition to the 6 Project Groups information is also included within the report of the activities of the PSB Subgroups with particular attention on the Poverty Subgroup, the Refugee Resettlement Group and the Ceredigion Bilingual Futures Forum.

Following discussion relating to the content of the Annual Report all members approved the document and it was agreed that it would be published on the Ceredigion PSB website and copies sent, in line with agreed procedures to the Future Generations Commissioner for Wales, Audit Wales and Welsh Government.

DECISION: The PSB approved the Ceredigion Local Well-being Plan Annual Report 2020-21.

26.6 PSB Project Group Updates

i. Enterprise and Innovation:

Russell Hughes-Pickering (RHP) updated members on the previous Project Group meeting and emphasised that the focus for members would be on two priorities. These priorities would be based on ensuring an understanding of the range of interventions available to support and encourage business establishment, survival and development and a consideration of the changing make-up of market towns. RHP raised that during the meeting only two Private Sector attendees were present and he noted that this limited attendance has been an issue in this Project Group. The Chair RHP felt the time is now

opportune to address this matter and he endorsed the matter raised by HLL earlier in the meeting to consider a place-based approach to joint action.

ii. Social and Green Solutions for Health:

The Chair RJ reported that understandably this Project Group has not met due to COVID-19. RJ noted that her whole capacity has been towards dealing with the pandemic and the requirement for the urgent implementation of the biggest mass vaccination programme ever experienced.

iii. Climate Change and Natural Resources:

YE had nothing further to report on behalf of the Chair Gillian Wells and the Project Group Report was accepted.

iv. a) Understanding our Communities:

Hazel Lloyd-Lubran (HLL) provided an update on the last meeting held on the 21st of May. The Project Group have created a subgroup to support the process of drawing up the new Assessment of Local Well-being. Emphasis has been placed on the identification of engagement leads and the creation of an information pack for those interested in facilitating short discussion sessions as part of the information gathering process. It was emphasised that the priority must be placed upon encouraging as many people as possible to become involved in the engagement. HLL also noted that the Project Group has started to consider the development of a co-operative budgeting scheme in the New Quay area which will build upon the previous consultancy work undertaken by Rural Futures.

b) Understanding our Communities – Reopening of Community Venues Panel

HLL provided a brief update that the panel are continuing to meet weekly offering support to Community Venues. The panel are currently arranging another briefing session to update those organizing any activities in their community venues as the provision of information to allow this to happen in an organised fashion is essential.

V. Co-location and Integration:

Iwan Cray (IC) informed members of the key actions that had taken place in this Project Group. The main agenda item at its last meeting was centred around a Facilitated Workshop provided by Rob Starr on the Assessment of Local Well-being. The report for this Project Group was accepted and to conclude his overview IC also noted his agreement to a place based delivery framework for the PSB in moving forward.

Vi. Resilience Training:

Sara Dafydd (SD) provided a brief update to members in the absence of the Project Group Chair, Matt Morden. It was noted that the Chair had informed the PSB of concerns regarding regular partner attendance at meetings in April. It was also noted that the Chair had asked, given the current challenges around capacity, whether there continued to be an appetite for a shared resilience training resource to be established across PSB

organisations. This matter is set to be discussed by the Project Group at their next meeting. It was noted that whilst meetings had been well supported by the Local Authority, CAVO, Aberystwyth University, MAWWFire & Rescue Service and UWTSO, unfortunately other PSB organisations had not actively involved themselves in the work of the group and this was now reflected in the resource being developed. It was confirmed that in-line with all other Project Groups Rob Starr, Performance & Research Manager had facilitated an interactive workshop session focussed on the Assessment of Local Well-being and this had been welcomed by meeting attendees. To end SD noted that the Chair Matt Morden, had informed the Project Group of his retirement from his post at Coleg Sir Gar/ Coleg Ceredigion and as a result will be stepping down as the Chair of this Project Group.

26.7 Assessment of Local Well-being

Rob Starr (RS) provided a brief update on the progress of the work being undertaken on the Assessment of Local Well-being. Reports had been circulated prior to the meeting for member information. It was highlighted that the main points which members now needed to be made aware of is that data leads have now been identified in each member organisation and these will prove vital as the work progresses. It was reported that the team had successfully managed to host engagement workshops for the assessment with each Project Group during May/June and these had provided an excellent opportunity to receive input and feedback across different PSB partners on the themes and the overall approach to the engagement activity.

RS noted that the main focus at the moment is the work which is being undertaken with the Regional Survey group. The team are currently evaluating the feedback and collating the evidence in order to inform the next step of the engagement process. The intention is to undertake a Regional Well-being Survey, very similar to the format used last time, during August and September. RS confirmed that the draft would be circulated to PSB members.

ACTION: Rob Starr and the Research Team to circulate the draft survey to PSB members once available.

ACTION: Rob Starr and the Research Team to circulate a draft copy of the Stakeholder Toolkit and Engagement Brief for PSB members once available.

It was noted that the Regional Well-being Project Coordinator, employed through the PSB Support Grant, will commence in post on the 2nd of August.

As part of his update RS went through a paper on proposed Community Areas for the assessment. A detailed paper had been circulated to members prior to the meeting and

following discussion it was agreed that the MSOA's Community Areas would be adopted for the assessment.

DECISION: The PSB agreed to utilise the MSOA's as the Community Areas for the Ceredigion Assessment of Local Well-being.

26.8	Feedback from Ceredigion County Council Co-ordinating Overview and Scrutiny Committee
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Diana Davies (DD) provided a brief update on behalf of Cllr Rowland Rees-Evans. The minutes from the Ceredigion County Council Co-ordinating Overview and Scrutiny Committee held on the 16th June had been shared with members. The outline for the Annual Report had been discussed at the Committee along with the minutes of the previous PSB meeting and accompanying Project Group report cards. DD thanked HLL for attending the Co-ordinating Overview and Scrutiny Committee, where the Annual Report section for the Understanding Our Communities Project Group was discussed. Members of the Scrutiny Committee had also thanked HLL and the Project Group members for their work throughout the year.

Following approval of the Local Well-being Plan Annual Report today, the final report will be presented to the Co-ordinating Overview and Scrutiny Committee meeting which will be held on the 15th September, 2021.

ACTION: The final Local Well-being Plan Annual Report 2020-21 to be presented to the Co-ordinating Overview and Scrutiny Committee meeting on the 15th September.

26.9	Any Other Business
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The Chair closed the meeting by thanking all for attending and for their continued contributions to the discussions.

26.10	<u>Date of next meetings:</u> 17th of September 2021 , 10:00-12:00 18th of November 2021 , 13:30-15:30
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PSB Project Group Report

Prepared by: Manon Horscroft Date: 10.06.2021

Well-being Plan Aim	Create environmentally responsible and safe communities that can adapt and respond to the effects of climate change.	
Our Values	Welsh Language, Tackling Inequalities, Involvement, Sustainability, Leading By Example	
Project Group Name	Climate Change and Natural Resources	
Chair Vice-Chair	Gillian Wells , Natural Resources Wales Sarah Davies, University of Wales, Aberystwyth	

Project Group Membership (Names in bold signify attendance at meeting)			
Ceredigion County Council (CCC)	Cllr Alun Williams , Rhodri Llwyd, Diana Davies, Rob Starr , Alison Heal, Gareth Evans, Julie Thomas , Michael Smith , Manon Horscroft , Lynne Walters , Caitlin Theodorou , Carwyn Jones-Evans, Bethan Lloyd-Davies	Dyfed Powys Police	Andrew Merry
NHS	Anna Bird, Terri Shaw, Paul Williams	Natural Resources Wales	Gillian Wells , Yvette Eley , Carol Fielding, Aneurin Cox, Rachel Jarvis
MAWWFS	Amy Richmond-Jones, Jessica Millard	Ceredigion Association of Voluntary Services	Kate Naidoo

University of Wales Aberystwyth	Sarah Davies	Additional member	Roger Fisher, Mari Hopkins
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SYNOPSIS OF PROJECT GROUP MEETING

Key Points discussed at Project Group meeting:

Presenter: Teresa Walters (Severn Wye)

Apologies: *Paul Williams, Anna Bird, Kate Naidoo, Rhodri Llwyd*

The Chair began the meeting by welcoming all. It was agreed that most actions from the meeting held on the 08.04.21 have now been complete and the remaining matters were included on today's agenda. It was confirmed that due to the absence of Kate Naidoo today a further update on the Be Kind to your Environment campaign would be included on the agenda for the next meeting.

ACTION: Gillian Wells and Yvette Eley to share NRW's PEAT's Policy with Project Group members.

ACTION: The Be Kind to the Environment Campaign to be placed on the Agenda of the next meeting.

Re-connecting and improving existing connections with nature

Lynne Walters (LW) provided a brief update and mentioned that one element of this work that is now moving forward with the preparation of a funding bid. This is being taken forward by Alison Heal as the EOI, which she recently submitted to the Nature Network fund and has received positive feedback and a full application has been requested. The positive response has come following initial assessment and the full bid has a closing date of the 30th of June. The bid is specifically considering the reduction of phosphates in Afon Teifi. The task and finish group had a meeting last Thursday and each member has agreed to consider the collation of information which will be used as evidence to support the proposal, The Rivers Trust/Afonydd Cymru is also working closely with the group.

Julie Thomas (JT) also provided information which confirmed that Afonydd Cymru would be concentrating on assembling data sets to support a detailed submission.

At this point in the meeting Gillian Wells also confirmed that as agreed at the last PSB meeting on the 26th April she would be provided a presentation on this project in order to highlight the importance of working on this project across

the boundaries of the Project Group. Support for future implementation is required beyond the parameters of the Climate Change and Natural Resources Project Group and this can be achieved with the support of the PSB.

ACTION: Alison Heal to provide an update on this element of the Re-connecting and improving existing connections with Nature report at the Project Group meeting in July.

ACTION: Gillian Wells to provide feedback to the project group following her presentation at the next PSB meeting which will be held on the 12th July.

AnTir Project

Teresa Walters (TW) was welcomed to the meeting and provided information on the work being undertaken by the AnTir Project. AnTir is a 7-year project delivering training and wellbeing activities in sustainable land management (including food growing). It will run in the four rural counties of Ceredigion, Carmarthenshire, Pembrokeshire and Powys. The first year will be carried out in Ceredigion with the implementation of a pilot project. This pilot will be followed by a wider pilot project in all counties in Year 2 prior to full implementation of the project for the following 5 years. The full project will have a financial package of over £2m and it will help to address global issues by developing a positive practical responses at a local level.

Rob Starr (RS) suggested meeting with Teresa Walters outside the meeting for further discussions in order that details of this work can be considered within the context of developing the Assessment of Local Well-being.

ACTION: Rob Starr and Teresa Walters to meet to discuss the AnTIR project in the preparation of the Assessment of Local Well-being.

ACTION: A copy of the AnTir Project Presentation will be circulated to Project Group members following today's meeting.

Mid Wales Area Statement

Rachel Jarvis (RJ) provided an update on the NRW - Mid Wales Area Statement. There are four key themes namely; Improving Biodiversity, Sustainable Land, Water and Air, Forestry Resources and Reconnecting People and Places. Following initial consultation sessions the publication of the Statement took place in March 2020 however further work on its implementation was then placed on hold due to COVID-19. Since this time 9 online Engagement Projects have been produced over the last year, in partnership with external partners. From the establishment of these Engagement

workshops, the peer groups have now been launched for the 4 key Area Themes. In March 2021, the team produced an Annual Review which has documented what has been undertaken in the last 12 months and it also emphasises what needs to be undertaken in the next 12 months. The Annual Review is available as a PDF report and RJ agreed that members may receive a copy following today's meeting. RJ confirmed that further work is required and the team are looking to document what's already happening in the area via key stakeholders. To end RJ stated that one of the main delivery mechanisms to enable us to tackle the priorities of the Mid Wales Area Statement will be through joint working with the Public Service Boards (PSBs) for both Ceredigion and Powys.

ACTION: Mid Wales Area Statement Annual Review document to be shared with Project Group members.

ACTION: Members to receive the link for the online survey in order to input and capture information detailing projects across the whole of Mid Wales.

Assessment of Local Well-being

Rob Starr (RS) facilitated an interactive workshop for members on the Assessment of Local Wellbeing, which will be published in March 2022. Following a presentation members were asked to focus on 3 questions and to forward their comments to performanceresearch@ceredigion.gov.uk.

ACTION: Members to respond to the three key questions provided in the facilitated workshop.

ACTION: Presentation of the facilitated workshop to be circulated to Project Group members following the meeting.

ACTION: Assessment of Local Well-being to be the main agenda item in the next Project Group meeting.

A.O.B

The Chair provided the Project Group with feedback from the last PSB meeting in April and also mentioned that all the Project Group Chairs had met to discuss how to proceed in the future. Some Project Groups have noted experiencing difficulties in terms of continuity of attendance and this matter will be further discussed at the next PSB meeting on the 12th July.

The Chair closed the meeting by thanking all for attending and for their continued contribution of the work of the Project Group.

Next meetings:29th of July, 2021 @ 2pm11th of Nov, 2021**ACTIONS CONTAINED IN LOCAL WELL-BEING PLAN UNDER THIS AIM**

Short Term Action	Medium Term Action	Long Term Action
Create a Ceredigion Climate Change and Natural Resources Risk Assessment that will outline areas of risk, trigger levels and include responses, actions and opportunities for community awareness training.	Through education and pilot projects, we will promote community and business sustainability, renewable energy, nature connectedness and taking responsibility for the actions identified in the Climate Change and Natural Resources Risk Assessment.	Protect and enhance the resilience of ecosystems, the environment and natural assets of Ceredigion whilst optimising our economy, health and well-being.

ACTION PLAN: APRIL 2020 – MARCH 2021

KEY	
GREEN	Active and on track
AMBER	Active but some concerns and needs close monitoring
RED	Active but major concerns and needs corrective action
BLUE	On-hold
BLACK	Closed

STEP 1: Preparation of funding bid for submission to NRW

Activity	Date Due	Comments
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1.1	Facilitate an initial ideas generation session for project group members to utilise the £25k funding offered to PSB's by NRW.	24.09.20	Initial project group catch-up meeting held and information disseminate to partners with regards to the availability of a funding opportunity from NRW.
1.2	Prepare a project proposal form including an outline of ideas for project group members to provide feedback and consider submitting their own ideas for the use of the NRW funding.	30.09.20	Project proposal form developed and circulated to all project group members seeking their formal submissions for consideration of inclusion in the NRW funding bid.
1.3	Prepare a brief report collating the main ideas proposed for consideration and selection.	05.10.20	Meeting held with partners and two distinct project tasks selected for inclusion in the SAF proposal form. The first key task would centre around the commissioning of consultants to focus on the positive re-engagement of people with their environment. The second key task will centre on undertaking a marketing campaign entitled "Be kind to your environment". It was also referenced that a proposal submitted by the NHS was focusing on the possible availability of this funding for Years 2 & 3.
1.4	Submission of funding application to NRW along with signatory documentation.	09.10.20	Project proposal form submitted and signatory documentation completed. Funding decision expected early November.
1.5	Discuss options for enhanced communication and file sharing with project group partners between meetings.	27.10.20	During the project group meeting all members considered the membership of this group and confirmed their support to the above funding bid. It was also agreed that any background documentation would be shared regarding other projects e.g. Community Resilience pilot project - Newcastle Emlyn, Basecamp, Coed Lleol etc.
1.6	Discuss the establishment of a task & finish group to oversee the implementation of the NRW funding.	27.10.20	Task and finish group established and emphasis placed in the preparation of the Tender Brief in order to be ready for its release as soon as the funding decision is received.

1.7	Commence the preparation of the tender brief for the appointment of consultants.	02.11.20	The Tender Brief drafted and circulated for task and finish group review and amendment. Incorporation of the importance of accessibility and specific reference to public rights of way.
1.8	Work with the task & finish group to finalise the tender brief and follow procurement regulations.	09.11.20	Funding decision received from NRW via email on the 12 th November. Confirmation letter awaited. Tender Brief finalised and issued via a Category Tender with a closing date of Monday 7 th December. Project group members informed of progress. Commencement of work in advance of the inception meeting.
1.9	Discuss with CAVO to plan the “Be kind to your environment campaign” in anticipation of its launch in the New Year.	01.12.20	Initial discussions held to establish a contractual agreement between CCC and CAVO for the delivery of this specific element of the proposal. The Task & finish group will also be the steering group for this element of the project and CAVO will provide an update at the next task and finish group meeting scheduled to take place on the 9 th December.
1.10	The task & finish group to consider tender submissions for the commencement of the research/ mapping in December 2020.	Dec. '20	Task and finish group meeting scheduled for Wednesday 9 th December.
1.11	Inception meeting to be held and work plan agreed.	Dec '20	Procurement process completed and following the receipt of 6 tenders Resources for Change Ltd have been appointed.
1.12	Monitoring of Tender Key Actions and Milestones – Interim Report based on the desk research.	31.1.21	Ongoing monitoring is being undertaken via the creation of an action log to guide the tender response.
1.13	Monitoring of Tender Key Actions and Milestones – Submission of project exemplar list	Mid Feb '21	An Inception Meeting was held on the 6 th January and a Client Liaison meeting was held on the 25 th January. A long list of potential sites has been produced and criteria are now being agreed to develop the short list.

1.14	Monitoring of Tender Key Actions and Milestones – Submission and presentation of the plan and supporting visual resources and completion of the contract.	31 st March '21	The final report was completed in accordance with the terms and conditions of the tender. This report will now be presented to the PSB in order to galvanise additional support for the implementation of the key themes. The scoping report require the preparation of funding proposals to enable individual elements to be taken forward within communities.
1.15	Monitoring of the “Be kind to your environment” element of the funding proposal.	31 st March '21	Be Kind to the Environment – Love Where You Live Campaign launched on the 25 th January – From your Garden, From your front door and From your Heart.
1.16	Preparation of monitoring report and completion of funding obligations for 2020/21	31 st March '21	This work has been completed as the monitoring report has been prepared and submitted to the funding body – Natural Resources Wales. All matters relating to the financial monitoring of the scoping report has been completed.

STEP 2: <i>Group members to share good practice and actively support project group discussions</i>			
Activity		Date Due	Comments
2.1	Establishment of a task and finish group to consider the research evidence to support the forward work programme of the group.	Dec'20	The first meeting of this Task and Finish group will take place on the 17 th February under the Chairmanship of Sarah Davies, University of Wales, Aberystwyth. Their first task will be to consider the key priorities identified in the final report – Climate Resilience plan for N.C.E
2.2	Preparation for the release of a new call for proposals subject to the receipt of confirmation of additional funding from NRW for 2021/22.	31 st January 2021	This action was provided with a target date of 31 st January in order to avoid the challenges set by this years' understandably short implementation timetable however the call for new projects is currently on-hold pending internal funding decisions within NRW.

2.4			
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STEP 3 : Consideration of pilot projects and other support programmes			
	Activity	Date Due	Comments
3.1	Consideration of the final report for the Climate Resilience Project at Newcastle Emlyn.	Jan '21	The report has been received and the key priorities discussed. The group have agreed to delegate more detailed consideration to its research task & finish group.
3.2	Project review and update on Basecamp and other programmes.	March '21	The Love Where you Live campaign has linked directly with Basecamp in order to share information and create additional contacts.
3.3			

PSB: DECISIONS & RISKS

Decisions Required or Risks to be highlighted to the PSB

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PSB Project Group Report

Prepared by: Manon Horscroft Date: 21.05.2021

Well-being Plan Aim	Create conditions for communities to support individuals from all backgrounds to live fulfilling, independent lives Develop and sustain social networks, and cultural and linguistic opportunities in order to enhance well-being and maintain independence.	
Our Values	Welsh Language, Tackling Inequalities, Involvement, Sustainability, Leading By Example	
Project Group Name	Understanding Our Communities	
Chair Vice-Chair	Hazel Lloyd-Lubran , Ceredigion Association of Voluntary Organisations (CAVO) Inspector Andrew Merry, Dyfed-Powys Police	

Project Group Membership *(Names in bold signify attendance at meeting)*

Ceredigion County Council	Cllr Dafydd Edwards, Naomi McDonagh, Sara Dafydd, Manon Horscroft , Diana Davies, Alan Haird , Llyr Hughes, Lowri Evans / Cyra Shimell, Meleri Richards , Mari Hopkins, Sarah Bowen, Michael Smith	Wales & West Housing	Rhiannon Ling
		Ceredigion Association of Voluntary Organisations	Teleri Davies , Kate Naidoo, Chesca Ross
Hywel Dda University Health Board	Delyth Evans, Stepheni Kays , Anna Bird	Ben Lake's Office	Carys Lloyd
Mid & West Wales Fire & Rescue Service	Craig Thomas	Cered	Non Davies
Tai Ceredigion	Catrin Owen	Public Health Wales	TBC

SYNOPSIS OF PROJECT GROUP MEETING

Key Points discussed at Project Group meeting:

Apologies: Cllr Dafydd Edwards, Anna Bird, Rhiannon Ling, Sarah Bowen, Llyr Hughes, Mari Hopkins, Lowri Evans

Also in Attendance: Rob Starr (Ceredigion County Council)

PSB Feedback

Hazel Lloyd-Lubran (HLL) gave an overview of the updates provided at the last PSB meeting in April, including presentations on the Local Well-being Plan Annual Report and the Tackling Hardship Strategy.

Tackling Hardship Strategy Data Dashboard Presentation

Rob Starr (RS) provided a presentation on the Data Dashboard implemented to support Ceredigion County Council's (CCC) Tackling Hardship Strategy and Economic Recovery. Since the onset of the pandemic, a significant amount of data regarding the impact of COVID-19 has been released via sources such as the Office for National Statistics (ONS) and Welsh Government (WG). Key headline data on hardship and the economy have been collated into the Data Dashboard to allow for monitoring of emerging trends on both a local and national level.

An overview was provided on headlines including unemployment, groups disproportionately affected, digital connectivity and the housing market. Due to a lag in unemployment data, RS explained that benefit claims for the reason of being unemployed are therefore monitored via claimant counts. Data showed a 132% increase in claimant counts across Ceredigion since March 2020, with a significant number of 18-24 year olds affected. RS noted that concern also remains around the end of the furlough scheme, and the implications this may have on potential job losses and consequent hardship. Data relating to digital connectivity showed 12% of households nationally remained without access to the internet, and RS reinforced that this is a concerning figure during a period where a significant amount of information sharing and communication is carried out online. Recent trends in the housing market showed a sharp growth in demand and price both across the county and on a national level, which raised further concerns for the impact on first time buyers and the disproportionate effect on the younger generation. With figures suggesting that a quarter of the population remain concerned about their ability to pay their monthly bills, RS reported that the implications of the pandemic are likely to continue months and years into the future. With this in mind, it was confirmed that the Performance and Research Team will continue to develop the Data Dashboard moving forwards. The Chair suggested this information may prove beneficial in assisting 3rd sector organisations support grant application processes.

ACTION: RS to circulate the link to the Data Dashboard with any interested partners.

ACTION: RS to produce monthly headline figures to share with partners and the 3rd sector.

Engagement and Communication

Delyth Evans (DE) reported that work is progressing around setting up the regional site for Engagement HQ, and that discussions are underway for training sessions to take place. Michael Smith (MS) and Mari Hopkins (MH) are working to overcome logistic challenges that would allow a member of the Ceredigion Association of Voluntary Organisations (CAVO) Team to attend training on the Local Authority's Engagement HQ site. With regards to the proposed recruitment of a Regional Engagement & Participation Officer through the West Wales Care Partnership, The Chair reported that consultants would now be appointed due to timescales and funding drawing to a close in March. From this, it is hoped that a realistic framework or engagement cycle can be established which partners can support.

DE noted that Hywel Dda University Health Board (HDUHB) are running a new engagement exercise based on building a healthy future after COVID which is running until the 22nd of June. The exercise will focus on experiences during the pandemic, nominations for a new hospital site and other issues the Health Board need to consider. Following conversations held at the previous Project Group (PG), Sara Dafydd (SD) queried as to whether partners would still be interested in collating information on any upcoming events that could be strengthened through Radio Aber's coverage.

ACTION: SD to create an Events Template and upload to MS Teams for partners to populate as appropriate.

Data and Community Assets

RS provided an update on preparation and progress leading up to the Assessment of Local Well-being. It was confirmed that an Expression Of Interest (EOI) was submitted to Co-production Network Wales in partnership with Carmarthenshire and Pembrokeshire, with Powys submitting a separate bid due the county's geographical area. RS confirmed that Engagement Plans have been established both locally and regionally, and that work is continuing with regional partners to identify themes and questions for inclusion in the survey. A toolkit for PSB organisations on facilitating engagement events is also in progress. The post for a Regional Wellbeing Co-ordinator who will support the Assessment of Local Well-being process has been advertised, with the closing date on the 1st of June. Michael Smith (MS) stated that facilitated workshops with PSB Project Groups would be taking place during the coming months, and that a session to support the facilitator's toolkit for PSB organisations would be arranged shortly.

ACTION: SD to circulate details of the Regional Wellbeing Co-ordinator post.

ACTION: A session to be arranged with partners to support the process of utilising the toolkit for PSB organisations.

The Chair provided an update on the Volunteer Recovery Grant. A list of training providers is in the process of being formulated, with Mental Health and Basic First Aid sessions for volunteers to be launched during the course of the year. It is hoped that links can be made with Mental Health West Wales to understand what other sources of support there is available, and to signpost to further training opportunities where appropriate. The Chair confirmed that Volunteers Week will commence on the 1st of June, and it is hoped that the launch of the Volunteering Strategy and Volunteer Awards can coincide with this.

ACTION: Partners to raise the profile of the Volunteer Awards to promote recognition of the good work that has been accomplished by communities since the onset of the pandemic.

Co-production

The Chair confirmed that a Steering Group has been established to explore the possibility of implementing the Participatory Budgeting process in New Quay by building on the findings of Severn Wye's consultation exercise in the area. The Chair also noted that asset based development training is being progressed through Programme 7 regionally, with a series of dates and a list of providers to be decided.

ACTION: An update on the Severn Wye New Quay project to be provided at the next meeting.

Project Group Membership Review

The Chair reported that contact had been made with Public Health Wales (PHW) with regards to nominating a representative to attend PG meetings moving forwards. It was noted that challenges around partner capacity to regularly attend meetings was raised at the wider PSB meeting in April, and that it would prove timely for contact to be made with members to ascertain current circumstances and continued commitment to the work of the PG.

A.O.B

SD reminded partners that the next meeting of the Task & Finish sub-group to be held on the 18th of July would be dedicated to a workshop on the Assessment of Local Well-being facilitated by CCC's Performance & Research Team. The Chair closed the meeting by thanking partners for their contributions.

Next meeting: 20th of July, 10:00am-12:00pm

ACTIONS CONTAINED IN LOCAL WELL-BEING PLAN UNDER THIS AIM

Short Term Action	Medium Term Action	Long Term Action
Work with communities to have a better understanding of their physical, social	Develop innovative, responsive and intergenerational 'hubs' (physical, virtual	Move towards a model of co-design and production of services, that prioritises

and natural assets and their changing dynamics. Achieved by bringing together key stakeholders who represent the diversity of our communities e.g. cultural and linguistic, and the services that support them.	and social) as a focus and connection point for communities.	active participation and intergenerational activities.
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ACTION PLAN: MARCH 2021 – MARCH 2022

KEY	
GREEN	Active and on track
AMBER	Active but some concerns and needs close monitoring
RED	Active but major concerns and needs corrective action
BLUE	On-hold
BLACK	Closed

STEP 1: Identify geographical communities and communities of interest (<i>Data and community assets</i>)			
	Activity	Date Due	Comments
1.1	Gather reports and results from recent community engagement exercises. Ensure we consider element of rurality.	Ongoing	<u>Cered community consultations</u> – Aberaeron, Lampeter, New Quay <u>Rural Futures</u> – Llandysul, New Quay <u>Cynnal y Cardi</u> – Lampeter, Llangrannog <u>CAVO</u> – Llandysul <u>PSB</u> – Cardigan, Penparcau Place Plans
1.2	Assess current list of key stakeholder groups in preparation for the Wellbeing Plan Assessment.	Ongoing	21.01.21 Consider establishment of Task & Finish group to discuss where data will be held centrally in the first instance. Formulate a list of data holders, and consider how they might feed into Wellbeing Plan Assessment.

			19.03.21 Task & Finish group will meet in April and May to discuss draft engagement plan, with a further session scheduled in June for an engagement workshop.
1.3	Develop Writemedia / Engagement HQ platform as a repository for engagement reports.	Ongoing	21.01.21 Consider establishment of Task & Finish group to discuss where data will be held centrally in the first instance. 19.03.21 Data collection will be focussed on surveys, polls, focus group sessions – It was agreed that Engagement HQ would act as a welcome addition if ready by engagement period. Also possibility that Engagement HQ can be used as a tool in Participatory Budgeting approach in New Quay.
1.4	Further explore links with Understanding Welsh Places as a community data source.		Consider how this data source relates to T&F data group.

STEP 2: Develop programme of engagement with communities and agree clear purpose and message to communicate the vision and encourage participation (*Engagement and Communication*)

	Activity	Due Date	Comments
2.1	Test Engagement HQ site.	Ongoing	Consider how site can support the Wellbeing Assessment process. 21.05.21 Plans are progressing for training sessions to be carried out on the Engagement HQ platform.
2.2	Develop key messages and approach for Wellbeing Plan engagement exercise.		Learn from New Quay work – Consider how this data collection process can support and inform the formulation of strategies. Link with Transformation Programme 7 Participation and Engagement work.

2.3	Develop and deliver an engagement skills programme for PSB partner workforce which will include co-production techniques, making every contact count.		Transformation Programme 7 or Ceredigion ICF Training Budget to support provision.
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STEP 3: Work with communities to understand their assets – including buildings, people, skills, activities, events and services (*Data and community assets*)

	Activity	Due Date	Comments
3.1	Incentivising and recognising volunteering	Ongoing	21.05.21 Promotion of Volunteer Week and Volunteer Awards. Volunteering Strategy to be launched during Volunteer Week. Mental Health and First Aid Training to be provided to volunteers as part of the Volunteer Recovery Grant.
3.2	Rebuilding communities post Covid.	Ongoing	Reopening Community Venues Advisory Panel 19.03.21 Information session to be held before indoor activities can restart to remind community venues of support and resources available, TTP regulations, and prepare for the Senedd and PCC elections at the start of May.
3.3	Promote Connect to Ceredigion as a community skills exchange and information site.	Ongoing	Transformation Programme 7
3.4	Promote InfoEngine / Dewis as the online directory of community services.	Ongoing	Transformation Programme 7

STEP 4: Support communities to work as Community Service Boards (*Co-production*)

	Activity	Due Date	Comments
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4.1	Work with communities and key officers to establish Task Forces to co-design and deliver solutions to meet needs identified in the Place Plan process.		
4.2	Support the network of local support groups established to respond to the COVID-19 crisis and encourage the development of Community Plans.	Ongoing	Details to be decided – 28.01.21 19.03.21 Community Resilience Plans in the process of being developed through the Volunteer Recovery Grant, along with training opportunities to be identified for volunteers around first aid, mental health and confidence building.
4.3	Work with partners to pilot participatory budgeting approaches to distribute key funds to communities including Police and Crime Commissioners funding and Transformation Programme 7 Local Action Hub Funding.	Ongoing	Transformation Programme 7 19.03.21 Initial discussions held with Teresa Walters (Severn Wye) regarding employing the PB approach following action plans and needs assessment at New Quay. 21.05.21 Steering Group established with the aim of advancing the Participatory Budgeting process in New Quay.

PSB: DECISIONS & RISKS

Decisions Required or Risks to be highlighted to the PSB

PSB Project Group Report

Prepared by: Manon Horscroft Date: 07.06.2021

Well-being Plan Aim	Enable every child to have the best start in life Support parental preparedness through early intervention, overcome inequalities and promote holistic learning	
Our Values	Welsh Language, Tackling Inequalities, Involvement, Sustainability, Leading By Example	
Project Group Name	Co-location & Integration of Frontline Services	
Chair Vice-Chair	Iwan Cray, MWWFRS Peter Skitt, Hywel Dda University Health Board	

Project Group Membership *(Names in **bold** signify attendance at meeting)*

Ceredigion County Council (CCC)	Cllr Catherine Hughes , Elen James, Diana Davies, Rob Starr , Michael Smith , Manon Horscroft , Lynne Walters , Rhian Owen, Rhian Lewis, Meinir Paske , Meinir Ebbsworth, Lowri Evans , Carwyn Young.	Dyfed Powys Police	Inspector Andrew Merry
NHS	Peter Skitt, Amanda Bainbridge , Lesley Hill, Liz Wilson, Rebecca Thomas, Natalie Vanderlinden, Vicky Wood, Barbara Morgan	Coleg Ceredigion	Helen Griffith
MAWWFS	Amy Richmond-Jones, Christine Robertson	Ceredigion Association of Voluntary Services	Chesca Ross
Public Health Wales	Jan Batty	Additional members	Rhys Penry-Williams

SYNOPSIS OF PROJECT GROUP MEETING

Key Points discussed at Project Group meeting:

Also in attendance: Mari Hopkins, Sera Llewelyn, Sara Humphreys, Alwyn Davies

Apologies: Steven Jones, Rebecca Thomas, Peter Skitt, Barbara Morgan, Cyra Shimell, Carwyn Young, Elen James.

The Chair Iwan Cray(IC) began the meeting by welcoming all members. The minutes were agreed as a true record and Lynne Walters (LW) provided an update on all the action points.

Ceredigion County Council's Integrated Service Delivery Model – Wellbeing Hubs

Alwyn Davies (AD) provided the latest update to members on behalf of Carwyn Young. Since the previous meeting, the property service has designed a tender pack which has been published for 14 days. In response tender submissions have been received and these are now being assessed in accordance with the specification and criteria. The service is now in a position to appoint an architect to oversee the design and construction of the Wellbeing Hub. Following appointment and in line with procurement procedures a 10 day cooling off period will be applied, providing the opportunity for the receipt of any appeals. Following this procedure the work may then commence in earnest. AD confirmed that they are hoping to push ahead with the project as soon as possible and in the interim three support groups have been established. The first group is a Management Group to oversee the whole development. The second group is the Construction Group which includes representation from Health & Safety and Schools and the third support group is a User Group which has drawn current representation from Leisure Services and Property Services and will also be looking in due course to extend its membership to include external user groups. At the moment these groups will be meeting monthly to push the project forward. AD ended his update by thanking partners who had contributed to their previous user consultation in order to inform the design of a flexible front-facing space and he re-affirmed the importance of continued partner feedback as they embark on the journey to launch the first Well-being Hub. Indeed if any partner would like a further discussion they may contact Alwyn Davies or Carwyn Young following this meeting

ACTION: Carwyn Young to provide a further update on the Wellbeing Hubs at the next meeting.

Volunteering Recovery Fund - Community based Hubs

Chesca Ross (CR) confirmed that a consultancy report undertaken by Tammy Foley would be sent to all members following today's meeting. CR provided a brief update on the work detailing Tammy's work to identify and assess successful models which are currently operational and also her work to consider developing models. She has now looked at 5 Community based Hubs based in various areas across the UK. These were namely; Penparcau Community Centre Hub, BCT – Building Communities Trust,

Bromley By Bow Centre, the Community Connectors Model (PAVS) and the Harold Hill Community Centre. Following these interviews the report aims to draw out the successful common themes and elements and provides particular attention to the practical lessons which have been learnt during implementation. The report also reflected on the experiences of these Community based Hubs during the initial stages of Covid-19 and of course sought to identify their priorities as we are hopeful of entering the recovery phase. The common themes that were raised during these interviews was financial stability, it was a strong partnership both within the community centres and with partners who use the centres. Another theme was around Social Prescribing, which is interesting for Ceredigion, and developments, which was around working with Social Workers, Health staff and creating these strong links. Most of these Hubs have been built up by the community and to meet the community needs. The success point is engaging with these communities, focusing on the needs, and identifying those needs. To end CR confirmed that there is a potential to undertake additional work with Tammy when the right time to further engage with communities.

ACTION: Chesca Ross to circulate the Report on the Community Based Hubs following the meeting.

As a further point of information CR informed Project Group members that Public Health Wales are working with their regional group on an asset based Community Development Training course. There are also discussion being held to create a Ceredigion focused course with possible dates being available in July. This work is linked to the development of Tir Glas at Lampeter University which has a newly appointed project officer, Hazel Thomas. Further details with regards to the training course will be shared with Project Group Members in due course and it was agreed that Hazel Thomas be invited to provide a presentation at a future Project Group meeting.

ACTION: Details of the Community Development Training course to be shared with Project Group members.

ACTION: Hazel Thomas to be invited to provide a presentation to the next Project Group meeting.

Porth Cymorth Cynnar – Service update and discussion on the key priorities of the Integrated System for Early Years - Pathfinder Project

Lowri Evans (LE) provided the latest update and confirmed that Wavehill Ltd. has been successful with the tender to evaluate this project, which is funded by Welsh Government. Wavehill Ltd. have now produced a report on the Early Years Integration and Pathfinder work for Aberaeron, New Quay, Borth, Lampeter and Tregaron areas. LE confirmed that the report is now in translation and once received bilingually the report will be circulated to Project Group members. The purpose of the evaluation which is an integral part of the grant funding conditions was to gain staff and parental feedback on what is working well, what needs to be changed and potential ideas for future provision. Staff completed a survey and positive feedback was received with regards to the integration of provision of services. Parents and Guardians were also interviewed virtually and whilst these findings confirmed general support for the new integrated pilot some comments were made which identified that they did not understand the details of all changes that have been made since this work commenced. Further work is required and indeed

many staff, parents and guardians believe that many of the issues they have been facing with regards to the provision of services and access to services will diminish once Covid-19 restrictions are lifted.

ACTION: The Early Years Integration and Pathfinder Evaluation Report by Wavehill Ltd will be circulated to Project Group members once its translation is complete.

Rob Starr (RS) raised that this piece of work has an opportunity to link into the Local Assessment of Wellbeing and it was agreed that RS and LE would meet outside of this meeting to further discuss this opportunity and to arrange the transfer of the exchange data to the Research Team.

ACTION: Rob Starr and Lowri Evans to discuss further following the meeting.

Engagement Workshop - Assessment of Local Well-being

RS, Michael Smith (MS) and Mari Hopkins (MH) facilitated an interactive workshop for members on the Assessment of Local Wellbeing, which will be published in March 2022. Following a presentation members were asked to consider 3 key question which has been shared with project group members in advance of the meeting. Members were also asked to consider the availability of any data or research which their individual organisations may have access to which may be of benefit to the production of the Assessment of Local Wellbeing. Any feedback and details of previous work was requested to be sent to performanceresearch@ceredigion.gov.uk.

Details of this discussion have been recorded separately by the Research Team who are in the process of attending each project group.

ACTION: Members to consider what data and research their organisations may have to inform the production of the Assessment of Local Well-being.

ACTION: The presentation for the facilitated workshop is to be circulated to members following this meeting.

Discussion on the Election of Chair and Vice-Chair

The Chair asked members of the Project Group to consider nominating new names for the positions of Chair and Vice Chair of this Project Group.

ACTION: Members to consider names and nominations for a new Chair and Vice Chair.

ACTION: Discussion on the Election of Chair and Vice-Chair to recommence in the next Project Group meeting.

Next meetings:

26th July, 2021

1st of Nov, 2021

ACTIONS CONTAINED IN LOCAL WELL-BEING PLAN UNDER THIS AIM

Short Term Action	Medium Term Action	Long Term Action
Undertake a scoping exercise to investigate the benefits of co-location and integration of front line services with an initial focus on the early years, working towards a county wide model of best practice.	Implement a Ceredigion model of integrated through age services, delivered through PSB partners in the first instance and shared as appropriate with additional delivery partners across the county.	Ensure universal services are well-resourced and used by all.

ACTION PLAN: APRIL 2020 – MARCH 2021

KEY	
GREEN	Active and on track
AMBER	Active but some concerns and needs close monitoring
RED	Active but major concerns and needs corrective action
BLUE	On-hold
BLACK	Closed

STEP 1: To focus on programmes, strategies and policies aimed at the co-production of an integrated system for the Early Years

Activity		Due Date	Comments
1.1	Review regular updates for the Pathfinder Pilot Programme and consider local provision.	Ongoing	Updates are received at every meeting and given current funding and provision discussions key priorities will be identified for the meeting in March. The proposal for the next phase has been submitted to WG for approval.

1.2	Encourage direct partner input to the development of the Regional Early Years Strategy.	January 2021	Partner feedback requested post meeting. Wavehill Ltd. has been commissioned to undertake family feedback and this will be shared in summery format with the project group.
1.3	Contribute directly to the development of integrated working systems based at a local level within our communities.	March 2021	This work is in its early stages but partners re-affirmed their commitment to jointly consider new ways of working and agreed to consider locations across the County as further clarity is obtained from Welsh Government. The WG consultation is currently considering areas across Wales and a phased approach to pilot areas has commenced. Consideration of possible models in Ceredigion are to be welcomed.
1.4	Participate in discussions for the Assessment of Local well-being	June '21	All project group members to participate in the engagement sessions for the Assessment of Local Well-being and to liaise with colleagues to identify data and research to assist with this work

STEP 2: Support the integrated establishment of the Well-being hubs			
	Activity	Due Date	Comments
2.1	Receive regular partner updates and provide partner input to the development of the well-being hubs.	Ongoing	Vital external engagement with partners will commence when the timing is deemed appropriate and the estimated completion date for the first hub is June '22.
2.2	Consult on key actions relating to direct service provision within the Well-Being hubs (commencing with LA services)	January 2021	Detailed internal consultation focusing on the Through Age Model has been held and discussions are now progressing to the commissioning of Architects. Initial floorplans have been completed and a Tender will now be released for the commissioning of Architects.
2.3	Consider research requirements relating directly to the delivery of future services. Focus on the wellbeing of residents and support both economic and social needs across the county.	March 2021	This work links to consultancy work commissioned under the CAVO Volunteering Resilience Fund and a report detailing various models is expected. This report has been completed by Tammy Foley and the findings have been shared with project group members. Opportunities continue to undertake further work when this is deemed appropriate.

2.4	Enhance the well-being hubs through the identification of spokes linked directly to the service provision of partners.	March 2021	The new Wellbeing Hub is being designed with flexibility in mind in order to be able to respond to services requirements. Emphasis will also be placed on the identification of spokes which will link the Hub to other areas and facilities in the surrounding area.
2.5	Partner organisations to engage with the User Group which has been established to assist with the development of the Well-being Hub.	July '21	Project groups members to consider their participation in discussions as this project progresses.

STEP 3 : Consider and research potential hybrid models for the delivery of services for communities.

Activity		Due Date	Comments
3.1	Undertake an assessment of the strategic direction outlined by Welsh Government with regards to the establishment of community based hubs. Develop knowledge and understanding around the WG “ambition is to see about 30% of the workforce in Wales staying at or near home in the long term. The Welsh Government said it wanted to give workers “more flexibility to work remotely” and claimed this could “drive regeneration and economic activity in communities”.	March '21	This work which is currently based on a Welsh Government proposal is ongoing but is dependent upon the receipt of further guidance. Preparation work can commence with a view to informing discussions as they progress.
3.2	Consider initial scoping and progress discussions with partners based on the hybrid model incorporating the public, private and third sectors.	March '21	The initial research which is being undertaken by WG was completed on the 26 th March. WG have announced their phase 1 pilot areas but further announcements are expected based on the research data.
3.3	Undertake mapping of partner assets to support community based working hubs linking the positive contributions of joint	March '21	This work is linked to research being undertaken via the Volunteer Resilience Fund and a report is expected.

	locations for public, private and voluntary bodies.		
3.4			

PSB: DECISIONS & RISKS

Decisions Required or Risks to be highlighted to the PSB

DRAFT

PSB Project Group Report

Prepared by: Manon Horscroft

Date: 26.05.21

Well-being Plan Aim	Enable communities to become prosperous, sustainable and connected by supporting the transformation of economic prospects Improve physical and digital infrastructure to support economic development, including suitable and affordable homes	
Our Values	Welsh Language, Tackling Inequalities, Involvement, Sustainability, Leading By Example	
Project Group Name	Enterprise & Innovation	
Chair Vice-Chair	Russell Hughes-Pickering (Ceredigion County Council) Gareth Price (Tynrhyd)	

Project Group Membership *(Names in **bold** signify attendance at meeting)*

Ceredigion County Council (CCC)	Diana Davies, Lynne Walters, Michael Smith, Manon Horscroft, Eifion Evans, Meleri Richards, Sara Dafydd, Arwyn Davies, Rob Starr, Mark Gleeson, Elen James, Cllr Gareth Lloyd, Cllr Rhodri Evans.	Aberystwyth University	Rhian Hayward
NHS	Peter Skitt	Menter Busnes	Alun Jones
Dyfed Powys Police	Insp Andrew Merry	Coleg Sir Gar	Matt Morden
MAWWFS	Geraint Thomas, Amy Richmond-Jones, Christine Robertson	Welsh Government	Duncan Hamer, (Carys Roberts)
Antur Teifi	Kevin Harrington	Additional Members	Rachel Rowlands, Stephan Rowlands,

SYNOPSIS OF PROJECT GROUP MEETING

Key Points discussed at Project Group meeting:

Apologies: Diana Davies, Julie Davies-Jones, Gwyn Howells, Meleri Richards, Peter Skitt, Prof David Langdon, Eifion Evans Duncan Hamer.

The Chair Russell Hughes-Pickering (RHP) began the meeting by welcoming all members. The minutes of the previous meeting of this project group were agreed as a true record. The Chair opened discussion for members to discuss whether now is the right time to resume conversations via task and finish focus groups and if so what will be the agreed areas moving forward.

Gareth Price (GP) noted that the last 14/15 months have been very challenging for all businesses in Ceredigion and suggested that one focus for the group should be on the recovery. Consideration should be focused on what next and what programs are being developed to nurture opportunities for business development and survival in the future. In addition discussion led to an agreement that the group should also focus on the consideration of how to ensure the availability of the Public Services for the direct benefit of Businesses in Ceredigion.

The operating landscape for businesses has changed in recent times and the focus of this Project Group now needs to reflect these changes. A place focus is required which will facilitate a greater understanding of our market towns along with the new dynamic which is emerging on our high streets.

The Economic Impact of COVID 19 in Ceredigion

Arwyn Davies (AD) provided a brief update to members noting that the Economic Strategy 2020-35 and noted that the feedback from consultees had now been formally taken into account by Cabinet earlier this year. AD confirmed that the Economic Strategy 2020-35 had been formally adopted by Cabinet in March 2021. In line with the feedback from the engagement and consultation AD noted that the range of interventions required to support people, places, enterprises, infrastructure and connectivity provided the right focus moving forward. AD agreed with the point raised by GP, regarding the involvement of support measures and drew reference to the specific grant support mechanisms which were urgently developed in Ceredigion over the last year to sustain businesses. Different rounds of grant funding had been announced for businesses in Ceredigion and initial evidence has started to come through to suggest that in addition to surviving some businesses have been able to diversify and plant the seeds of growth via the funding which was put in place by Welsh Government. A quick

turnaround was made on these new support measures and the funding was to be spent by the end of March, 2021. The importance of these support measures was recognised by all.

AD went on to raise a key point regarding the importance of job creation within the County. Current activity is focusing on 80 new projects which has a target of resulting in the creation of 150 new jobs for people in Ceredigion. AD and the team is now hoping that the regional team in Welsh Government are working on another tranche of funding as the feedback received to the March support packages has been very successful. Vital Business support has been made available and Welsh Government are now in discussion with partners with regards to the next stages of Business Wales. The key importance here will be placed on regionalising the product offer and responding to specific needs which are identified in the County. AD informed the group members that there is currently an opportunity to influence the shape and intervention of Business Wales moving forward.

On a final note AD raised that there is still a large Agenda around the existence of training provision and the availability of relevant skills. Feedback is now suggesting that businesses in Ceredigion are now searching for the right skills in individuals, which will enable them to take forward their businesses into the future.

MT noted that the availability of personnel with the required skills is essential. Developing business practices aimed at supporting staff, providing a positive working environment and encouraging professional and skills development is vital as this nurtures the commitment of the individuals who work for you.

During the discussion which followed GP raised that as businesses have been fighting for survival to a large extent the private sector have been oblivious to what has been going on behind closed doors during this very difficult time. GP raised that Ceredigion continues to be at risk of missing a lot of the investment and the benefits for business may fall by the way side if criteria for capital investment continues to focus heavily on Job Creation. In addition to this key performance measure additional criteria needs to be taken into consideration whereby grants and interventions also recognise the vital importance of jobs sustainability and diversification.

ACTION: Members to consider ideas and feedback relating to the experience of businesses in accessing interventions and to provide Arwyn Davies with this information.

Facilitated workshop - Assessment of Local Wellbeing

Rob Starr (RS) facilitated an interactive workshop for members on the Assessment of Local Wellbeing, which will be published in March 2022. Members had been provided with 3 key questions in advance of the meeting and following a presentation and a

discussion each member was requested to focus on these question and provide personal/organisational feedback to performanceresearch@ceredigion.gov.uk.

ACTION: Members to respond to the three key questions provided in the facilitated workshop.

ACTION: A copy of the Assessment of Local Wellbeing presentation to be circulated to members following the meeting for reference and ideas.

Future work and direction of the group

It was agreed by members that the focus of the future work of the Project Group will be around intervention and consideration would also be given to working with other groups to progress a place focus. The opportunities to encourage discussion on place was considered and it was suggested that there may be merit in placing an advert for additional business representatives to express an interest in the future of towns.

It was also agreed that all members need to consider broader sector representation for the Project Group and to forward any new suggestions via email.

ACTION: Individual members who expressed their interest in participating in a task and finish group will be contacted and invited to attend a focus group discussion. Initial expressions of interest at the meeting included MT,KH,GP,CR and AD. If any other member is interested in participation please contact lynne.walters2@ceredigion.gov.uk.

ACTION: Russell Hughes-Pickering to consider the timing for the release of a possible invitation/expression of interest.

ACTION: All members to forward any suggestions of names to ensure broader business sector representation through to lynne.walters2@ceredigion.gov.uk

A.O.B

The Chair thanked all for their attendance and time this afternoon. It was agreed that the dates for future meetings will be circulated in due course following individual responses received from project group members. Initially it was agreed that it will be the task and finish group which will be arranged via Microsoft Teams.

Next meeting: yet to be confirmed.

ACTIONS CONTAINED IN LOCAL WELL-BEING PLAN UNDER THIS AIM

Short Term Action	Medium Term Action	Long Term Action
Promote innovation, entrepreneurship and career progression through the establishment of PSB secondment, training and work opportunities. We will also develop a framework to assist individuals and communities to understand future trends, overcome barriers and grasp opportunities for enterprise and initiatives.	Utilise PSB organisations' underused land and buildings, alongside procurement procedures, to deliver greater sustainable community benefit.	Ensure that infrastructure (transport, housing, digital and work places) aligns with asset-based community development in Ceredigion.

ACTION PLAN: APRIL 2020 – MARCH 2021

KEY	
GREEN	Active and on track
AMBER	Active but some concerns and needs close monitoring
RED	Active but major concerns and needs corrective action
BLUE	On-hold
BLACK	Closed

STEP 1: Establishment of Task and Finish Group to focus on support Interventions			
	Activity	Due Date	Comments
1.1	Establish a task and finish group to consider the range of interventions which are in place to support businesses.	June '21	Agreement of Project Group members secured at the meeting held on the 26 th May and individual members have agreed to contribute the work of this task and finish group.
1.2	Undertake a review of current provision and assess the overall impact of selected interventions.	Sept '21	
1.3	Consider the identification of gaps in the provision of interventions and focus on	Sept '21	

	job creation, job safeguarding and skills development.		
1.4	Link with place focus work of partners and consider the establishment of a task and finish group to implement this work.	Oct'21	
1.5			

STEP 2: Consideration of Project Group membership

	Activity	Due Date	Comments
1.1	All project group members to consider broader sector representation.	July '21	Suggested names to be shared and consideration to be given to the general release of an expression of interest notification.
1.2			
1.3			
1.4			
1.5			

STEP 3:

	Activity	Due Date	Comments
1.1			
1.2			

1.3			
1.4			
1.5			

PSB: DECISIONS & RISKS

Decisions Required or Risks to be highlighted to the PSB

DRAFT

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PSB Project Group Report

Prepared by: Manon Horscroft

Date: 08.06.21

Well-being Plan Aim	Enable people to create and grasp opportunities and meet challenges throughout their lives Improve vocational and life skills, build confidence and enable people to respond positively to change.	
Our Values	Welsh Language, Tackling Inequalities, Involvement, Sustainability, Leading By Example	
Project Group Name	Resilience Training	
Chair Vice-Chair	Matt Morden , Coleg Sir Gâr & Coleg Ceredigion	

Project Group Membership *(Names in **bold** signify attendance at meeting)*

Ceredigion County Council	Cllr Catrin Miles , Naomi McDonagh, Michael Smith , Sara Dafydd , Manon Horscroft , Diana Davies, Caroline Lewis, Victoria Foale, Rob Starr , Elen James / Mark Gleeson	Department for Work & Pensions	James Gibb
		Coleg Ceredigion	Katy Barron
Dyfed-Powys Police	Inspector Andrew Merry	Welsh Government	Diana Reynolds
Mid & West Wales Fire & Rescue Service	Chris Rees	University of Wales Trinity Saint David	Gwilym Dyfri Jones
Aberystwyth University	Dr Antonia Ivaldi	Public Health Wales	-
Hywel Dda University Health Board	Suzanne Tarrant, Anna Bird	Ceredigion Association of Voluntary Organisations	Chesca Ross

SYNOPSIS OF PROJECT GROUP MEETING

Key Points discussed at Project Group meeting:

Apologies: Anna Bird, Suzanne Tarrant, Chris Rees, Diana Reynolds, Elen James, Victoria Foale

Also in attendance: Mari Hopkins, Caitlin Theodorou (Ceredigion County Council)

The Chair began by welcoming partners to the meeting. The minutes from the previous meeting were agreed as a true record, and actions assigned on the 23rd of March marked complete or included as updates on the Agenda.

PSB Feedback & Membership

In line with discussions at the previous Project Group (PG) meeting, The Chair confirmed that concerns regarding regular partner attendance at meetings was reported back to the wider Public Services Board (PSB) in April. The Chair also queried as to whether there continued to be an appetite for a shared resilience training resource to be established across PSB organisations considering the current challenges around capacity, and the broad range of support for staff already established within respective PSB organisations.

Assessment of Local Well-being Engagement Workshop

As agreed at the previous PG meeting, Rob Starr (RS) and the Ceredigion County Council (CCC) Research Team facilitated an interactive workshop session focussed on the Assessment of Local Well-being. The session was part of a wider engagement process with stakeholders that will inform the production of the draft Assessment prior to public consultation in the autumn. The final draft will be published in March 2022 following PSB approval. As part of the facilitated session, PG members were asked to consider the following 3 main discussion points;

- How has this sub-group improved the well-being of Ceredigion's residents and communities?
- What has improved since the last Assessment of Local Well-being, and what has become worse since then?
- In the next 30-40 years, what do you think are the biggest challenges we face to the well-being of Ceredigion?

A series of quick poll questions tailored to the work of the PG were also presented as part of the session, and members were asked to contemplate whether their respective organisations had access to additional local data or research that could be considered as part of the Assessment, with ideas to be reported back to performanceresearch@ceredigion.gov.uk.

ACTION: Sara Dafydd (SD) to circulate the session's PowerPoint presentation to PG members.

ACTION: Partners to consider sharing any local data or research that could be incorporated into the Assessment of Local Well-being.

Focus Groups Research Update

Antonia Ivaldi (AI) provided an update on the Focus Groups Research. Since the last meeting, 5 Focus Group sessions have been conducted with 3 PSB organisations. These include a session with CCC, and 2 with Natural Resources Wales (NRW) and Aberystwyth University (AU) respectively. AI confirmed that discussion across the 5 sessions have allowed for 7½ hours' worth of data to be collated. SD reported that documentation has been shared with Mid and West Wales Fire and Rescue Service (MAWWFRS), and it is hoped that a Focus Group session can be organised with employees during the next month. AI confirmed that the qualitative data collated will be analysed during the next few months, and hoped to be in a position to share the research findings by the end of summer.

ACTION: AI to present the Focus Group Research findings at the next meeting.

Action Plan Discussion

The Chair reinforced that challenges around regular attendance at PG meetings had resulted in difficulty in progressing certain areas of work outlined in the PG Action Plan. It was noted that utilising the Resilience Training Register to its maximum potential has proved particularly difficult as the PG has not been in a position to consider gaps in organisational training opportunities without access to a full picture. Whilst examples of good work and enthusiasm for the resilience Agenda was highlighted, the appetite for the development and implementation of a shared training programme across PSB organisations was reflected upon. It was agreed that discussions on a way forward would continue at the next PG meeting.

ACTION: Action Plan Discussion to be kept on the Agenda.

A.O.B

The Chair confirmed his retirement from Coleg Sir Gar / Coleg Ceredigion, and as a result will be stepping down as the Chair of the PG. The Chair closed the meeting by thanking partners for their contributions.

Dates of next meetings: 24th of August 2021 at 14:00-16:00pm

ACTIONS CONTAINED IN LOCAL WELL-BEING PLAN UNDER THIS AIM

Short Term Action	Medium Term Action	Long Term Action
Develop a range of PSB approaches and opportunities to teach life skills and individual resilience to all members of staff in PSB organisations; to promote	Work with other organisations and communities, to roll-out the training programme across Ceredigion.	Continue to promote a cultural shift that empowers people to embrace change.

human interaction as well as emotional well-being & healthy living.		
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ACTION PLAN: MARCH 2021 – MARCH 2022

KEY	
GREEN	Active and on track
AMBER	Active but some concerns and needs close monitoring
RED	Active but major concerns and needs corrective action
BLUE	On-hold
BLACK	Closed

STEP 1: Establish a register of resources for all PSB organisations			
	Activity	Date Due	Comments
1.1	Create a Resilience Training Register Excel spreadsheet, and begin to populate with information already known.	26.08.20	Complete. Proposed skeleton of Resilience Training Register shared with PG on 26-08-20. Amendments suggested and made. Content agreed and uploaded to Teams site for population.
1.2	Clarify with PG members whether a central Team Hub via MS Teams would be beneficial, and whether the group has access to this platform.	24.08.20	Complete. PG members agreed to proceed with a central Hub Team via MS Teams.
1.3	Set up a Team for Resilience Training Project Group on MS Teams to allow improved communication and file sharing between meetings.	26.08.20	Complete. Team Hub set up on MS Teams on 25.08.20.
1.4	Ensure that resource spreadsheet is shared with the PG over MS Teams.	26.08.20	Complete.
1.5	Ensure amendments as suggested by the PG during 26-08-20 meeting are made to	07.09.20	Complete. Amended documents uploaded to Team Hub.

	the Resilience Training Register and Action Plan.		
1.6	Define what is relevant under the training heading with regards to organisational resilience support.	08.10.20	Complete. Definition shared with members on 14-10-20, with invitation for feedback. Definition included in ToR, and uploaded to Teams site.
1.7	All Partner organisations to update the Resilience Training Directory with any relevant training offered through their organisations, and ensure that in depth details are included.	17.11.20	06.06.19 It was agreed that further information was needed of the support available to staff from different partners including the target audience, any evaluation work on the support provided and detail about the support. 17.11.20 Additional work is required to ensure that all partners contribute to the Register so that a full picture is gained as to what Resilience Training opportunities are offered across PSB organisations. 08.06.21 The Chair highlighted the continued challenges in utilising the Resilience Training Register to its maximum potential whilst information from partners remains missing.
1.8	All PG members to continue to populate resource spreadsheet with any updates as and when necessary to ensure the live document is kept relevant and up to date.	When necessary	

STEP 2: Identify any gaps in training & need based on findings of resource spreadsheet

	Activity	Date Due	Comments
2.1	Following completion of point 5 under Step 1, PG members to review Resilience Training Directory and identify clear gaps in training.	12.01.21	Pending completion of point 1.7 under Step 1.

2.2	Small group conversations to be held with staff of Partner organisations to identify any need within our organisations from a COVID-19 recovery perspective.	January, 2021	<p>17.11.20 CCC, MAWWFIRE and Aberystwyth University have committed to support the research. Sources of support within each organisation need to be identified, before attendees can be invited to take part and this is underway. Contacts have been identified for liaising with NRW.</p> <p>08.06.21 5 Focus Group sessions have now been held with 3 organisations. A further session is hoped to be conducted with Mid and West Wales Fire and Rescue Service during the next month.</p>
2.3	Restorative spaces within the NHS project to inform work of PG by identifying any arising gaps in need.	When necessary	<p>23.03.21 The recruitment process has been challenging due to COVID-19 but it is hoped that recruitment can be promoted again imminently.</p> <p>08.06.21 The project has recently been put on hold due to challenges around the recruitment process and capacity issues.</p>
2.4	Identify whether there is scope to share organisational training with communities and volunteers in some guise.	January / February, 2021	<p>09.07.20 Specific training needs of Community Support Groups are identified through weekly Catch Up Sessions over Zoom with the CAVO Team.</p> <p>17.11.20 Understanding our Communities PG are looking to collate training opportunities in order to give back to the community – This area of work will be picked up by the UoC PG at January’s meeting.</p> <p>23.03.21 PG members to contact CAVO to express interest in becoming part of a portfolio of providers who can deliver sessions for volunteers in communities across Ceredigion as part of the Volunteering Recovery Grant.</p>
2.5	Training / informative sessions on COVID-19 and Track & Trace to be shared where appropriate e.g. within community groups, especially in relation to the reopening of community venues.	-	Reopening Community Venues Advisory Panel formed as a sub-group of the Understanding Our Communities PSB Project Group.

STEP 3: *Develop shared training for PSB organisations based on gaps & need*

Activity		Date Due	Comments
3.1			23.03.21 PG Chair to ascertain from wider PSB members as to whether there is still appetite for shared resilience training. 08.06.21 Discussions to continue as to the most appropriate way forward for the PG.

PSB: DECISIONS & RISKS

Decisions Required or Risks to be highlighted to the PSB

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CEREDIGION LOCAL WELL-BEING PLAN

ANNUAL REPORT 2020-21

Contents

	Page
Foreword	3-4
The Well-being of Future Generations (Wales) Act 2015	5
COVID-19 Statement	6-7
Delivering the Local Well-being Plan	7
Climate Change and Natural Resources Project Group	8-11
Understanding Our Communities Project Group	12-16
Co-location and Integration of Front-line Services Project Group	17-18
Enterprise & Innovation Project Group	19-21
Resilience Training Project Group	22-25
Social and Green Prescribing Project Group	26
Public Services Board Sub-Groups	26-29
(i) Poverty Sub-Group	
(ii) Refugees Resettlement Group	
(iii) Ceredigion Bilingual Futures Forum	
Additional Presentations & Consultations	29

Foreword

Welcome to the 2020-21 Ceredigion Local Well-being Plan Annual Report. This report highlights the steps taken by the Ceredigion Public Services Board (PSB) to meet the aims set out in our Local Well-being Plan for Ceredigion. It outlines the work that PSB partners have delivered in order to meet our collective 'well-being duty' to improve the economic, environmental, cultural and social well-being of people and communities in Ceredigion.

In light of the challenges experienced over the last 12 months, and as a direct consequence of Coronavirus, we have striven to apply the 'Covid-lens' to all discussions and actions over the last period. This has proved vital as partners have worked tirelessly on an individual and collective basis to address the challenges posed. Each partner organisation has clearly demonstrated their commitment and support to the well-being of residents, businesses and the communities of Ceredigion and as we cautiously move positively into recovery, the application of the 'Covid-lens' is proving increasingly important in order to appropriately and safely guide us all along the path into the future.

Over the last year we have taken the opportunity to review our priorities and work stream's in order to ensure that we focus our attention and efforts on the key themes across the County. Priorities have been re-set and actions over the last 12 months have quite rightly focused on where our collective influence adds value above and beyond what we already do as individual organisations.

Over the last year we have experienced a completely different way of working and this has provided a renewed focus on the importance of partnership working and the co-production of solutions. The fierce challenges have seen all partners collaborating and ever closer ties have led to the increasing practical implementation of established mechanisms to work together for the benefit of all. Flexibility has been key, both in terms of the strategic context and the practical interventions which have been necessitated by the pandemic.

In 2020-21 a targeted approach based on key actions has resulted in positive outcomes which are directly linked to the well-being of individuals, businesses and community groups across Ceredigion. Throughout this year there has been an investment of time and effort in the adaptation of new working practices whilst always striving to involve more people and communities in this journey of improving their well-being.

In light of the continued challenges posed by the coronavirus pandemic, once again this year's Annual Report is more concise but our journey quite rightly continues to address our Well-being Aims and to implement our vision for the economic, environmental, social and cultural future of Ceredigion.

We wish to acknowledge the commitment and support that partners have demonstrated and thank them for their continued recognition of the importance of working collectively for the mutual benefit of enhancing the well-being of people and communities in Ceredigion.

Cllr Ellen ap Gwynn, Chair of Ceredigion Public Services Board

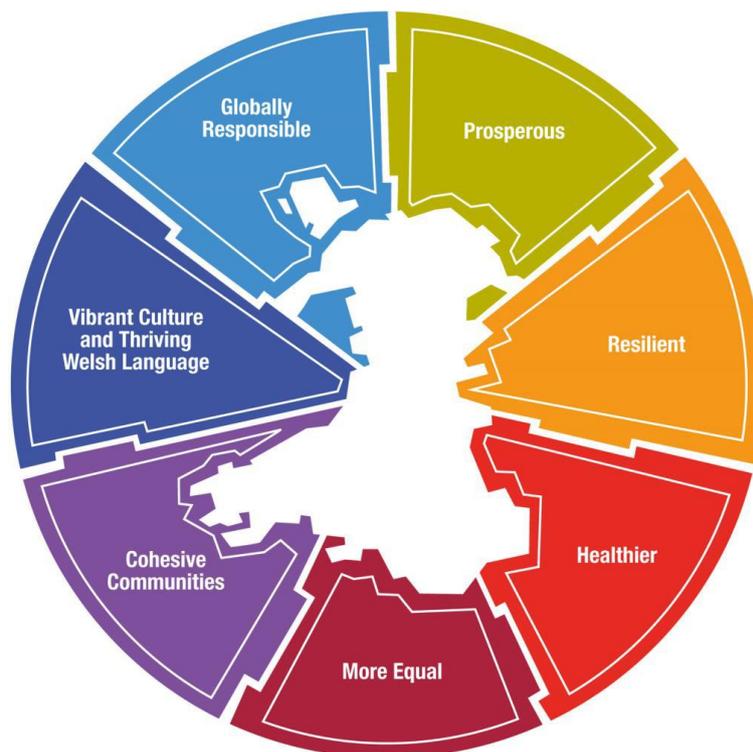
The Well-being of Future Generations (Wales) Act 2015

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.

Five Ways of Working



Seven National Well-being Goals



COVID-19 Statement

As a direct consequence of the Coronavirus pandemic the implementation of the Project Group actions have been reviewed. Following the initial suspension of meetings during the early part of 2020-21 Project Groups have, in an appropriately phased approach, been brought back on-line with the positive engagement of partners via remote meeting solutions. This followed a very challenging first 4 months of 2020/21 where-by members of staff from across partner organisations were re-deployed and mutual aid activated during the emergency response.

The first PSB meeting of 2020-21 was held in July 2020 through virtual means. Discussions at this point were rightly dominated by the impact of COVID-19 that led the Board to consider in detail appropriate responses to the challenges posed. It was agreed to encourage each Project Group to undertake a full review of its priorities and outline its forward action plan.

The first Project Group to re-commence its work was the Understanding our Communities Project Group, with its membership directly drawing on the expertise of personnel involved in the direct design and delivery of support services to assist communities. All partners demonstrated a keen commitment to the work and wished to positively contribute to assist. During 2020-21 this Project Group has strived to ensure that voices have been heard, guidance has been developed and that solutions have been implemented. Working in partnership with strong participation from the 3rd sector during 2020-21 the emphasis of the group has been firmly placed on the importance of community engagement, the co-production of solutions and the increasingly vital importance of harnessing the strength of volunteer capacity to build sustained resilience across and between partners.

From September 2020 onwards other Project Group meetings re-started. The Climate Change and Natural Resources, Co-location and Integration of Front-line Services, Resilience Training and Enterprise and Innovation Project Groups have now recommenced meetings. The Social and Green Prescribing Project Group, under the Chairmanship of the Director of Public Health for Hywel Dda University Health Board, has not met since the beginning of 2020, when it held its regional symposium at the University of Wales Trinity Saint David, Lampeter. The workshops at this partnership event identified a number of key areas of focus however, due to capacity considerations and emergency priorities the group has only been able to maintain a watching brief on developments within the sector via the information platform, Basecamp. Ideas from within Ceredigion, the West Wales region and indeed the whole of Wales continue to be shared between partners with a view to continuing with this vital work which will assist greatly during the recovery phase.

The hosting of partnership meetings through virtual means has resulted in increased representation and participation from the majority of partners. Each Project Group has

completed a full review of their priorities and outlined their new Action Plans for 2020/21. This review enabled each Project Group to firmly place their priorities and Action Plan through the COVID lens. This has been a very positive development as partners have built upon relationships which had been formed over previous years and organisations have contributed to the co-production of the new Action Plans. Partners have also demonstrated further commitment to individual tasks through a direct implementation role via Task and Finish Groups. This is particularly the case with Understanding our Communities Project Group and Climate Change and Natural Resources Project Group. More detail on the work of the Task and Finish Groups along with the priorities of each individual Project Group can be found in Section 3.

Delivering the Local Well-being Plan

The Local Well-being plan, agreed by Ceredigion Services Board on the 16th April 2018 is delivered through Project Groups, comprising of relevant officers from across the PSB partners. These Project Groups draw upon the skills and expertise of individuals with relevant specialist knowledge and strive to represent the diversity of our communities across Ceredigion.



Create environmentally responsible and safe communities that can adapt and respond to the effects of climate change.

Support communities to enhance their relationship with the natural environment and prepare for extreme weather events.

Reviewed Priorities

A key objective of this Project Group is to support communities and enhance their relationship with the natural environment, thus preparing them for extreme weather events. This aim was identified as a priority by the PSB as it is widely understood that climate change is an acknowledged threat to our long term future, likewise the impact of modern life on our natural assets.

For 2020/21 the co-produced actions for this Project Group were as follows:

- Preparation of a funding bid for submission to NRW and the implementation of agreed actions.
- Group members to share good practice and actively support Project Group discussions.
- Consideration of pilot projects and other support programmes.

Key actions undertaken in 2020/21

1. Re-connecting to Nature

In December 2020 Resources for Change (R4C) Ltd. were appointed by Ceredigion County Council, acting on behalf of the Climate Change and Natural Resources Project Group, to identify publicly owned land in the county that is accessible and promotes biodiversity and health and well-being.

Key elements of the report:

- The purpose of this report was to identify ways to enhance biodiversity, and to increase the opportunities for connections between people and nature.
- The work has produced a long list of publicly owned sites that meet or have potential to meet SINC (Sites of Importance for Nature Conservation) criteria as well as accessible sites that will enhance opportunities for people to better understand and enjoy local nature and green spaces and improve their health and well-being.
- Along with the compilation of a long-list of over 170 publicly owned sites with ecological / community enhancement potential, seven potential thematic projects have been identified that will enable direct access to nature. These themes include 57 sites which are geographically dispersed across the County.

- Opportunities have been identified to include tree planting, gardening, walking and cycling, litter picking, creation of wildlife refuges and community art projects. There is potential for access for all through path improvements and consideration of locations very close to or within communities. Habitats range from coastal, meadow, woodland and those within urban spaces.

These sites are:

- ABERAERON: **Key Theme:** Creation & Restoration of Semi-natural Grassland
- ABERYSTWYTH: **Key Theme:** Community Wildlife Projects
- CARDIGAN: **Key Theme:** Afon Teifi and Pollinators
- LAMPETER: **Key Theme:** Woodland and Freshwater Wildlife
- LLANDYSUL: **Key Theme:** Creation & Restoration of Semi-natural Grassland
- LLANILAR: **Key Theme:** Circular Wildlife Walk
- NEW QUAY TO LLANARTH: **Key Theme:** Coastal scrublands and water quality

Potential funding sources as at March 2021 have been outlined for the above themed projects which will provide a key focus for the future Action Plan for this Project Group as well as creating links with the other Project Groups.

“.....a Task & Finish Group has been established to support the process of developing and driving forward potential key actions identified by this commissioned report across publically owned sites.”

2. Love Where you Live Campaign

The campaign was launched on the 25th of January, 2021 with three calls to action for community groups, or individuals. The initial Facebook post has been viewed over 1000 times and traffic to the platform continues to increase.

“.....full details of this campaign for individuals and community groups can be found at [Love Where You Live](#).”

Key elements of the campaign include:

From your Garden: To support groups to plant at home and look at community planting as restrictions lift.

- Shared links with “Adam yn yr Ardd” - bilingual gardening video blog, with videos which are aimed at Welsh learners.
- Linked with local small business “Harvst” who produce smart greenhouses and have a strong ethos of encouraging food growing.
- Linked in with the Botanical Gardens in Carmarthen – Blog about supporting Bees.
- Supported community groups across Ceredigion to plant seeds/ plants for the National Day of Reflection.

- Developing plans with several community food growing schemes – hoping to form a network in Ceredigion.

From your Heart: Initially linked to walking, with the idea of painting stones to put out in local communities for people to find while they are walking.

- Actions to 'love' your local area, linked with "Naturehood", a community project from Earthwatch Europe, working to reverse wildlife decline.
- Translation of factsheets detailing ideas for people to support their local environment :
 - Creating a wildlife passageway
 - Making leaf and log piles
 - Making a wildlife pond and using flowers as pollinators
- Blog focused on Red Squirrels in Ceredigion.
- Shared local action like the mural for Earth hour in Cardigan.
- Working with local groups to support their community work e.g. Caru Aber.
- Looking at how the campaign can be used further to support communities as restrictions are lifted.

From your Front Door: People were asked to share positive experiences of walks within the community. Sharing details of where they walk and the different things that they see.

- Local press articles to raise awareness of the campaign and encourage people to submit their walking routes and photos.
- Walks from Caru Ceredigion shared.
- Links with Walking for Wellbeing Ceredigion to promote their virtual walks. Opportunities identified to join community walks, provide Volunteer leader training and Peer support for the future.
- Working with Cered and local care home residents to develop bilingual fact sheets of native plants and birds for people to identify while they are walking and gardening. Guides are also being considered for sensory gardens incorporating herbs and scented plants.

This project has focused on building relationships with community groups who are developing different community growing projects – these are also being highlighted as part of national gardening week and details of useful links can be seen below:

".....useful links providing additional information are available at :

[Community Growing](#)

[Adam yn yr Ardd](#)

[National Day of Reflection](#)

[From Your Front Door](#) "

Sharing of good practice and increasing the knowledge base

These elements are essential in order to underpin the work of this Project Group and therefore during 2020/21 a small Research Task Group was established.

The focus of this Task Group included the involvement of Partners in a Climate Resilience Pilot Project funded by NRW with a particular focus on the production of embedded Community Resilience Plans. This work was about Climate Resilience - planning for a different future as a result of climate change that we are already tied into and aimed to provide an overview of climate impacts and risks to the Town and to outline the priorities for organisations, community groups and individuals to work on to build resilience.

Consideration has also been given by this Project Group to key strategies developed by partners and the direct consideration of student participation in initiatives in order to enhance future activities.

".....a Task & Finish Group has been established to consider research opportunities, harnessing the skills of under-graduate and post-graduate students via the provision of opportunities for direct involvement in key project areas."

Proposed actions for the future

The forward action plan for this Project Group will continue to focus on the proposals within the Re-connecting Nature scoping report, the continuation and further development of community based actions focused on the sharing of good practice with the Love Where you Live Campaign and the continued linking of project actions with the key strategies of partner organisations.

The emphasis will be placed on maintaining a keen eye on the recovery plans as we emerge from the COVID-19 pandemic.



Create conditions for communities to support individuals from all backgrounds to live fulfilling, independent lives.

Develop and sustain social networks, and cultural and linguistic opportunities in order to enhance well-being and maintain independence.

Reviewed Priorities

As previously mentioned, the Understanding Our Communities Project Group was the first to recommence following the onset of the COVID-19 pandemic to ensure the vital sharing of information between communities and public services during a period when responding swiftly to support those most vulnerable within our communities was paramount. This was particularly important as the rural nature of Ceredigion, sparsity of settlements and challenges including digital exclusion and isolation had the potential to be negatively amplified by the impact of COVID-19. A review of the current priorities was undertaken to ensure that the work of the Project Group met the needs of both communities and partner organisations in light of the pandemic, whilst recognising that the work programme should remain flexible to respond to changes in circumstance as appropriate.

For 2020/21, the co-produced actions for this Project Group were as follows:

- Identify geographical communities and communities of interest – Data and community assets.
- Develop programme of engagement with communities and agree clear purpose and message to communicate the vision and encourage participation – Engagement and Communication.
- Work with communities to understand their assets – including buildings, people, skills, activities, events and services – Data and community assets.
- Support communities to work as Community Service Boards – Co-production.

Key Actions Undertaken in 2020/2021

1. Data and Community Assets

The Project Group have continued to gather reports and results from recent community engagement exercises. As a result of COVID-19 restrictions, some exercises and projects were placed on hold temporarily such as the Place Plans, whilst engagement opportunities had to be reconsidered with a focus on digital consultation as opposed to face to face. Community consultations have included those conducted by Cered in Aberaeron and Lampeter, Rural Futures in Llandysul and New Quay, Cynnal y Cardi in Lampeter and Llangrannog, and CAVO in Llandysul, Cardigan and Penparcau. Gathering feedback and reports from exercises such as the Place Plans and community engagement allows for greater understanding of need and identification of potential areas for future work.

In readiness for the next Assessment of Local Well-being which will be conducted in 2021/2022, a Task & Finish Group of the Project Group has been established to support the process of developing the draft engagement and communication plan. With PSB organisations reaching far into communities, the expertise of the Project Group will prove invaluable in identifying key stakeholders and events through which engagement on the Assessment of Local Well-being can be carried out. This process will prove imperative in reaching those communities disadvantaged, marginalised and seldom heard and ensuring that their voices are heard and needs accounted for. Project Group members will also take part in a facilitated workshop in order to collate their thoughts and expertise via polls, virtual white boards and discussion around well-being themes in the context of understanding our communities.

".....a Task & Finish Group has been established to support the process of developing the draft engagement and communication plan for the next Assessment of Local Well-being."

2. Engagement and Communication

Developments regarding Writemedia and Engagement HQ continue to be reported to the Project Group with the aim of utilising these digital engagement platforms as a repository for engagement reports. The development of Engagement HQ has remained challenging due to partner capacity during COVID-19, but it is hoped that the platform can be utilised in the future as a tool for continuous engagement in order to minimise community consultation exercises. Discussions have been held by the Project Group on how Engagement HQ can be utilised to support a Participatory Budgeting approach in New Quay, following the success of a similar project funded by the Police and Crime Commissioner across 3 areas of the county. This will build on the work of Severn Wye under the Rural Futures Programme in the area, who have been supporting the community to map local assets, identify issues associated with rural living and offer ideas based on good practice to help inform solutions. The Project Group also continues to explore links with [Understanding Welsh Places](#) as a community data source, and consider how it might link in with and inform the Assessment of Local Well-being.

Effective communication remains vital to the Project Group's work, and never was this been more crucial than during the onset of the pandemic. CAVO scheduled weekly meetings with Local Support Group organisers, with any feedback, challenges and areas of good practice reported back to members at Project Group meetings. A mapping exercise was conducted with the aim of geographically capturing the coverage of support providers across Ceredigion, including food banks, community support groups, town & community councils and YFC groups. This exercise proved vital in identifying any areas of the county not covered by any support networks, which allowed for implementing mechanisms to support communities where there was less coverage in provision. As the Stay At Home message become clear and alternative means of communication implemented, it was crucial to the Project Group that vital

messaging continued to reach those who were digitally excluded within the county. With this in mind, a live Communication Plan document was formulated and hosted on the Project Group's MS Teams site which referenced various avenues of communication and areas of good practice for reaching communities both online and offline. The Project Group also received a presentation by Radio Aber, who are focussing on facilitating messaging between communities and public services through a variety of means including phone-ins and advertising.

"A mapping exercise was conducted with the aim of geographically capturing the coverage of support providers across Ceredigion, including food banks, community support groups, town & community councils and YFC groups. This exercise proved vital in identifying any areas of the county not covered by any support networks."

3. COVID-19 Recovery

In advance of the initial easing of lockdown, a sub-group of the Project Group was established to assist and advise on the safe reopening of community venues. A multi-agency panel of experts was established and continues to meet weekly to discuss enquiries, monitor challenges and share information. A number of virtual briefing sessions have been held with community venue representatives, which have been well attended. Risk assessment templates, cleaning advice, track & trace procedures as well as the latest guidance from Welsh Government and WCVA continues to be offered online and via the live briefing sessions during which community venue representatives are encouraged to ask the panel questions relating to their specific activities / venues. The Panel has proved successful in informing and influencing national decisions based on local need.

".....a sub-group has been established to assist and advise on the safe reopening of community venues. A multi-agency panel of experts was established and continue to meet weekly to discuss enquiries, monitor challenges and share information."

The Project Group also continue to be informed by various pieces of research looking to identify the impact of the pandemic on communities. The Project Group received a presentation on Prosiect Fory – A collaborative project between Bro360 and Radio Beca based on a 3 question survey to establish how communities interact, and identify the positives and negatives brought about by the pandemic. A representative for Project Fory will be further invited to provide an update to the Project Group in the coming months, which will inform the work of the group moving forwards and ensure that any positive examples of good practice are retained.

A study by Aberystwyth Business School on the impact of COVID-19 specific to the residents and businesses of rural Ceredigion will also assist in informing any work to better support communities as recovery continues.

4. Co-production

As previously mentioned, the Project Group are keen to explore the potential link between Participatory Budgeting as a starting point for co-production. Discussions have already been held with Severn Wye regarding piloting the Participatory Budgeting approach to build on the action plans and needs assessment conducted in New Quay through the Rural Futures Programme, and to ensure that key funds are distributed to communities. Progress on the COVID-19 Volunteer Recovery Grant is also reported on at Project Group meetings, which will promote opportunities for communities to develop skills and awareness around first aid, confidence building and mental health, as well as support the process of implementing community contingency plans. The project will also look to celebrate the act of volunteering, and the health benefits involved. The establishment of the [Connect to Ceredigion](#) platform where communities can make connections, share information and exchange volunteering offers, as well as the [Connect to Kindness](#) campaign which encourages residents to informally support each other through acts of kindness will assist in reinforcing this messaging. The Project Group also continues to promote the [Dewis Cymru](#) and [Infoengine](#) directories, whereby individuals can explore advice and a range of services available across Wales and their specific area.

"...piloting the Participatory Budgeting approach to build on the action plans and needs assessment conducted in New Quay through the Rural Futures Programme, and to ensure that key funds are distributed to communities."

Proposed Action for the Future

The Project Group will continue to build on the work as outlined above where appropriate during the year to come, whilst remaining flexible and responsive to community needs as necessary. It is hoped that the work on the Place Plans will be in a position to continue, and that the Project Group can support working with communities and key officers to establish Task Forces to co-design and deliver solutions to meet needs identified in the process moving forwards.

Discussions will continue around implementing the Participatory Budgeting approach in New Quay to build on the findings established as part of the Rural Futures Programme, which will aim to support the community in addressing solutions to the issues associated with living in rural areas. The Understanding Our Communities Task & Finish Group will also continue to support the Assessment of Local Well-being process,

The Project Group will continue to strengthen links, explore opportunities for continuous engagement and encourage co-productive ways of working with communities and partners both locally and regionally. It is anticipated that Engagement HQ will prove an invaluable tool in implementing continuous engagement into our day to day work, and ensure that relevant information with regards to securing and delivering on any funding or grant schemes is already available as part of a central repository in order to avoid

consultation fatigue. With this in mind, the Project Group will assist in testing the site and continue to work in partnership to ensure it is delivered and managed to its maximum potential.

The Project Group also propose to develop and deliver an engagement skills programme for PSB partner workforce which will include co-production techniques, making every contact count.

“...continue to strengthen links, explore opportunities for continuous engagement and encourage co-productive ways of working with communities.”



Enable every child to have the best start in life.

Support parental preparedness through early intervention, overcome inequalities and promote holistic learning.

Reviewed Priorities

The key objectives of this Project Group are firmly placed in the requirement for Ceredigion PSB to prevent continued inequality and the lack of universal services to support children. This work is now based upon a through-age model of support which harnesses the opportunities for practical, hands-on collaboration which is firmly aimed at improving the lifetime outcomes for all. In order to achieve these objectives collaboration and intervention is required. The work is being delivered initially through PSB partners with a long term action to ensure that universal services are well-resourced, accessible and used by all.

Key actions undertaken in 2020/21

For 2020/21 the co-produced actions for this Project Group were as follows:

- To focus on programmes, strategies and policies aimed at the co-production of an integrated system for Early Years.
- Support the integrated establishment of the Well-being hubs.
- Consider and research potential hybrid models for the delivery of services for communities.

Creating the environment to enable each and every child to receive the best start in life is essential and in order to strive towards achieving this objective the work of this Project Group has supported the Pathfinder Pilot Project. Evaluation of local provision undertaken by Wavehill Consultancy has provided the foundation for continued pilot provision and has also linked this work to the key objectives of the Regional Early Years Strategy.

Harnessing the expertise of partners and evaluating the response of both service providers and service users has been key and this has enabled services to be provided in a seamless manner across Ceredigion. The requirement for the seamless provision of support services became even more important as COVID-19 struck and partners have worked collaboratively to ensure the continued provision of support, all be it in a slightly amended model which was adapted to reflect the challenges posed by lock-down. The importance of maintaining contact and providing support has underpinned all aspects of the work and the experience gained over this period is now being harnessed to inform future provision.

The challenges of COVID-19 directly affected the provision of childcare across the County with places being lost as providers struggled to maintain provision. Support services were channelled to address this challenge in order to ensure the availability of provision as we enter the recovery phase. The public and private partnership working for the provision of childcare services is essential in order to ensure the availability of universal services for the benefit of families in the County.

The second aim of this Project Group has centred on the design and establishment of Well-being Hubs and this has been based upon the innovative Integrated Service Delivery Model advocated by Ceredigion County Council. Partner consultation has contributed to the design of the first Well-being Hub located at Lampeter Leisure Centre and the aim is firmly focused on the development of integrated facilities for the benefit of individuals and communities. Through the adoption of a model based on ensuring maximum flexibility a range of public-facing services will be able to be provided for the benefit of all. Additional partner consultation has commenced with a view to embedding the model within service based solutions advocated by partners. PSB partners are actively considering the opportunities which are being provided by the Well-being Centre for the provision of extended services and they are also considering the concept of a "hub and spoke" model which would enable the hub to reach out to surrounding communities. Opportunities cross the boundaries of public, private and 3rd sector community provision of services for the benefit of all via truly community based hubs.

"...partner consultation has informed the design of the first Well-being Centre at Lampeter and links are being considered under the Volunteering Resilience Fund with a direct focus on community services."

Proposed Actions for the future

As we move into the recovery phase this Project Group is increasingly aware of priorities being identified and the strategic direction being outlined by Welsh Government with regards to the establishment of community based hubs. The Project Group will aim to develop knowledge and understanding around the Welsh Government's ambition and will seek to co-produce solutions across Ceredigion.

"...ambition is to see about 30% of the workforce in Wales staying at or near home in the long term. The Welsh Government said it wanted to give workers "more flexibility to work remotely" and claimed this could "drive regeneration and economic activity in communities".

The Project Group will further consider the potential and scope of new solutions and will progress discussions with partners and incorporate a mapping of partner assets to support community based working hubs.



Enable communities to become prosperous, sustainable and connected by supporting the transformation of economic prospects.

Improve physical and digital infrastructure to support economic development, including suitable and affordable homes.

Reviewed Priorities

Given the rural nature of Ceredigion and its geographic isolation from large economic centres out of necessity the County is heavily dependent upon public sector employment. Increased opportunities are required to extend this employment base in order to decrease the risk posed to the long term prosperity of the County. This Project Group's objectives are firmly placed in the identification of solutions which will decrease this risk and expand the employment base via interventions and initiatives which are aimed at developing the foundational economy and improve the infrastructure. With the direct involvement of partners from the public, private and 3rd sector, solutions will be designed to reflect their perspectives and drive to create innovative and sustainable businesses which harness the skills and expertise of local people.

The Project Group has been heavily involved in the shaping of the Economic Strategy 2020-35 and this was agreed at Cabinet in March 2021. This vitally important document has helped to inform the areas which need to be focused on in 2021/22.

When the Project Group re-convened in the first quarter of 2021 their first task was to undertake a collective review of priorities. The Project Group considered the following priorities:

- Data analysis Task-Group - What does the data mean for enterprise and innovation?
- Business diversification and co-location Task Group – Should this underpin the required business development model?
- Enterprise Intervention – Do we understand the range and potential impacts of the existing interventions?
- Sector specific task group – Should we periodically consider the requirements of individual sectors?
- Place focus – How do we shape the future of town centres, what is important to their future vitality?

Also in 2020/21 Ceredigion were requested by Welsh Government to lead in Mid Wales on a project aimed at Creating Wealth in the Foundational Economy through progressive procurement approaches. This has seen an extensive range of partners sharing information and knowledge across key sectors with the objective of enhancing the opportunities available across the region to expand the business platform and retain wealth locally.

This work is being undertaken by the Centre for Local Economic Strategies (C.L.E.S) with the specific aims:-

- To **effect systemic change in local economies** across Wales:
 - by working with **anchor institutions** in selected Welsh **Public Service Board areas** to introduce and embed the **community wealth building** concept in these areas
 - and disseminate policy and practice lessons across Wales;
- With a specific focus on **progressive procurement approaches**

Key actions undertaken in 2020/21

For a large proportion of 2020/21 the actions for this Project Group were suspended as its members battled to address the challenges of COVID-19. Members worked with businesses to rapidly deliver the support of Welsh Government initiatives. These were urgently designed to assist the survival of the local private sector. Priority was given to providing the support structures necessary to enable businesses and individuals to survive beyond the pandemic.

The voice of the private sector is key to this group and during these challenging times it has proved very difficult to sustain private sector input but this matter is now being addressed by the group as they move to progress specific areas of work.

With the easing of restrictions and following detailed consideration, the Project Group has now agreed that their future focus will be placed on two key elements namely, support interventions and place focus embracing the changing nature and product offering on the high street and within market towns.

"... Task and Finish Groups established to review the interventions aimed at expanding the employment infrastructure, to harness the ambitions of the private sector and to further define Place focus – How do we shape the future of town centres, what is important to their future vitality their research and development activity across the County."

Complementary to this work a number of workshops have been undertaken as part of the procurement project – 'Creating Wealth in the Foundational Economy' and these have considered five key sectors namely:

- Enhancing Opportunities for Local SME's
- Construction and Retrofit
- Food Procurement
- Support for Generative Suppliers
- New Business Start-up.

The aims of this project have also been reviewed against the challenges posed by COVID-19 and the following key amendments have been made to the project plan:

- In light of COVID-19 the work now includes a specific focus on **supporting local businesses which are at risk or vulnerable** due to the pandemic and supporting the growth of **local employment opportunities**.
- We are also examining some aspects of **national agencies pan-Wales spend** (e.g. Wales NHS food-related spend).

“... workshop sessions held to map the value of key individual sectors and to identify further opportunities to decrease the loss of wealth from local communities.”

This Project Group is very aware of the changing landscape of our market towns and wish to focus their work on the identification of new approaches and product offerings. Emphasis will be placed on research and development and the design of innovative solutions. Encouraging skills development is seen as being key to the long term future of businesses in the area and harnessing the latent potential of the Foundational Economy is seen as a key driver in this work.

Given the sectoral emphasis of the work which has been undertaken to date it is deemed feasible to expect an increasing contribution to the economy in the coming years.



Enable people to create and grasp opportunities and meet challenges throughout their lives.

Improve vocational and life skills, build confidence and enable people to respond positively to change.

Reviewed Priorities:

With the Guiding Principles of Community Resilience and Individual Resilience underpinning the 6 Well-being Aims of the Local Well-being Plan, ensuring that our public sector employees are equipped with the skills and capabilities to overcome transitions, challenges and face change has never been more imperative in light of the COVID-19 pandemic. Never before has our resilience on both a community and individual level been challenged in such a broad and multifaceted way, with employees having to adapt to an entirely new way of working and communicating almost overnight. The Resilience Training Project Group had a crucial part to play in ensuring that staff within our PSB organisations felt confident in the level of well-being support provided within their respective workplaces, and equipped with the skills necessary to manage in line with the circumstances imposed. A review of the current priorities was undertaken to ensure that the work of the Project Group met the needs of partner organisations in light of the pandemic, whilst recognising that the work programme should remain flexible to respond to changes in circumstance as appropriate.

For 2020/21, the co-produced actions for this Project Group were as follows:

- Establish a register of resources for all PSB organisations.
- Identify any gaps in training & need based on findings of resource spreadsheet.
- Develop shared training for PSB organisations based on gaps & need.

Key Actions Undertaken 2020/2021:

1. Resilience Training Resource Register

The primary focus of the Project Group during this time was to fully review examples of relevant training focussing on building resilience currently being offered to staff across all partner organisations. As previously mentioned, this exercise was of particular importance following the onset of the COVID-19 pandemic where organisations have been responding swiftly to ensure the continued well-being of their staff. One of the main challenges where a repository of organisational Resilience Training has been attempted previously has been around cementing a definition with regards to what constitutes Resilience Training, and the consequent recognition of examples appropriate for inclusion within this resource. With such a broad range of support outlets being offered across organisations including helpline services and support groups, it was crucial that the agreed definition outlined that any sessions acknowledged as training

should be structured in such a way to include the provision of information and actionable strategies, with a clear focus on prevention and / or support that could ultimately be shared across organisations if required. With this in mind, the Project Group agreed on the following definition of Resilience Training within organisations.

"In the context of this Project Group, references to (any form of well-being and / or resilience) training will focus on proactive sessions offering employees opportunities to hear how to improve their well-being, equipping them with the knowledge to help respond to daily challenges in a prepared and functional manner, as well as learn of what support mechanisms there are both within the organisation and wider should they be required."

The primary aim of building a catalogue of resources was to help facilitate shared learning opportunities, prevent duplication, as well as identify future needs of employees across organisations. In order to achieve this, a Resilience Training Register in the format of an Excel spreadsheet was created and uploaded centrally on to the Project Group's MS Teams site. The Teams site was established following the onset of the pandemic to facilitate improved communication between meetings and as a repository for the Group's documentation including report templates and live documentation. The central repository allowed partners the freedom to populate the Resilience Training Register with opportunities already available to PSB employees through their organisation as and when convenient. The Register outlines crucial details such as training content, potential costs, evaluation details as well as who the training is suitable for. Project Group members continue to update the Register where necessary to ensure the live document is kept up to date, and is reflective of an ever changing picture.

2. Identifying Gaps & Need

A piece of research is in progress by Aberystwyth University in partnership with the Resilience Training PSB Project Group, which aims to explore public service staff's understanding of well-being and resilience, their experiences of any resources or training received to assist in building resilience, and to establish how individuals may be supported further in developing resilience and enhance well-being. As mentioned previously, staff have had to respond to change and uncertainty on an unprecedented level during the past year and so the research also looked to ascertain how public service employees' experience of COVID-19 has impacted on capacity for resilience. Information was collated via Focus Group sessions that have been conducted with 3 PSB organisations, with additional sessions planned for 21-22. Some early discourses suggest that the findings prove invaluable in informing the progress of the Project Group moving forwards to ensure that need as identified by employees is met. A further project aiming to consider the use of restorative spaces within the NHS, as well as creating nature based breakout rooms which will provide an insight into resilience is also underway. Whilst recruitment has proved challenging during the pandemic, it is hoped that should there be potential to promote this project further, that any findings could be reported back to the Project Group and inform next steps in the future.

The Project Group continue to monitor whether there is scope to share organisational training with communities and volunteers, and ensure that linkages are made with the

Understanding Our Communities PSB Project Groups where appropriate. CAVO received funding by Welsh Government focussing on supporting volunteering activity during the recovery phase, and were keen to establish whether there was scope to offer local communities the chance to develop skills and awareness specifically with regards to first aid training, mental health awareness and confidence building awareness. Project Group members were encouraged to contact CAVO should groups or organisations wish to apply to become part of a portfolio of providers who can deliver sessions for volunteers in communities across Ceredigion. The Project Group will continue to scope and identify opportunities to work collaboratively with the Understanding Our Communities PSB Project Group in the future to share resources as appropriate.

As previously mentioned, the primary aim of establishing the shared Resilience Training Register was to help facilitate shared learning opportunities, prevent duplication, as well as identify future need of employees across organisations. As Project Group members continue to populate the Resilience Training Register, consideration will be given to any gaps that become apparent once a full picture has been achieved whilst also reflecting upon the findings of the Focus Group research which will further highlight areas for focus moving forwards.

“A piece of research is in progress in partnership with the Resilience Training PSB Project Group, which aims to explore public service staff's understanding of well-being and resilience, their experiences of any resources or training received to assist in building resilience, and to establish how individuals may be supported further in develop resilience and enhance well-being.”

3. Develop Shared Training for PSB Organisations

Due to the urgency of the response required in ensuring the well-being of employees during the past year, members of the Project Group and wider PSB will consider whether opportunities for developing shared training for PSB organisations is still feasible at this time. The findings of these discussions as well as the avenues highlighted above will assist in informing the direction of the Project Group moving forward.

Proposed Action for the Future:

The Project Group will continue to build upon the work already established, aiming to ensure that the Resilience Training Register reflects an up to date picture of the opportunities offered to staff across each PSB organisation. Specifically, and once a full picture of opportunities has been achieved, the Project Group will reflect upon whether there are opportunities to share training programmes across organisations or with our community groups as appropriate. Should an appetite remain for the development of a shared training programme across PSB organisations, the Project Group will consider the gaps in need identified as part of the mapping process and respond accordingly to ensure that the appropriate support is offered to PSB employees in line with demand.

The Project Group will continue to support the Focus Group research, and scope opportunities for further sessions to be conducted with PSB organisations who have not yet participated. The findings of the Focus Group research will assist in identifying the issues of pressing concern to public service staff, and allow for discussions to take place on how best to meet these needs with COVID-19 recovery in mind. As the recovery phase progresses, the Project Group's Action Plan moving forwards will remain flexible to ensure fluidity of response in line with the unpredictable nature of the pandemic. With well-being in mind, the Project Group will also support the Assessment of Local Wellbeing process, by means of participation in a facilitated engagement workshop involving discussions and short polls, as well as a follow up session involving providing feedback on the draft assessment following consultation.

The Project Group have continued to receive updates with regards to the developments around Canolfan Tir Glas at University of Wales Trinity Saint David Lampeter Campus. In light of the pandemic, the University along with partners are in the process of reimagining the future potential of Lampeter and the role of the University in supporting an integrated vision for the town. Canolfan Tir Glas aims to promote the local food industry, local sustainability, resilience and enterprise within a rural context and will focus on strengthening the economic infrastructure of Lampeter. These updates will remain on the Project Group agenda, and opportunities to support and link in with this area of work will be considered as necessary.

"Should an appetite remain for the development of a shared training programme across PSB organisations, the Project Group will consider the gaps in need identified as part of the mapping process and respond accordingly."

Social and Green Prescribing Project Group



Enable people to live active, happy and healthy lives.

Support physical and mental health and improve well-being through promoting healthy behaviours.

This Project Group has not met during 2020/21 due to the COVID-19 Pandemic. Partners have however attempted to keep up to date with developments as far as practically possible throughout the period by creating links via national platforms such as Basecamp.

Ceredigion Public Services Board Sub-Groups

In addition to the 6 Project Groups there are Sub-groups that report to the Ceredigion PSB. Detailed below is a summary of the work of the Poverty Sub-Group, the Refugee Resettlement Sub-group and the Bilingual Futures Forum.

Ceredigion PSB Poverty Sub-group: Tackling Hardship Strategy 2020-22

The Tackling Hardship Strategy 2020-22 was published in August 2020 as a successor to the Ceredigion Combatting Poverty Strategy 2016-20. The Strategy and accompanying Action Plan provides a partnership response to the impact of Covid-19 on Ceredigion. It is monitored by Ceredigion PSB Poverty Sub-group which meets four times per year. Matters relating to Child Poverty are scrutinised by the Children & Young People Services Provider Forum that meets one week before the PSB Poverty Sub-group in order that issues can be escalated immediately.

The Tackling Hardship Strategy 2020-22 has three key objectives as noted below and the Action Plan has 65 actions which are delivered by a range of PSB partners:

Three key objectives of Ceredigion Tackling Hardship Strategy 2020-22
To develop a shared understanding with partner agencies of the evolving impact of COVID-19 on hardship in Ceredigion through the collation and analysis of data.
To co-ordinate and consolidate collaborative efforts with partner agencies in order to promote and take advantage of all available help and assistance.
To identify gaps in support and evolving hardship needs in order to develop early effective intervention that will strengthen individual and community resilience as we adjust to the impact of COVID-19.

The Action Plan is divided into 3 separate pillars for implementation and these are namely:

Three pillars of the Tackling Hardship Strategy action plan
Pillar 1 – help for those who are experiencing financial hardship
Pillar 2 – help for those experiencing exhaustion, stress and anxiety
Pillar 3 – making sure that people can access services

A data dashboard has been developed to help us monitor population indicators that we anticipate will be influenced by the delivery of both the Tackling Hardship Strategy 2020-22 and Ceredigion Economic Strategy 2020-35 and this helps to ensure alignment between the actions of these two important strategies.

PSB Refugees Resettlement Sub-Group

Ceredigion PSB pledged to resettle 50 refugees fleeing the Syrian conflict by March 2020. This signified our contribution to the UK Government's pledge to resettle 20,000 refugees under the Vulnerable Persons Resettlement Scheme. Ceredigion's commitment was met in November 2019 and the UK Government met its commitment in February 2021.

Following this The Home Office immediately reaffirmed their commitment to the resettlement of refugees through the development of the UK Resettlement Scheme and Ceredigion PSB has pledged to resettle 2 families per year for as long the Home Office maintain current levels of funding for the scheme. The PSB Refugees Resettlement Sub-group meets three times a year to support the resettlement process and to monitor the progress of integration by those who have arrived in Ceredigion under the scheme.

As a direct consequence of Covid-19 the Refugee resettlement was put on hold during 2020/21. The 10 families currently living here continued to be supported by the Red Cross support service that the Council commissions. Ongoing virtual support was provided by telephone, video calls and WhatsApp. Laptops were purchased for the families so that they could continue their English lessons on-line; they also joined online conversational English sessions with volunteers, virtual coffee mornings with Aberystwyth University and 'Zymraeg' (Zumba through the medium of Welsh) with the National Learn Welsh Centre.

The families took part in the Census 2021 and were grateful for the targeted help offered to them from the census officer. In April 2020, the Syrian Dinner project, a social enterprise company set up by directly by Syrian members, provided free hot meals to

Bronglais Hospital staff. When asked to explain why they had made the donation, one of the women replied as follows:

“Ever since we arrived in the UK, we have been warmly welcomed. Everyone in the community has been helping us and supporting us. We felt that they are our family and this country is our second home. As there is the pandemic, I thought of how can we pay back the lovely people who have helped us and supported us. As we are already doing the Syrian project I thought the best way is by making food to NHS staff. We made rice with vegetables, stuffed vine leaves. We made sure that the food has lots of vegetables so that it is light and healthy. We are delighted that people appreciated our food. The NHS staff deserve a lot and we are showing them that we are grateful to all their hard work. We are all staying home and following the Corona virus guidelines at home and when going out. Me and my children are doing school work and lots of fun activities at home. I miss our weekly gathering for Iftar in Ramadan. We used to share our meals with the Muslim community in Aberystwyth every Sunday.”

This is just one example of how the work of this Sub-group is having a positive impact on the lives of people who have settled within our communities. This work is set to continue as the Sub-group strives to maintain its continued successful achievement, based on current funding arrangements to resettle 2 refugee families per year in Ceredigion.

Ceredigion Bilingual Futures Forum

One of the core values of the Local Well-being plan is its commitment to ensuring that the Welsh language is not treated less favourably than the English language when providing services to the public. It has also recognised that there is a responsibility to work hard to promote and facilitate the use of Welsh, making it easier for people to use their Welsh language skills in their everyday lives. During 2020/21 evidence has been gathered from an extensive range of partners of the Ceredigion Bilingual Futures Forum on the following four key areas:

- Opportunities to use Welsh during lock-down.
- The challenges or barriers.
- Planning for the adaptation period, together with the long-term recovery phase.
- To consider what we can do better to increase the opportunities to use the Welsh Language.

Given the effect which COVID-19 has had it has been recognised that the crisis has changed our lives in dramatic ways. This has included our relationships with other people in our communities, families, homes and workplaces; and this in turn has had a detrimental effect on opportunities to use the Welsh language in a social setting. The lock-down period came upon us suddenly, and digital solutions were put in place quickly. However, the lack of cultural socialisation has been identified as having an impact on our use of the Welsh language whereby many people may now not see, hear or speak Welsh for long periods of time. Organisations have had to take a radical rethink

about the ways in which they operate and deliver services to the public over the last year.

Following the collection of the evidence from partners the report entitled “Opportunities to Use Welsh during Lock-Down” was considered by the PSB as it presented a golden opportunity to share some of the new opportunities that have arisen from the pandemic, seeking to raise awareness of the importance of putting the Welsh Language at the centre of any new developments.

Other Presentations and Considerations

In addition to the projects, initiatives and strategies noted within this report Ceredigion PSB members have also considered and discussed the following during 2020/21:

- Operation Dawns Glaw Initiative – Mid & West Wales Fire and Rescue Service
- Opportunities to Use Welsh during Lock-Down Report – Ceredigion County Council
- Newcastle Emlyn Climate Resilience Project Report – National Resources Wales
- Joint response by Ceredigion PSB to the Welsh Government consultation on “Re-balancing Care and Support”

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Cyngor Sir CEREDIGION County Council

REPORT TO:	Overview and Scrutiny Co-ordinating Committee
DATE:	15/9/21
LOCATION:	Video Conference
TITLE:	'A Fair and Equal Ceredigion.' Strategic Equality Plan (SEP) Monitoring Report 2020-21
PURPOSE OF REPORT:	To ensure that the Authority is meeting its requirements in relation to the Equality Act 2010 and the Public Sector Equality Duty 2011.
REASON SCRUTINY HAVE REQUESTED THE INFORMATION:	To ensure that the report is fit for purpose and accurately reports progress with regards to the Authority meeting its Public Sector Equalities Duties and to make recommendations as appropriate when the report is presented to Cabinet (5 th October 2021).

BACKGROUND:

The Strategic Equality Plan Monitoring Report records the progress of Ceredigion County Council in meeting its equality duties and responsibilities from April 2020 to March 2021.

The Equality Act 2010 introduced a general duty on public sector organisations to have 'due regard' to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not by tackling prejudice and promoting understanding.

The Act explains that having due regard for advancing equality involves:

- Removing or minimising disadvantages suffered by people due to their protected characteristics.
- Taking steps to meet the needs of people from protected characteristic groups where these are different from other people.
- Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.

The Equality Act describes fostering good relations as tackling prejudice and promoting

understanding between people who share a protected characteristic and those who do not. Meeting the duty may involve treating some people more favourably than others, as long as this does not contravene other provisions within the Act.

The Protected Characteristics include

- Age
- Disability
- Gender Reassignment
- Pregnancy and Maternity
- Race
- Religion or belief, (including lack of belief)
- Sex
- Sexual Orientation
- Marriage and Civil Partnership

The Specific Public Sector Equality Duties for Wales

The Welsh Government introduced the 'Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011, setting out the requirements for Wales as follows:

- Equality Objectives
- Strategic Equality Plans
- Engagement
- Assessing Impact
- Equality Information
- Employer Information
- Pay Differences
- Staff Training
- Procurement
- Annual Reporting
- Publishing
- Review
- Accessibility

Current Situation:

Ceredigion County Council is required under Equality Act 2010 to publish an Annual Monitoring Report covering 2020/21 for '*A Fair and Equal Ceredigion,*' its Strategic Equality Plan 2020-24. The report needs to be published publically on our website by the 31/3/22.

Ceredigion County Council Equality Objectives

1. An Exemplar Equal Opportunities Employer
2. Fostering Good Relations and Tackling Prejudice
3. Engagement and Participation
4. Dignity, Respect and Access to Services
5. Fair and Inclusive Education

Each Strategic Equality Objective has a number of actions. Progress over 2020–21 is summarised in the below tables.

BRAG Colour	Definition	2020-21 progress on actions
Blue (B)	Action Completed	1
Green (G)	Action progressing to plan	39
Amber (A)	Action slightly behind target	14
Red (R)	Action not started / concerns if action will be completed	0

Objective	Blue	Green	Amber	Red
1. An Exemplar Equal Opportunities Employer	0	4	4	0
2. Fostering Good Relations and Tackling Prejudice	0	6	0	0
3. Engagement and Participation	0	8	4	0
4. Dignity, Respect and Access to Services	1	12	4	0
5. Fair and Inclusive Education	0	9	2	0

2020/21 was the first year of delivery of 'A Fair and Equal Ceredigion 2020-24.' Most of the actions are in progress and on track, (39 green actions). 14 actions are marked as amber and slightly behind target, partly attributable to the impacts of Covid-19 pandemic, but the aim is to deliver over the four year course of the plan. One action is marked as blue and completed. There are no red actions that have not been started or with concerns that they will not be achieved.

Highlights of 2020-21

Ceredigion County Council carried out an ongoing dialogue and meetings with Ceredigion Disability Forum on the Town Centre Safe Zones.

514 Equality and Diversity Training e-learning sessions were completed.

We participated in Hate Crime Awareness Week (10th – 17th October 2020).

We also took part in Black History Month, Holocaust Memorial Day, LGBT History Month and Refugee Week.

29 Integrated Impact Assessments were submitted with Cabinet Reports in 2020/21

Ceredigion County Council also signed the Zero Racism Wales Pledge co-ordinated by Race Council Cymru.

For further details, please refer to the attached Strategic Equality Plan (SEP) Monitoring Report, April 2019 to March 2020.

WELLBEING OF FUTURE GENERATIONS:

Has an Integrated Impact Assessment been completed? If not, please state why

Summary: No IIA has been carried out as this is an annual monitoring report for our Strategic Equality Plan, and does not represent a change in policy or strategy. However, an Equality Impact Assessment was submitted for '*A Fair and Equal Ceredigion*,' our Strategic Equality Plan 2020-24.

Long term: Delivery of the SEP will help to set a foundation for a better long-term future.

Integration: The monitoring report does consider the building of better relations which can build connectivity and integration between people, the economy and environment.

Collaboration: Examples of collaboration are included in the report.

Involvement: Engagement with stakeholders is included in the report.

Prevention: Examples of preventative work is included in the report, including tackling hate crime, bullying and modern slavery

The annual monitoring report gives strong evidence of our work in achieving the National Wellbeing Goals of 'A more Equal Wales,' and a 'Wales of Cohesive Communities.'

RECOMMENDATION (S): To receive and endorse the Strategic Equality Plan (SEP) Monitoring Report April 2020 to March 2021 and to make recommendations as appropriate when the report is presented to Cabinet on the 5/10/21.

REASON FOR RECOMMENDATION (S): It is a requirement under the Equality Act that we produce an Annual Strategic Equality Plan (SEP) Monitoring Report for 2020/21 and publish this publically on our website by the 31/3/22.

Contact Name: Michael Smith
Designation: Engagement and Equalities Officer
Date of Report: 6/8/21
Acronyms: SEP Strategic Equality Plan
IIA Integrated Impact Assessment
LGBT Lesbian Gay Bisexual Transgender
BAME Black Asian Minority Ethnic

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Strategic Equality Plan (SEP) Monitoring Report

April 2020- March 2021



Author: Michael Smith, Policy and Performance

Approved by Cabinet:

Publication Date:

This report is available in Welsh and English on the Council's website at: <http://www.ceredigion.gov.uk/your-council/strategies-plans-policies/equality-diversity/strategic-equality-plan-objectives/>

If you require a hard copy of the report or a copy in a different format for example large print, audio version or a word format for screen readers please contact:

Michael Smith
Equalities and Engagement Officer
Ceredigion County Council
Neuadd y Cyngor Ceredigion
Penmorfa
Aberaeron SA46 OPA

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Foreword

Welcome to the first annual monitoring report of our newly revised Strategic Equality Plan 2020/24, '*A Fair and Equal Ceredigion.*' This report covers the year of 2020/21 and coincides with a full year of living under Covid-19 rules and guidance. It has been a difficult and challenging year, but the pandemic has highlighted how important it is to tackle inequalities. Equalities will need to be at the forefront of our recovery plans from the impacts of Covid-19.

The annual monitoring report tracks progress on how we have meet the five Equality Objectives of '*A Fair and Equal Ceredigion.*'

1. An Exemplar Equal Opportunities Employer
2. Fostering Good Relations and Tackling Prejudice
3. Engagement and Participation
4. Dignity, Respect and Access to Services
5. Fair and Inclusive Education

Equality is at the heart of our service delivery and our values at Ceredigion County Council. Equality is a cross-cutting theme in our Corporate Strategy. We take careful consideration of equality needs and issues in our decision making with equalities embedded into our Integrated Impact Assessments. '*A Fair and Equal Ceredigion,*' also applies across all sections of the Council and all of the services that we deliver. We will strive to make Ceredigion a fairer and a more equal place as we rebuild in the wake of the Covid-19 pandemic.



Eifion Evans
Chief Executive



Cllr. Ellen ap Gwynn
Leader &
Equality Executive Champion

Contents:

		Page No.
1.	Background	5
1.1	The General Equality Duty	5
1.2	The Specific Public Sector Equality Duties Wales	6
2.	How we meet the Equality Duties	7
2.1	Corporate Governance	7
2.2	Strategic Equality Plan and Objectives	7
2.3	Identifying, Collecting & Analysing Equality Information	9
2.4	Consultation and Engagement	10
2.5	Assessing Impact	10
2.6	Staff Training	11
2.7	Procurement arrangements	11
2.8	Accessibility	11
3.	Progress in meeting our specific equality objectives 2020-21	12
	Appendix : Action Plan Equality Objectives Monitoring Report	14

1. Background

1.1 The General Equality Duty

The Equality Act 2010 places a public sector duty on Local Authorities to consider the needs of all individuals when carrying out their day to day work, in developing policy, in delivering services and in relation to the public and their own employees. The Act requires public bodies to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

The Equality Act makes it unlawful to discriminate against people with a 'protected characteristic'. The protected characteristics are:

- Age
- Disability
- Gender Reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion or belief (including lack of belief)
- Sex
- Sexual orientation

Welsh Language Commitment

The promotion and use of the Welsh Language is not included within the Equality Act, and is instead covered by the requirements set out in the Welsh Language Measure 2011.

However, in Ceredigion it is important to consider Welsh language requirements alongside the protected characteristics of the Equality Act to encourage a holistic approach to the

needs of all communities in designing and delivering services. Under the requirements of the Welsh Language Measure 2011, Ceredigion County Council is required to ensure that Welsh language services are built into planning and delivery of services, and that Welsh language services are offered to Welsh speakers without them having to request it (i.e. the concept of the active offer).

When thinking of how to advance equality of opportunity between persons who share a relevant protected characteristic and those who don't, the Council also has to think about the need to:

- Removing or minimising disadvantages experienced by people due to their protected characteristics.
- Taking steps to meet the needs of people from protected groups where these are different from the needs of other people.
- Encouraging people with protected characteristics to participate in public life or in other activities where their participation is disproportionately low. The Council also has to particularly think about how it will tackle prejudice and promote mutual understanding and respect.

1.2 The Specific Public Sector Equality Duties Wales

The Specific Duties in Wales are set out in the Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 and came into force on the 6 April 2011 and note that the listed bodies will undertake the following requirements:

- Annual Monitoring Report
- Strategic Equality Plans
- Setting Objectives
- Collecting and Analysing Equality Information.
- Service Users Equality Information
- Workforce Equality Information & Workforce Pay Differences
- Consultation & Engagement
- Assessing Impact
- Staff training
- Procurement
- Accessibility

2. How we meet the Equality Duties:

This Equality Monitoring Report builds on our previous Equalities work, covering a widespread commitment to meeting the Equality Act 2010 including the Specific Public Sector Equality Duties for Wales, which came into force 6 April 2011. The report outlines how the Council is progressing against its equality duties from the 1st April 2020 to the 31st March 2021.

2.1 Corporate Governance

To demonstrate its commitment to the equality agenda the Council has nominated the Leader as the Equality and Welsh Language Champion. The Equality Champion was supported by the Equalities and Engagement Officer within Policy and Performance.

To support the equality agenda, a Corporate Equalities Working Group has been established. Members of the group represent lead officers across the authority's service areas, with the Leader of the Council chairing the meetings. The Corporate Equalities Working Group is responsible for contributing to the strategic development, monitoring and reviewing to implement the Equality Strategic Plan (SEP). Equality is a cross-cutting theme in our Corporate Strategy 2017-2022.

2.2 Ceredigion Strategic Equality Plan & Setting Objectives

The Strategic Equality Plan Monitoring Report for 2020/21 is the first report on progress of our 2020-24 Strategic Equality Plan, '*A Fair and Equal Ceredigion.*' The plan and related documents can be found at <http://www.ceredigion.gov.uk/your-council/strategies-plans-policies/equality-diversity/strategic-equality-plan-objectives/>

In order to drive equality improvements, the Council is required to set Equality Objectives as part of the Strategic Equality Plan. Engagement and consultation was carried out to inform and produce '*A Fair and Equal Ceredigion 2020-24.*' This helped to ensure that we were meeting equality related needs and issues faced by the people of Ceredigion. We worked in

partnership on the consultation with other public bodies in the region. The consultation included a regional survey and local engagement events.

By analysing feedback from the consultation and 'weighing-up' the different types of data and evidence, (including findings from the Equality and Human Rights Commission Report '*Is Wales Fairer?*'), the issues considered to be the most pertinent have been taken forward into the finalised Equality Objectives.

The Strategic Equality Plan and proposed Equality Objectives were presented to the Overview and Scrutiny Coordinating Committee on the 14th of November 2019. There was overall support, and a recommendation for the Cabinet to approve the SEP and the Equality Objectives, this was concluded on the 17th of March 2020.

'*A Fair and Equal Ceredigion 2020-24*,' has five Equality Objectives and an Action Plan to support delivery of the objectives. The five Equality Objectives are –

1. An Exemplar Equal Opportunities Employer

To be an equal opportunities employer, with staff trained and aware of equality related needs and issues. To continue to close the gender pay gap.

2. Fostering Good Relations and Tackling Prejudice

To foster good relations between those who share a protected characteristic and those who do not by building community cohesion and tackling prejudice. Everyone should be able to live without the fear of violence and abuse and to be treated with respect.

3. Engagement and Participation

To ensure that we engage effectively with people who share protected characteristics. To enable people to influence decisions and to have the opportunity to participate in political and everyday life.

4. Dignity, Respect and Access to Services

To ensure fair and equal access to all services. We will do this by ensuring that people with protected characteristics are treated with dignity and also meeting their needs where they are different from the needs of other people.

5. Fair and Inclusive Education

We want to ensure that children and young people reach their full potential. The right to education and training should also ensure accessibility and an environment free from bullying or harassment. This also includes lifelong learning.

Please see Appendix 1, for information on how the Council progressed in meeting our Equality Objectives during 2020.21.

2.3 Identifying, collecting and analysing relevant equality information

Service Users Equality Data

Good quality and up to date information and data on protected characteristic groups in Ceredigion are vital in assessing equality-related needs, impacts and progress.

Ceredigion County Council's Research Team has developed a '*Ceredigion Equality Data*,' document which holds current information about the equality demographics of the citizens of Ceredigion, and is available for all staff to use via the Cerinet site. Staff are encouraged to use this information when developing their Integrated Impact Assessments, in addition to any local data about service users.

An equalities and diversity monitoring form has been developed by the Corporate Equalities Working Group, and all service areas have been asked to use these templates to gather equality data when carrying out our engagement and consultations.

Workforce Equality Data

The Authority is constantly striving to collect and analyse staff data on the protected characteristics through our internal HR CeriNet system; however it is not mandatory for employees to provide this data.

An equality monitoring form has been included in the CeriNet system, and promoted widely via the Corporate News Bulletin. In this equality monitoring exercise, consideration has been given to the protected characteristics of marital status, religion, ethnicity, sexual orientation, disability, and transgender, where that information has been disclosed to the Authority. Age and gender data is captured within other Human Resources systems. The Council has also started to undertake an analysis of those who have applied for vacant posts within the Authority. The Workforce Equality Annual Report and the Gender Pay Annual report are published by our People and Organisation Section separately to this report. To see the

reports, please click on this link [Strategic Equality Plan & Objectives - Ceredigion County Council](#)

2.4 Consultation and Engagement

Under the Specific Public Sector Equality Duties in Wales, Ceredigion County Council is required to engage and consult with people with Protected Characteristics when making strategic decisions. The Council has engagement and consultation guidance in place on its intranet site. We are reviewing our guidance on engagement and working on a new Engagement Policy, *'Talking, Listening and Working Together.'* The process of consultation and adoption of this new policy is scheduled for 2021/22.

It was a difficult year for engagement, with a range of Covid-19 measures in place that affected engagement taking place. Nevertheless, a number of engagement exercises were undertaken including Town Centre Safe Zones, consultation on the Economic Strategy and flood defences at Aberaeron Harbour.

In addition to public consultation, there exists in Ceredigion a comprehensive network of forums and partnerships which staff contribute to and consult with service users, for example the Youth Service Forum, the Carers' Forum and the Ceredigion Disability Forum.

Meetings of Ceredigion Disability Forum were affected by the coronavirus pandemic and have now moved to online video conferences. The Disability Forum met four times over 2020/21 to discuss the Town Centre Safe Zones. Forum members provided influential feedback on the Safe Zones. One general meeting of the Forum was also held.

2.5 Assessing for Impact

Ceredigion County Council, as a listed public body in Wales under the Equality Act, is required to undertake Equality Impact Assessments. This includes assessing the impacts on the protected characteristics of new policies and practices and changes to existing policies and practices.

We have developed an Integrated Impact Assessment Tool. In addition to assessing the impacts on Equality, the tool also assesses impacts on the principles and goals of the Well-being of Future Generations (Wales) Act 2015, the Welsh Language Measure 2011 (Welsh

Language Standards Requirements) and Risk Management. The tool has also been revised to take into account the United Nations Convention on the Rights of the Child within our decision making. A total of 29 Integrated Impact Assessment were submitted with Cabinet Reports during 2020-21.

2.6 Staff Training

Ceredigion County Council is committed to the development of employees and elected members to ensure that those employed and working for us are skilled, trained and motivated to meet the diverse needs of the community.

- 514 staff completed the Equality & Diversity e learning programme over 2020/21.
- Equality & Diversity training was suspended due to Covid, and later reinstated with 3 sessions arranged including one through the medium of Welsh.
- LGBT training was suspended due to Covid. Transgender Awareness Training was attended by 18 staff.
- An Unconscious Bias e-learning programme was launched for teaching staff which included the Public Sector Equality Duty.

2.7 Procurement Arrangements

The procurement team ensure that an equality and Welsh language statement is included in all commissioned or contracted services.

Over 202/21, all significant contracts are tendered using the e-tender-wales system and 100% of those have Equality questions and Welsh Language requirements built into them as part of a standardised process. The Welsh Government's Code of Practice for Ethical Employment in Supply Chains was also included in those tenders as standard.

2.8 Accessibility

The Council produces information in a wide variety of formats according to need and on request. All public documents are required to have the tagline 'this document is available in Welsh, or in other formats on request'. We have placed guidance on accessible formats for staff on our internal internet.

The Council's public website is fully compliant to AAA accessibility ratings and we will continue to respond to any new standards or changes to technology.

We have a contract with WITS, (Wales Interpretation and Translation Service), to provide an interpretation service in circumstances where the service user has limited or no Welsh or English language skills. Guidelines and 'how to book instructions' has been published, and available for all staff to access from the internal Cerinet site.

3. Progress in meeting our specific objectives during 2018-19

To help us in implementing the Equality Objectives, Ceredigion County Council has developed an action plan. 'A Fair and Equal Ceredigion 2020-24,' is a 4 year strategy, however a monitoring report is developed on an annual basis in order to report on how the Council is progressing against each of our 5 Equality Objectives. Specific actions have been identified, in order to achieve the 5 Equality Objectives in Ceredigion. Please see Appendix 1 for the full Strategic Equality Plan Monitoring Report 2020-21

In order to track progress of the Strategic Equality Objectives across the Authority, this report has used the BRAG system. The BRAG system aims to report on how well an action is performing or being delivered, or to indicate how on track or at risk the action is. Please find the BRAG status totals for the 2020/21 monitoring report in the below table.

BRAG COLOUR	DEFINITION	2020/21 progress on actions identified
BLUE (B)	Action completed	1
GREEN (G)	Action progressing to plan	39
AMBER (A)	Action slightly behind target	14
RED (R)	Action not started although it was anticipated that it would have/ concerns if action will be completed	0

1 action was completed; 39 actions were progressing to plan; 14 actions were slightly behind target and no actions were not started.

Objective:	Blue	Green	Amber	Red
1. An Exemplar Equal Opportunities Employer	0	4	4	0
2. Fostering Good Relations and Tackling Prejudice	0	6	0	0
3. Engagement & Participation	0	8	4	0
4. Dignity, Respect and Access to Services	1	12	4	0
5. Fair & Inclusive Education	0	9	2	0

2020/21 was the first year of delivery of 'A Fair and Equal Ceredigion 2020-24. Most of the actions are in progress and on track, (39 green actions). 14 actions are marked as amber and slightly behind target, partly attributable to the impacts of Covid-19 pandemic, but the aim is to deliver over the four year course of the plan. One action is marked as blue and completed. There are no red actions that have not been started or with concerns that they will not be achieved.

For full details of each individual action, please refer below to the full Strategic Equality Plan Monitoring Report 2020-21 template.

APPENDIX 1

Draft

Ceredigion County Council Strategic Equality Plan Monitoring Report 2020-21

Progress towards fulfilling our five Equality Objectives

Objective 1: To be an Exemplar Equal Opportunities Employer. To be an equal opportunities employer, with staff trained and aware of equality related needs and issues. To continue to close the gender pay gap.

Action 1.1	We will monitor and close possible gender pay gap differences. We will publish an annual Workforce Pay Gap Report.	Lead Officer Geraint Edwards People and Organisation	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Continue to close the gender pay gap.

Progress to date:

Workforce Pay Gap report for 2021/21 to be produced by end of July 2021 and will be published on the Council's website following approval through the democratic process.

Action 1.2	We will continue to gather workforce equality and Welsh language data from new staff and voluntary data from existing staff. We will publish an annual Workforce Equality Report.	Lead Officer Geraint Edwards People and Organisation	Blue, Red, Amber or Green BRAG GREEN
-------------------	--	--	--

Outcomes: Increased number of staff disclosing equality and Welsh language data.

Progress to date: Workforce equality and Welsh language data is collected from all new staff joining the Council and existing staff are reminded on an annual basis to update their equality data through Ceri self-service. Updating Welsh language data is included in the annual appraisal process.

Workforce Equality Report for 2021/21 to be produced by end of July 2021 and will be published on the Council's website following approval through the democratic process.

Action 1.3	We will improve staff awareness of equality issues and the Public Sector Equality Duty through training.	Lead Officer Debbie Ayriss People and Organisation	Blue, Red, Amber or Green BRAG AMBER
<p>Outcomes: Increased number of staff completing the mandatory Equality and Diversity e-learning.</p> <p>Increased number of managers completing Equality and Diversity training.</p> <p>Increased number of staff completing LGBT awareness training.</p>			
<p>Progress to date:</p> <ul style="list-style-type: none"> • 514 staff completed the Equality & Diversity e- learning programme • Equality & Diversity training was suspended due to Covid and later reinstated with 3 sessions arranged including one through the medium of Welsh • LGBT training was suspended due Covid, Transgender Awareness training was attended by 18 staff • An Unconscious Bias e-learning programme was launched for teaching staff which included Public Sector Equality Duty 			
Action 1.4	We will continue to promote and implement the Disability Confident Scheme, (which welcomes applications from disabled people and commits to making adaptations in the workplace).	Lead Officer Geraint Edwards People and Organisation	Blue, Red, Amber or Green BRAG GREEN

Outcomes: Increased number of appointments recorded as having a disability.			
Progress to date: The Disability Confident Scheme has been implemented and is an established part of the Council's recruitment procedures and covered in the mandatory Ceredigion Manager Training module – Recruitment and Selection.			
Action 1.5	We will support employees who are pregnant or have recently given birth by adopting the six areas of action under the ' <i>Pregnancy and Maternity Discrimination in the Workplace: Recommendations for Change,</i> ' report.	Lead Officer Geraint Edwards People and Organisation	Blue, Red, Amber or Green BRAG AMBER
Outcomes: 6 areas of action adopted.			
Progress to date: There has been limited progress on this action as a result of the Covid-19 pandemic. A revised risk assessment has been introduced to reflect current Public Health Wales guidance on pregnant women and work places.			
Action 1.6	We will offer, where appropriate, flexi and part-time working to support parents and carers. We will revise our policies on flexi-working and work-life balance.	Lead Officer Geraint Edwards People and Organisation	Blue, Red, Amber or Green BRAG GREEN

Page 11

Outcomes: Revised flexi and agile working polices implemented.			
Progress to date:			
<ul style="list-style-type: none"> • Temporary adjustments have been made to flexi hours working scheme as a result of the enforced home working during the Covid-19 pandemic to support parents and those with caring responsibilities • Consultation with trade unions on Carers' Policy has been completed and Policy will be submitted for approval during early part of 2021/2 • Work on Agile Working Policy and dis-aggregation of Work-Life balance Policy will commence as part of post-Covid return to office programme 			
Action 1.7	We will work towards reducing gender segregation and under-representation of ethnic minorities and disabled people in apprenticeships, including working with our contractors through applying Community Benefits as core to all relevant Council procurement contracts.	Lead Officer Mark Gleeson Porth Cymorth Cynnar	Blue, Red, Amber or Green BRAG Amber
Outcomes: Decreased gender segregation in apprenticeships. Increased BME and disabled apprentices.			
Progress to date: The council's policy on community benefits and guidance to tenderers for identifying community benefits in their bids states "When selecting apprenticeships/work placements or delivering Community Benefits schemes contractors must not discriminate on the grounds of Age, Sex, Sexual Orientation, Gender Reassignment, Race, Gypsies & Travellers, Religion or Belief, Marriage & Civil Partnership or disability. Furthermore contractors must pay due regard to the requirements of the Welsh Language (Wales) Measure 2011 in relation to these people and schemes."			
Wider community benefits (where contractors can propose to deliver additional social and environmental benefits directly to the Community in which the project operates). These are categorised as:			

- Community
- Education
- Equality and Diversity (i.e. Employment and training opportunities targeting hard to reach groups (long term NEET, disabled, ethnic minorities)
- Environmental

Please find the following tender evaluations:

- Cilmaenllwyd Household Waste site contract (Penparc, Cardigan) – contract started 01/03/21 - contact made with Community Benefits contact. Main offer is for work experience placements which are currently on hold due to Covid.
- Regional Engineering Consultancy Framework (chaired by Carmarthenshire CC)
- Glan Yr Afon Household Waste site contract (due to start 01/05/21)
- Dry Mixed Recyclate Waste contract (due to start 01/06/21, subject to award of contract)

<p>Action 1.8</p>	<p>We will continue to implement our Modern Slavery Policy. This includes our commitment with our suppliers and contractors to meet Welsh Government’s Code of Practice on Ethical Employment and Transparency in the Supply Chain, for example guarding against insecure employment contracts and securing workers’ rights.</p>	<p>Lead Officer Debbie Ayriss People and Organisation</p>	<p>Blue, Red, Amber or Green BRAG AMBER</p>
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Outcomes: Increased number of Modern Slavery Sessions delivered, increased number of staff attending
Increased number of Human and Child Trafficking sessions delivered.

Progress to date: training was suspended due to Covid

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Objective 2: Fostering Good Relations and Tackling Prejudice.

To foster good relations between those who share a protected characteristic and those who do not by building community cohesion and tackling prejudice. Everyone should be able to live without the fear of violence and abuse and to be treated with respect.

Action 2.1	We will work with the Regional Community Cohesion Co-ordinator to support a Ceredigion of cohesive communities.	Lead Officer Kay Howells Community Cohesion	Blue, Red, Amber or Green BRAG GREEN
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Page 1/14

Outcomes: Community Cohesion-framework to be developed and outcomes delivered.

Progress to date:

The Community Cohesion team are one of 8 regional teams across Wales funded by Welsh Government. The aim is to deliver a consistent approach to Cohesion across Wales. The team works to an annual action plan and have satisfactorily completed actions established for 2020/21.

Action 2.2	We will continue to raise awareness of hate crime and to signpost potential victims to report and support services.	Lead Officers Naomi McDonagh Policy and Performance and Kay Howells Community Cohesion	Blue, Red, Amber or Green BRAG Green
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Outcomes: Increased number of Hate Crime awareness sessions delivered.

Increased number of staff attended.

Progress to date:

The team continue to work with partners to encourage people to raise awareness of, and report hate crime.

Hate Crime Awareness week took place between 10th and 17th of October 2020. The aim of the week was to raise awareness of Hate Crime and to encourage people to report it if they see it or witness it. The Cohesion Team took part in a Regional working group to ensure initiatives were coordinated and mapped onto a local calendar. Partners included OPCC, Dyfed Powys Police, Victim Support, Race Council Cymru and the Cohesion Team. The Cohesion Team took the lead on several regional initiatives:

- An Art Competition for Primary School Children. Schools across the region are invited to design a flag celebrating diversity. The details were shared on Y Hyb as part of an online learning resource put together by Victim Support.
- A one-minute Hate Crime Awareness Film. The film was shared widely on social media. Members of the public were invited to watch the film, then take part in a short Hate Crime Quiz – for a chance to win an iPad and shopping vouchers. The project was developed by the Mid and West Wales team and rolled out across Wales by all Cohesion teams. 516 people responded to the quiz, 72 of whom stated they were from Ceredigion. The OPCC ran a youth forum on 13 Oct, the Cohesion team's film was also shown there. Race Council Cymru had a launch event on Saturday 10th October. The Coordinator spoke about the work being undertaken on Hate Crime Awareness in Dyfed Powys and took the opportunity to show the one-minute film.

The team promoted the Welsh Government's Hate Hurts Wales, campaign to help raise awareness and understanding of hate crime and encourage people to report it. The campaign has been developed with input from stakeholders and real experiences of prosecuted hate crime to show the harmful impact that hate crime has on individuals and our wider society. The campaign includes advertising on TV as well as digital and social media channels. See gov.wales/hate-hurts-wales for further information.

The Community cohesion team were asked by Welsh Government to work with the 4 local authorities we support to consider signing up to Race Council Cymru's Zero Tolerance to Racism Campaign. Ceredigion County Council have signed up and the launch event took place on Sunday 21 March 2021 to celebrate UN International Day for the Elimination of Racial Discrimination.

Hate Crime Schools Training

WLGA are rolling out WG funding training within Schools. The training will be delivered across Wales to schools to develop critical thinking skills in relation to Hate Crime. Having been paused since Covid, the training will now take place between March 2021 – March 2022. 6 schools have been identified in Ceredigion to be in receipt of this training with potential for a further 2 to join due to additional resources received by WLGA.

Hate Crime Training

1 session cancelled due to extenuating circumstances (COVID)

Linking Ceredigion Council with Hate Crime/Mate Crime training being delivered by Victim Support. 27 members of staff attended Hate Crime and Mate Hate Training during this period.

Page 116

Action 2.3	We will continue to support work to increase reporting of domestic abuse to Goleudy, (Victim Support).	Lead Officer Sian Howys Porth Cynnal / Amy Taylor VAWDASV Regional Co-ordinator	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Increased number of staff completed VAWDASV e-learning

Increased number of Ask and Act sessions completed.

Progress to date: 290 staff have been trained with Ask and Act

Action 2.4	We will monitor and respond to community tensions relating to the Brexit process.	Lead Officers Timothy Bray Policy and Performance and Kay Howells Community Cohesion	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Increased number of interventions and de-escalations.

Progress to date:

We monitor community tensions generally and in relation to the Brexit process in a number of ways:

Tension Monitoring - Weekly tension monitoring continues with partners joining the call from DP Police, Aberystwyth University, Mid and West Wales Fire Service, Victim Support, Race Council Cymru, University of Wales Trinity St David's, various departments within the Local Authority including the Community Safety manager, housing and substance misuse. The Cohesion team and partners have successfully identified and mitigated a range of tensions over the past year including putting relevant communications around wild fires, intel sharing regarding protests movements and managing the creation of a press release regarding an increase in far right/racist graffiti in Aberystwyth.

Community Cohesion Research - In 2020, the team tendered a research company to carry out a research project initially aimed at looking at the impact that Brexit and Covid may have had on communities living in Carmarthenshire, Pembrokeshire, Ceredigion and Powys. The purpose of this was to provide an evidence base, identifying potential community hotspots, tensions and issues particularly arising from the Brexit referendum in 2016 and its subsequent impact on community cohesion in the following years. The methodology involved a literature and data review, an online survey with key organisations and agencies, in-depth telephone interviews with key stakeholders, focus groups with communities of interest such

Page 117

as BAME, Refugees, LGBTQ+, people with Disabilities, GT community, EU Citizens, First language Welsh speakers and some mixed groups. Recommendations are being incorporated into the Community Cohesion Action plan for 2021/22.

The Cohesion team attend and contribute at quarterly meetings of the EU Settlement Scheme steering group within Ceredigion County Council, CSP/CONTEST/SVOC, Ceredigion Refugee Resettlement meeting and Gypsy Traveller Steering Group meeting.

Action 2.5	We will signpost EU citizens living in Ceredigion to the Home Office EU Settlement Scheme and provide the appropriate level of local authority support.	Lead Officers Kay Howells Community Cohesion and Arwyn Morris Customer Contact	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Increased number of EU citizen's resident in Ceredigion who apply to the scheme.

Progress to date:

Ceredigion EU Settlement Scheme Group coordinates the work being done to ensure that as many EU Citizens in Ceredigion as possible apply to the scheme. Up until March 2021, there were 2,110 applications received and completed from individuals working and living in Ceredigion, up over 500 since the previous quarterly update.

Work the Cohesion team have established includes:

- A nine month radio campaigns across 4 radio stations

Page 11

- The team had regular Skype meetings with the third sector partners involved in promoting and supporting the EUSS. From this, online training was developed to promote Scheme (ran virtually from November 2020 – March 2021). Training is aimed at front line staff who can signpost applicants to support for of the scheme. At least 15 members of staff from Ceredigion Council attended.
- A monthly social media message from the local authority
- A Press release from the Local Authority
- Direct email contact with local employers (care homes, retail, tourism, agriculture etc.)
- Correspondence with Schools (parents) through tools such as Parent Mail.
- Presentations delivered to key groups such as Care Home Managers and Community Councils.
- Officers have worked with Rural Crime Team delivering EUSS briefing via skype, resulting in key messaging being sent via their FB and Twitter networks to specific farming-based Communities who employ EU workers.

Action 2.6	We will continue to implement an annual media and public awareness campaign. Examples could include International Women’s Day, Hate Crime Awareness Week and Holocaust Memorial Day.	Lead Officers Communications Team / Kay Howells	Blue, Red, Amber or Green BRAG GREEN
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Page 1

Outcomes: Increased number of campaigns undertaken.

Progress to date:

The Communications Team has undertaken a wide range of campaigns during the year. Over 30 campaigns were supported in a variety of areas through press releases and Councillors, information sharing on social media, and also the human resources team to share internally with staff. The number of campaigns supported during the year was affected by the Coronavirus pandemic.

The Cohesion team support an annual calendar of national days and campaigns, closely working with Communications to promote awareness, celebrate diversity, and commemorate certain historical events. During 2020/21 the team promoted and supported a number of campaigns including:

- Hate Crime Awareness Week (see 2.2)
- Black History Month - sharing social media on an ITV documentary exploring what it is to be welsh and black.
- Holocaust Memorial Day - social media messaging and lighting public buildings purple.

- LGBT History Month - social media posts and lighting public buildings purple.
- International Women’s Day – sharing social media around a Cohesion funded project called Faces and Places.
- Refugee Week – social media.

Gypsy Traveller History Month – a photography competition looking at life during lockdown (in collaboration with Travelling Ahead).

Objective 3: Engagement & Participation.

To ensure that we engage effectively with people who share protected characteristics. To enable people to influence decisions and to have the opportunity to participate in political and everyday life.

Action 3.1	We will engage with the people of Ceredigion, including people with protected characteristics and link in to local, regional and national groups.	Lead Officers Michael Smith Policy and Performance and all service areas to implement	Blue, Red, Amber or Green BRAG AMBER
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Outcomes: Engagement undertaken is meaningful. People are involved and can influence decisions – Engagement Annual Report

Progress to date: It was a difficult year for engagement, with a range of Covid-19 measures in place that affected engagement taking place. Nevertheless, a number of engagement exercises took place including town centre safe zones, consultation on the Economic Strategy and flood defences at Aberaeron Harbour.

Engagement Annual reporting may commence next year if the Engagement Policy is adopted.

Page 120

Action 3.2	We will revise and implement our Engagement Policy.	Lead Officer Michael Smith Policy and Performance	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Engagement Policy published and implemented. Progress recorded in Engagement Annual Report

Progress to date: The draft Engagement Policy, 'Talking, Listening and Working Together,' is scheduled to go through the political process during 2021-22. A first draft document has been produced.

Action 3.3	We will implement our Children and Young Persons' Participation Strategy and take account of the United Nations' Convention on the Rights of the Child, (UNCRC) in our decision making.	Lead Officers Nia Jones Democratic Services / Gwion Bowen Porth Cymorth Cynnar	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Specific targets published in CYP Participation Strategy 2018-21. Progress recorded in CYP Participation Annual Report.

E learning programme on UNRC under development, anticipated launch to staff 2020

Progress to date: We continue to implement the CYP Strategy and implement the e-learning. Progress has been recorded in the CYP Participation Annual Report.

Action 3.4	We will support programmes and plans to increase representation in local politics and decision making, particularly for women, disabled people or BME people.	Lead Officer Glynis Davies Electoral Services	Blue, Red, Amber or Green BRAG AMBER
Outcomes: Increased number of women, disabled people and BME people represented.			
Progress to date: We continue to support national programmes and plans to increase representation in local politics and decision-making.			
Action 3.5	We will support engagement with 16 and 17 year olds if the voting age is lowered in Wales.	Lead Officers Glynis Davies Electoral Services / Gwion Bowen Porth Cymorth Cynnar	Blue, Red, Amber or Green BRAG AMBER
Outcomes: Targeted approach for promotion and raising awareness utilising Ceredigion Youth Council, Secondary Schools 6 th Forms, Further Education establishments, Youth Support Services, CYP Forums and Youth Service Social Media.			
Progress to date: We continue to promote participation in local democracy to young people, linking in with national programmes.			

Action 3.6	We will continue to support the Ceredigion Disability Forum.	Lead Officer Michael Smith Policy and Performance	Blue, Red, Amber or Green BRAG GREEN
Outcomes: 4 open meetings per year and 4 meetings with CCC. The voice of disabled people is heard and influential.			
Progress to date: Meetings were affected by the coronavirus pandemic and have now moved to online video conferences. The Disability Forum met four times to discuss the Town Centre Safe Zones. Forum members provided influential feedback on the Safe Zones. One general meeting of the Forum was also held.			
Action 3.7	We will maintain the equalities page on the council's website to signpost to relevant information and to publish our Strategic Equality plan and reports.	Lead Officer Michael Smith Policy and Performance	Blue, Red, Amber or Green BRAG GREEN
Outcomes: Up to date Equalities page on CCC website.			
Progress to date: The Equalities page was kept up to date including the publication of the 2020-24 SEP and the 2019-20 Annual Monitoring Report.			
Action 3.8	We will monitor progress of the Strategic Equality Plan and produce and publish an annual monitoring report.	Lead Officers Michael Smith Policy and	Blue, Red, Amber or Green BRAG

Page 123

		Performance and all service areas to implement	GREEN
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Outcomes: Number of Blue and Green Actions against total actions.

Progress to date: 2020/21 was the first year of delivery of 'A Fair and Equal Ceredigion 2020-24.' This is reflected in the delivery of the plan, with most of the actions in progress and on track, (39 green actions). 14 actions are marked as amber and slightly behind target, partly attributable to the impacts of Covid-19 pandemic, but the aim is to deliver over the four year course of the plan. One action is marked as blue and completed. There are no red actions that have not been started or with concerns that they will not be achieved.

Blue and green actions = 1 +30

Total actions = 54

Progress = 40 / 54 x 100 = 74%

Page 12

Action 3.9	We will review the Integrated Impact Assessment process.	Lead Officer Michael Smith Policy and Performance	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Revised IIA process implemented

Progress to date: An interim revision to the IIAs was made to take into account the commencement of the SED. An overall revision is due for 2021-22.

Action 3.10	We will monitor and advise on Integrated Impact Assessments.	Lead Officer Michael Smith Policy and Performance	Blue, Red, Amber or Green BRAG Amber
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Outcomes: Number of IIAs to the required standard submitted with Cabinet Papers / the total number of IIAs required x 100 = A%

Progress to date: There were fewer IIAs this year due to a reduction in the number of proposals going to Cabinet because of the coronavirus pandemic. 29 IIAs were submitted, of which 41% were of the required standard. Feedback was given on the 59% of IIAs that needed attention so that revisions could be made.

12 / 29 x 100 = 41%

2020-21 results: 41%

Action 3.11	To provide support and guidance to all council services to ensure that they implement the Welsh Language Standards, and to increase the availability and standard of Welsh medium services.	Lead Officer Carys Morgan Democratic Services	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Welsh medium services are actively available to Welsh speakers

Progress to date: Provided support and guidance to all council services to ensure that they implement the Welsh Language Standards by monitoring and promoting the use of the Welsh language.

Action 3.12	We will adopt the principles of the Dream Team’s Learning Disability Charter	Lead Officers All	Blue, Red, Amber or Green BRAG GREEN
Outcomes: Improved outcomes for people with learning disabilities.			
Progress to date: The adoption of the Charter is ongoing.			

Objective 4: Dignity, Respect and Access to Services.

To ensure fair and equal access to all services. We will do this by ensuring that people with protected characteristics are treated with dignity and also meeting their needs where they are different from the needs of other people.

Action 4.1	We will facilitate access to information, advice and assistance via Porth Cymorth Cynnar, including Dewis and Family Information Services. We will also deliver accessible technology and community dementia friendly awareness sessions.	Lead Officer Cyra Shimell / Porth Cymorth Cynnar	Blue, Red, Amber or Green BRAG AMBER
Outcomes: Increased number of people assisted.			

Increased number of dementia friendly sessions delivered.

Progress to date: No dementia friends sessions since were delivered since the first lockdown, however, we have done many Connect to Kindness sessions online.

Action 4.2	We will provide targeted support such as “Cynllun Cyfeirio” and “Ymuno” Projects to enable children with additional needs to attend mainstream activities.	Lead Officers Elen James Porth Cymorth Cynnar / Cathryn Morgan Policy and Performance	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Maintain the return rate of questionnaires at 50%, and maintain service rating of good or above at 84%.

Progress to date: We pay for training, support and additional staffing so that children with disabilities or additional needs can attend mainstream childcare settings. The ‘Cynllun Cyfeirio’ supports pre-school children and ‘Ymuno’ is for school aged children. We experienced a reduced number of support requests, partly because not all settings were open and partly because parents wanted to reduce the amount of contact these more vulnerable children had with others.

131 pre-school children were supported by the Cynllun Cyfeirio this year. 61 children left the scheme during the year, many left suddenly at the first lockdown in March 2020 and then went on to school in September; they were not sent an evaluation form. The provider (Mudiad Meithrin) managed to send the form out via email to 13 parents, just 4 (31%) responded. 100% of these reported that the scheme had a positive impact on their child/family and that the scheme enabled the setting to include their child in all aspects of the Cylch/Playgroup. However, 25% reported that

they did not have enough opportunity to discuss their child's needs with the professionals involved and did not feel that the information they had been given about their child's development was adequate.

Just 1 child received support from Ymuno scheme to attend a mainstream out of school setting. This parent returned the questionnaire (100% return) and reported that the provision made a positive difference to the family, that their child benefitted from attending and they could not have attended without the support. The provider (DASH Ceredigion) worked with our Disabled Children Team to provide 1:1 support and a specialist play scheme for disabled children with complex needs. They also worked with our Childcare Unit to offer training on hidden disability awareness to staff at mainstream childcare settings.

Feedback from parents:

Getting extra help for my child who has behaviour issues, these people are able to give my child what he needs and are experienced. His learning and behaviour has improved slightly which I believe is (*due to*) the extra help he gets through the nursery. (*Cynllun Cyfeirio*)

I've been very lucky with choosing the nursery my child attends, the Leader picked up on my child's behaviour very quickly and has been supportive for both of us, but mainly my child. He's getting the education he deserves and needs. I am extremely grateful in particular to Ms Jones for her experience and in how she has helped my family. (*Cynllun Cyfeirio*)

We can't thank you enough for the love, support, and encouragement you have given our child. We have felt she has been well cared for especially with her allergies and skin, this is shown in the happiness she has coming to the Meithrin. She has progressed so much and her Welsh is fantastic (*Cynllun Cyfeirio*)

Page 120

Action 4.3	We will provide opportunities for people with learning disabilities to develop a range of life-skills that meets their needs (Total Communication, Creative Lifestyle Solutions, Llond Bol, and Community Support Base).	Lead Officers Nerys Lewis Porth Gofal and Gillian Evans Schools	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Increased number of people who have accessed advocacy services.

<p>Progress to date: The 1st cohort of Camu 'Mlaen are in the process of completing their first year. A partnership review of the year will be completed and this will include further exploration of the access and use of advocacy services with a plan developed to enhance advocacy where and when needed.</p>			
<p>Action 4.4</p>	<p>We will develop specification documentation and tender documentation for new advocacy services for Learning Disabilities, Mental Health and for Older People.</p>	<p>Lead Officer</p> <p>George Ryley and DSS Contracts and Commissioning Porth Cynnal</p>	<p>Blue, Red, Amber or Green BRAG</p> <p>GREEN</p>
<p>Outcomes: Increased number of people who have accessed advocacy services.</p>			
<p>Progress to date: It has been agreed there will be a new regional contract for advocacy services and work has already started to prepare the tender. Pembrokeshire County Council is leading on the project and representatives from Ceredigion and Carmarthenshire County Councils are also on the Project Group, having input to development of the specification and other tender documents. It is expected the new contract will be in place from January 2022. During 2020/21 48 new people in Ceredigion received advocacy services through the Council's current Ceredigion Independent Professional Advocacy (CIPA) contract arrangement, which includes 8 during the last quarter. This figure can be used as a measure for next year and it is expected the final quarter figures will reflect the new regional contract.</p>			

Action 4.5	We will deliver a bilingual range of Health Intervention classes across all areas of the county, including complex chronic conditions for Cardiac, Mental Health, Pain Management (Escape) Cancers and Falls Prevention including the Postural Stability Instruction (PSI) Programme under the National Exercise Referral Scheme.	Lead Officer Steve Jones Porth Cymorth Cynnar	Blue, Red, Amber or Green BRAG GREEN
<p>Outcomes: Over 200 Health Intervention Classes held each month, all within 20 minutes travel time for all clients.</p> <p>36,000 Activity Units per annum.</p> <p>Programmes built around the client in order to build life changing habits in keeping active & mental health wellbeing.</p>			
<p>Progress to date:</p> <p>Due to the pandemic and lockdowns the Health Intervention Team have been offering support via Check & Chat to over 600 clients with health issues.</p> <p>Virtual classes for people to stay active via the social media channels, both live and pre-recorded have been running throughout the year, with many taking part.</p> <p>Virtual Walking for Wellbeing projects run during lockdown with participants covering 100,000's miles walking where they live.</p> <p>Very successful.</p>			
Action 4.6	Cylch Caron Project – we will establish community based care to meet health and housing needs that are fit for purpose.	Lead Officer	Blue, Red, Amber or Green BRAG

Page 130

		Nerys Lewis Porth Gofal	AMBER
Outcomes: Identify the number of additional services required as part of the Cylch Caron Project.			
Progress to date: The Cylch Caron project remains at development of the Full Business Case stage.			
Action 4.7	We will take forward the development of an Accessible Housing Register and work on ensuring Housing Options advice and services are accessible.	Lead Officer Llyr Hughes / Cerys Purches- Phillips Porth Gofal	Blue, Red, Amber or Green BRAG GREEN
Outcomes: Increased satisfaction levels of people applying for accessible housing.			
Progress to date: The Accessible Housing Register and Accessible Housing Policy have been in place since June 2016. As a result, the number of people using the accessible housing register and subsequently receiving offers continues to increase. During the last year there have been a number of allocations made to individuals and families requiring accessible housing including, most recently, the new Maes Arthur development where 3 of the 33 new flats were wheelchair accessible. Work is now underway to allocate the 56 apartments at the Maes y Mor Extra Care Scheme which will also be fully accessible. Most recent reporting highlighted that 15% of applications to the Housing Register require some form of accessible property. Categories captured are: Full Wheelchair/Part Wheelchair/Ground Floor Need/Lifetime Homes/ Max 3 Steps/Step Free.			

Page 131

Access to the Housing Options Service is available bilingually and whilst it is encouraged application forms are completed online, facilities are available to enable Applications to be taken over the phone. The Housing Options website also offers the facility of languages other than Welsh and English, together with additional accessibility options such as Text Only/ Graphical Mode/ Read Aloud and the option to increase the size of the text. In recent weeks works has also been undertaken by the Team to ensure that the Housing Options Website is fully compliant and meets the new requirements of WCAG 2.1 AA Accessibility Guidelines, these are an internationally recognised set of recommendations which defines how to make web content more accessible to people with disabilities.

Despite the challenges of Covid-19 the Housing Register and Homelessness services have ensured that the service can still operate safely with appropriate advice being provided remotely ensuring that no individuals were penalised by the change in approach.

Whilst the service cannot currently record feedback through the IT system, verbal feedback is recorded. However this is not a reportable facility. There is opportunity in the future to develop a process in order to monitor satisfaction levels.

Page 132

Action 4.8	We will consider the provision of access to public transport service for disabled people, older people and families with young children as part of any maintenance or improvement works undertaken.	Lead Officer Gerwyn Jones Highways and Environmental Services	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Work is currently being undertaken on improvement to bus shelters and stops along the T2/T5 route.

We continue to support and facilitate the Welsh Government initiative affording free travel to all on weekends on the TrawsCymru network.

Both interventions improve accessibility by means of infrastructure and service enhancements

Progress to date: COVID-19 global pandemic has had a significant impact on most aspects of life. This has been especially true of requirements and demand for travel, which includes the impacts arising from travel restrictions and new, or, different ways of working and living in general. These impacts have related and extended from international travel to travel at a local level.

The County Council has worked closely with local bus operators throughout the COVID-19 pandemic to support the industry and maintain a core level of services while adhering to Welsh Government guidelines. This has included the development of COVID-19 risk assessments and implementation of related control mitigation measures. The integrated nature of bus networks in Ceredigion means this approach has been applied to learner transport as well as services and travel opportunities available to the wider general public. There has been a need to be dynamic and flexible in response to the very volatile and quickly changing situation with COVID-19. In such a challenging operating climate the benefits of a partnership approach and of working in collaboration has come to the fore and is very much recognised, acknowledged and appreciated.

Work has continued on improvements to bus shelters and stops along the T2/T5 route this includes in respect of information provision at key interchanges including Aberystwyth Gateway, Alban Square Aberaeron and Finch Square, Cardigan.

The County Council continues to work with Welsh Government, Transport for Wales and the bus operators to administer and manage the evolving Bus Emergency Scheme funding. This has been put in place to support operators and services during the pandemic but also as we move towards a new model for how bus services are provided and managed in Wales.

The Welsh Government and Transport for Wales have embarked on a review and redesign of bus networks in Wales.

<p>Action 4.9</p>	<p>We will consider the needs of disabled people when maintaining or improving footways and carriageways (for example dropped kerbs).</p>	<p>Lead Officer Phil Jones Highways and Environmental Services</p>	<p>Blue, Red, Amber or Green BRAG GREEN</p>
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Outcomes: Increased number of improvements to footways which address accessibility issues.

Progress to date:			
It is an ongoing annual activity. Disabled access (or lack of) is a criteria on our scoring/assessment of works when setting up the prioritised list of maintenance and/or improvement schemes.			
Action 4.10	We will continue to implement the Clutter Free Ceredigion Campaign to raise awareness and reduce the number of footway obstructions in our towns such as A-Frame advertising boards and wheelie bins.	Lead Officer Gerwyn Jones Highways and Environmental services and partners.	Blue, Red, Amber or Green BRAG AMBER
Outcomes: The Clutter Free Ceredigion Publications are shared / published on the Council's social media platforms on a regular basis which provides for ongoing awareness raising.			
Progress to date:			
Illegal 'private' clutter (not street furniture) would be deemed as an offence of obstruction unless it is licensed/approved			
Action 4.11	We will undertake accessible audits to ensure all members of the public can access council offices.	Lead Officer	Blue, Red, Amber or Green BRAG

		Lyndon Griffiths Economy and Regeneration	GREEN
Outcomes: Increased number of accessible reviews undertaken and recommended improvements addressed.			
Progress to date: We continue to undertake accessibility audits for council premises and major developments. This includes the implementation of the Toilet Strategy in terms of accessibility and continued work to increase the number of changing places toilets in the County.			
Action 4.12	We have achieved an accessibility rating of AA for our website and will work towards achieving a rating of AAA, including the provision of a readability toolbar.	Lead Officer Arwyn Morris Customer Contact	Blue, Red, Amber or Green BRAG BLUE
Outcomes: Increased levels of customer satisfaction.			
Progress to date: This action will always be on-going to meet any new standards – we have achieved all the necessary base standards for accessibility. This action is blue – achieved but will continue to evolve as technology changes.			
Action 4.13	We will continue ongoing management of the coastal path to ensure that the path meets visitor expectations, including continued application of ' <i>Least Restrictive Access</i> ' principles where possible. We will consider the needs of people with disabilities when maintaining or improving public rights of way.	Lead Officer	Blue, Red, Amber or Green BRAG

		Eifion Jones Economy and Regeneration	GREEN
Outcomes: Least restrictive access principles included within the Rights of Way Improvement Plan.			
Progress to date: £45k obtained from Council capital funding to replace footbridges which help comply with 1.2m width included within the “by all reasonable means” guidance on least restrictive access. Identification of barriers to access is now included in all promoted routes leaflets; i.e. stiles gates, surfacing and route gradients etc. £160k grant obtained from WG to create all ability boardwalk along the river Teifi in Cenarth (3 year project) £25k obtained to upgrade path surfacing of footpath Aberaeron – all ability access promoted route literature to be prepared as part of this project.			
Action 4.14	We will address equal access to play areas to support play sufficiency action plan	Lead Officer Cathryn Morgan Policy and Performance	Blue, Red, Amber or Green BRAG GREEN
Outcomes: Increased number of grant applications to CCC for play area improvement that are supported by policy/plans to provide accessible play space.			

Progress to date: Ceredigion's All Wales Play Opportunities Grant application form now asks that groups outline their plan or policy to make sure that their play area is accessible to disabled children and adults. 9 grant applications were received, 100% answered this specific question (some responses are shown below). It is apparent that some additional training would be useful. An online 'inclusive play area' webinar will be developed and delivered during 2021/22. Responses:

1. The community council has a play provision policy and is aware of ensuring that the playgrounds are accessible although specialised play equipment is at a minimum, it is taken into consideration when looking to purchase new equipment.
2. The intention is to look at this in more detail, initially through finding out how much need there is for an accessible play park in this area. We will consult further into the needs of the community and will try and address any barriers.
3. Included in the quote is a basket swing which is suitable for disabled children. There are no steps at the entrance of the play area and the gate is suitable for wheelchairs and push chairs. There is a free car park next to the site.
4. The playground has been designed to make it as accessible as possible given the sloping site. "Zig-zag" paths approaching and within the playground facilitate access for wheelchair users. A concrete access ramp and new entrance for the Wooden Pavilion are to be provided by spring 2021.
5. The park is easily accessible from the road that runs through the village, it has a large layby (2-3 cars) to park in, you can open the five-bar metal gate and drive through to gain closer access to the facilities (if necessary). There is hard standing between the layby and the playing field and from the edge of the playing field there is a tarmac path (approx. 1.5m wide) that leads to the play area. Currently there are no paths between play equipment areas but the grass is kept short and well maintained. All play equipment areas are surrounded by safety matting that would be accessible to a wheelchair user apart from the slide. There are no public toilet facilities in the park or in the village. We hope to make the park more accessible and inclusive in the future for people with different abilities by adding appropriate play equipment as it is so important for all children and adults to be able to enjoy play no matter what their ability.

We also worked with Hywel Dda Health Board's Speech & Language team to get 15 x Communication boards installed in 15 community play areas. These will improve the play experience for non-communicative children and help increase language and communication skills.



Action 4.15	We will ensure that our procurement policy and contract specification includes equality and Welsh language as standard information.	Lead Officers George Ryley Finance and Procurement and Carys Morgan Democratic Services	Blue, Red, Amber or Green BRAG GREEN
Outcomes: Percentage of contract specifications issued with Equality and Welsh Language requirements.			
Progress to date: All significant contracts are tendered using the e-tender-wales e-Tendering system and 100% of those have Equality questions and Welsh Language requirements built into them as part of a standardised process. The Welsh Government's Code of Practice for Ethical Employment in Supply Chains is also included in those tenders as standard.			
Action 4.16	We will continue to support community sports clubs to achieve the Insport Disability Award.	Lead Officer Steve Jones Porth Cymorth Cynnar	Blue, Red, Amber or Green BRAG AMBER
Outcomes: Increased number of volunteer / community projects to train and educate people to become more confident and develop more inclusive opportunities in our communities.			
Progress to date:			

Page 139

Sports Clubs continue to be encouraged to complete Insport Accreditation. This year the Wheel Together adapted cycling club in Aberystwyth achieved Ribbon status.

Due to the Pandemic and staff changes, the Insport accreditation programme has not been active.

Action 4.17	We will develop a vision for Ceredigion Actif in achieving a gold standard Insport award.	Lead Officers Steve Jones Lifelong Learning and Culture	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Continue the journey and learning process for staff, partners & services from Ribbon to Gold status.

To become an inclusive and visionary service for all standards.

Progress to date:

Commitment to achieve Insport Gold Accreditation is included in the L2 Wellbeing Centre Service Business Plan for 2021-22. Preparations are underway to attend a Disability Sport Wales Insport Gold Pre Panel in June 2021

Objective 5: Fair and Inclusive Education.

We want to ensure that children and young people reach their full potential. The right to education and training should also ensure accessibility and an environment free from bullying or harassment. This also include lifelong learning.

Action 5.1	We will support Schools to ensure that they review and update their Strategic Equality Plans (SEPs).	Lead Officer Nia James Schools	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: All Schools report and confirm completion of individual strategic equality plans during the Summer term at their governing body meetings.

Schools have a Strategic Equality Plan in place.

Progress to date:

All schools have completed their individual Strategic Equality Plans during the summer term.

Action 5.2	We will support schools to tackle identity-based bullying and to implement the proposed Welsh Government Anti-Bullying Guidance and Toolkit once it is launched in the spring of 2020.	Lead Officers Laurie Hughes / Kizzie Garner-Hughes Schools	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: All schools to have reviewed their anti-bullying policy.

Page 141

Draft policy created for schools from the new anti-bullying guidance. Draft copy sent for consultation/approval of senior education staff ahead of being circulated to schools.

Progress to date:

Schools have been provided with the anti-bullying guidance. Approval sought from senior education staff, guidance was presented at cabinet on 18/05/21 and gained approval as a policy.

Action 5.3	We will improve provision and outcomes for children with additional learning needs, reduce the attainment gap between children without ALN and those with ALN.	Lead Officer Gillian Evans Schools	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: All pupils with ALN made appropriate progress according to need.

Evidenced by data on the achievement of ALN children at all key stages.

- Progress to date:** The performance of Ceredigion SEN pupils is good. There is an increase in the number of pupils who are diagnosed with severe autism in the early years. Ceredigion has continued to invest in training to increase the workforce capacity to meet the needs of mainstream pupils. This includes person centred practice, to reflect the needs of the New ALN Code, autism training, Elsa training and mental health training. 70% of Ceredigion schools have now achieved accreditation as being autism friendly schools. 79% of our schools have also had a teaching assistant trained as an autism champion. 451 persons have completed the e-learning module on recognising mental health difficulties in young people. ELSa provision is continuing to develop well and schools have requested further training for staff. ELSAs received further training before pupils returned to school in June 2020. Schools have made good use of the mental health in-reach grant to provide additional ELSA sessions for vulnerable young people. 49 teaching assistants have achieved the ELSA (emotional literacy support assistant) qualification. The provision for vulnerable pupils in Ceredigion continues to be monitored.

Due to Covid 19 End of key stage data will not be collected during the summer term. Internal school data will be monitored to ensure pupils are making progress on entry.

Evidence from the numbers on the SEN/ALN register shows the impact of the intervention within schools. Over time the numbers on the register have changed significantly. Regular movement between SEN /ALN phases shows that intervention has a positive impact. There has been a reduction in the number of statements, and numbers of pupils on the ALN register. There is an increase in the number of pupils on the SAP / SAPRA phase, which reflects the number of pupils starting in our schools with more intensive and complex needs, and also the impact of Covid on school's ability to ensure a graduated response and full SEN intervention and provision during the year.

Years	SA		SAP/SAPRA		Statement	
	0-6	7-11	0-6	7-11	0-6	7-11
2021	849	739	473	289	7	71
	1588		762		78	
2020	792	839	274	176	7	62
	1788		717		72	
2019	940	861	384	229	21	68
	1,801		613		89	
2018	1,078	850	360	195	25	77

Page 143

Action 5.4	We will improve provision and outcomes for looked after children in order to reduce identified attainment gaps.	Lead Officer Catrin Petche Schools	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: All LAC pupils made appropriate progress according to need.

Evidenced by data on the achievement of looked after children at all key stages.

Progress to date: Overall, the performance of Ceredigion looked after children is good. Internal monitoring evidence shows that pupils are making progress on their access.

There will be no reporting on End of Key stage data, due to Covid 19.

There are currently 91 children in care on the register, 55% of whom have ALN, and 36% of whom have a SAPRA or Statement. The number of out of county LAC pupils placed in Ceredigion from other authorities has increased during the year. Currently, 42% of Ceredigion pupils in care come from outside the Authority, 58% of these have ALN which requires an additional level of support. The pupils are educated within our mainstream schools, however in some cases there is a need to provide an alternative curriculum pack to meet the needs of the pupil. This has been a significant challenge during the past year due to Covid regulations.

Attachment and relationship based play training and trauma informed practice has developed further. There has also been additional focus on pupils' wellbeing. All schools have been provided a LA wellbeing questionnaire, and a wellbeing support package. This has increased the capacity of school staff to understand and meet the attachment needs of a wider number of pupils. The impact of this will be monitored over the next year. Further training has been earmarked for 2021.

Action 5.5	We will support minority ethnic learners to access the curriculum to ensure that they achieve their full potential, and increase attainment.	Lead Officer Carole Price Schools	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: Provision of ongoing Peripatetic support and/or intervention for targeted schools and coordinated action between stakeholders within the Local Authority.

5% of pupils moved up a level with regard to EAL progress, with 1% making 2 or more levels of progress.			
64% of pupils are on code C-E, of these 61% are competent (D) or fluent (E).			
Progress to date:			
Action 5.6	We will develop targeted interventions for children in receipt of free school meals.	Lead Officers Vanessa Bowen / Gwion Dafydd Schools	Blue, Red, Amber or Green BRAG AMBER
Outcomes: Targeted training provided for interventions e.g. Numeracy, language, ALN, thinking skills. Training also supports effective use of Hafan and FSM within Profile assessment.			
Conferences promote understanding and intervention on Bullying, Voice of the child, Health and Wellbeing.			
Progress to date: Cynhaliwyd yr hyfforddiant ar lein, bydd mwy i ddilyn gyda dyfodiad Cwricwlwm i Gymru Mehefin- Medi 2021. Hyfforddiant ADY yn cael ei ddiweddarau oherwydd newidiadau cyson i'r Bill newydd. Hafan ar gau hyd yn hyn, gobeithio ail agor y ddarpariaeth ar ôl Mehefin 7fed.			
Action 5.7	We will undertake upgrades to school buildings on a needs basis in conjunction with individual school accessibility plans.	Lead Officer Nia James Schools	Blue, Red, Amber or Green BRAG

Page 145

			GREEN
Outcomes: We will undertake upgrades to school buildings on a needs basis in conjunction with individual school accessibility plans.			
Progress to date: No updates completed during the reporting period as no issues highlighted within the school accessibility plans.			
Action 5.8	We will implement our Welsh in Education Strategic Plan.	Lead Officer Silyn Roberts Schools	Blue, Red, Amber or Green BRAG GREEN
Outcomes: The Welsh in Education Strategic Plan is in place and continues until 2021 until the publication of WiESP 2021-2031. Plan implemented and outcomes monitored.			
Progress to date: As a result of COVID-19 and the delays this has created, CSGA 2022-2032 will now be submitted to the Welsh Government in January 2022 and, if approved, will be operational in September 2022. The current WESP is operational in the interim and progress on that will be reported in December annually to the Welsh Government across the seven expected outcomes.			

Action 5.9	<p>NEET (not in employment, education or training) – we will increase the opportunities and provisions for vulnerable young people who are supported by an alternative curriculum.</p> <p>NEET - we will ensure that Community Benefits are applied as a core requirement to all relevant Council procurement contracts and that the % of Education, Employment and Training opportunities created increase on previous year.</p>	<p>Lead Officer</p> <p>Mark Gleeson Porth Cymorth Cynnar</p>	<p>Blue, Red, Amber or Green BRAG</p> <p>GREEN</p>
<p>Outcomes: Two new courses have been added to the alternative curriculum provision since September 2019.</p> <p>Good progress is being made, all appropriate CCC procurement contracts have community benefits as a core requirement.</p> <p>Progress will be measured when annual NEET data is available.</p>			
<p>Progress to date: We are currently at that time of year were we are concentrating on collecting data regarding year 11 leavers. Lifelong Learning and Skills are working collaboratively with Careers Wales, Schools and Youth service to target undecided leavers. HCT will be running a number of tasters session for alternative curriculum learners after half term. We are currently in discussions also to hold taster days for year 11 leavers.</p> <p>The council's policy on community benefits and guidance to tenderers for identifying community benefits in their bids states "When selecting apprenticeships/work placements or delivering Community Benefits schemes contractors must not discriminate on the grounds of Age, Sex, Sexual Orientation, Gender Reassignment, Race, Gypsies & Travellers, Religion or Belief, Marriage & Civil Partnership or disability. Furthermore contractors must pay due regard to the requirements of the Welsh Language (Wales) Measure 2011 in relation to these people and schemes."</p> <p>Wider community benefits (where contractors can propose to deliver additional social and environmental benefits directly to the Community in which the project operates). These are categorised as:</p> <ul style="list-style-type: none"> • Community • Education 			

- Equality and Diversity (i.e. Employment and training opportunities targeting hard to reach groups (long term NEET, disabled, ethnic minorities)
- Environmental

Please find the following tender evaluations:

- Cilmaenllwyd Household Waste site contract (Penparc, Cardigan) – contract started 01/03/21 - contact made with Community Benefits contact. Main offer is for work experience placements which are currently on hold due to Covid.
- Regional Engineering Consultancy Framework (chaired by Carmarthenshire CC)
- Glan Yr Afon Household Waste site contract (due to start 01/05/21)
- Dry Mixed Recyclate Waste contract (due to start 01/06/21, subject to award of contract)

Page 148

Action 5.10	We will support older people and disabled people to take advantage of digital technologies, and to recognise the benefits of being online.	Lead Officer Denise Owen Lifelong Porth Cymorth Cynnar	Blue, Red, Amber or Green BRAG AMBER
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Outcomes: Increased number of Dysgu Bro enrolments over 50.
 Increased number of over 50s enrolled on digital literacy classes.
 Increased number of over 50s enrolled on digital literacy classes with a disability or additional learning need.

Progress to date: With the advent of the pandemic and the lockdown restriction impacting classes these targets have not been reached. During the lockdown restrictions we have provided online classes to people, including a class of over 65's. Where learners have not had access to digital

equipment we have been able to provide laptops for them to use at home, this have proved advantageous to many learners across a variety of subjects and we also provided many learners sessions on how to use Zoom or Teams in order to access the classes.

Action 5.11	We will offer 'Play Together,' (Disability Awareness Training), courses for school pupils to raise awareness of impairments and how to involve friends in inclusive physical activities.	Lead Officers Steve Jones Porth Cymorth Cynnar	Blue, Red, Amber or Green BRAG GREEN
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Outcomes: In partnership with AYP & Sport Wales we will train school pupils & volunteers to learn how to adapt / involve others in sport & physical activity.

Progress to date:

Mini DIT (Play Together) module has been included in all Young Ambassador training. This year, we have trained over 100 Bronze Young Ambassadors with this unit included.

Page 149

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Cyngor Sir CEREDIGION County Council

REPORT TO: Overview and Scrutiny Co-ordinating Committee

DATE: 15 September 2021

LOCATION: Online

TITLE: Gender Pay Report 2021 and Workforce Equality Report 2021

PURPOSE OF REPORT: To ensure that the Authority is meeting its requirements in relation to the Equality Act 2010 the Public Sector Equality Duty 2011 to publish employment information annually

REASON SCRUTINY HAVE REQUESTED THE INFORMATION: To ensure that the report is fit for purpose and to make recommendations to Cabinet as appropriate

BACKGROUND:

Ceredigion County Council, along with all listed public authorities in Wales, is required to carry out gender pay reporting and publish employment information on an annual basis.

Gender Pay Report 2021

The requirement to carry out gender pay reporting is contained with the Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017. The Regulations require the following six calculations to be undertaken on the workforce as at 31 March each year. The report is based on the workforce snapshot data taken on 31 March 2021.

1	Mean gender pay gap	The difference between the mean hourly rate of pay of male full-pay relevant employees and that of female full-pay relevant employees
2	Median gender pay gap	The difference between the median hourly rate of pay of male full-pay relevant employees and that of female full-pay relevant employees
3	Mean bonus gender pay gap	The difference between the mean bonus pay paid to male relevant employees and that paid to female relevant employees
4	Median bonus gender pay gap	The difference between the median bonus pay paid to male relevant employees and that paid to female relevant employees
5	Bonus proportions	The proportions of male and female relevant employees who were paid bonus pay during the relevant period
6	Quartile pay bands	The proportions of male and female full-pay relevant employees in the lower, lower middle, upper middle and upper quartile pay bands

However, as a result of the introduction of the Single Status Agreement in 2012 Ceredigion County Council does not pay bonus payments (performance or specific) therefore no figures are published for points 3, 4 or 5 in the above table.

As at 31 March 2021 a mean pay gap of -5.3% and a median pay gap of -3.9% existed between men and women. This is an improvement from 31 March 2020 where the mean pay gap was -7.6% and median pay gap was -4.5%. The reason the gap exists is covered in the report together with the measures we are taking to address the pay gap.

Workforce Equality Report 2021

The Public Sector Equality Duty 2011, which forms part of the Equality Act 2010, requires that the Council publishes a range of data relating to our workforce under each of the protected characteristics detailed in the Equality Act:

- Age
- Disability
- Gender Reassignment
- Pregnancy and maternity
- Race
- Religion or belief (including lack of belief)
- Sex
- Sexual Orientation
- Marriage and Civil Partnership

The data gathered relates to the period 1 April 2020 to 31 March 2021 and reports on each protected characteristic in:

- our current workforce as at 31 March 2021;
- those who have applied for jobs during the period
- those who have left our employment during the period

WELLBEING OF FUTURE GENERATIONS:	<p>Has an Integrated Impact Assessment been completed? If, not, please state why</p> <p>Summary:</p> <p>Long term:</p> <p>Integration:</p> <p>Collaboration:</p> <p>Involvement:</p> <p>Prevention:</p>	<p>Not required</p>
RECOMMENDATION (S):	<p>(1) To receive the Gender Pay Report 2021</p> <p>(2) To receive the Workforce Equality Report 2021</p>	

REASON FOR RECOMMENDATION (S):

Contact Name: Geraint Edwards
Designation: Corporate Lead Officer – People & Organisation (Interim)

Date of Report: 20/08/2021

Acronyms:

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"Investing in People's Future"



Gender Pay Report

2021



Cyngor Sir
CEREDIGION
County Council



Ceredigion County Council

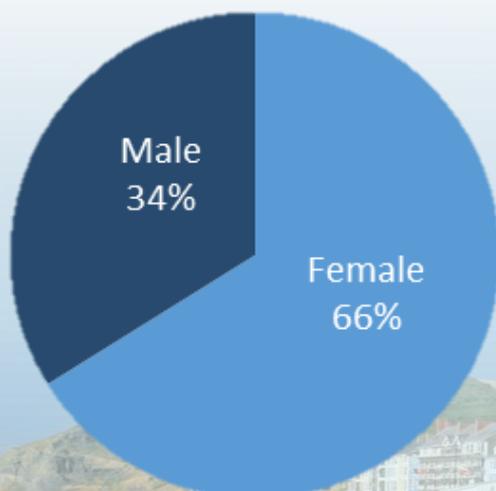
Ceredigion County Council along with all listed public authorities in Wales is **required** to carry out Gender Pay Reporting under the Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017.

This involves carrying out six calculations that show the difference between the average earnings of men and women in our organisation; it will not involve publishing individual employees data.

1. The mean gender pay gap
2. The median gender pay gap
3. The mean bonus gender pay gap
4. The median bonus gender pay gap
5. The proportion of males and females receiving a bonus payment
6. The proportion of males and females in each quartile band

This report containing the required information and actions that the Council will undertake in order to address gender pay issues will be published on our website and also be available for staff on the internal Ceri Net intranet site.

Context



The Council workforce as at 31st March 2021 comprised of 66% female and 34% male employees

Gender pay gap figures



The gender pay gap is defined as the difference between the mean or median hourly rate of pay that male and female colleagues receive.

The **mean pay gap** is the difference between average hourly earnings of men and women.

The **median pay gap** is the difference between the midpoints in the ranges of hourly earnings of men and women. It takes all salaries in the sample, lines them up in order from lowest to highest, and picks the middle-most salary.

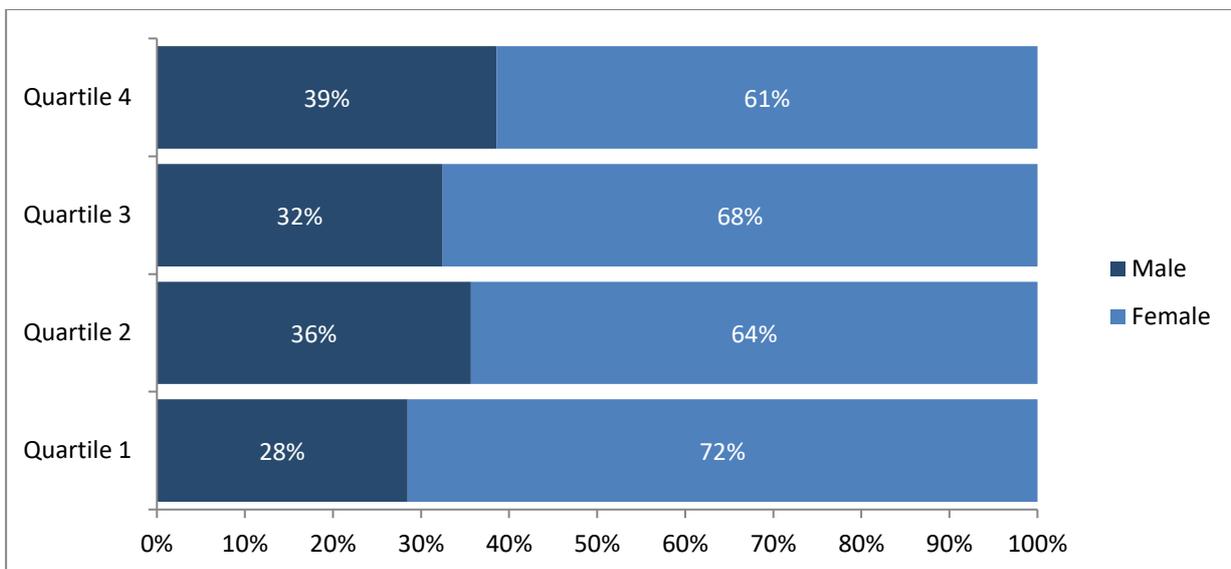
The information provided in the charts is based on the hourly rate of pay as at 31st March 2021.

This rate is a reduction on the previous year (2020): median pay gap rate of -7.6% and mean pay gap of -4.5% but an increase on 2019: median pay gap rate of -2.8% and mean pay gap of -2.9%

Following the introduction of the Single Status Agreement in 2012 Ceredigion County Council does not pay bonus payments (performance or specific) therefore no figures are published for points 3, 4 and 5 above.

Proportion of male and female colleagues in each pay quartile

This chart shows the gender split when we order hourly rate of pay from highest to lowest and group into four equal quartiles.



Why we have a gender pay gap

While we are confident that men and women are paid equally for doing equivalent jobs across the Council, the main reason for our organisation-wide gender pay gap is an imbalance of male and female colleagues across the organisation. At the moment there are fewer women in senior roles than men, as well as a higher proportion of women relative to men in lower scales.

How we will continue to address the pay gap

Recruitment - We will attract the right people

- We aim to recruit from the widest possible talent pool. We will continue to develop our Careers site in order to attract as many candidates as possible to work for Ceredigion County Council
- We will ensure that the language in job adverts is gender neutral
- We will continue to explore further platforms to promote the Council recruitment profile on social media in order to attract as many candidates as possible and will monitor these to evaluate the impact on applicant numbers
- We will continue, when it is safe to do so, to increase the number of work experience placements and apprenticeship opportunities to young people allowing them to unlock their potential by earning whilst they learn

Retention - Once we have the right people, we want them to stay.

- We will continue to offer and develop a range of flexible working options at all levels, currently 49% of our staff (excluding school based) work part-time. We will build on the lessons learnt from enforced homeworking during the Covid-19 pandemic to develop new ways of working.
- We will review our family friendly and work-life balance policies to ensure that they offer the best opportunities to retain the staff with the skills and knowledge required to deliver our services
- We have introduced a 'Carers Policy' to support those staff who have carer responsibilities alongside their paid employment.
- The Ceredigion Managers' Programme, introduced in 2018, requires all managers to undertake training in both Recruitment & Selection and Equality & Diversity. We will continue to develop the programme and monitor that all managers attend the training provided
- We will continue to deliver training to staff on 'Unconscious Bias', ensuring that managers understand what unconscious bias is and its impact on management decision making in the workplace.

Development - We need to ensure that all staff have development opportunities

- We will continue to provide opportunities to undertake Institute of Leadership & Management (ILM) qualifications within the workplace.

- We have introduced a Corporate Qualification Panel to ensure that all staff have equality of opportunity to apply for support to undertake qualifications that will progress their careers within Ceredigion County Council.

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*“Empowering our people
to be their best”*



Workforce Equality Report

2021



Cyngor Sir
CEREDIGION
County Council



Introduction

The Equality Act 2010 brought together and replaced all of the previous anti-discrimination laws under a single Act. Previously public sector bodies had separate duties with regard to race, disability and gender equality however the Equality Act 2010 consolidated these under a new public sector equality duty (the general duty) covering the following protected characteristics:

- Age
- Disability
- Gender Reassignment
- Pregnancy and maternity
- Race – including ethnic or national origin, colour or nationality
- Religion or belief – including lack of belief
- Sex
- Sexual Orientation
- Marital Status - it applies to marriage and civil partnership, but only in respect of the requirement to have due regard to eliminate discrimination.

The Equality and Human Rights Commission describes the aim of the general duty as “to ensure that public authorities consider how they can positively contribute to a fairer society through advancing equality and good relations in their day-to-day activities”. This requires that we have due regard to the need to:

- eliminate unlawful discrimination, harassment and victimisation
- advance equality of opportunity between people who share a relevant protected characteristic and those who do not
- foster good relations between people who share a relevant protected characteristic and those who do not

In addition to the general duty, as a listed public authority in Wales, Ceredigion County Council has a range of specific duties one of which is to collect and publish annually a range of data relating to our workforce; those who have applied for jobs in the Authority; those who have left during the year, any pay differences and staff training.

The implementation of an integrated HR / Payroll system (Ceri) was completed in April 2018. The system has allowed for a greater collection of data than had previously been the case.

Whilst the Authority recognises that there is no obligation for staff to provide information in relation to their protected characteristics we have encouraged staff to complete their equality monitoring profile in the Self-Service section of the HR/Payroll system. Staff have been contacted to explain the Authority’s commitment to equality and valuing diversity in all its roles, and the duties placed on us by the

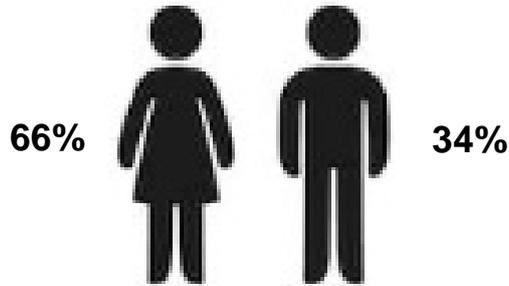
Equality Act 2010. Staff were informed of how the information would be securely held and only used for monitoring purposes.

Please Note:

- This report only includes centrally employed staff of Ceredigion County Council and therefore does not include those staff (teachers and support staff) employed directly by school Governing Bodies.

Current Workforce

The gender profile of Ceredigion County Council's workforce on 31st March 2021

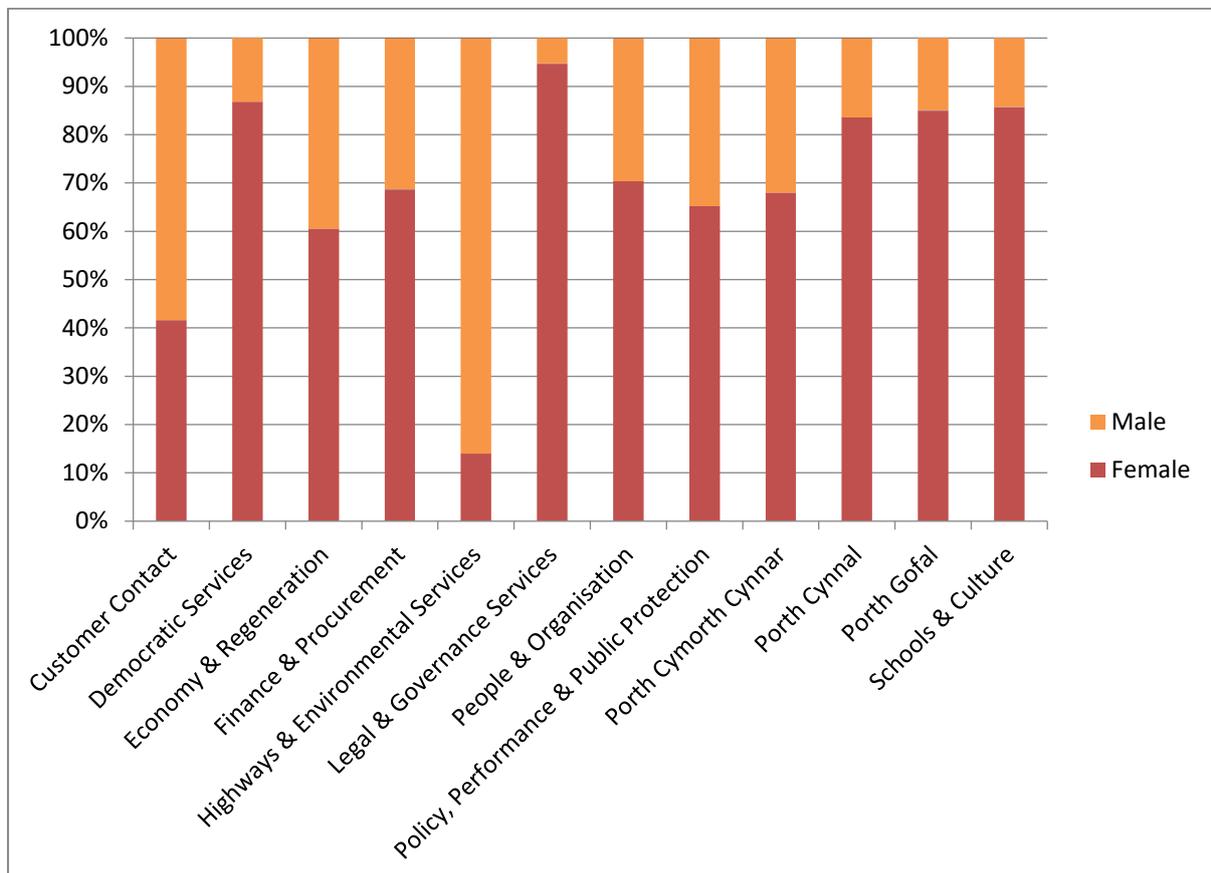


Grade and Pay

The tables below shows the Job category as reported by service conditions, grades and salary ranges broken down by male and female for Ceredigion County Council.

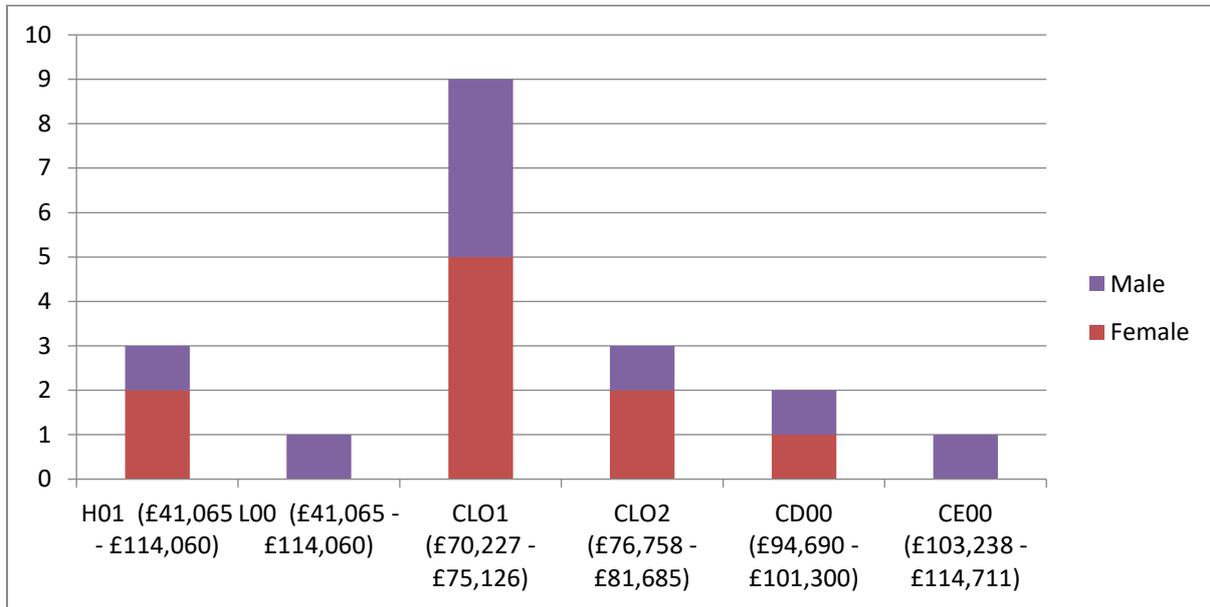
This data is collated to show the following employee groups: Chief Officer, National Joint Council (NJC - Green Book), Soulbury and Centrally Employed Teachers.

Gender by Service

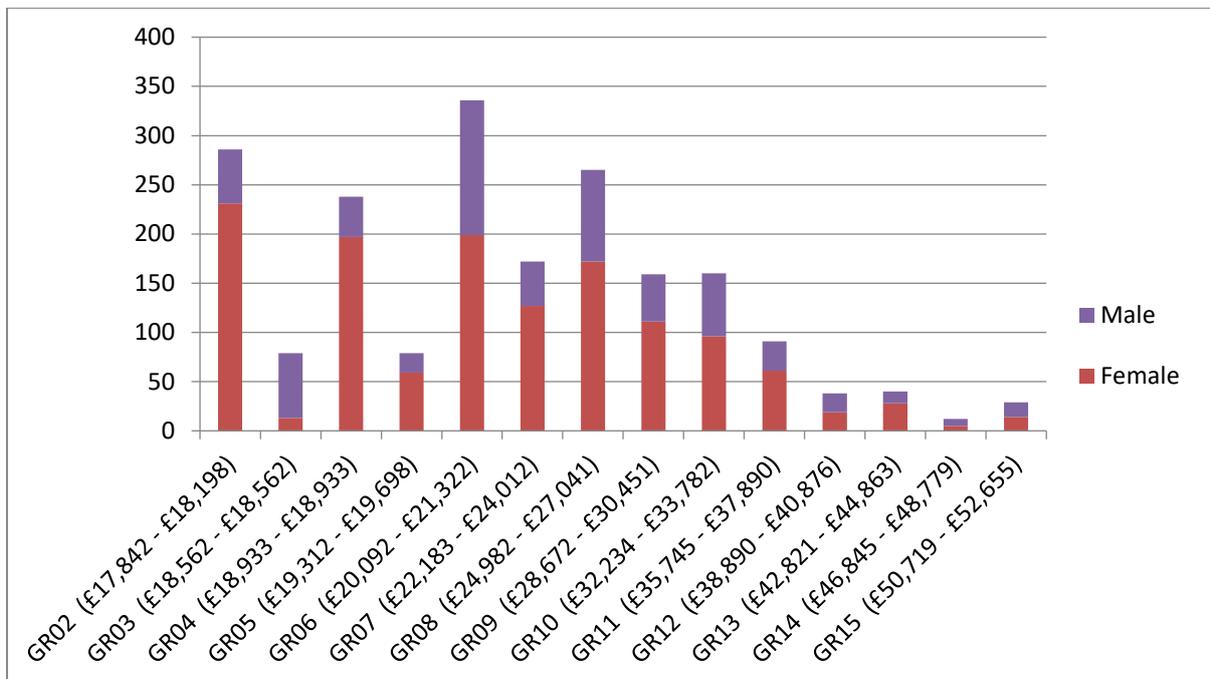


Gender by Grade

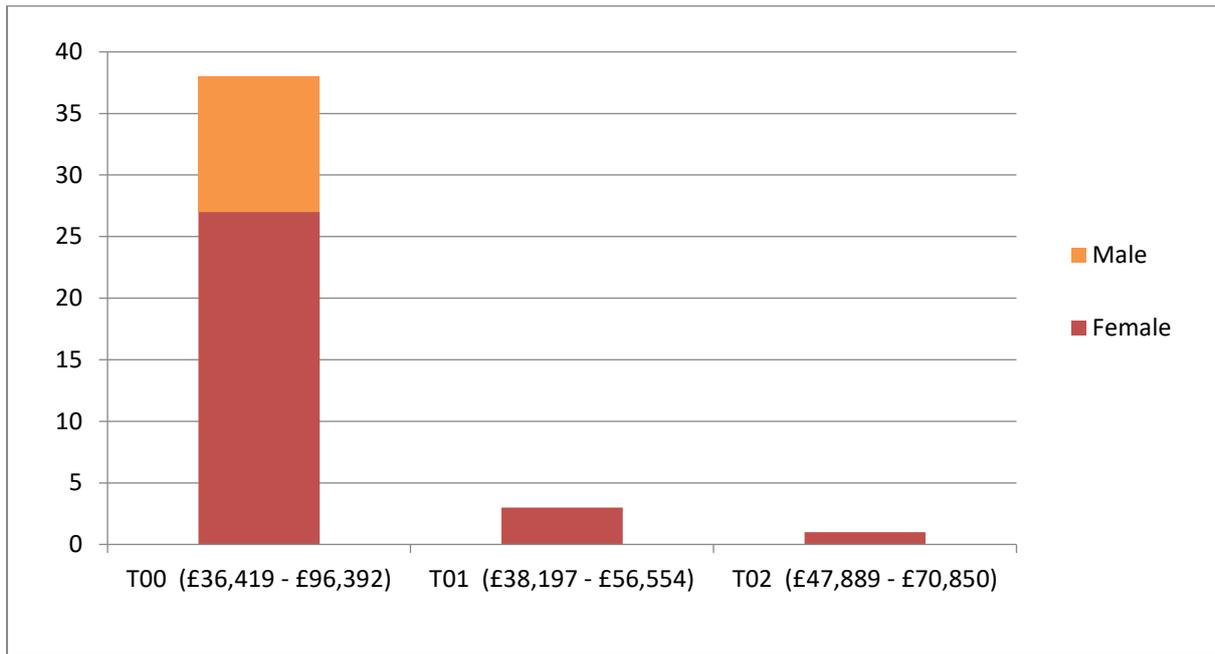
Chief Officers



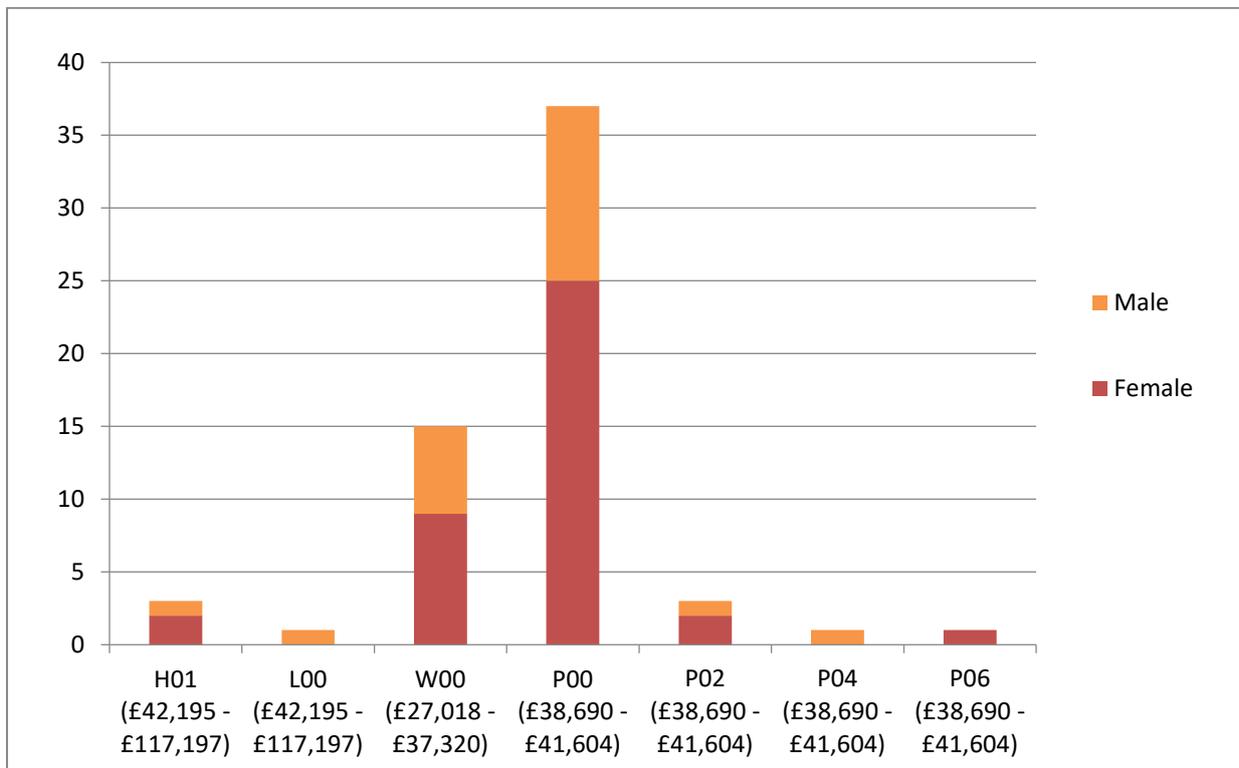
NJC



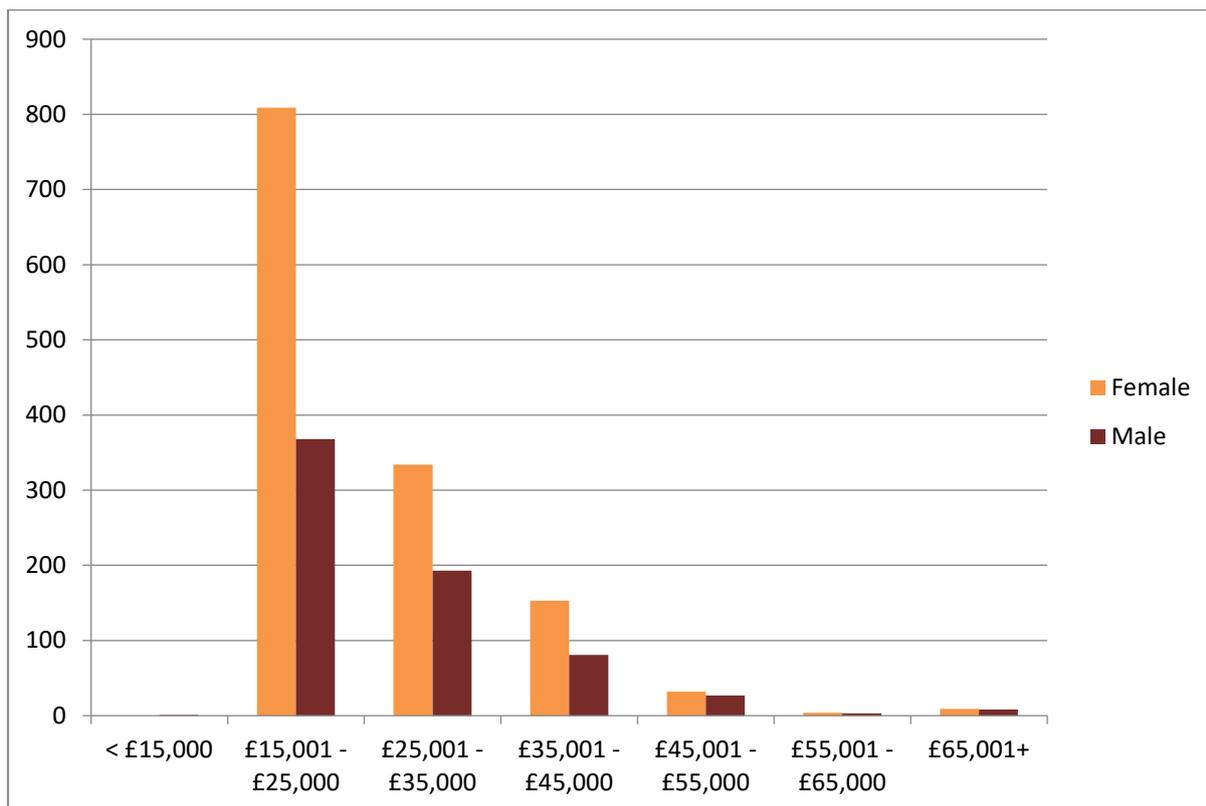
Soulbury



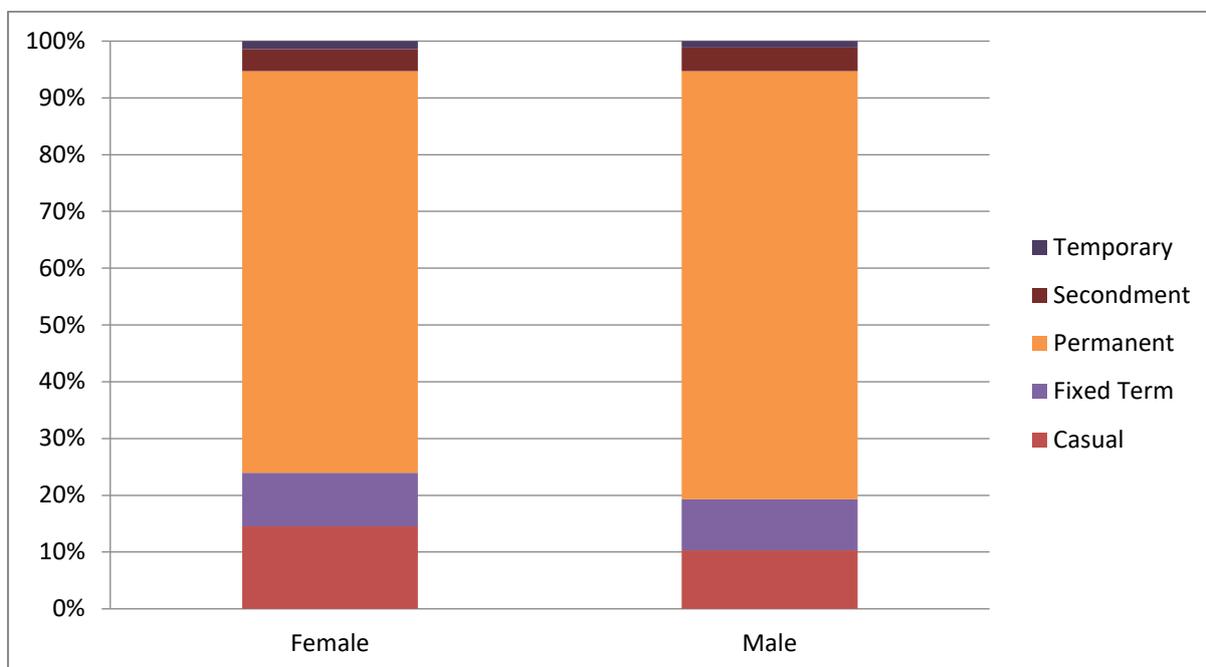
Teachers – Centrally Employed



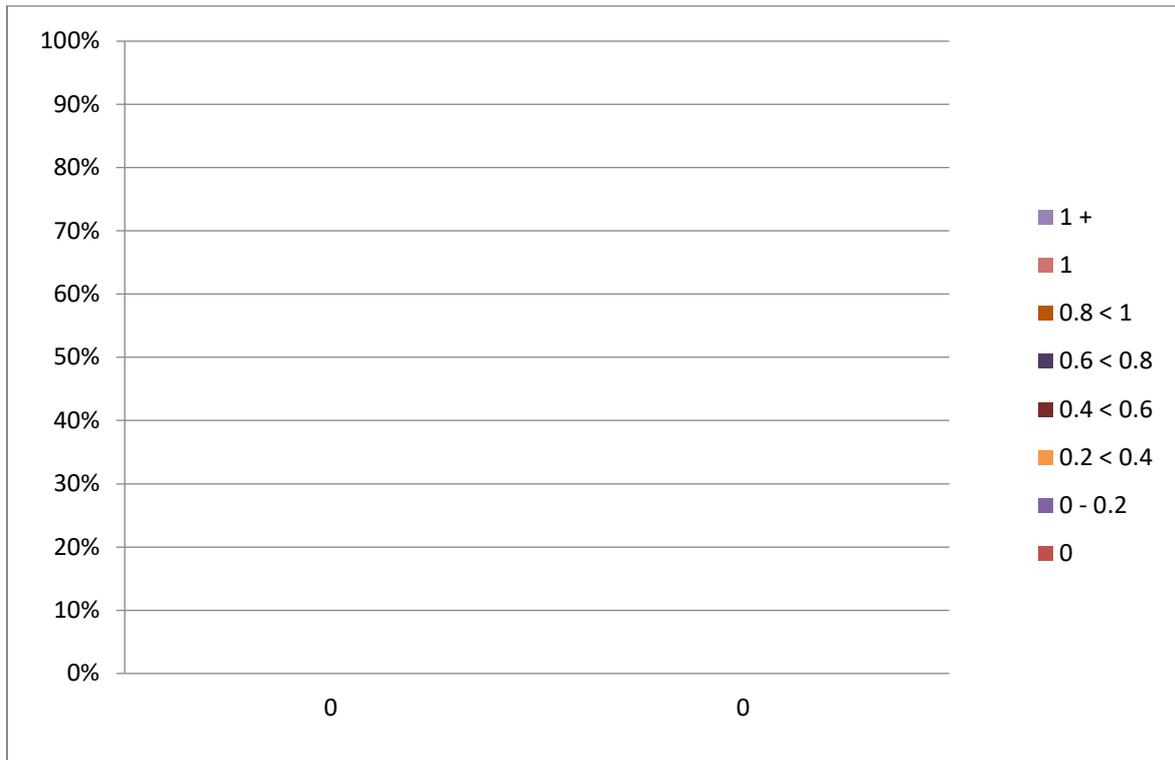
Gender by Pay



Gender by Contract Type



Gender by Working Pattern (FTE)

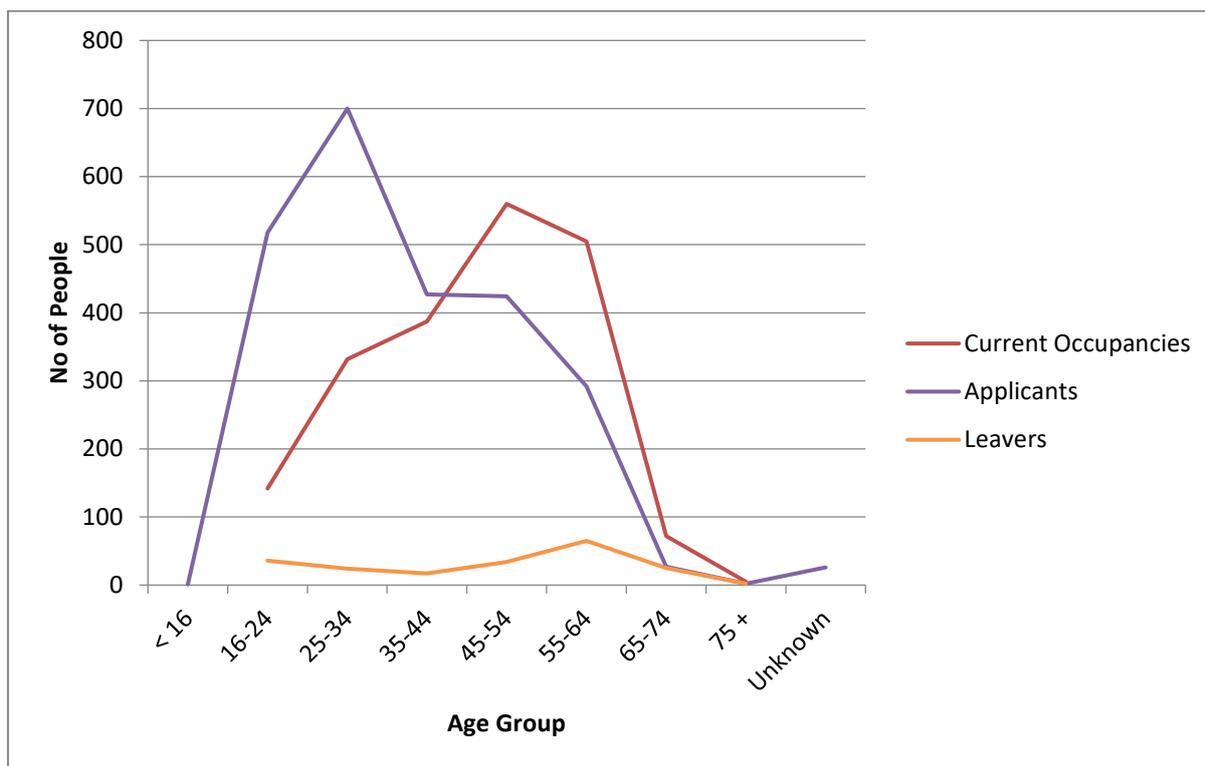


Age

The Authority's current workforce profile consists of 57.0% who are over the age of 44. The largest single group is in the 45 – 54 years old category (28.0%), followed by 55 – 64 years old (25.2%), 35 – 44 years old (19.3%), 25 – 34 years old (16.6%), 16 – 24 years old (7.1%), 65 – 74 years old (3.6%), and over 75 years old (0.2%).

In contrast, 68.1% of applicants were under the age of 45 years old. The largest single group of applicants were in the 25 – 34 years old category at 29.0%, followed by 16 – 24 years old (21.4%), 35 – 44 years old (17.7%), 45 – 54 years old (17.5%) and 55 – 64 years old (12.1%), 65 – 74 years old (1.1%), 75 years old and over (0.1%) whilst 1.1% were unknown.

The data for staff leaving Ceredigion County Council shows that the 55 – 64 years old category had the largest percentage of leavers at 32.0%, followed by 16 – 24 years old category accounted for 17.7%, 45 – 54 years old category at 16.8%. The remaining categories showed a relatively even spread across the age groups. The 65 – 74 years old category accounted for 12.3%, 25 - 34 years old category accounted for 11.8% of all leavers, whilst the 35 – 44 years accounted for 8.4%. The 75 years old and over accounted for 1.0%.

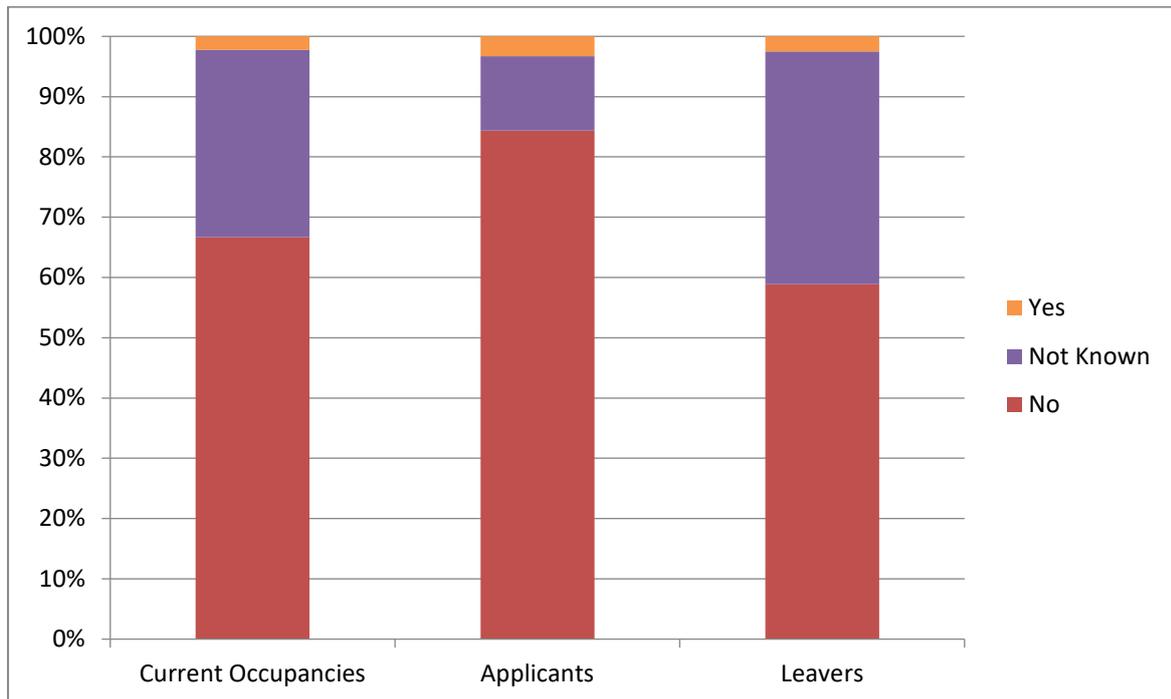


Disability

Of the Authority's current workforce 2.2% declare that they have a disability whilst 66.7% declare that they do not. The status of the remaining 31.1% is not known.

3.3% of applicants declared that they did have a disability, whilst 84.4% declared that they did not. The status of the remaining 12.3% is not known.

The data for staff leaving Ceredigion County Council shows 2.5% declaring that they have a disability, 58.9% declaring that they did not have a disability with the status of the remaining 38.6% being not known.



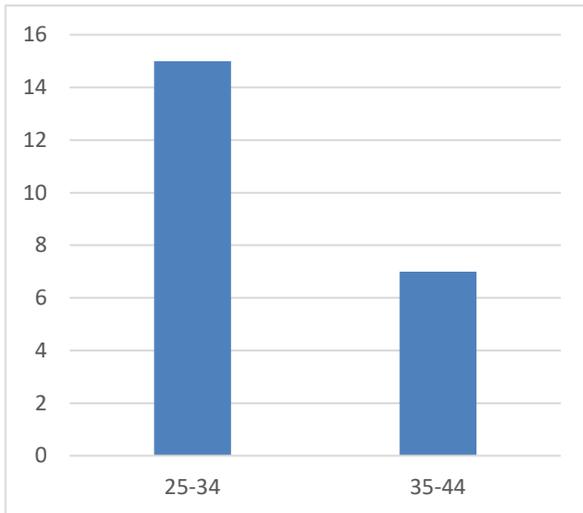
Gender Reassignment

Specific information relating to this protected characteristic has not been published due to the possibility of identification as less than five individuals indicated that their gender was not the same as that assigned at birth.

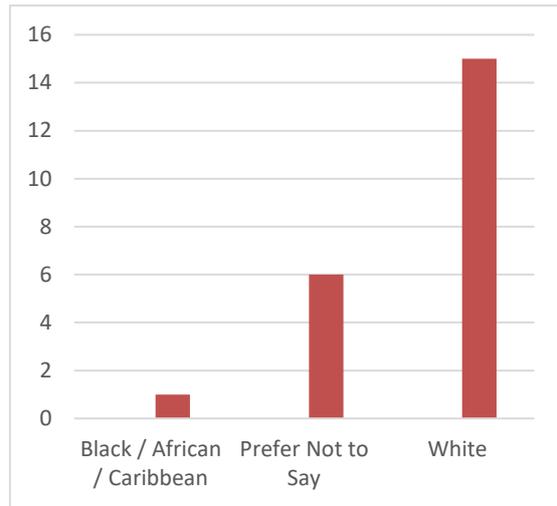
Pregnancy and maternity

There were 22 employees who commenced maternity leave during the year up to 31 March 2021. This represents 1.7% of the female headcount.

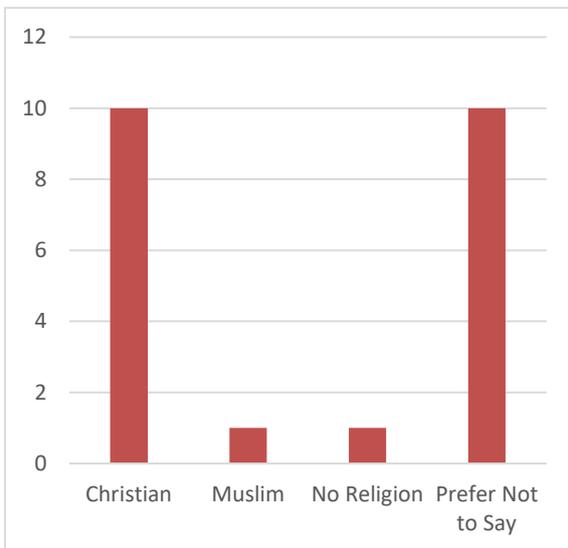
Age



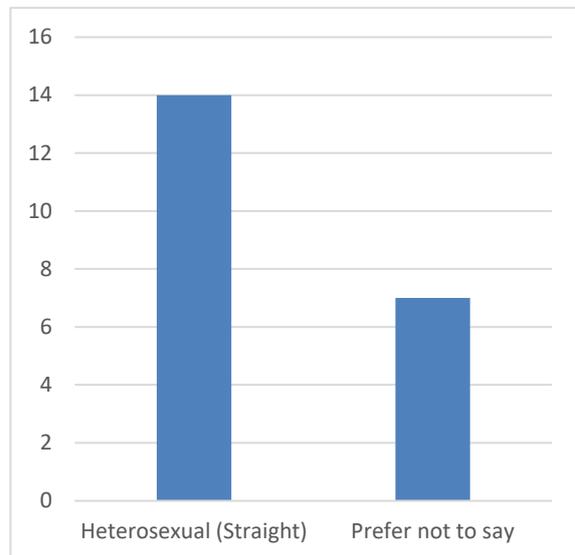
Race



Religion



Sexual Orientation

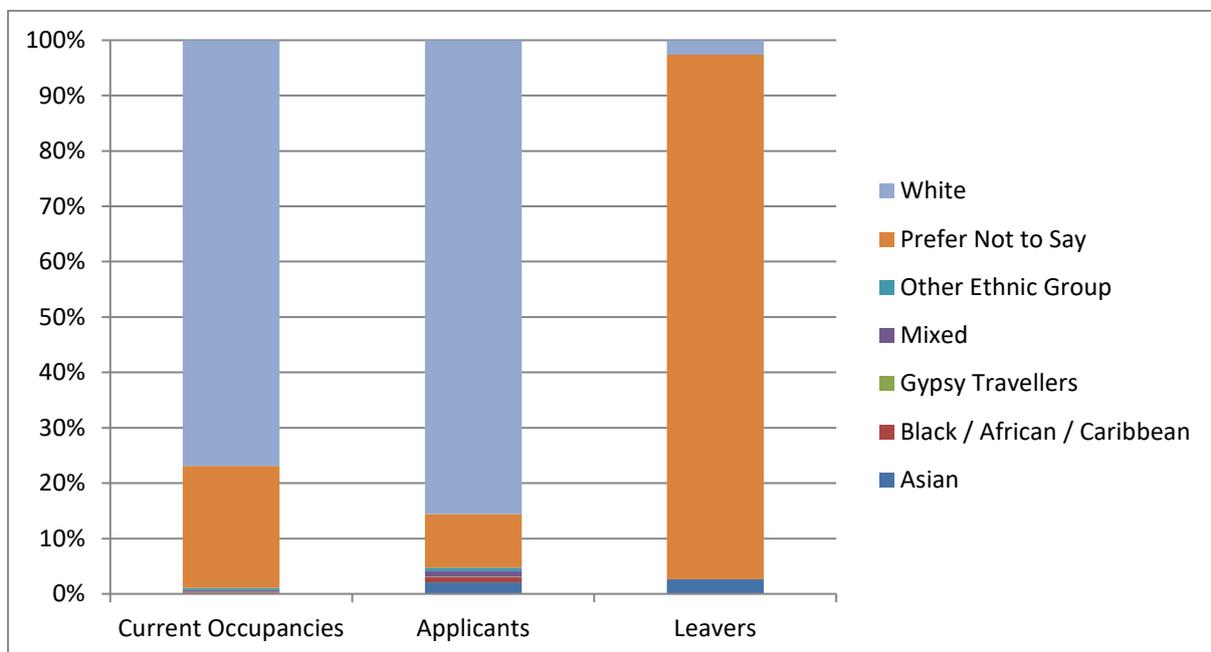


Race - including ethnic or national origin, colour or nationality

The Authority's current workforce consist of 76.9% who chose 'White' as their ethnicity, followed by 'Other ethnic group' (0.4%), 'Black/African/Caribbean' (0.2%), 'Mixed ethnicity' (0.2%), and 'Asian' (0.2%). 22.0% of the workforce chose 'prefer not to say'.

The largest proportion of applicants were White (85.6%), followed by Asian (2.1%), Mixed ethnicity (1.0%), Black/African/Caribbean (1.0%), Other ethnic group (0.6%), and Gypsy Travellers (0.1%). 9.6% of applicants chose the 'prefer not to say' option.

The data for staff leaving Ceredigion County Council shows 67.8% as being White, followed by at Black/African/Caribbean (1.0%), Asian (0.5%), Mixed ethnicity (0.5%), whilst the remaining 30.2% were recorded as 'prefer not to say'.

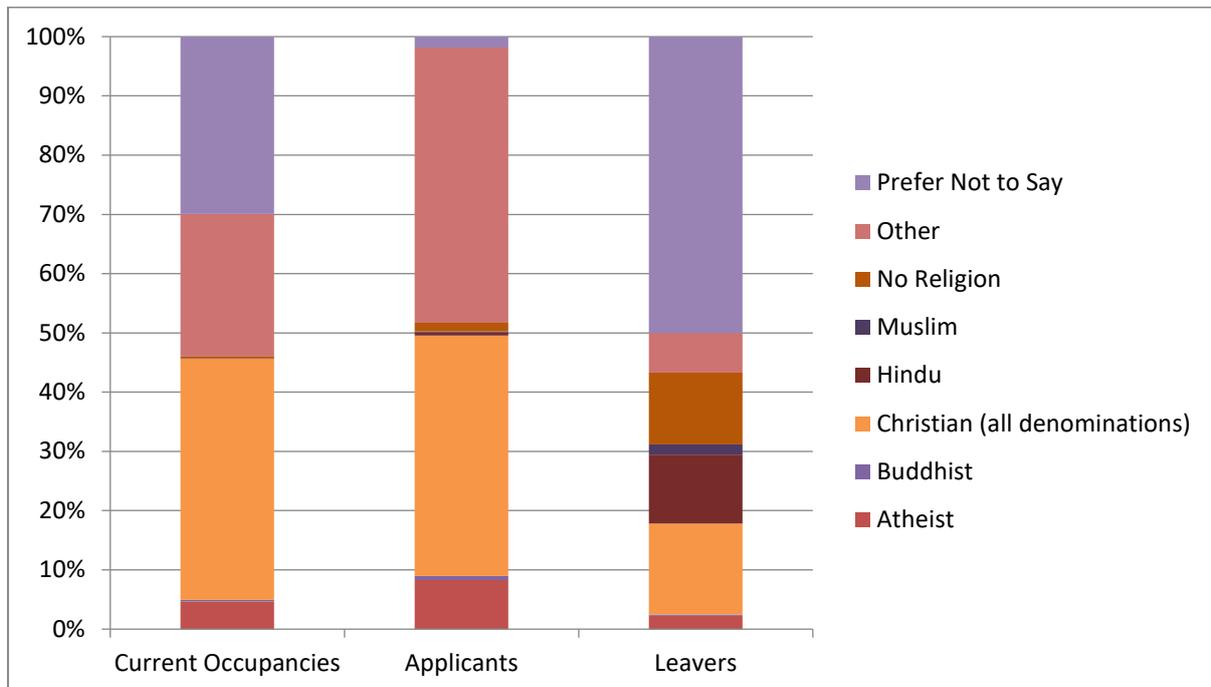


Religion or belief

Of those who chose a religion or belief 'Christian (of all denominations)' form the largest group of the current workforce at 38.4%, followed by 'No religion' (22.7%), Atheist (4.4%), Other (2.2%), Muslim (0.3%), Buddhist (0.2%), and Hindu (0.1%) whilst 31.7% preferred not to say.

The application process had less people (13.2%) choosing the 'prefer not to say' option than either of the current workforce group or those leaving the organisation. The largest proportion of applicants were No religion (40.3%), followed by Christian (35.3%), Atheist (7.2%), Other (1.6%), Muslim (1.3%), Buddhist (0.6%) and Hindu (0.5%).

Similar to the current workforce, the data for staff who left Ceredigion County Council shows a large number of 'prefer not to say' at 37.7%, followed by Christian (30.7%), No religion (23.3%), Atheist (4.5%), Other (3.5%) and Buddhist (0.5%)

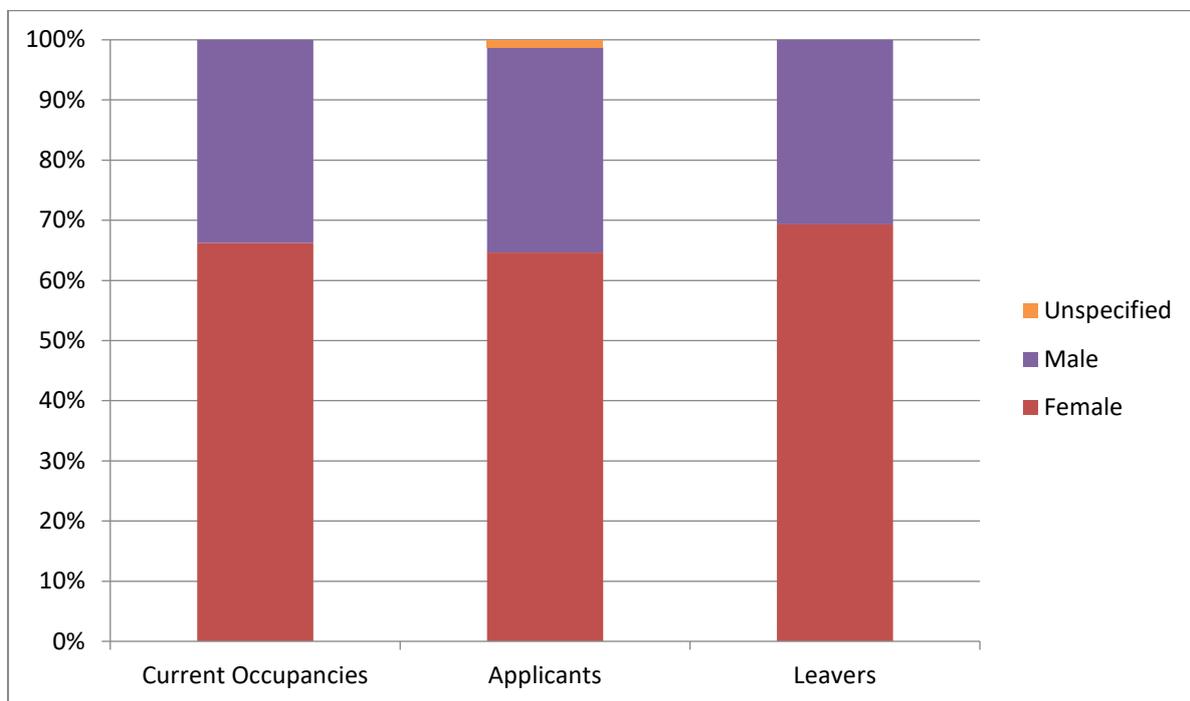


Gender

As at 31 March 2021 Ceredigion County Council employed 2,003 staff. The workforce consisted of 1,327 (66%) females and 676 (34%) males.

This was also reflected in the percentage of males applying for posts, at 34% male applicants although the female ratio was slightly lower at 65%. The remaining 1% of applicants were 'unspecified'.

The data for staff who left Ceredigion County Council during the year differed slightly compared to the current workforce ratio, at 69% female and 31% male.

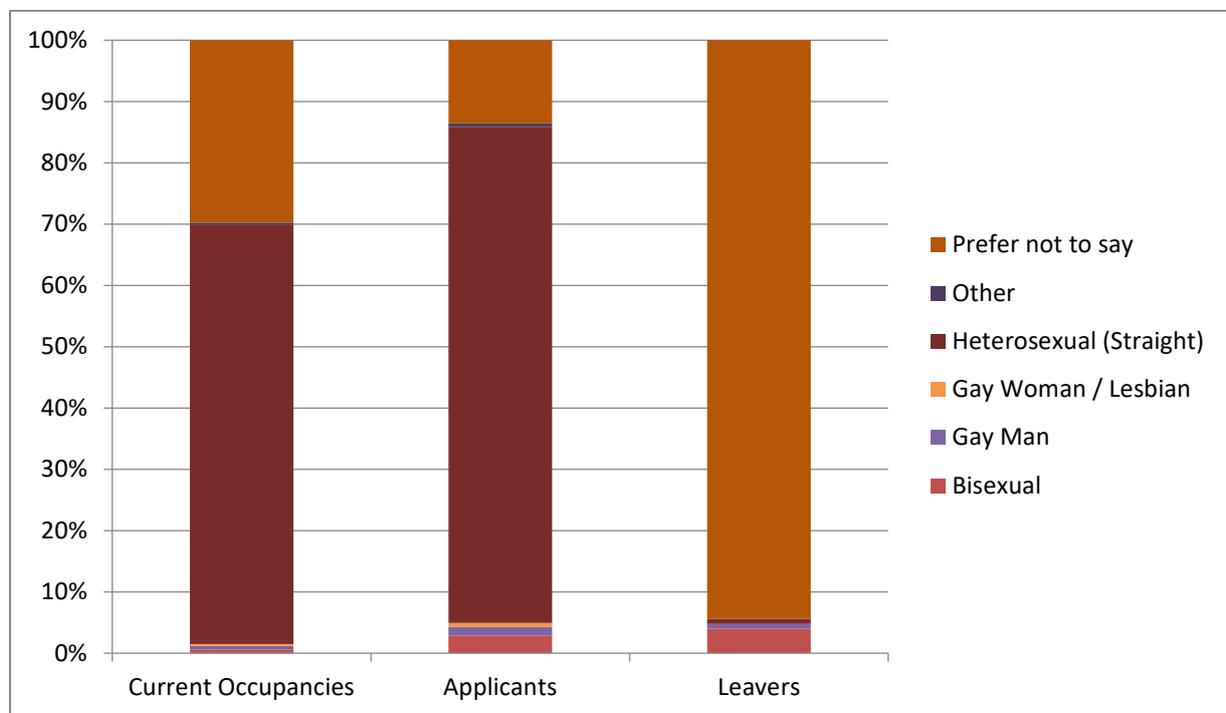


Sexual Orientation

The current workforce, of those who have selected a sexual orientation, consists of 68.5% heterosexual, 0.6% bisexual, 0.6% gay man, 0.3% gay woman, 0.3% other, whilst 29.7% prefer not to say.

The application process has less people (13.5%) choosing the 'prefer not to say' option than either of the current workforce group or those leaving the organisation. The largest proportion of applicants were heterosexual (81.0%), followed by bisexual (2.9%), gay man (1.4%), gay woman (0.6%) and Other (0.6%).

The data for staff who left Ceredigion County Council shows a majority of heterosexual at 57.9%, bisexual at 2.5%, gay man at 0.5%, gay woman at 0.5%, Other at 0.5%, whilst 38.1% prefer not to say.



Training

Employees who have applied for training and how many succeeded in their application

Identification of the need for training, learning and development is carried out through the Council's workforce planning and performance review systems.

During personal development interviews Managers will discuss with employees their training, learning and development needs which are aligned to the performance review and job competencies. The results of these feed in to a Service Training Plan.

The Council does not currently monitor whether training requests are refused as the process used to identify training does not lend itself to this type of monitoring. We are currently considering whether there are processes which would allow this data to be captured, analysed and reported.

Employees who have completed training during the year up to 31 March 2021.

At this time we are unable to provide a report of those employees who have completed training during the year. The implementation of the Learning & Development module of the HR/Payroll system has taken place and it is expected that this will provide the required data. We are currently considering whether there are processes which would allow this data to be fully captured, analysed and reported.

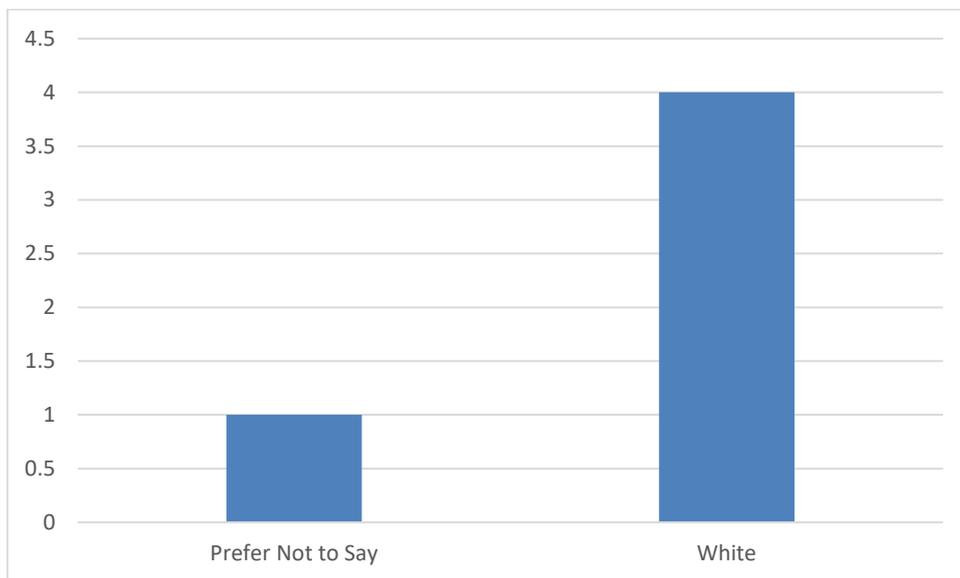
Grievance

Employees involved in grievance procedures either as a complainant or a person against whom a complaint was made.

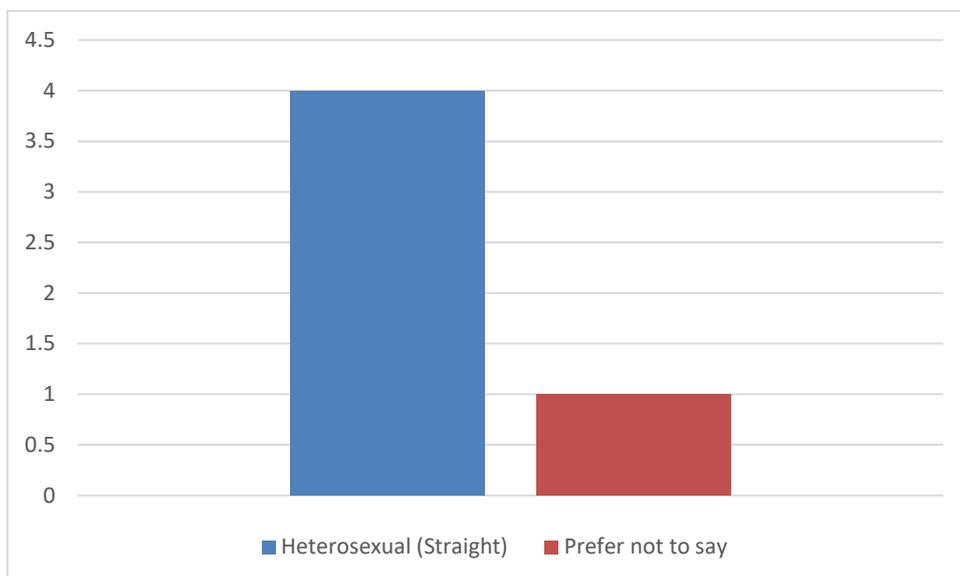
Note: Due to the small number of individuals involved in grievances (five in total) the data shown below only relates to two protected characteristics – ethnicity and sexual orientation. The data relating to religion and age have not been published due to the possibility of identification. There were no other protected characteristics included in this data set.

The total number of employees involved in grievance procedures was 5, all which were Female

Ethnicity



Sexual Orientation



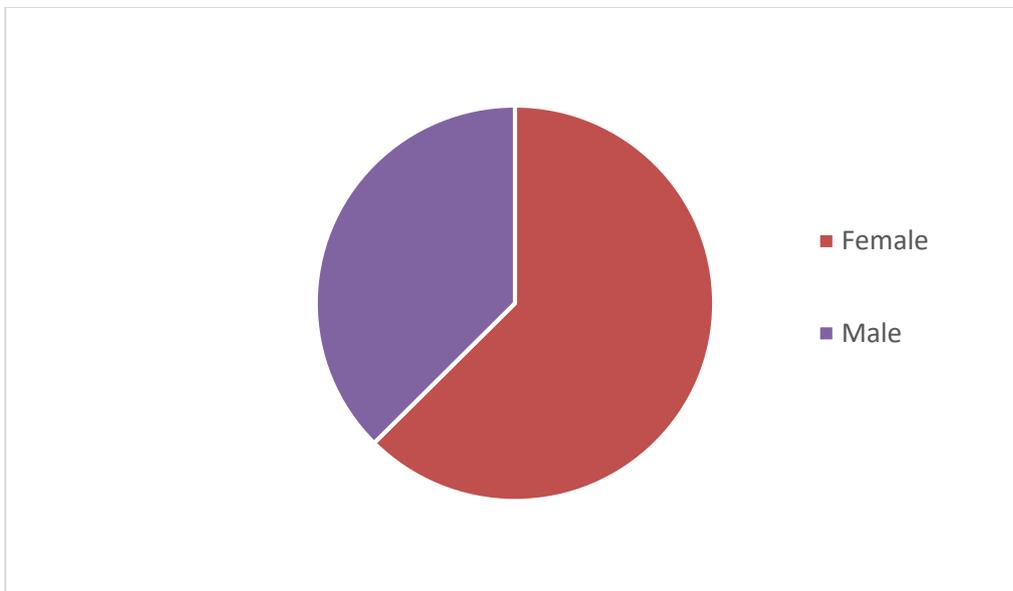
Disciplinary

Employees subject to disciplinary procedures

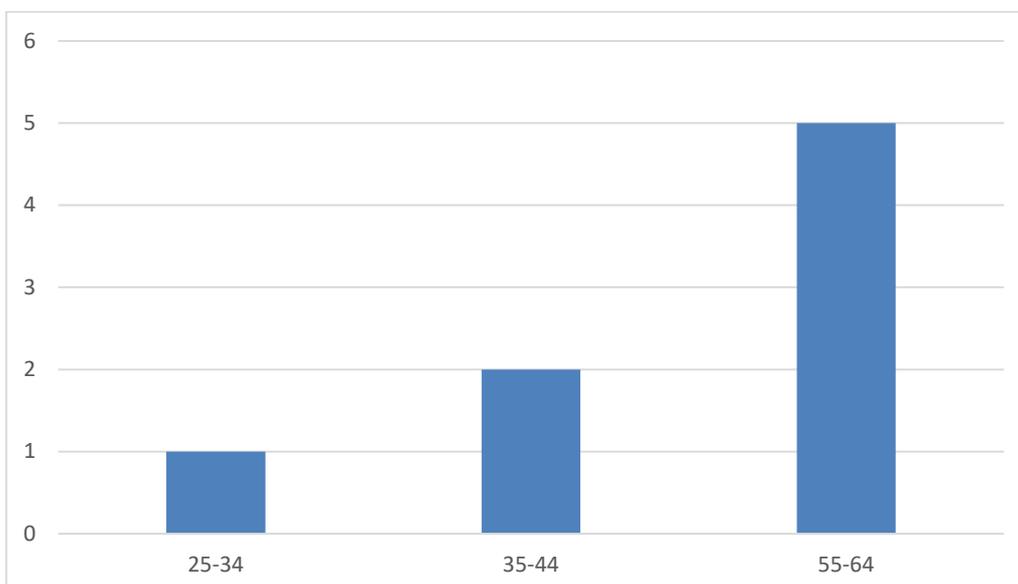
Note: Due to the small number of individuals involved in disciplinary (8 in total) the data shown below only relates to two protected characteristics: age and gender. The data relating to disability and religion has not been published due to the possibility of identification. There were no other protected characteristics were included in this data set.

The total number of employees subject to disciplinary procedures was 8. Of these 3 were Male and 5 were Female.

Gender



Age



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Cyngor Sir CEREDIGION County Council

REPORT TO: Overview and Scrutiny Coordinating Committee

DATE: 15 September 2021

LOCATION: Zoom Meeting

TITLE: Draft Well-being & Improvement Objectives Annual Report 2020/21

PURPOSE OF REPORT: To present the Draft Well-being & Improvement Objectives Annual Report 2020/21

REASON SCRUTINY HAVE REQUESTED THE INFORMATION: To consider the draft report prior to presenting to Cabinet and Council for final approval.

BACKGROUND:

The Local Government (Wales) Measure 2009 places an obligation on Ceredigion County Council to publish an Improvement Plan to demonstrate its objectives and performance over the last year (2020-21). All local authorities are required to have arrangements in place to secure improvement across their services.

Furthermore, the Well-being of Future Generations (Wales) Act 2015 places a duty on Councils to set and publish Well-being Objectives which are designed to improve the social, economic, environmental and cultural well-being of Wales, creating the Wales that we want now and in the future. All reasonable steps must be taken towards achieving these objectives, and an annual report is required to outline the Council's progress in meeting them. The guidance on producing this document directs that a review of the Well-being Objectives should also be included.

The Council combines these requirements into a single report – the “Well-being and Improvement Objectives Annual Report” which has to be published by 31st October 2021. Despite the Covid-19 pandemic, the requirement to publish this report remains in place. However, this will be the last Annual Report in this format as the Local Government Measure is being replaced with Part 6 of the Local Government and Elections Act that introduces the new Self-Assessment performance regime from 2021 onwards.

CURRENT SITUATION:

An annual review of the Well-being Objectives was undertaken in June 2021, taking into account the ongoing impact of the COVID-19 pandemic on service delivery. The review concluded that the existing set of Objectives remain fit for purpose and provide a more focused response to COVID-19 to protect and enhance the well-being of everyone now and for the longer term.

This approach was approved by Leadership Group on 16th June and will continue in 2022/23. (The list of Well-being Objectives can be found in Appendix A).

The draft Annual Report is attached as Appendix B. The format of the report has been amended following feedback from last year and its appearance updated. The document reviews performance during the 2020-21 year and as a result has a strong Covid theme running throughout and when assessing performance for the year.

It is important to note that although Audit Wales will be checking this for compliance and issuing a Compliance Certificate, they will not be auditing it in detail this year due to the end of the statutory requirement to produce the report.

Has an Integrated Impact Assessment been completed? If not, please state why An assessment has not been completed as the report does not involve a change in policy or service.

WELLBEING OF FUTURE GENERATIONS:

Summary:
Long term:
Integration:
Collaboration:
Involvement:
Prevention:

RECOMMENDATION (S): That Members consider and agree the draft Well-being & Improvement Objectives Annual Report 2020-21 prior to consideration by Cabinet and Council.

REASON FOR RECOMMENDATION (S): To progress with publishing the Well-being & Improvement Objectives Annual Report 2020-21.

Contact Name: Rob Starr
Designation: Performance and Research Team
Date of Report: 3 September 2021
Acronyms:

Appendix A: Review of Well-being and Improvement Objectives

The Well-being and Improvement Objectives focus on short-term more focused response and recovery to the COVID-19 pandemic in order to protect and enhance the well-being of everyone now and in the future. They were identified, and are still aligned to, each of our Corporate Priorities, and take into account the Public Services Board's Assessment of Local Well-being and the Well-being Plan.

The existing Well-being and Improvement Objectives have been reviewed and it was concluded that they should remain in place to support the ongoing recovery work of the Council and its partners.

Therefore for the 2022/23 year the focus of our attention will be to support the needs of citizens in recovering from the pandemic and at the same time delivering against the priorities of the Council.

Wellbeing Goal	Corporate Priority	2020/21 Wellbeing Objectives	Proposed Well-being Objectives for 2021/22 and 2022/23
A Prosperous Wales A More Equal Wales A Globally responsible Wales	1. Boosting the Economy	1.1 Support businesses to respond to the impacts of Covid-19	1.1 Support businesses to respond to the impacts of Covid-19
A Prosperous Wales A Healthier Wales A more Equal Wales A Wales of Vibrant culture and thriving Welsh Language A Globally responsible Wales	2. Investing in People's Future	2.1 Support learners of all ages and backgrounds to safely return to education and training and improve access to learning and employment 2.2 Protecting people from poverty 2.3 Promote and facilitate the distinct and vibrant bilingual culture and identity of Ceredigion	2.1 Support learners of all ages and backgrounds to safely return to education and training and improve access to learning and employment 2.2 Protecting people from poverty 2.3 Promote and facilitate the distinct and vibrant bilingual culture and identity of Ceredigion
A Healthier Wales A more Equal Wales A Wales of Cohesive Communities A Globally responsible Wales	3. Enabling Individual and Family Resilience through	3.1 Support citizens who have been disproportionately impacted by Covid-19 to improve their physical and emotional wellbeing 3.2 Promote the well-being of individuals and communities within safe and accessible homes	3.1 Support citizens who have been disproportionately impacted by Covid-19 to improve their physical and emotional wellbeing 3.2 Promote the well-being of individuals and communities within safe and accessible homes
A Prosperous Wales A Resilient Wales A Healthier Wales A More Equal Wales A Wales of Cohesive Communities A Wales of Vibrant culture and thriving Welsh Language A Globally responsible Wales	4. Promoting Environmental and Community Resilience	4.1 Support active travel, other modes of transport and ways of working that build on our zero-carbon ambition 4.2 Support our communities to be strong and well connected so that they are able to thrive despite COVID-19	4.1 Support active travel, other modes of transport and ways of working that build on our zero-carbon ambition 4.2 Support our communities to be strong and well connected so that they are able to thrive despite COVID-19

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ANNUAL REPORT

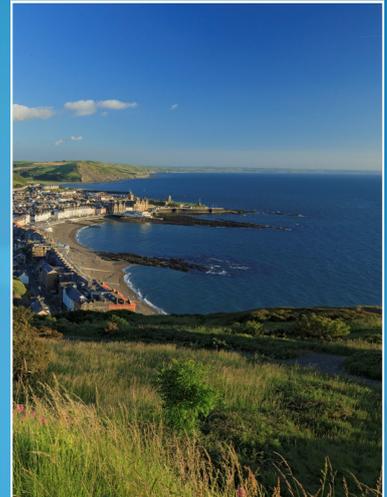
2020-21

Mae'r ddogfen hon hefyd ar gael yn Gymraeg
This document is also available in Welsh



Cyngor Sir
CEREDIGION
County Council

Well-being & Improvement Objectives
Annual Report



Contact us

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01545 570881

A **Plain Text Version** or **Easy Read Version** of this document is available from Ceredigion County Council

Status: Draft
Approved by Cabinet:
Approved by Council:
Publication date:

ANNUAL REPORT

Ceredigion County Council Annual Report 2020-21



Contents

Foreword	4
Executive Summary	5
Our County in Numbers	6
Our Priorities	7
Delivering the Priorities	8
Where Does the Money Go?	9
Boosting the Economy	10
Investing in People's Future	14
Enabling Individual and Family Resilience	18
Promoting Environmental and Community Resilience	22
Cross Cutting Themes	26
Embedding the Seeds of Change	28
Review of the Well-being Objectives	32
Benchmarking Our Performance	36



Foreword

Welcome to Ceredigion County Council's Annual Report

Welcome to the Ceredigion County Council Annual Report for 2020/21. This document illustrates our successes during the past year and sets our commitments to local residents for the next twelve months. We use it to monitor our performance and keep residents informed of our progress.

As we go to press Ceredigion, like the rest of Wales, is still recovering from the COVID-19 health pandemic. Inevitably it has impacted most of the services we provide, and brought some of them to the fore. This last year has connected the Council more closely with the community we serve than ever before - Councillors, staff, community groups and our partners have all pulled together to support our communities and the most vulnerable in our society.

We are proud and grateful for the response from our frontline services, Council staff and the many volunteers who have been working in partnership with the Council to ensure Ceredigion's residents receive the support they need.

In view of these challenges, we have remained focussed on delivering strong and resilient services that are truly responsive to the needs of our residents and local businesses. As we move forward, our focus will be on the recovery from the COVID-19 pandemic and we will continue to engage with, and support, both residents and business across the County. We are working hard to bring economic recovery and success to Ceredigion, supporting the most vulnerable, whilst ensuring that climate change initiatives underpin all that we do as we seek to protect our beautiful environment.

Despite the significant impact of COVID-19, it is important that we reflect on and evaluate our performance on behalf of our residents. Ceredigion County Council continues to be amongst the top performing authorities in Wales. For example, during 2020/21:

- Our vision for the Mid Wales economy and progressing the Mid Wales Growth Deal was shared with the Welsh and UK Governments to support much needed investment in the communities of the region
- 18,835 Business Grant payments were administered with a value of £49m to support local businesses through the pandemic
- Over 15,000 food parcels were delivered to medically vulnerable residents ensuring they received essential supplies
- Ceredigion's schools successfully supported to reopen through site visits, operational guidance, risk assessments and Personal protective Equipment (PPE) deliveries
- A new Economic Strategy and Tackling Hardship Strategy were published during the year

In 2021/22 our Corporate Priorities remain Boosting the Economy, Investing in People's Future, Enabling Individual and Family Resilience and Promoting Environmental and Community Resilience. It is into these areas that we will direct our resources to re-invigorate the local economy and provide a prosperous, healthy, safe and affordable environment in which the citizens of Ceredigion can live and work and which will aim to retain our young people in well paid jobs. In doing so we will continue to apply and embed the principles of the Well-being of Future Generations Act and contribute to the seven National Well-being Goals.

I hope you enjoy reading about these and other activities in this report.

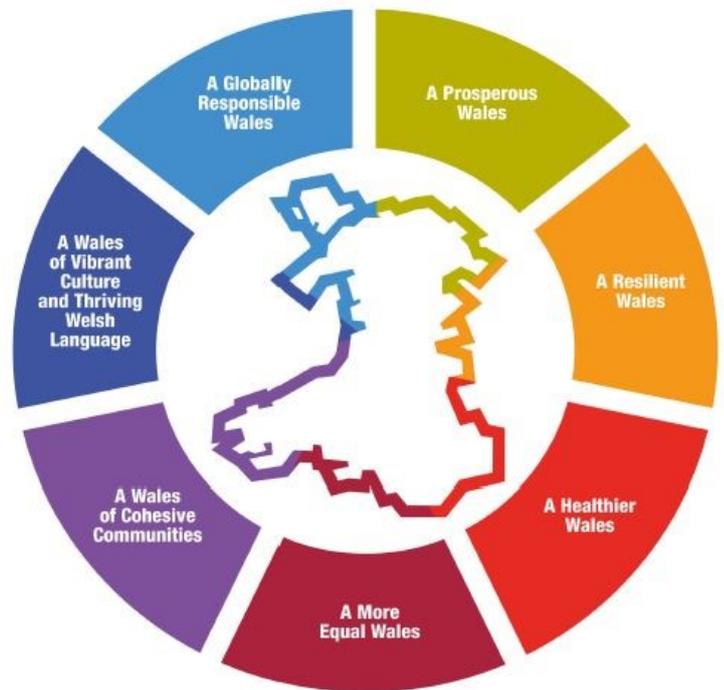
Councillor Ellen ap Gwynn
Leader, Ceredigion County Council



Executive Summary

Executive Summary

1. The Well-being of Future Generations (Wales) Act 2015 directs that public bodies must produce a report on the progress it has made against its Well-being and improvement objectives.
2. The Future Generations Commissioner for Wales and the Auditor General for Wales in their reports have indicated that there is an expectation that public bodies will implement changes in seven core areas of change in order to effect change throughout the organisation. The section, "Embedding the Seeds of Change" demonstrates how we are implementing these changes.
3. We are now in the final year of our Corporate Strategy which outlines our Corporate Priorities for the period 2017-2022, which are Boosting the Economy, Investing in People's Future, Enabling Individual and Family Resilience, and Promoting Environmental and Community Resilience. Progress against all four of the priorities are assessed as being "Green". (Green = started and on target, Amber = started but behind target, Red = Not started). Full details on progress against the Council's priorities can be found on pages 10-25.
4. We also assess progress using the Future Generation Commissioner's Journey Checker which identifies the stage of progress being made - Boosting the Economy and Investing People's Future are assessed as "Owning our Ambition", and Enabling Individual and Family Resilience and Promoting Environmental and Community Resilience are assessed as "Leading the Way".
5. Progress against the Council's Well-being Objectives shows that seven of the eight Objectives were assessed as being "Green", i.e. started and on target. (Green = started and on target, Amber = started but behind target, Red = Not started).
6. A review of the Well-being and Improvement Objectives in 2020 resulted in a revised set that focused on the short-term response and recovery from the COVID-19 pandemic in order to protect and enhance the well-being of everyone now and in the future, particularly Ceredigion's most vulnerable citizens.
7. The latest review of the Well-being Objectives in June 2021 concluded that these Objectives will continue into 2022/23 as Ceredigion, along with the rest of Wales, continues to recover from the pandemic. The full review of our Wellbeing Objectives can be found on pages 32-33.



Our County in Numbers



OUR POPULATION

72,895
People

25.6%
Aged 65+

4%
BAME population*

10%
With a disability

7,700
University students

46.8 Years
Average Age

47%
Welsh Speakers

31,246
Households

**Black, Asian and Minority Ethnic*



33,434
Dwellings



2,835
Active enterprises



8,800
People self-employed



42
Councillors and 40 wards



43
Schools and 9,590 pupils



6
Leisure centres
6 libraries and
1 general hospital



2,265km
Of roads and 2,500km of
bridleways and footpaths



74
Equipped outdoor play areas

TOURISM IN CEREDIGION



96km
of coastline



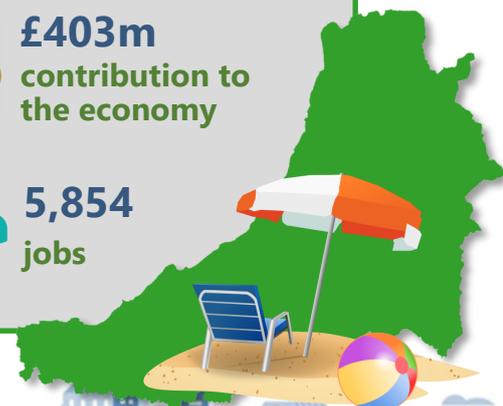
£403m
contribution to the economy



2.94m
visitors each year



5,854
jobs

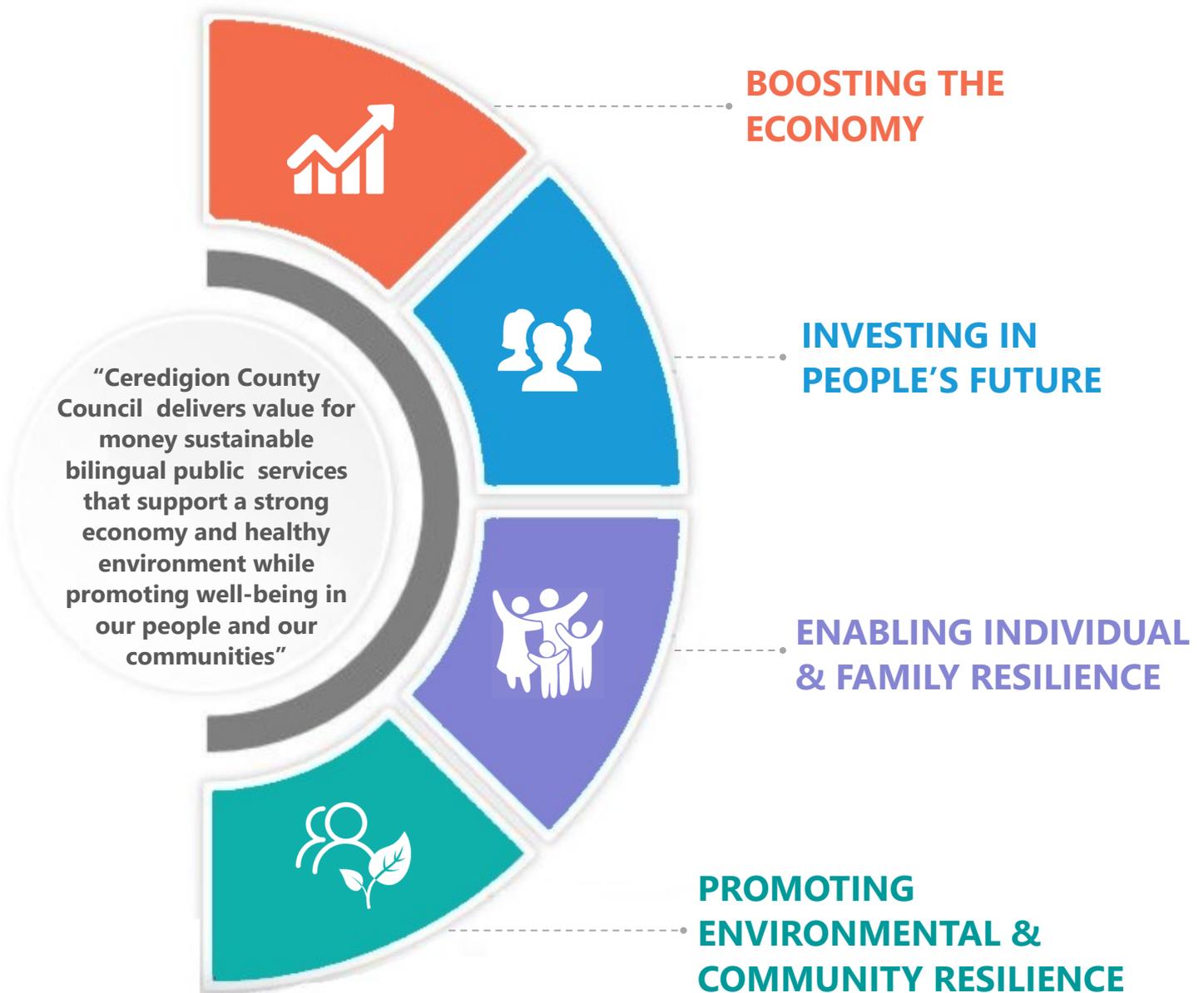


Our Priorities

The Council has established the priority areas for improvement by continuing self-evaluation processes, stakeholder engagement and a diverse range of consultation events both on a formal and informal basis. Its understanding is also informed by national policies and priorities.

The Local Well-being Assessment has also influenced the development of the Corporate Priorities that the Council will focus on up to 2022.

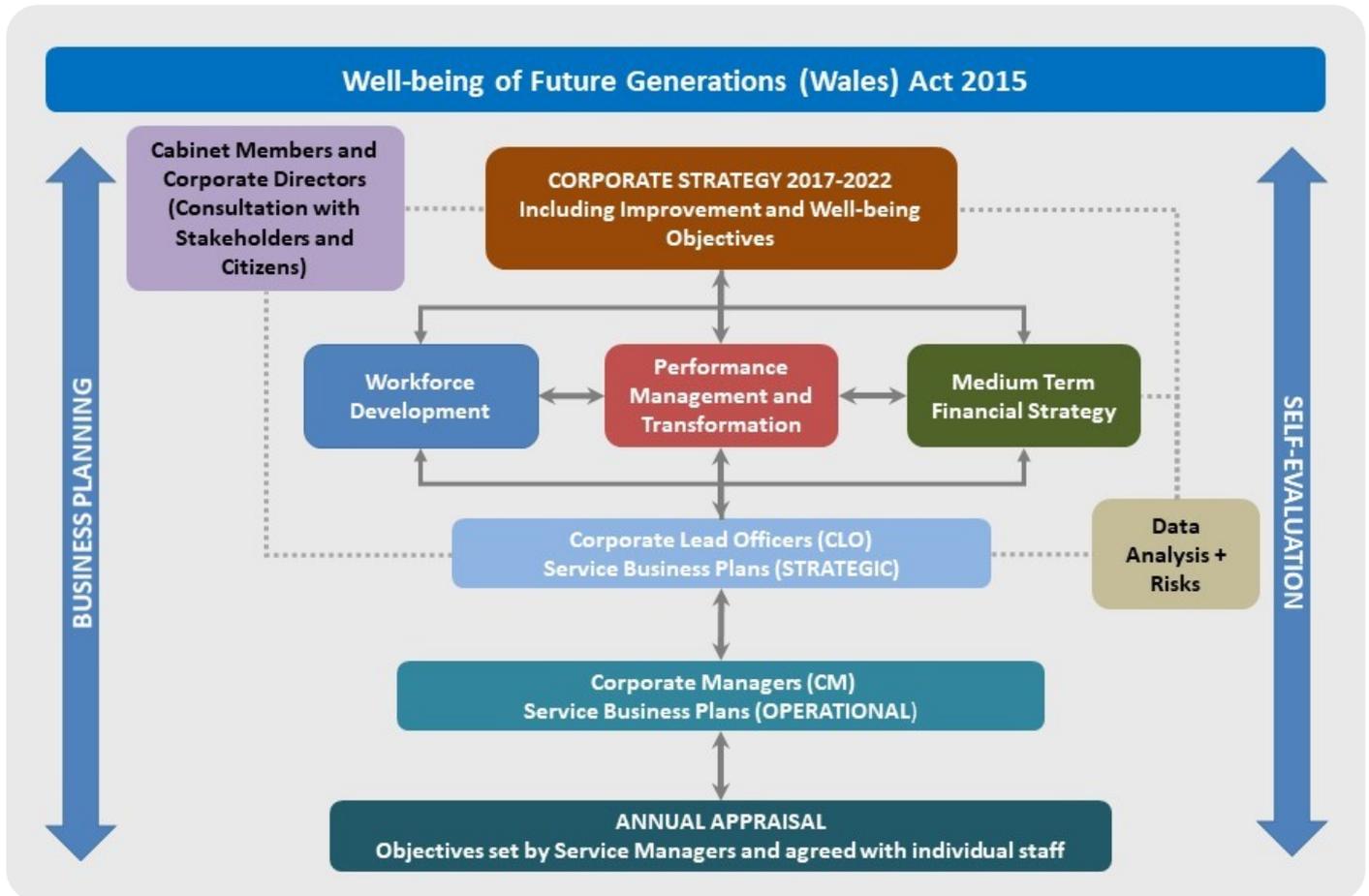
The Priorities will enable the delivery of services that will enhance the social, economic, environmental and cultural well-being for the citizens of Ceredigion.



Delivering the Priorities

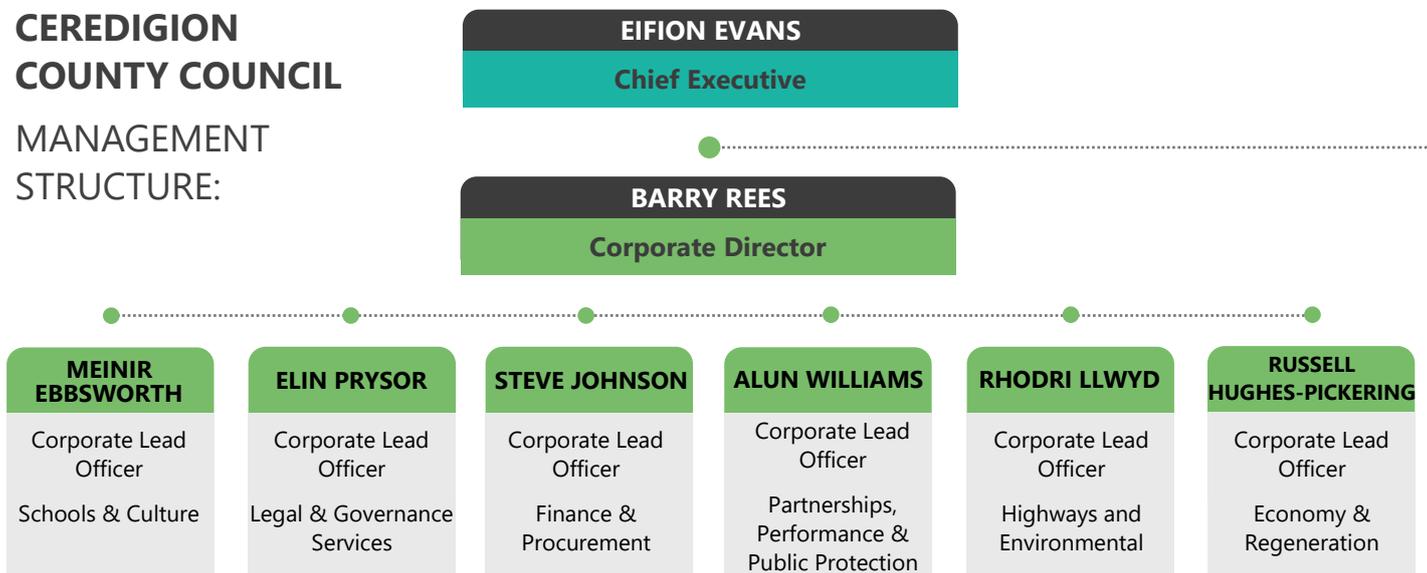
The Corporate Strategy includes an Action Plan and timeline for delivery of the Priorities. The Council regularly reviews performance against our Priorities and Well-being Objectives through Performance Management procedures and this Annual Report highlights our progress so far.

The Diagram below illustrates the governance structures in place.



CEREDIGION COUNTY COUNCIL

MANAGEMENT STRUCTURE:



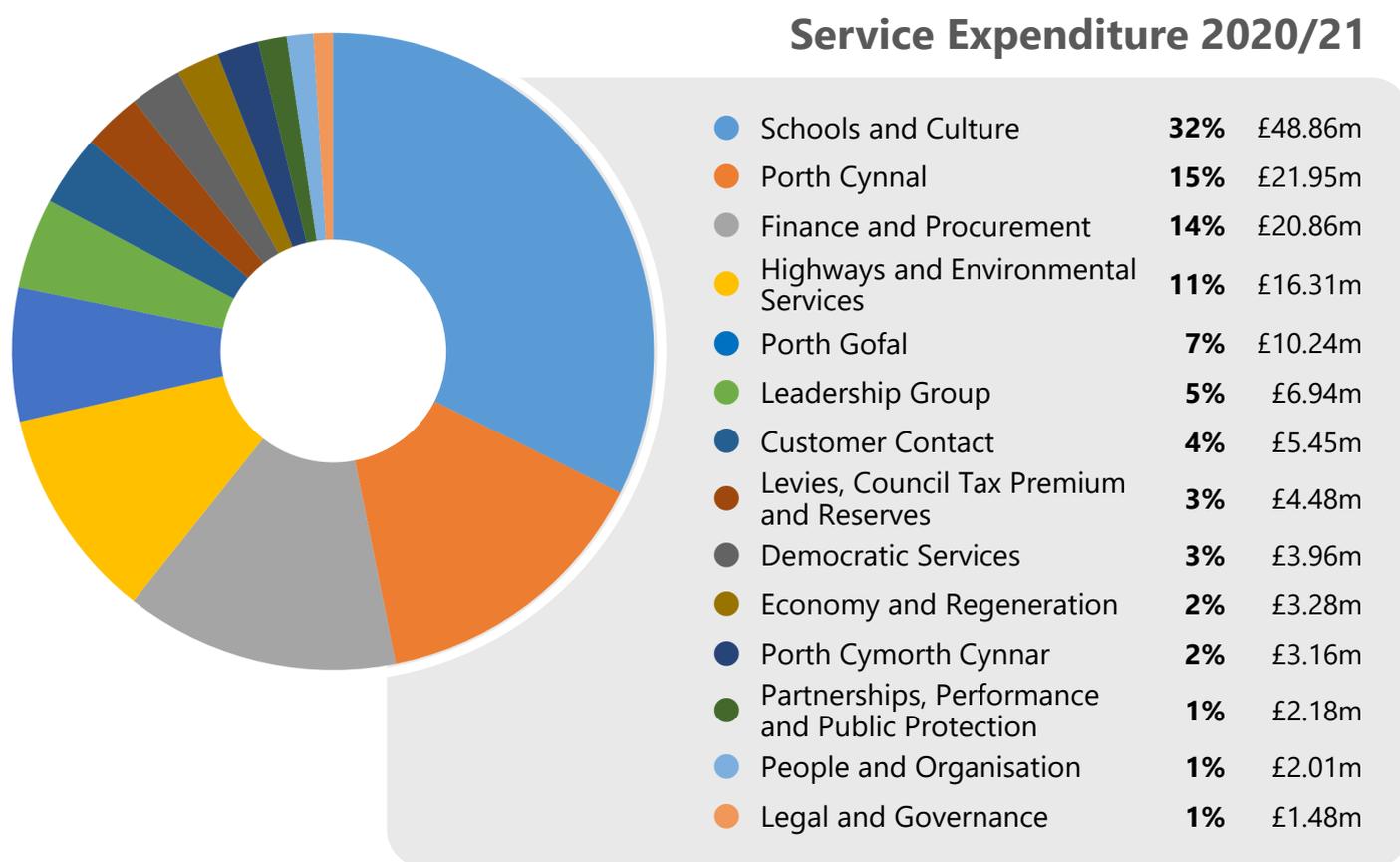
Where Does the Money Go?

The Medium-Term Financial Strategy sets out how the Council plans its budget annually and over the next 3 years. The strategy supports the overall management of the Council's key resources to meet its objectives.

The Council's expenditure supports the delivery of its Corporate Strategy and its well-being and improvement objectives. Despite the Covid-19 pandemic during 2020, Ceredigion County Council continues to demonstrate an open desire to improve services and invest in better resources and facilities.

In order to meet the budgetary challenges it faces, the Council continues to implement back office efficiencies, develop alternative delivery methods whilst also sustaining services.

The following chart sets out the anticipated expenditure on services in 2021/22:



CAROLINE LEWIS

Interim Corporate Director

DONNA PRITCHARD

Corporate Lead Officer
Porth Gofal
(Targeted Intervention Services)

ELEN JAMES

Corporate Lead Officer
Porth Cymorth Cynnar
(Community Well-being and Learning)

SIAN HOWYS

Corporate Lead Officer
Porth Cynnal
(Specialist Through Age Services)

ARWYN MORRIS

Corporate Lead Officer
Customer Contact

LOWRI EDWARDS

Corporate Lead Officer
Democratic Services

GERAINT EDWARDS

Corporate Lead Officer
People & Organisation

Boosting the Economy

Ceredigion is a confident, attractive county in which many of our people prosper and develop, where many have established thriving and successful businesses, and where many people like to visit. We have clean air, excellent levels of biodiversity and an enviable natural landscape.

Our size and location mean we face challenges to growing the local economy, but equally there are many opportunities for us to take full advantage of in positioning the county to adapt to both a low-carbon future and increased digitisation.

One of those challenges is the outward migration of younger people, partly as a result of the decline in public sector jobs, which have always been an important part of the Ceredigion economy.

Because of this, another challenge is growing the size, diversity and resilience of the private sector in Ceredigion. We need to see more businesses starting up, and more of our micro and small businesses grow.

Furthermore, the economy of Ceredigion needs to adapt to key challenges in light of the UK's decision to exit the EU, and subsequently the outbreak of the COVID-19 pandemic which continues to have a significant impact on our economy and a financial impact on our citizens. As our recovery efforts to support businesses continue, our Well-being Objective for this Corporate Priority for the remainder of 2021/22 and into 2022/23 will continue to be:

“Support businesses to respond to the impacts of COVID-19”

Growing Mid Wales Shared Vision

The Mid-Wales Growth Deal, developed from the Vision for Growing Mid Wales, reached a significant milestone in December 2020 as the Heads of Terms were signed by the Welsh Government, UK Government and Ceredigion and Powys Councils. Both governments agreed to provide funding of £55m each over a 15 year period covering the Growing Mid Wales region as a whole.

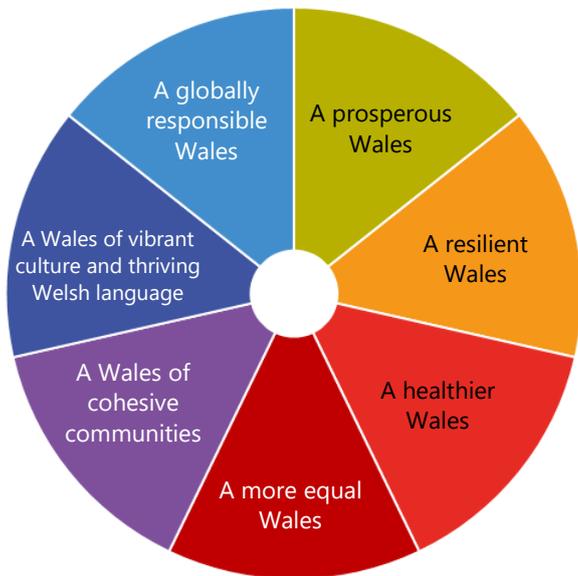
The Growing Mid Wales Partnership will now progress onto the more detailed proposals in the form of a Portfolio Business Case which will be scoped from eight priority areas: Agriculture, Food & Drink, Digital Connectivity, Applied Research and Innovation, Energy, Strengthened Tourism Identity, Supporting Enterprise, Transport, Skills & Employment. The Growth Deal provides a key opportunity to help Boost Ceredigion's Economy.

This will require substantial investment from the Council over the 15 year period with a return expected from that investment. The Growth Deal has the potential to play a fundamental part in the economic recovery of the Mid Wales region post-COVID-19 and good progress towards this has been made during 2020/21, and along with the development of a project to create jobs and economic growth in our County mean it will be an exciting time for the economic development of the region.



Long Term	Prevention	Collaboration	Involvement	Integration
<ul style="list-style-type: none"> Addressing structural weaknesses for a long term benefit Growing Mid Wales Partnership looking sets vision for 15+ year timeframe Future Trend analysis utilised to make plans 	<ul style="list-style-type: none"> Increased economic opportunities to prevent further net migration of skilled young people Economic growth to prevent future negative impact of migration patterns on culture and Welsh language Interventions to prevent further growth in productivity gap 	<ul style="list-style-type: none"> Growing Mid Wales Partnership brings together public, private and academic sectors to achieve shared goals Working with Powys County Council and Welsh and UK Government to maximise use of resources and capitalise on opportunities 	<ul style="list-style-type: none"> Private sector businesses, drivers of future economic growth and involved in identifying key priorities and strategies. Private, public and third sectors involved in shaping the emerging Growth Deal programme 	<ul style="list-style-type: none"> Economic growth strategies integrated with other service provision, including education, skills, planning and infrastructure

Well-being of Future Generations (Wales) Act 2015



Our Corporate Priority maximises our contribution to the highlighted well-being goals

Overall Assessment of the Journey So Far

Progress in meeting this priority is **Good** and prospects for improvement are **Good**. The steps to provide employment opportunities and develop collaborative and innovative partnership schemes are progressing well.

The Growing Mid Wales Partnership is an example of Ceredigion **owning our ambition** to ensure that we strengthen the local and regional economy as part of a prosperous and resilient Wales post COVID-19.

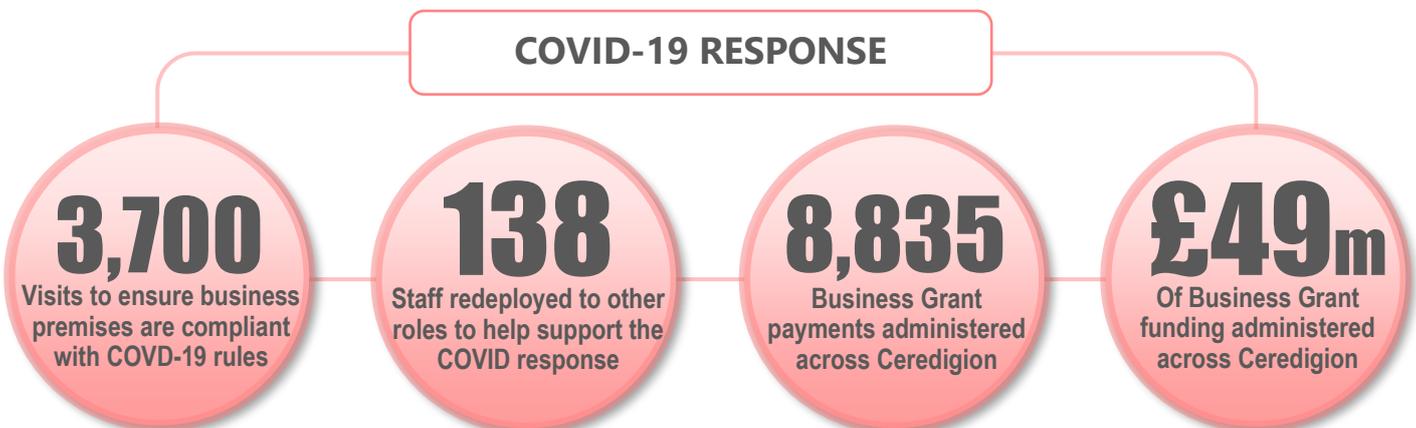
**Owning our Ambition
Green**



Boosting the Economy

Responding to COVID-19 and Key Achievements

- **Ceredigion's new Economic Strategy** was published in March 2021 setting out how we will work together towards achieving strong, sustainable and more resilient economic growth for Ceredigion, created and shared by all. The strategy document sets out the actions that will address the challenges and opportunities that exist in the local economy. It focuses on four main priority areas – People, Enterprise, Place and Connectivity, with each section outlining some of the early interventions considered. Work will continue on developing the detailed implementation plans during 2021/22.
- Submitted **Levelling Up Fund** bid to invest in infrastructure that will improve everyday life across Ceredigion. The Levelling Up Fund was announced in the UK Government's Spending Review and supports town centre and high street regeneration, local transport projects, and cultural and heritage assets, and will play a key part in the recovery from the Covid-19 pandemic.
- **Dedicated Business Support webpage** created to support Ceredigion's economy to ensure that businesses, employers and employees in the County have access to the latest information, advice and support to help them adjust and recover from the pandemic.
- 8,900 **COVID related enquiries** were managed by Ceredigion's Customer Contact Service 'CLIC' during the 2020/21 year, including enquiries relating to Business Grants, the Cultural Recovery Fund and the Small Business Capital Grant Scheme. Over 2,000 alone were in relation to the Non Domestic Rate Grant help businesses in the hospitality, tourism, leisure and non-essential retail sectors.



◀ In July 2020 "Safe zones" were created in Aberaeron, Aberystwyth, Cardigan and New Quay town centres to create safe, inviting towns for people to come shopping and to enjoy despite the pandemic. This included widening of footpaths, dropping kerbs closure of roads, adaption to parking bays and areas for businesses to trade to allow people to maintain a 2 metre social distance at all times.

Over 2,000 responses were received to consultation on the safe zones during 2020 and adjustments have been made. Although COVID-19 infections remain low in Ceredigion, the risk to public health remains, and the safe zones will remain in place for what is anticipated to be a very busy summer season in 2021. This will help people visit shops and services in our towns safely and keep the rates low.

Progress against our Boosting the Economy Well-being Objectives

Council Well-being Objective	Status
<ul style="list-style-type: none"> Support businesses to respond to the impacts of COVID-19 	

 Completed
  Started and on target
  Started but behind target
  Not started

Workways+ Offering New Opportunities in 2020/21

Ceredigion Workways+ is a service which helps people that are not in employment to access funded face-to-face and online training, work experience, volunteering opportunities and jobs. The scheme is staffed by officers from Ceredigion County Council and is part funded by the European Social Fund through the Welsh Government.

Support is available to help people affected by work-limiting health conditions or disabilities; carers; those with low or no qualifications; people with childcare responsibilities; the over 54's; people in a single adult or jobless household or anyone from a Black Minority Ethnic group.

One such Ceredigion resident benefitting from the scheme is Mary, who gave up her domestic cleaning business due to family care responsibilities. Always motivated to plan for the future, Mary contacted Workways+ for support and was assigned a mentor to work with her on a one-to-one basis to identify her training needs which focused on getting her up to speed with using computers and digital media.

The Workways+ Team sourced an IT training course that was both local to Mary and that they could fund. The 'European Computer Driver's License Course' (ECDL) delivered by Dysgu Bro, a Ceredigion County Council service, made a positive impression on Mary - "The ECDL course was beneficial on a number of levels. It taught me much needed new skills and through having to be at a place on time and mixing with new people it put me in a work type environment. I began to relax, manage stress and became confident about my future."

Mary's goal is to use her new IT skills to help her teach English from home, and Workways+ continues to support her.



Investing in Peoples Future

The Ceredigion education system is one of the most successful in Wales but the struggling local economy and decreased job opportunities has resulted in a significant outward migration of our younger adults.

Ceredigion is also a low income economy, with household income amongst the lowest in Wales despite having relatively high qualification levels in the workforce. In-work poverty is significant and affects a higher proportion of citizens in our county than in the acknowledged deprived areas in the Valleys and East Wales.

Investing in People's Future will ensure that the appropriate training programmes that enable learners to meet the employment needs of current and future businesses within Ceredigion. This includes equipping post-16 and adult learners with the necessary skill set to enable them to be agile, bilingual workers and adapt to the requirements of future employment.

Although the County is now emerging from lockdown measures, the dangers of further variants of COVID-19 means that we must remain vigilant, and the recovery will continue into 2022/23. As a result our Well-being Objectives for the remainder of 2021/22 and into 2022/23 will remain:

“ Support learners of all ages and backgrounds to safely return to education and training and improve access to learning and employment ”

“ Protecting people from poverty ”

“ Promote and facilitate the distinct and vibrant bilingual culture and identity of Ceredigion ”

Supporting Young People During Lockdown

The Active Young People (AYP) team in Ceredigion have been working virtually since lockdown in order to respond to children and young people's needs over the past few months. During the lockdown period, when young people weren't able to meet, the AYP team turned to engaging with their audiences through many social media platforms. This ensured that important inclusive messages and opportunities were offered which have a positive effect on physical and mental wellbeing.

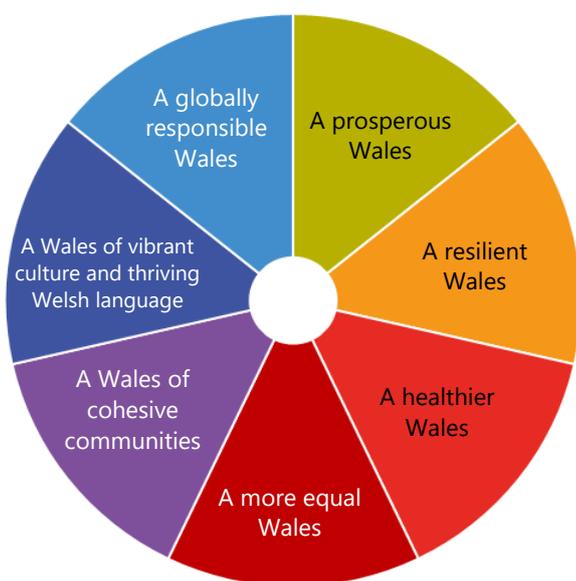
The @CeredigionActif social media handle has been used regularly on Facebook, Twitter, Instagram and YouTube to release videos from young leaders, PE lessons, games activities and inspirational messages a number of different platforms were used in order to reach as many young people and families as possible. The team have produced 110 videos aimed at getting teenagers, primary school aged pupils and pre-school toddlers active during the time when they were at home.

These activities included 27 summer programme games over the 2020 summer holidays, 40 school PE lessons including online sports days and 4 young ambassadors fitness videos for Young Volunteers Week.



Long Term	Prevention	Collaboration	Involvement	Integration
<ul style="list-style-type: none"> • 10 years + • Workforce to meet employers future needs • Future Trend analysis utilised 	<ul style="list-style-type: none"> • Healthier lifestyles preventing future health issues • Prevention of in work poverty through increased income levels • Clear understanding of prevention and associated strategies 	<ul style="list-style-type: none"> • Multi-agency approach to deliver a tailored service 	<ul style="list-style-type: none"> • Learners and employers involved in the decision making process 	<ul style="list-style-type: none"> • Better skills and better jobs increase income levels and therefore allow the local economy to grow

Well-being of Future Generations (Wales) Act 2015



Our Corporate Priority maximises our contribution to the highlighted well-being goals

Overall Assessment of the Journey So Far

Progress in meeting this priority is Good and prospects for improvement are Good. The objectives to support learners to return safely to education and in protecting people from poverty are on target.

For example, the new Tackling Hardship Strategy was published and is being implemented through the Public Services Board's Poverty Sub-Group. This is an example of Ceredigion owning our ambition.

Owning our Ambition
Good



Investing in Peoples Future

Responding to COVID-19 and Key Achievements:

- Funding of £5.8m has been secured to refurbish and build an extension at Ysgol Uwchradd Aberteifi through the 21st Century Schools Programme.
- Parent pay successfully implemented at all schools which has resulted in reducing the stigma involved with pupils on free school meals and resulting in approximately £100k savings
- A Childcare Hub provided for the children of key workers and vulnerable learners during the lockdown period with 1,294 sessions being held.
- 42 pupils continued to receive language immersion through the virtual Language Centre
- Established the Coronavirus – Childcare Assistance Scheme (C-CAS) to replace the Childcare Offer during the first lockdown. This was to ensure financial support for childcare for critical key workers – with 2 childcare hubs for children under 4 years old established in Aberystwyth and Cardigan from April to August 2020.
- Distance learning in place for all pupils during lockdown and a wide range of catch up resources provided to staff and pupils through the Advisory teachers.
- Over 1,000 laptops/tablets and MiFi devices provided to pupils in order to be able to access Distance Learning during the lockdown period.
- Schools successfully supported to reopen through site visits, operational guidance, risk assessments and PPE deliveries.
- E-library resources were made more widely available, and the Council’s library vans were redeployed to deliver care packages across the County.
- A list of grants and support available for those individuals facing hardship during the pandemic was made available in one place. This included grants such as the Discretionary Assistance Fund which supports essential costs in an emergency, to local support groups who supply clothes, nappies and towels for vulnerable parents with newborn babies.
- Successful completion of extension to Pontrhydfendigaid Primary School as part of reducing class size grant.

600

Pupils continued to receive instrumental lessons during 2020/21

£131,000

Funding received for Amgueddfa Ceredigion Museum

2,400

Individual attendees to digital festival Gwyl yr Enfys

6

New apprenticeships launched at the Council in 2020

Protecting Ceredigion’s Citizens from Poverty

Tackling Hardship Strategy



Author: Sian Honyrs, Porth Cynnal
Coordinating Service: Alan Williams, Policy, Performance & Public Protection
Date approved by Cabinet: 07/07/2020
Date approved by Public Service Board: 31/07/20
Integrated Impact Assessment: Yes
Publication date: 21/08/2020
Review date: 31/03/2022

- ◀ A new **Tackling Hardship Strategy** was published in July 2020, which provides a robust framework that will enable a shared understanding of the situation and develop a range of initiatives to mitigate the risks of poverty, and implement preventative action. COVID-19 has had an impact not only people's social and economic well-being, but also an increased risk of individuals and families experiencing hardship. 23 organisations were engaged in the development of the strategy, and its progress will be monitored regularly through the Public Services Board’s Poverty Sub Group.

Progress against our Investing in People's Future Well-being Objectives

Council Well-being Objective	Status
• Support learners of all ages and backgrounds to safely return to education and training and improve access to learning and employment	
• Protecting people from poverty	
• Promote and facilitate the distinct and vibrant bilingual culture and identity of Ceredigion	

 Completed
  Started and on target
  Started but behind target
  Not started

110

Active Young People's videos published during lockdown

£160,000

Received in Business Grants and Economic Resilience Fund

30

School PE lessons delivered online during lockdown

600

Young people and families supported through 3,000 calls

15,000+

Food parcels delivered to medically vulnerable residents

50+

Parenting groups and programmes delivered virtually

250

Young people have received support in school

£30,000

Carers Fund distributed

Promoting Ceredigion's distinct culture and identity during 2020/21

- ▶ Digital provision has enabled **Cered (Welsh language enterprise)** to continue promoting the Welsh language within communities despite COVID-19. A weekly programme of events and activities has been posted on social media sites including new and innovative engagement projects such as Theatr Soffa, Hwyl i Blant and Cefn y Rhwyd radio broadcasts in conjunction with Radio Aber.
- ▶ **Theatr Felinfach** delivered several digital arts programmes throughout the lockdown, e.g. Ed holden (Mr Phormula) Beat box sessions, virtual dance lessons, a digital pantomime and several imaginative sessions for children of all ages. The theatre also received a nomination for the Achates Humanities Award 2020 for the variety and standard of its participatory digital provision.
- ▶ **Amgueddfa Ceredigion Museum** was nominated for a Museums & Heritage Award for Best Temporary or Travelling Exhibition 2020 in relation to its Sheep exhibition. The Sheep exhibition has also been used as a case study by the Future Generations Commissioner's Office highlighting how local museums are helping to deliver the National Well-being Goals.



Enabling Individual and Family Resilience

The 'Social Services and Well-being (Wales) Act, 2014' places a legal requirement on the Council to develop a range of early intervention and prevention strategies that include collaborative arrangements with communities and the voluntary sector to support independent living.

In addition unemployment levels coupled with the low income levels places increased difficulties on the ability of people to access safe, affordable housing.

Enabling Individual and Family Resilience will improve well-being through improved access to affordable homes, preventing future problems and maintaining independence.

The COVID-19 outbreak has had a fundamental impact on the delivery of services to our most vulnerable citizens including the elderly, those without broadband access and those faced with isolation during the national lockdown in 2020. In response, our Well-being Objectives for the remainder of 2021-22 and into 2022-23 are to continue to support our most vulnerable citizens:

“Support citizens who have been disproportionately impacted by COVID-19 to improve their physical and emotional well-being” and

“Promote the well-being of individuals and communities within safe and accessible homes”



◀ In June 2020, Ceredigion's Youth Service was awarded £99,000 by the National Lottery Community Fund to develop a mobile provision for children and young people. The youth service is situated within Porth Cymorth Cynnar, which is Ceredigion County Council's integrated early help, support and intervention service, supporting communities, vulnerable children, young people and families. The aim of this project is to establish a mobile youth centre, extending youth provision to rural isolated areas in Ceredigion.

Porth y Gymuned - Supporting Residents' Well-being

Porth y Gymuned (Welsh for 'The Community Portal') service started in May 2018 and assists residents of all ages in Ceredigion, by helping them to make connections to access support opportunities in their area that could maintain and improve their wellbeing.

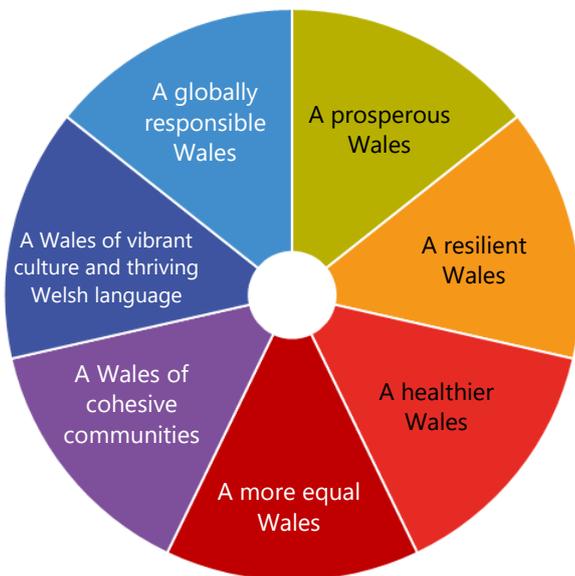
This service has been particularly important in supporting our residents during the COVID-19 pandemic. Enquiries to Porth y Gymuned are normally very varied, and range from low level interventions to referring and supporting individuals who may need to access to intensive or statutory services. Between July 2020 and January 2021, 419 referrals were made to Porth y Gymuned during the height of the pandemic. The service also compiled a comprehensive list of food deliveries, food banks and resources for a wide range of support such as financial help, grants and debt advice to support residents during this particularly difficult time.

Porth y Gymuned enables individuals to have a 'What Matters' conversation with a Community Connector, who can then help to identify targeted solutions that meet their needs. The Community Connectors support people and their families to access advice and assistance that is provided by the third sector, as well as identify appropriate services and groups, within their own communities, such as social groups that could help contribute to their wellbeing.



Long Term	Prevention	Collaboration	Involvement	Integration
<ul style="list-style-type: none"> An integrated Services Model to ensure sustainable services for the next 15 years + Future Trend analysis utilised 	<ul style="list-style-type: none"> Coordinated care to prevent issues developing further 	<ul style="list-style-type: none"> Health board, local authorities and third sector partners plan to work collaboratively to implement integrated health and social care programmes across west Wales 	<ul style="list-style-type: none"> Public and private sector involvement to develop the Integrated Services Model Individuals involved in decisions that affect them 	<ul style="list-style-type: none"> Public and private working together to maximise contribution to healthier Wales and other goals

Well-being of Future Generations (Wales) Act 2015



Our Corporate Priority maximises our contribution to the highlighted well-being goals

Overall Assessment of the Journey So Far

Progress in meeting this objective is **Good** and prospects for improvement are **Good**. Despite the challenges in supporting citizens who have been disproportionately impacted by COVID-19 to improve their physical and emotional well-being, and promoting the well-being of individuals and communities within safe and accessible homes, both have been assessed as green and on target.

Porth Gofal is an example of Ceredigion **Leading the Way** to deliver Integrated Services now and in the future.

Leading the Way
Good



Responding to COVID-19 and Key Achievements

- Supported Hywel Dda University Health Board by establishing two temporary field hospitals in the county in response to COVID-19
- Ceredigion was the first local authority in Wales to provide a contact tracing service and was subsequently chosen as a pilot area by the Welsh Government, before the national scheme was set up. The Council's Contact Tracing Team, involving over 50 members of staff, provided advice and guidance to individuals on undertaking tests for COVID-19, on self-isolation and other actions as part of the ongoing efforts to prevent the further spread of the virus and keep everyone safe.
- Around 2,900 residents from young people to families to carers, were supported during the pandemic through regular 'Keeping in Touch' calls from Council staff in Porth Cymorth Cynnar to check on their well-being and provide an opportunity to talk to someone whilst in lockdown.
- In July 2020, Ceredigion launched its Connect to Kindness campaign, to create more understanding about the benefit and impact of kindness to ourselves and others in our community. The campaign fosters and nurtures connections to alleviate loneliness and isolation prevalent in many of our communities.
- Ceredigion's proposal to develop a Wellbeing Centre in Lampeter was approved in December 2020 and plans are progressing during 2021. The Wellbeing Hub will host a 'Wellbeing Centre' – a facility that enhances its core offer of Leisure provision with areas for meeting, consultation and treatment to contribute to improving the physical, mental and social well-being of the County's residents. Hubs will also be established in the North, Mid and South of Ceredigion as well as pop-up provision in other locations in the County.
- In response to the pandemic, Ceredigion's Cam Nesa team delivered wellbeing packs to support young people who may be experiencing loneliness, isolation or other vulnerabilities. The Cam Nesa project is part of European Structural Funds (ESF) Operational Programme and works with young people aged between 16 and 24 by providing them with options to access a range of tailored personal support and work-related opportunities to meet their needs and aspirations.

31

Safe, Warm and Secure Grants completed

32

Potentially homeless applicants supported with financial issues

900

Shielding residents in Ceredigion received weekly food parcels

1,650

Well-being packs produced for unpaid carers and isolated adults



◀ During the lockdown in 2020, Ceredigion County Council recognised the importance of keeping in touch during the challenging time of self-isolation and appreciated that it was difficult for families who weren't able to visit their loved ones at our care homes.

The Council's staff support and care for our residents, and in order to give residents that additional reassurance whilst keeping them safe, video conferencing facilities were installed in all of our care homes to ensure context with family members during that difficult time.

Progress against our Enabling Individual and Family Resilience Well-being Objectives

Council Well-being Objective	Status
<ul style="list-style-type: none"> Support citizens who have been disproportionately impacted by COVID-19 to improve their physical and emotional well-being 	
<ul style="list-style-type: none"> Promote the well-being of individuals and communities within safe and accessible homes 	

 Completed
  Started and on target
  Started but behind target
  Not started

35,000

Mail outs to support the Vaccination Programme in Ceredigion

11.4m

Items of Personal Protective Equipment (PPE) distributed

160

Press releases with news and advice on COVID-19

7,400

People referred for contact tracing to help everyone stay safe

1,040

Welsh afternoon teas / 'break in a box' were delivered

195

Active family bags distributed with Flying Start and Families First services

100+

Adult carer and 10 young carer ID cards produced

50,000

Social media engagements during the year, helping people keep informed

Food Parcels Delivered to Ceredigion's Residents

Parcels which included local food produce were delivered to 900 shielding residents in Ceredigion each week during the height of the lockdown in April / May 2020, to ensure those who were particularly vulnerable were still able to receive food and essential items.

Ceredigion became the first county in Wales to receive approval to fully coordinate the Shielding Scheme on a local basis - this was an initiative by Welsh Government offering shielding residents the option to receive weekly food parcels if they did not have family or friends who could support them with shopping during the pandemic. ✓

Ceredigion secured full ownership of the content and quality of the food parcels to ensure that produce was supplied by local suppliers and the parcels were packed and delivered to communities by Ceredigion County Council drivers.

The content was sourced from local suppliers and were varied to offer high quality nutritional value to those in need.



Promoting Environmental and Community Resilience

The Council has a leading role to play in protecting and enhancing the natural resources of the County whilst endeavouring to protect air, land and water quality. It also has a key role in promoting, securing and enhancing bio-diversity. The Council's environmental stewardship responsibility also extends to the built environment and the positive management of future development and land use is crucial to achieving these aims.

The Council is seeking to enhance and develop communities' ability to respond to environmental threats and incidents, by promoting the resilience of individuals and groups and harnessing the goodwill that exists in our communities to support each other.

The COVID-19 outbreak has tested all of our strengths and ability to respond to a crisis, but we have demonstrated how our communities are able to rise to the challenge, in order to protect the well-being of our communities and our environment. In the wake of the COVID-19 pandemic, our revised Well-being Objectives for the remainder of 2021-22 and into 2022-23 are to:

“ Support active travel, other modes of transport and ways of working that build on our zero-carbon ambition ”

and

“ Support our communities to be strong and well connected so that they are able to thrive despite COVID-19 ”

Ensuring the Safe Reopening of Community Venues

A multi-agency panel was set up to ensure the safe and proportionate reopening of community venues across Ceredigion as the lockdown was lifted. The aim is to support and provide advice for community groups preparing to reopen by providing a series of briefing sessions for individuals, groups or organisations responsible for multi-purpose community centres focusing on buildings, people and activities. The panel has also created a resource pack to aid the safe reopening of community venues.

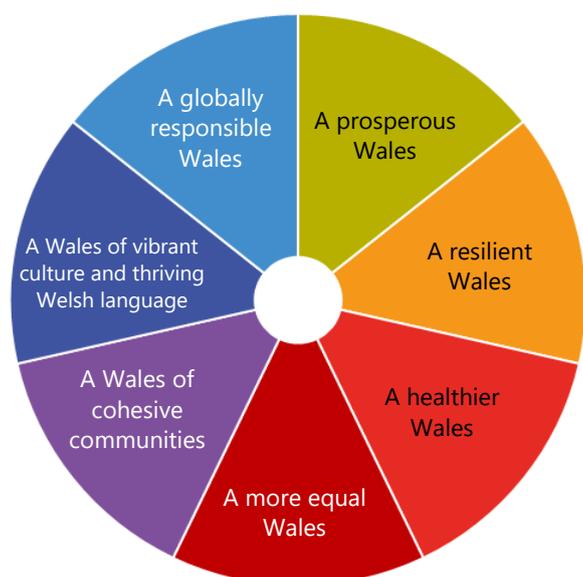
The Welsh Government have been encouraging those who are managing centres to inform their local authority if they plan on reopening any community facilities.

The panel has been created under Ceredigion's Public Services Board Sub Group; Understanding our Communities. Leading on the development of the group is Ceredigion Association of Voluntary Organisations (CAVO) and Ceredigion County Council in partnership with Heddlu Dyfed Powys Police and Mid and West Wales Fire and Rescue Service. The panel includes representation from Health & Safety, Environmental Health and Community Safety .



Long Term	Prevention	Collaboration	Involvement	Integration
<ul style="list-style-type: none"> • Long term sustainability of Ceredigion Landscape 15 years + • Future Trend analysis utilised 	<ul style="list-style-type: none"> • Prevention of further economic decline • Clear understanding of prevention and associated strategies 	<ul style="list-style-type: none"> • Working collaboratively to ensure that the impact of climate change is minimised, is shaping the electric future in Ceredigion and contributing to that sustainability 	<ul style="list-style-type: none"> • Everyone is involved and encouraged to make choices that will reduce costs now and protect the environment for the future 	<ul style="list-style-type: none"> • Promoting environmental and community resilience has clear benefits for maximising our contribution to all of the well-being goals

Well-being of Future Generations (Wales) Act 2015



Our Corporate Priority maximises our contribution to the highlighted well-being goals

Overall Assessment of the Journey So Far

Progress in meeting this objective is **Good** and prospects for improvement are **Good**. All steps to minimise the contribution to climate change, improve infrastructure to facilitate future development to meet community needs and assist communities to become more resilient are on target with further improvements planned in the next year.

The Council's Carbon Management Plan is an example of Ceredigion **Leading the Way** to minimise our carbon footprint and minimising our contribution to climate change.

Leading the Way

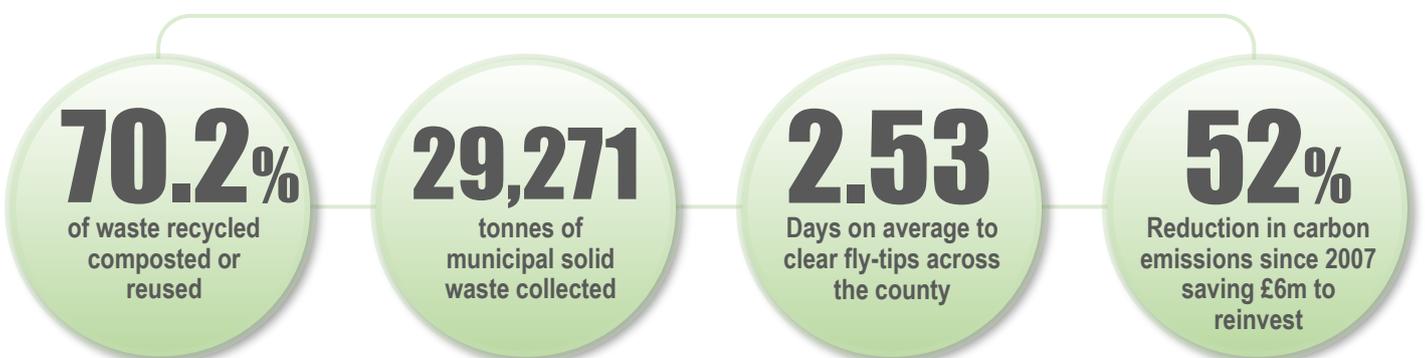
Good



Promoting Environmental and Community Resilience

Responding to COVID-19 and Key Achievements

- Successfully delivered core front line services safely during the COVID-19 pandemic and continue to respond to ever changing issues caused by the pandemic.
- Supported Highways and Environmental Services and wider corporate operational response which has extended from the delivery of food boxes to vulnerable groups through to logistical support in distributing materials to schools, providing operational support establishing mass testing and vaccination centres.
- Supported local suppliers throughout the pandemic during the period of service reduction or postponement in waste and transport.
- Continued with the development of coastal and flood alleviation schemes in Ceredigion with financial support from Welsh Government.
- Delivered a number of Active Travel improvements, including major refurbishment of Pont-yr-Odyn, Trefechan and construction of a shared use path between Gogerddan and Penrhyncoch.
- The Council has developed an action plan outlining how it plans to manage the anticipated risks and issues associated with the spread of 'Ash Dieback' across Ceredigion. The Plan is in place to ensure that the county is ready and adequately resourced both to respond to the effects of the disease and to minimise long term adverse impacts through promoting resilience.
- Published new Net Carbon Zero Action Plan for Ceredigion Council setting out its response to the county-wide climate emergency, and explaining why we need to take this action and why the 2030 target is so important to tackling climate change.
- To date, the Council has invested over £5 million in energy efficiency and carbon reduction projects, and this investment has saved £2.8m to date.
- Ceredigion County Council celebrated Refugee Week in June 2020, by recognising the positive work that's been carried out to enable 74 refugees from Syria to be welcomed into the county.
- Ceredigion County Council continues to have one of the best recycling rates nationally at 70.2% in 2020/21.



Progress against our Promoting Environmental and Community Resilience Well-being Objectives

Council Well-being Objective	Status
<ul style="list-style-type: none"> Support active travel, other modes of transport and ways of working that build on our zero-carbon ambition 	
<ul style="list-style-type: none"> Support our communities to be strong and well connected so that they are able to thrive despite COVID-19 	

 Completed
  Started and on target
  Started but behind target
  Not started

Improving Connectivity During and Post COVID-19

Demand for fast and reliable internet connectivity has never been so evident than during the past year - many of us have a greater reliance on online services and many people are still working from home. In August 2020, Ceredigion was chosen as a trial area for a UK Government initiative aimed at increasing fibre broadband in rural areas.

Research shows that reliable broadband can play a key role in keeping people connected during Covid-19. Almost six in ten (58%) Ceredigion broadband-using residents surveyed said the internet has played an important part in helping combat feelings of isolation or loneliness during lockdown. Two thirds (67%) of all broadband-using, working respondents in Ceredigion worked from home all or most of the time, but almost half (46%) were at times frustrated at an unreliable internet connection.

A pilot scheme called the "Broadband Upgrade Fund" aims to support businesses, employees and rural communities to take advantage of all the benefits associated with faster and more reliable internet connections. Including the additional Welsh Government 'Top Up' fund, residents in Ceredigion are eligible to claim up to £3,000 and small to medium sized businesses up to £7,000 to upgrade to gigabit broadband, which is capable of download speeds of 1 gigabit (1,000 megabits) per second and is much faster than the current speeds experienced across Ceredigion.

Ceredigion County Council continues to work proactively with commercial suppliers and both Governments to secure better connectivity for the County.



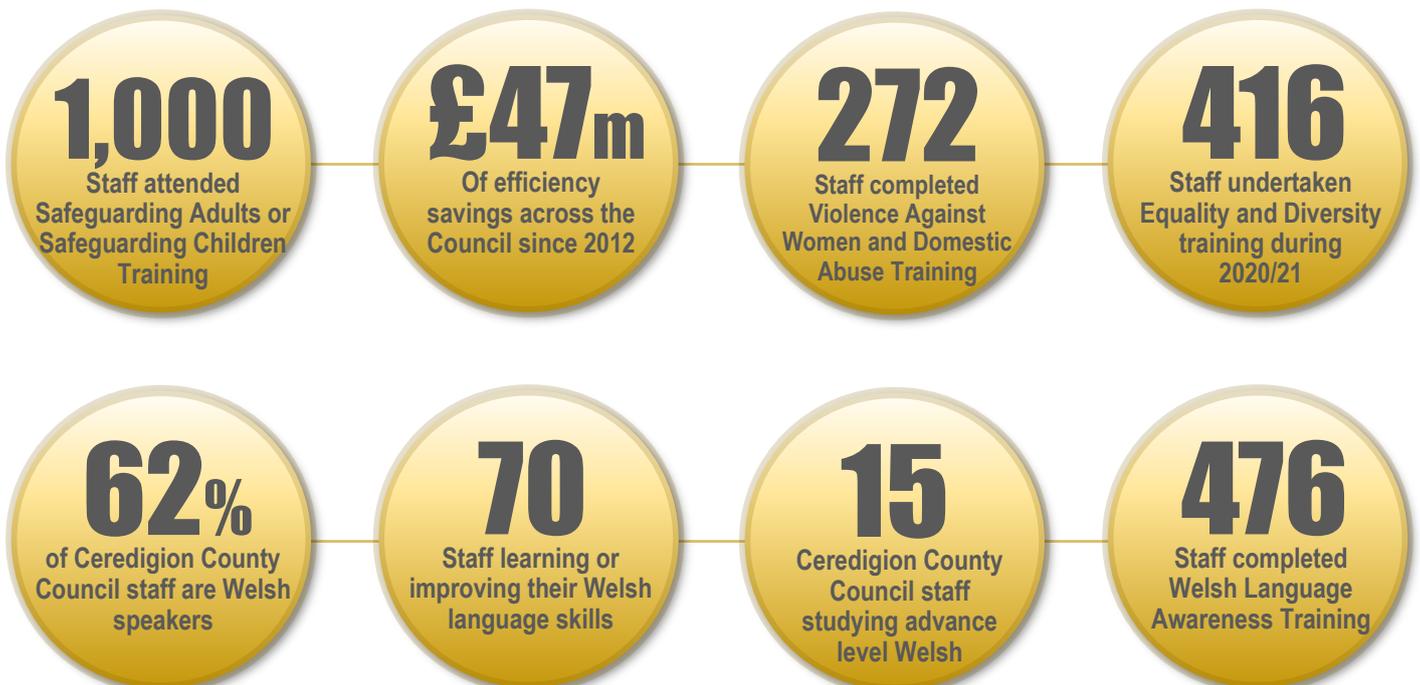
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Cross Cutting Themes

As a Council we are fully committed to the delivery of a range of cross-cutting themes that will enhance performance and quality of delivery of service including:

- **Bilingualism**
We ensure all service areas provide a completely bilingual service and all staff are encouraged to develop their linguistic skills in both Welsh and English.
- **Fit for purpose**
Our staffing structures are lean and cost effective. However, we will continue with the corporate re-design programme to centralise all support service teams.
- **Sustainability**
The success of the previous five years has ensured the Council is a sector leader in Carbon Management and recycling. It is our intention to continue our efforts to be a clean, green authority that provides our residents with an environment that is both attractive and inviting to the tourism industry.
- **Engagement**
Our policies for the future will encourage collaboration and partnership working with all interested stakeholders. We consider effective interaction with our communities as an essential component to securing a healthy and vibrant society.
- **Equality**
Ensuring that everyone has equal opportunities to contribute to making Ceredigion a better place to live, work and enjoy. We commit to treating all citizens with respect, and to providing services and offering employment opportunities which are responsive to people's diverse needs.

Our achievements during 2020/21:



Engagement and Equalities

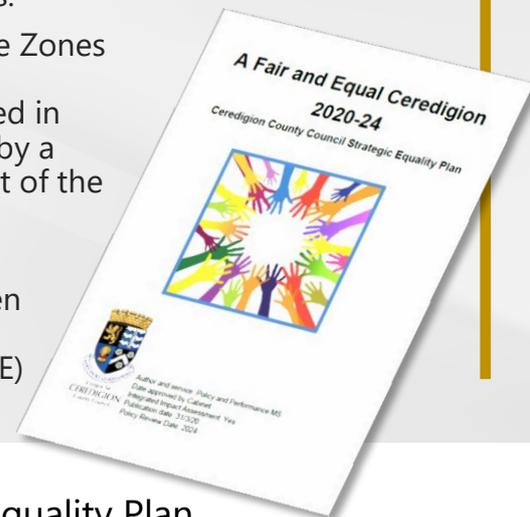
During the last twelve months we have continued to embed equalities, implement a corporate approach to engagement and provide specialist advice and guidance across the Council.

Some of our achievements during this time are:

- The Strategic Equality Plan (SEP) has been implemented and we are monitoring progress against ensuring that our actions are fair to all.
- Responded to and implemented the Socio-Economic Duty, which requires that public bodies assess how their strategies and policies can be used to reduce inequalities that result from differences in socioeconomic status.
- Updated our Integrated Impact Assessment Process.
- Undertook a regional trial of an online engagement platform provided by Engagement HQ called "Have Your Say Ceredigion" which will provide additional opportunities and more unique ways to engage with the Council and tell us your views.

During 2020/21 we engaged extensively on the introduction of Safe Zones in our towns designed to keep everyone safe and maintain social distancing, during the COVID-19 pandemic. The exercise, conducted in August 2020, received over 2,000 responses and this was followed by a wider engagement in January 2020 to better understand the impact of the zones.

Equalities continues to be at the forefront of the recovery from the COVID-19 pandemic, as some groups in our communities have been disproportionately affected by the virus, such as younger people, older people and those from Black Asian and Minority Ethnic (BAME) backgrounds.



The Sustainable Development Principle and the Strategic Equality Plan

Long Term	Prevention	Collaboration	Involvement	Integration
<ul style="list-style-type: none"> • Increased awareness of protected characteristics across the organisation 	<ul style="list-style-type: none"> • Ensures the protected characteristics are considered in setting policy and service provision 	<ul style="list-style-type: none"> • Working in partnership with other public sector bodies to meet our Equality Objectives 	<ul style="list-style-type: none"> • Corporate Equalities Working Group contributes to the development, monitoring and review of the Plan 	<ul style="list-style-type: none"> • The Council will tackle prejudice and promote understanding in our communities

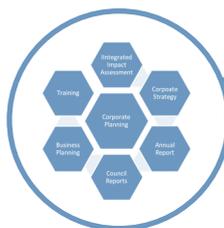


Embedding the Seeds of Change

The Well-being of Future Generations (Wales) Act 2015 directs that public bodies must apply the five ways of working (the sustainable development principle) and consider how they can contribute to all seven of the National Well-being Goals.

Guidance indicates that applying the requirements of the Act across 7 core areas of change is likely to most effectively secure the change required.

A Ceredigion County Council Well-being of Future Generations Act (WFGA) Group has been established to monitor how adaptations should be made in the core areas to effect change.



Corporate Planning

- A Well-being of Future Generations Act Group is in place with a strategic lead to monitor progress in the seven core areas of change. The Corporate Strategy and Annual Reports include the progress made.
- Cabinet and Committee Templates have been developed that incorporate the 5 Ways of Working.
- An Integrated Impact Analysis (IIA) Tool that incorporates the 5 Ways of Working and 7 National Well-being Goals has been implemented.
- Schedules have been revised to enable due consideration of IIA implications.
- The Constitution has been revised to ensure decision making processes take account of the Well-being of Future Generations Act 2015.



Asset Management

- A review of the Council's Property Asset Management Plan is currently being undertaken to assess service asset needs over the medium to longer term.
- The revised Asset Management Policy was presented to the Council's Cabinet in 2020 and which sets out the Council's approach in optimising its assets through leasing, disposals and acquisition.
- The Mid & West Wales Regional Asset Collaboration Group has been created to help drive forward initiatives and work relating to good practice collaborative asset management activity.

► Transforming Customer Contact

Harnessing new technology to enhance our customers' experience

The CLIC Team is the face and voice of Ceredigion County Council. Whether calling the Contact Centre or visiting a Cash Office with a query regarding bins, checking Council Tax or submitting an application to the Housing Team, the customer comes into contact with CLIC.

Our Customer Contact Centre is an example of how we are transforming our services and harnessing new technology to provide an enhanced customer experience. All initial contacts to the Council are received and tracked by the Contact Centre through the Customer Relationship Management (CRM) system. This provides a range of benefits to our customers:

- It is easier to make initial contact, - just one telephone number and one email address.
- Our advisors are trained to deal with a wide range of enquiries - so that where possible, queries are resolved at the first point of contact.
- There is no need to retell the same story each time a customer calls - their information is on hand via the CRM system providing a quicker and more tailored response to resolving their enquiry.

For the Council, this also provides a very practical way to manage the increasing number of contacts we receive, provide a higher quality, more tailored service and enhance the customer experience, whilst providing service efficiency gains since less time is spent by back office functions managing routine enquiries. During 2020/21 we logged over 57,000 enquiries through CLIC with Blue Badge applications, childcare applications and enquiries about waste collection being some of the most commonly raised questions.

The 2020/21 year saw the COVID-19 health pandemic reach Ceredigion, resulting in over 8,900 enquiries alone relating to the virus. These included enquiries relating to childcare, schools, the safe zones in Ceredigion's towns and many for advice in accessing financial support during the lockdown period. The service has and continues to play an integral role in keeping residents informed and up to date with support and advice relating to the pandemic. Due to the investment in the new telephony systems, CLIC was able to transfer immediately to home working when lockdown began without an interruption in its service to customers.

Looking ahead, we are aiming to develop the service further through harnessing new technological developments to enhance the service to customers, such as upgrading the CRM system.

Our Service in Numbers during 2020/21

106,650

Telephone calls handled by CLIC during the 2020/21 year

18%

Of telephone calls (or 16,256) were in Welsh

15,600

Emails responded to during the 2020/21 year by CLIC

57,306

Enquiries logged by CLIC during the 2020/21 year



Performance Management

- The Council's dedicated Performance Management System, (Teifi Performance) continues to be developed and embedded.
- In 2020/21 a revised Business Planning process was developed to streamline the process and support services develop effective business plans for the year ahead.
- Developed a revised set of local performance measures has commenced to ensure the Council has the performance monitoring information required to support continuous performance improvement in the future.
- Work is underway to prepare for the introduction of the new Self-Assessment performance regime, included as part 6 of the Local Government and Elections (Wales) Act 2021.



Risk Management

- During 2020/21, a number of actions were taken to mitigate the risks of COVID-19 and ensure the continuity of the work of the Council. This includes the Gold and Silver Command structure to manage the response to the pandemic, along with the updating of all Business Continuity Plans, and the introduction of Service Adjustment Plans, outlining how services will adjust to the pandemic and bring services back post pandemic.
- Risk Management refresher training was provided to all managers and key officers in 2020.
- A workshop with the Council's insurers and all managers was held in October 2020 to review the Council's risks in light of COVID-19, horizon-scan for new risks and identify opportunities to strengthen risk management further.



Financial Management

- The Medium Term Financial Strategy has been developed and approved.
- The 2020/21 Statement of Accounts includes details of the Council's Well-being and Improvements Objectives and outlines how they will be met.
- All new capital projects are submitted via the Corporate Project Management Panel.



Procurement

- The Council's Procurement Strategy 2018-2022 was developed specifically to assist the Council with delivery of its aims and objectives in accordance with the Well-being of Future Generations Act through its procurement activity.
- The Ceredigion Procurement Forum's membership includes representatives from the public sector bodies either based in the County or with a local presence.
- The Civil Engineering Dynamic Purchasing System, which includes five contractors based in the county. This type of framework provides benefits to both the Council and supplier and are particularly well suited to working with smaller local businesses - new suppliers can join the system throughout its life, they are cost efficient and provide the option of working with new suppliers to access innovation
- Procurement processes continue to be open and transparent and based on standard approaches and use of common systems that appropriately minimise complexity, cost, timescales and requirements for suppliers.
- The Minor Works Framework provides reassurance for local contractors on the availability of potential longer term work streams and ensures that new and existing businesses can plan for future growth and investment.
- All contractors are required to be registered with 'Construction Line' in order to provide assurance that they hold relevant insurance cover, professional subscriptions and meet the minimum qualification criteria.



Workforce Planning

- A Strategic Workforce Planning Toolkit which is aligned to the Well-being of Future Generations sustainability principle (5 ways of working) and the well-being goals has been developed to reflect the Audit Wales toolkit.
- A new manager-led appraisal process was introduced in 2020 to provide employees and their managers an opportunity to review progress over the previous year, agree objectives for the forthcoming year and to identify learning and development (L&D) requirements, as well as reflecting on the future demands for the service

Review of our Well-being Objectives

The **Well-being and Improvement Objectives** focus on short-term more focused response and recovery to the COVID-19 pandemic in order to protect and enhance the well-being of everyone now and in the future. They were identified and are still aligned to each of our Corporate Priorities, and take into account the Public Services Board's Assessment of Local Well-being and the Local Well-being Plan.

We have reviewed the existing Well-being and Improvement Objectives and concluded that they should remain in place to support the ongoing recovery work of the Council and its partners.

Therefore for the 2022/23 year the focus of our attention will be to support the needs of citizens in recovering from the pandemic and at the same time delivering against the priorities of the Council.



Boosting the Economy

- Support businesses to respond to the impacts of COVID-19



Investing in People's Future

- Support learners of all ages and backgrounds to safely return to education and training and improve access to learning and employment
- Protecting people from poverty
- Promote and facilitate the distinct and vibrant bilingual culture and identity of Ceredigion



Enabling Individual and Family Resilience

- Support citizens who have been disproportionately impacted by COVID-19 to improve their physical and emotional well-being
- Promote the well-being of individuals and communities within safe and accessible homes



Promoting Environmental and Community Resilience

- Support active travel, other modes of transport and ways of working that build on our zero-carbon ambition
- Support our communities to be strong and well connected so that they are able to thrive despite COVID-19

Goal	How the Council's Priorities and Well-being Objectives will meet the Well-being goals?
A Prosperous Wales	All of our Priorities capture the importance of developing an economy in Ceredigion. Employment, skills development, housing, the environment, business support, and regeneration will contribute to a prosperous Wales. Supporting businesses to respond to the impacts of Covid-19 will help to ensure that we have a prosperous Wales now and in the future.
A Resilient Wales	Promoting Environmental and Community Resilience focuses on the protection of our natural environment and includes initiatives to enhance and develop communities ability to respond to environmental disasters. Supporting our communities to be strong and well connected so that they are able to thrive despite Covid-19, and will contribute to a resilient Wales able to respond to any natural or man made disaster.
A Healthier Wales	Investing in people's Future focuses on protection of families, children and adults from poverty and promotion of healthier, more active lifestyles whilst Enabling Individual and Family resilience seeks to improve housing, enable independent living and provide early intervention and prevention services for the most vulnerable. Supporting citizens who have been disproportionately impacted by Covid-19 to improve their physical and emotional wellbeing will support other initiatives to deliver a healthier Wales.
A more Equal Wales	All of our Priorities seek to establish a more Equal Wales by ensuring equal opportunities for employment, housing, education, healthier lifestyles and sustainable communities.
A Wales of Cohesive Communities	Building the strength of our communities is a key feature in three of our priorities. Providing Support for our communities to be strong and well connected so that they are able to thrive despite Covid-19 will enhance the Wales of cohesive communities.
A Wales of Vibrant culture and thriving Welsh language	The Council has agreed to conform to the requirements of the Welsh Language Standards and further measures to promote bilingualism and the Welsh language are included in our objectives.
A Globally responsible Wales	In considering our wellbeing and Improvement objectives we have taken into account the well-being assessment and engagement work to ensure that we can make a positive contribution to global well-being. Support for active travel, other modes of transport and ways of working that build on our zero-carbon ambition continues our work in this area.

Setting Our Well-being Priorities

In setting our Well-being and Improvement Objectives, the Council has demonstrated the Sustainable Development Principle as set out in the table below:

	Ways of Working	How the Council has demonstrated the Sustainable Development principle
	<p>Long term</p> <p>Looking to the long term so that we do not compromise the ability of future generations to meet their own needs</p>	<ul style="list-style-type: none"> • Medium Term Financial Planning ensures that decisions consider the impact on future generations. • Workforce planning ensures the development of workforce skills for the future. • The Corporate Strategy looks to develop and improve the social, economic, environmental and cultural well-being of Ceredigion over the next 5 years and beyond.
	<p>Integrated</p> <p>Taking an integrated approach so that public bodies look at all the well-being goals in deciding on their wellbeing Objectives</p>	<ul style="list-style-type: none"> • The Council's Priorities and Well-being Objectives are inter-linked in many ways and services will strengthen collaboration in order to work towards achieving a set of common well-being goals.
	<p>Involvement</p> <p>Involving a diversity of the population in the decisions that affect them</p>	<ul style="list-style-type: none"> • The Council's Corporate Strategy 2017-2022 has taken into account the Public Services Board's Assessment of Local Well-being, which has been produced following a series of engagement exercises with citizens, including those with protected characteristics, as defined under the Equality Act. • The Council will consult on an annual basis with citizens and its engagement groups on the review and setting of its annual Well-being and Improvement Objectives.
	<p>Collaborative</p> <p>Working with others in a collaborative way to find shared sustainable solutions</p>	<p>The Council actively supports, amongst others, the following partnerships;</p> <ul style="list-style-type: none"> • The Growing Mid Wales Partnership • The Ceredigion Public Services Board • The Safeguarding Children's Board • The Community Safety Partnership. <p>In addition collaboration in the delivery of services is welcomed throughout the Authority.</p>
	<p>Prevention</p> <p>Understanding the root causes of issues to prevent them from occurring</p>	<ul style="list-style-type: none"> • The Council's Well-being and Improvement Objectives have been set in order to prevent problems from occurring or getting worse. These include addressing the effects of poverty, the issues of rurality and improving the well-being of people of all ages, from early years through to older age. • Homelessness focuses on the prevention agenda • Social Services Model promotes early intervention and prevention.

Ceredigion County Council's Corporate Priorities are aligned with the Ceredigion PSB Local Well-being Plan as set out in the table below.

Council Corporate Priority 2017-2022	Council Well-being Objective 2022-2023	PSB Local Well-being Plan Aim 2018 -2023
Boosting the Economy	<ul style="list-style-type: none"> Support businesses to respond to the impacts of Covid-19 	<ul style="list-style-type: none"> Enable communities to become prosperous, sustainable and connected by supporting the transformation of economic prospects Enable people to create and grasp opportunities and meet challenges throughout their lives
Investing in People's Future	<ul style="list-style-type: none"> Support learners of all ages and backgrounds to safely return to education and training and improve access to learning and employment Protecting people from poverty Promote and facilitate the distinct and vibrant bilingual culture and identity of Ceredigion 	<ul style="list-style-type: none"> Enable communities to become prosperous, sustainable and connected by supporting the transformation of economic prospects Enable people to create and grasp opportunities and meet challenges throughout their lives Create conditions for communities to support individuals from all backgrounds to live fulfilling, independent lives
Enabling Individual and Family Resilience	<ul style="list-style-type: none"> Support citizens who have been disproportionately impacted by Covid-19 to improve their physical and emotional wellbeing Promote the well-being of individuals and communities within safe and accessible homes 	<ul style="list-style-type: none"> Enable every child to have the best start in life Create conditions for communities to support individuals from all backgrounds to live fulfilling, independent lives Enable people to live active, happy and healthy lives Enable people to create and grasp opportunities and meet challenges throughout their lives
Promoting Environmental and Community Resilience	<ul style="list-style-type: none"> Support active travel, other modes of transport and ways of working that build on our zero-carbon ambition Support our communities to be strong and well connected so that they are able to thrive despite Covid-19 	<ul style="list-style-type: none"> Create environmentally responsible and safe communities that can adapt and respond to the effects of climate change Create conditions for communities to support individuals from all backgrounds to live fulfilling, independent lives Enable communities to become prosperous, sustainable and connected by supporting the transformation of economic prospects

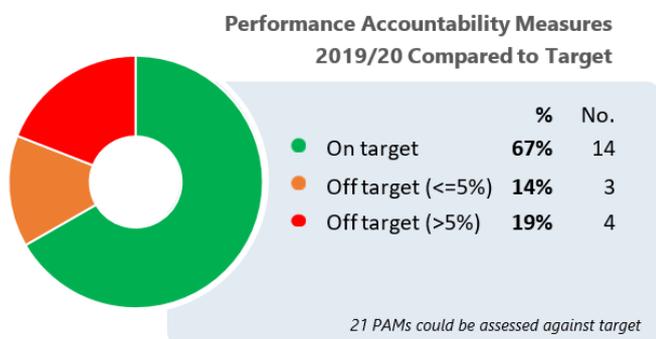
Benchmarking Our Performance

2020/21 Performance Accountability Measures

The Council routinely monitors and benchmarks its performance as part of its performance management arrangements. However, due to the re-prioritisation of services from March 2020 in response to the COVID-19 pandemic, the reporting of the Performance Accountability Measures (PAMs) was suspended for the 2020/21 year. Only a small number were collected during the year and these are shown below:



The last full year of reporting the PAMs was in 2019/20 and the latest results are shown on the following pages.

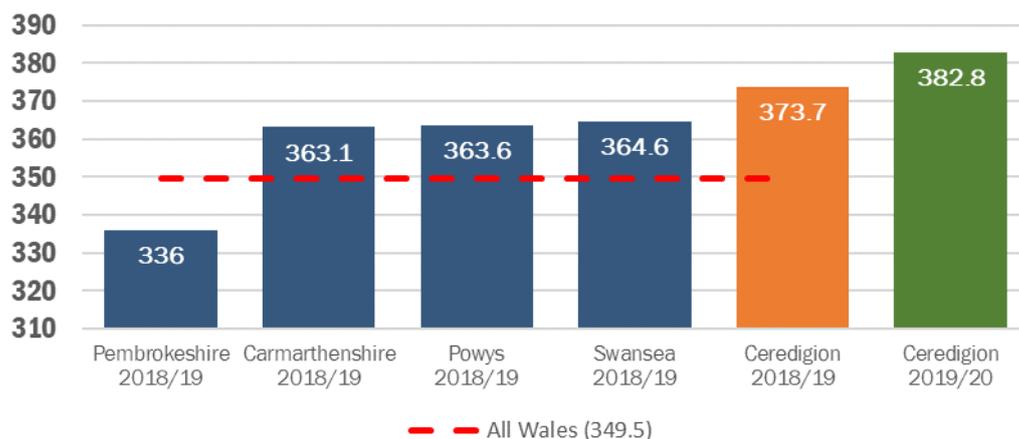


Education

Capped 9 Score

The Capped 9 Points Score for learners in year 11

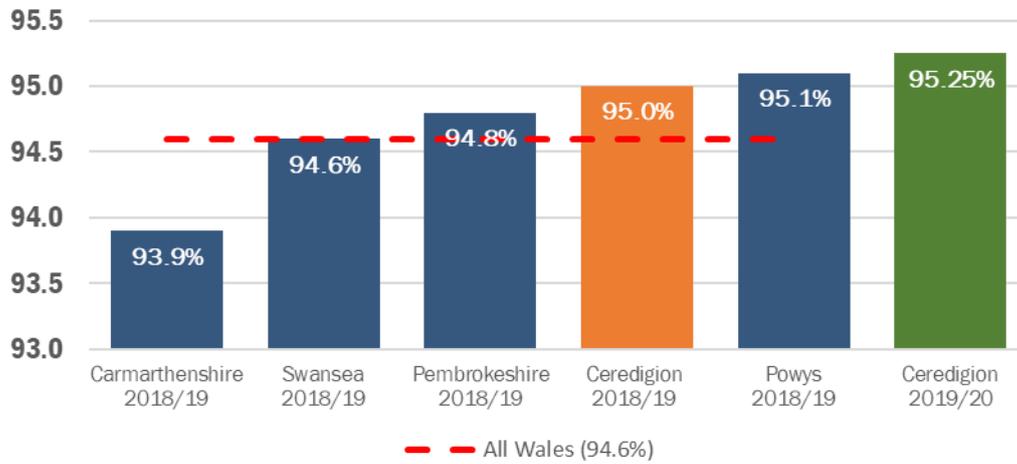
▼ Number



Attendance: Primary Schools

Percentage of pupil attendance in primary schools

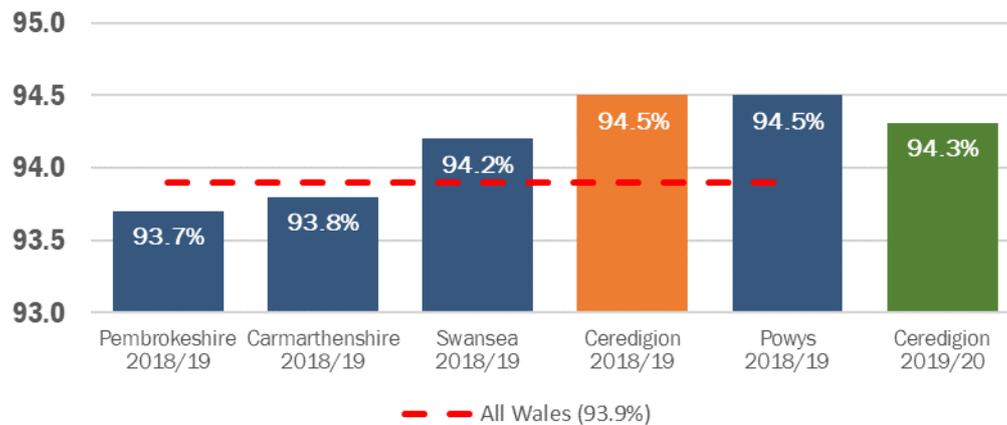
▼ Percentage



Attendance: Secondary Schools

Percentage of pupil attendance in secondary schools

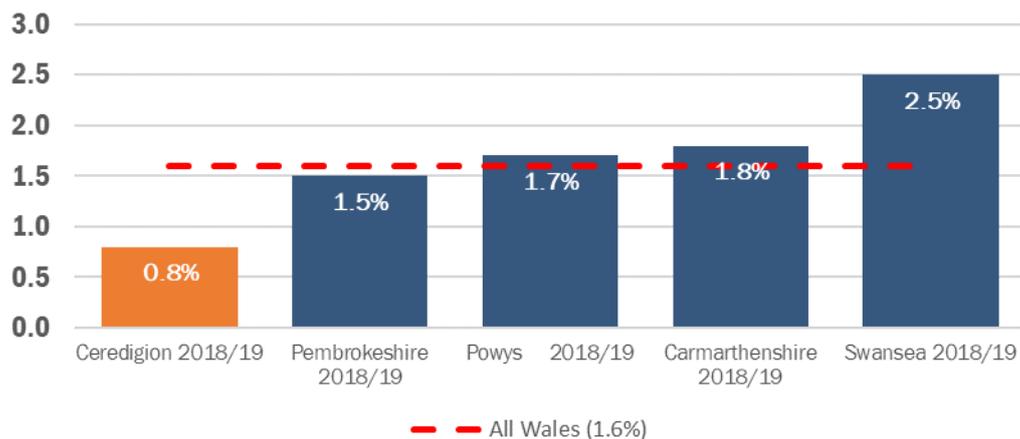
▼ Percentage



Not in Education Employment or Training (NEET)

Percentage of Year 11 leavers Not in Education, Training or Employment

▼ Percentage

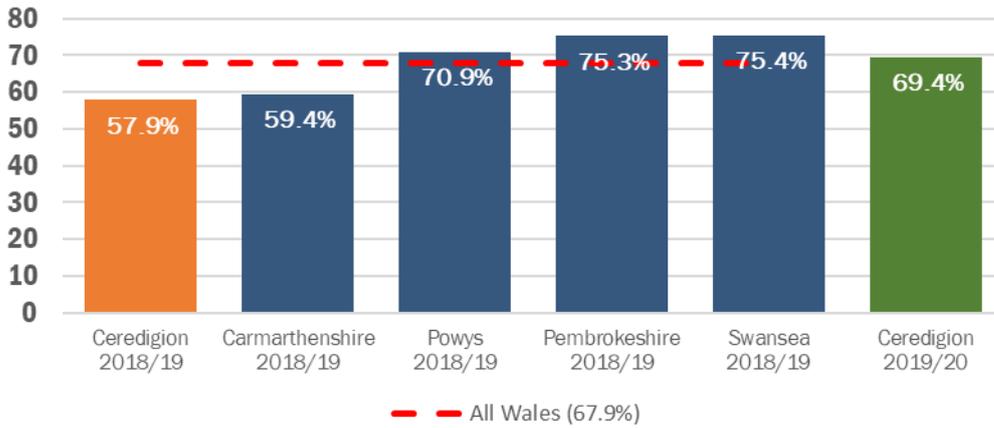


Housing and Homelessness

Homelessness Prevention

% of households successfully prevented from becoming homeless

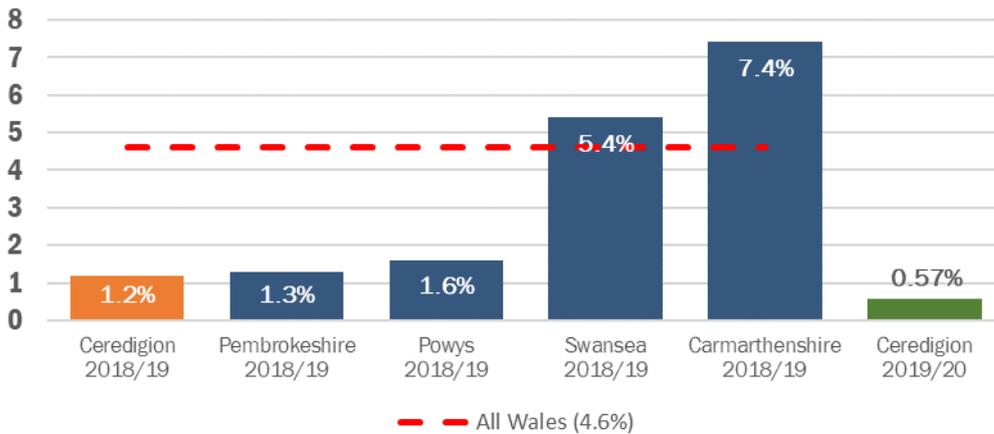
▼ Percentage



Empty Properties

Percentage of empty private properties brought back into use

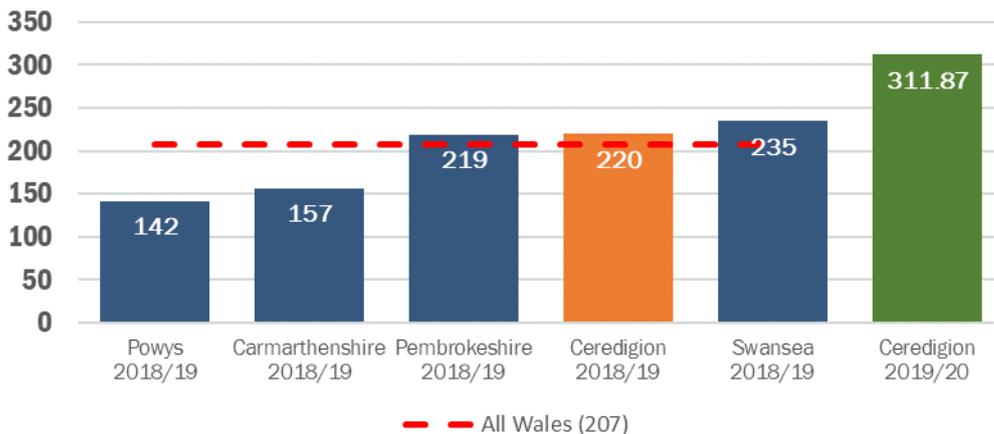
▼ Percentage



Disabled Facilities Grants

Average number of calendar days taken to deliver a Disabled Facilities Grant

▼ Number

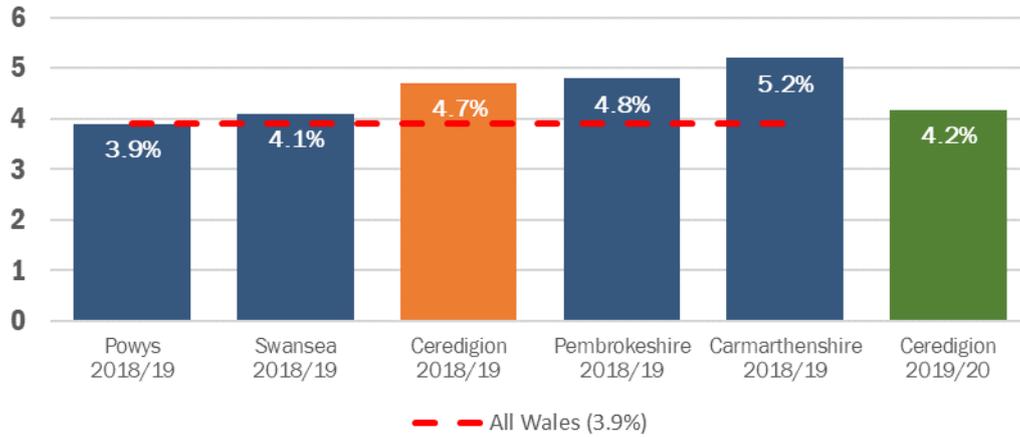


Highways

Condition of 'A' Roads

Percentage of A roads in poor condition

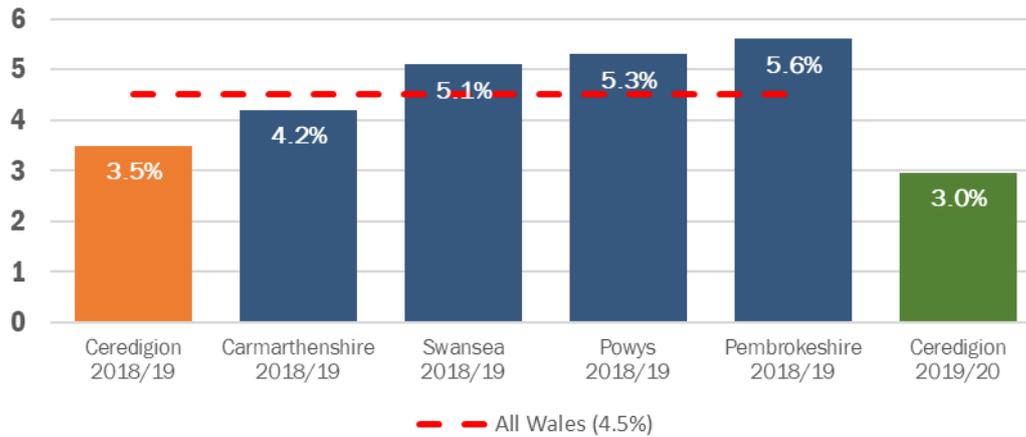
▼ Percentage



Condition of 'B' Roads

Percentage of B roads in poor condition

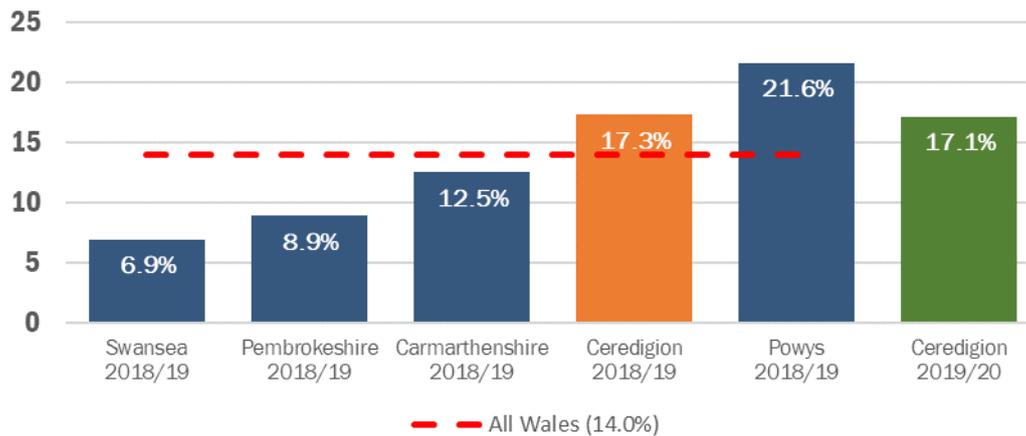
▼ Percentage



Condition of 'C' Roads

Percentage of C roads in poor condition

▼ Percentage

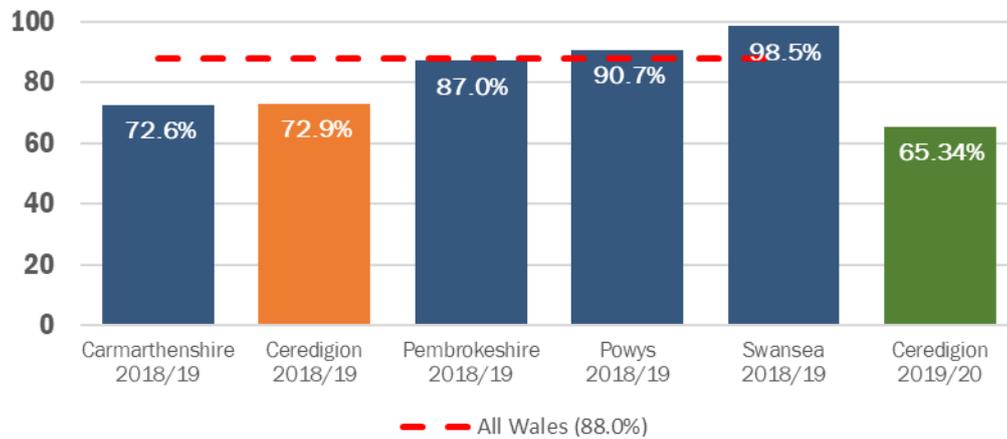


Planning

Planning Applications

Percentage of all planning applications determined in time

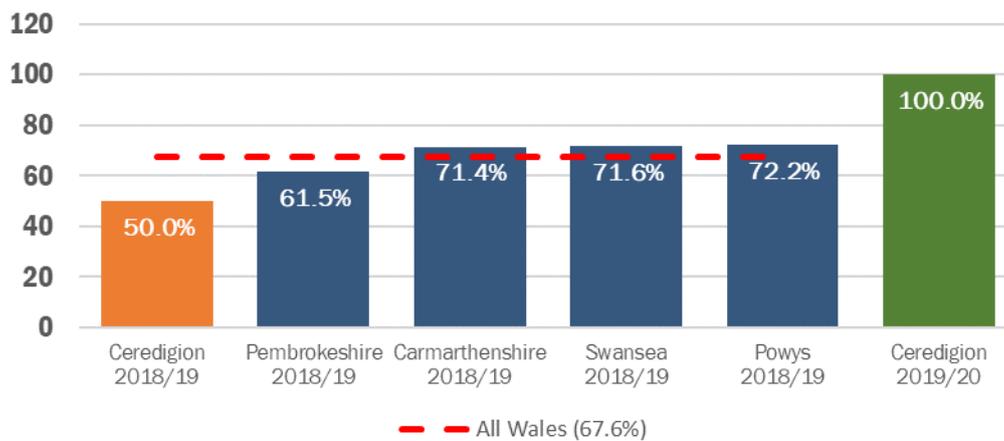
▼ Percentage



Planning Appeals

% of planning appeals dismissed

▼ Number

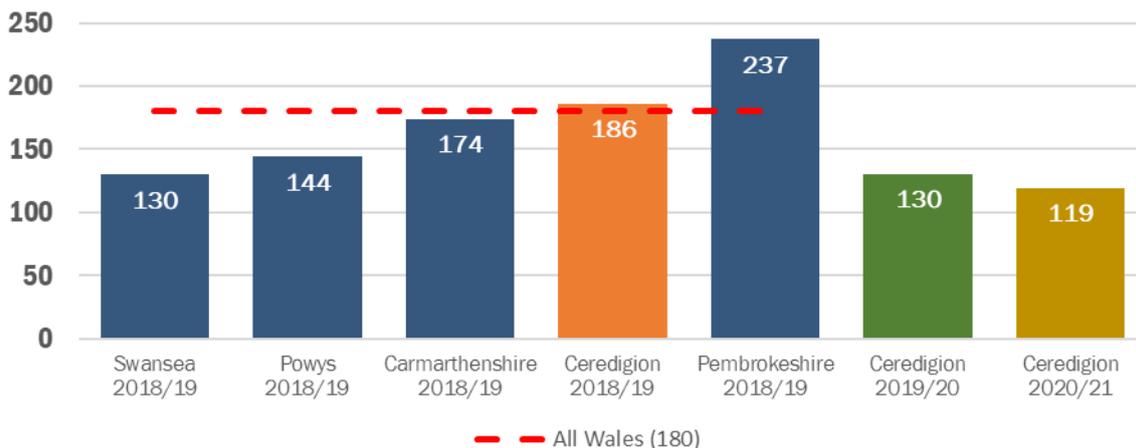


Environment

Waste Collection

Kilograms of residual household waste generated per person

▼ Number

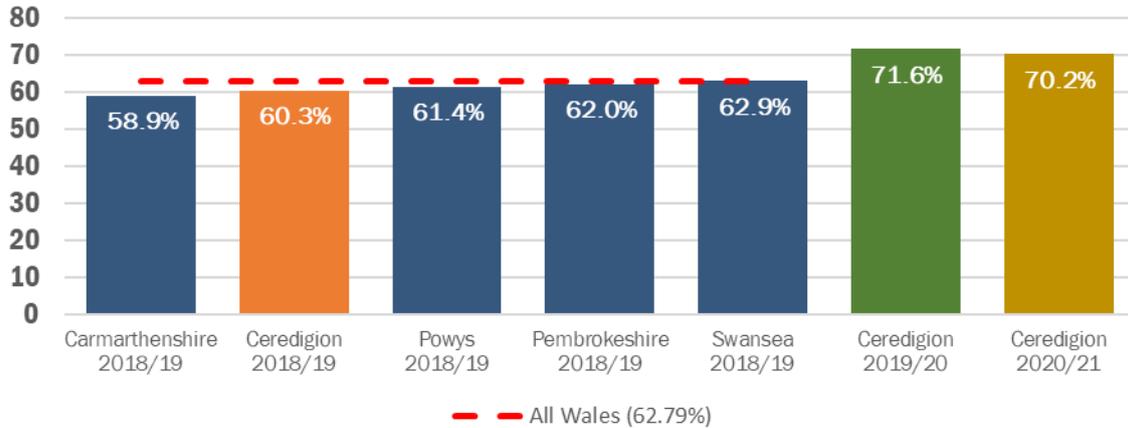


Benchmarking Our Performance (continued)

Recycling

% of waste reused, recycled or composted

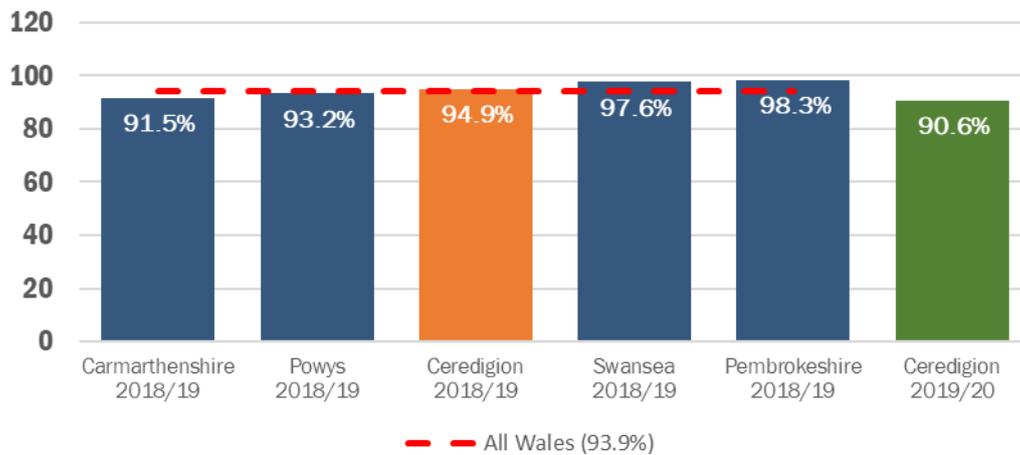
▼ Percentage



Street Cleanliness

The % of streets that are clean

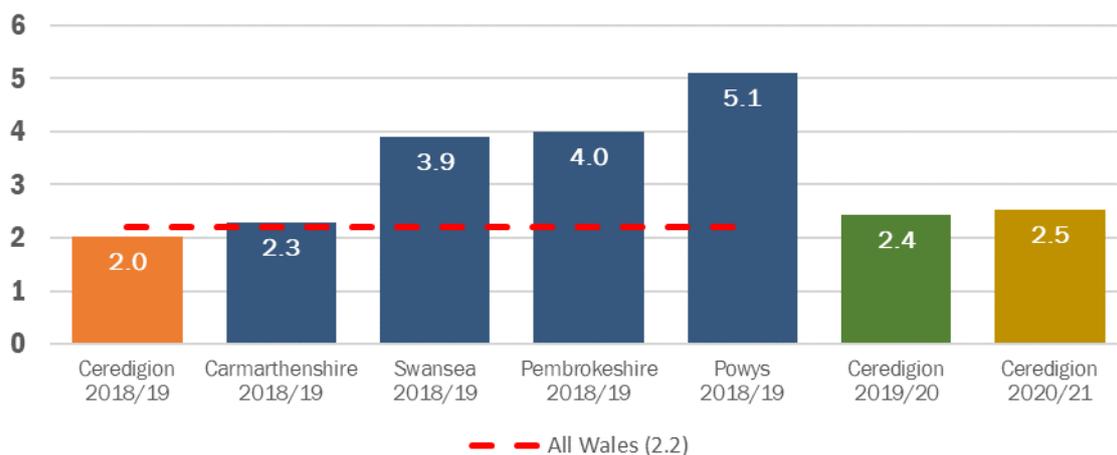
▼ Percentage



Fly-tipping

Average number of working days taken to clear fly-tipping incidents

▼ Number



Following the suspension of the Performance Accountability Measures due to the COVID-19 pandemic, the last full year of collection was 2019/20. The table below provides a summary of our performance between 2017/18 and 2019/20, along with a comparison against our targets.

Ref	Description	2017/18 Result	2018/19 Result	2018/19 Quartile Position	2018/19 All Wales	2018/19 Trend	2019/20 Result	2019/20 Target	2019/20 Trend	Status
Education										
PAM/032	Capped 9 score	380.08	373.73	1	349.5	▼	382.78	350.00	▲	★
PAM/007	Percentage of pupil attendance in primary schools	95.3%	95%	1	94.6%	▼	95.25%	95.0%	▲	★
PAM/008	Percentage of pupil attendance in secondary schools	94.9%	94.53%	1	93.9%	▼	94.31%	94.80%	▼	●
PAM/009	Percentage of Year 11 leavers not in Education, Training or Employment (NEET)	0.8%	0.8%	1	1.6%	◄►	-	-	-	-
PAM/033	Percentage of pupils assessed in Welsh at the end of the Foundation Phase	-	57.45%	-	-	-	74.79%	74.00%	▲	★
PAM/034	Percentage of year 11 pupils studying Welsh (first language)	-	62.92%	-	-	-	63.43%	62.00%	▲	★
Environmental Services										
PAM/010	Percentage of streets that are clean	89.2%	94.9%	3	93.9%	▲	90.6%	95.0%	▼	●
PAM/035	Average number of working days taken to clear fly-tipping incidents	2.29	2.03	2	2.20	-	2.51	5.00	▼	★
Housing										
PAM/012	Percentage of households successfully prevented from becoming homeless	71.5%	57.9%	3	67.9%	▼	69.44%	65.00%	▲	★
PAM/013	Percentage of empty private properties brought back into use	1.9%	1.2%	4	4.6%	▼	0.57%	0.02%	▼	★
PAM/015	Average number of calendar days taken to deliver a Disabled Facilities Grant	228	220	3	207	▲	311.87	250.00	▼	▲
Leisure and Culture										
PAM/040	Percentage of Quality Indicators (with targets) achieved by the library service	77.5%	97.50%	2	80.3%	▲	N/A	95.00%	-	-
PAM/017	Number of visits to leisure centres per 1,000 population	6,986	5,201	4	9,116	▼	6,689	1,300	▲	★
PAM/041	Percentage of NERS clients who completed the exercise programme	-	65.27	-	-	-	88.89%	65.00%	▲	★
PAM/042	Percentage of NERS clients whose health had improved on completion of the exercise programme	-	97.84%	-	-	-	N/A	95.00%	-	-

Benchmarking Our Performance (continued)

Ref	Description	2017/18 Result	2018/19 Result	2018/19 Quartile Position	2018/19 All Wales	2018/19 Trend	2019/20 Result	2019/20 Target	2019/20 Trend	Status
Planning										
PAM/018	Percentage of all planning applications determined in time	71.0%	72.9%	4	88.0%	▲	65.34%	75.00%	▼	●
PAM/019	Percentage of planning appeals dismissed	83.3%	50.0%	4	67.6%	▼	100.0%	75.0%	▲	★
Highway Services										
PAM/020	Percentage of A roads in poor condition	4.4%	4.7%	4	3.9%	▼	4.2%	3.5%	▲	▲
PAM/021	Percentage of B roads in poor condition	3.1%	3.5%	1	4.5%	▼	3.0%	3.5%	▲	★
PAM/022	Percentage of C roads in poor condition	17.5%	17.3%	4	14.0%	▲	17.1%	16.0%	▲	▲
Public Protection										
PAM/023	Percentage of food establishments that meet food hygiene standards	92.93%	94.83%	3	95.69%	▲	N/A	90.0%	-	-
Social Score										
PAM/025	Rate of people kept in hospital while waiting for social care per 1,000 population aged 75+	-	3.75	-	4.9	-	11.87	4.00	▼	▲
PAM/028	Percentage of child assessments completed in time	-	87.04%	-	88.9%	-	87.68%	75.00	▲	★
Waste Services										
PAM/030	Percentage of waste reused, recycled or composted	63.7%	60.34%	4	62.79%	▼	71.57%	58.00%	▲	★
PAM/043	Kilograms of residual household waste generated per person	240	186	4	180	▲	130	185	▲	★

Key to symbols:

- ★ Target met or exceeded
- Just short of target (<=5%)
- ▲ Below target (>5%)

- ▲ Performance improved compared to previous year
- ◄ Performance the same as last year
- ▼ Performance decreased compared to previous year

Quartile:

- 1 Performance amongst the top 25% of Councils
- 2 Performance amongst the 2nd 25% of Councils
- 3 Performance amongst the 3rd 25% of Councils
- 4 Performance amongst the lowest 25% of Councils



Produced by Ceredigion County Council Performance and Research Team



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Cyngor Sir CEREDIGION County Council

REPORT TO: Overview and Scrutiny Coordinating Committee

DATE: 15 September 2021

LOCATION: Remotely by Video Conference

TITLE: Report on the Council's use of the Regulation of Investigatory Powers Act 2000 ('RIPA')

PURPOSE OF REPORT: Information & Recommendation

REASON SCRUTINY HAVE REQUESTED THE INFORMATION: To undertake its 6 monthly review of the Council's use of RIPA, to consider whether the use of RIPA is being used consistently with the Council's RIPA PART II Directed Surveillance, Covert Human Intelligence Sources and Communications Data Corporate Policy & Procedures Document ('RIPA Policy'), to ensure compliance with the Investigatory Powers Commissioner's Office ('the IPCO') recommendations, to consider changes to the Council's RIPA Policy and consider the draft Council's RIPA Social Media Policy.

BACKGROUND:

A Report was last brought to the Committee on the 20th of January 2021 (see 20th January 2021 Report with attached draft RIPA Policy attached at <https://www.ceredigion.gov.uk/your-council/councillors-committees/committees/coordinating/?year=2021&date=20%2F01%2F2021>).

Monitoring by Members

The role of the Overview & Scrutiny Co-ordinating Committee is to review the Council's use of RIPA, and consider internal reports on the use of RIPA to ensure that it is being used consistently with the Council's Policy, and that Members should not be involved in making decisions on specific authorisations. The Home Office Code of Practice recommended that such reviews should take place at least quarterly.

CURRENT SITUATION

1) RIPA Activity

There has been no RIPA activity by any service of the Council during the period of the 1st December 2020 to 12th August 2021. Authorising Officers have confirmed that they have not considered any RIPA applications during this time.

2) Data handling and retention safeguards

As confirmed in the 20th January 2021 Committee Report (see above), in consideration of the April 2020 letter from IPCO relating to Assurance of data handling and retention safeguards, a review is ongoing relating to storage, retention and disposal procedures, to ensure compliance with the IPCO requirements, and in particular ensure compliance with the Council's Information & Management Policy: <https://cerinet.ceredigion.gov.uk/media/2725/information-and-records-management-policy-v20.pdf>

A data audit by Archives & Information Management is also ongoing, the results of which shall be used to assist in the development of the Corporate Retention Schedule to include details of the Corporate Services that use RIPA. The data audit is taking place over a 4-month period from August to November 2021, Staff training for relevant Officers is being provided during August 2021 and a guidance document on the Data Audit has also been prepared.

3) Corporate RIPA Policy and Procedures

A draft RIPA Policy (with 'tracked changes' highlighting proposed amendments) was presented to the Committee on 20th January 2021. Since then, the RIPA Policy has been further updated to make reference to the requirements contained in the IPCO letter of April 2020 (see **Appendix 3**) relating to the assurance of data handling and retention safeguards.

Details of the proposed amendments to the Policy, made in consideration of the IPCO letter and recommendations from ongoing training providers and NAFN, are contained within the revised version of the RIPA Corporate Policy and Procedures document (see **Appendix 1**).

It was also considered necessary, due to the significant changes in associated relevant legislation and Codes, to review the format of the RIPA Policy.
The main changes made are listed below:

- a) A restructure of the RIPA Policy, by grouping together the relevant sections relating to Directed Surveillance, a CHIS and Communications Data thematically for ease of reference, as follows:
 - Council's Policy Statement
 - Pat 1 – Introduction to Surveillance Regulated by Chapter 2 of RIPA
 - Part 2 – Directed Surveillance
 - Part 3 – Covert Human Intelligence Source ('CHIS')
 - Part 4 – Records, Data Handling, Retention Safeguards, Errors and Complaints
 - Part 5 – Communications Data
 - Part 6 – Non-RIPA Surveillance
 - Schedule 1 – Relevant Legislation
- b) Updating references to the relevant Codes and legislation;
- c) Inserting reference to the Council's new RIPA Social Media Policy (**Appendix 2**) and moving relevant guidance from the RIPA Policy to the RIPA Social Media Policy;
- d) Including reference to the Covert Surveillance Social Media and On-Line Persona

Information requested from Officers, record of information and procedure for providing information;

- e) Updating the details of relevant Officers, including those of the Authorising Officer and Approved Rank Officer;
- f) Removing the Forms, saving the sample forms as separate documents and updating the guidance within the sample forms. Updating reference to availability of forms as on Councils CeriNet intranet site, and from SRO/SRO Representative (Governance Officer);
- g) Updating the point of contact for relevant procedures/guidance e.g. reference to SRO and SRO's Representative;
- h) Updating reference to the Senior Responsible Officer for Communications Data – Corporate Lead Officer – Legal & Governance/Monitoring Officer;
- i) Developing Part 4 - records, data handling, retention safeguards, errors and complaints, including reference to central register of authorisations;
- j) Updating the Section on Communications Data (Part 5) further to advice from NAFN e.g. emphasis on role of NAFN's SPOC; and
- k) Formatting and stylistic changes.

4) RIPA Social Media Policy and use of internet/social media

The use of internet and social media has been addressed comprehensively within the RIPA Policy (see **Appendix 1**). An additional section has been added relating to on-line personas or pseudonyms.

There are currently no services undertaking either overt or covert surveillance using personas/pseudonyms. Several open profiles are in use for communication purposes on social media platforms.

It was considered necessary to draft a RIPA Social Media Policy, as a stand-alone document, on the use of social media in surveillance.

The draft RIPA Social Media Policy is attached (see **Appendix 2**). This is a separate document to be read in conjunction with the RIPA Policy and includes:

- An explanation of terms, including Surveillance (both 'overt' and 'covert') and Social Media;
- Information on Privacy Settings;
- Details of Surveillance Procedures (including example scenarios);
- Details on Recording Information, Data Handling and Retention Safeguards; and
- A Schedule of relevant legislation, codes of practice, policies & guidance.

The outcome of the IPCO's last inspection response of 30 August 2019 was confirmed to the Committee on 14th November 2019

(http://www.ceredigion.gov.uk/cpd/Democratic_Services_Meetings_Public/PapurC.Enclosure_C.14.11.2019.pdf). The IPCO stated that:

'Any systematic, repeated viewing of an individual's online presence, covertly, and which may engage privacy considerations, requires the consideration of a RIPA authorisation.

The use of on-line personas:

The key guidance from the IPCO would be to ensure that where these are permitted to be

used corporately, that there is a named individual who will maintain a register of these pseudonyms, together with details of which departments or personnel can use them/sanction their use. A regular check should then be made of any such usage, including being able to review which media sites have been visited, when, for what purpose, and what has been done with any resultant product.'

An email was sent by the Council's Senior Responsible Officer for RIPA to relevant services confirming future requirements, in compliance with recommendations from the IPCO (see also the IPCO April 2020 recommendations letter at **Appendix 3**), as well as:

- a) the requirement to follow the RIPA Policy procedures (including for Officers to consider whether a RIPA Authorisation is needed, fill in the appropriate form(s) & obtain the relevant Authorisation); and
- b) the need for effective monitoring of covert social media/on-line surveillance, when that surveillance is likely to obtain a person's private information (whether the covert surveillance is RIPA surveillance OR non-RIPA surveillance).

The requirements are that from 1st July 2021, each relevant Service will be required to:

1. Record relevant information/data;
2. Identify a Designated Officer in the Service to collate the information;
3. Provide this data to the Designated Officer; and
4. The Designated Officer is to provide this information to the SRO or SRO Representative every 4 months.

The Covert Surveillance Social Media and On-Line Persona Information requested from Officers has also been included in the Council's RIPA Policy.

The first request for information/data, covering the period 1st July 2021-31st October 2021. will be made on 1st November 2021.

5) Training

On 9th February, a comprehensive ½ day remote Training Workshop provided by external providers was offered to relevant Officers (25 attendees) on RIPA, which included training on:

- RIPA legislation;
- Directed Surveillance & use of a CHIS;
- Employee Surveillance;
- Surveillance/Monitoring;
- Human Rights issues;
- Collateral intrusion & proportionality;
- The Forms & applications; and
- Social Media;

All the Authorising Officers (see 6)(a) below) have attended recent RIPA Training and further training is also being offered. Training is also being offered to the Chief Executive Authorising Officer (see 6)(b) below).

6) Authorising Officers/Approved Rank Officers

(a) The current Authorising Officers for Directed Surveillance, CHIS authorisations and non-RIPA authorisations are:

- The Corporate Lead Officer: Policy, Performance and Public Protection;
- The Corporate Lead Officer: People & Organisation; and
- The Statutory Director of Social Service & Corporate Lead Officer: Porth Cynnal

(b) The Chief Executive is the Authorising Officer to grant authorisations in respect of confidential or privileged information, relating to the covert filming of any Elected Member, Corporate Director or Corporate Lead Officer, or relating to surveillance of juveniles or vulnerable people.

(c) The current Approved Rank Officer for Communications Data is:

1. Corporate Lead Officer: Policy, Performance & Public Protection;

Alternative substitutes (if Approved Rank Officer at 1. above unavailable) are;

- Corporate Lead Officer: People and Organisation; and
- Corporate Lead Officer: Porth Cynnal.

**Has an Integrated Impact Assessment been completed? No
If, not, please state why**

Summary: *This report is provided on for information purposes and does not represent a change in policy or strategy*

Long term: Planning for the long term in compliance with statutory requirements and development of long term policies for benefit of staff and the Local Authority. Consideration of accountability and well-being goals (e.g. globally responsible Wales – improvements to economic/social wellbeing, and cohesive community – safe and well-connected community) in benefits of having clear and robust RIPA Policy and RIPA Social Media Policy for Staff;

Integration: Amendments take into account Legislation changes and guidance.

Collaboration: Liaising with training providers.

WELLBEING OF FUTURE GENERATIONS:

Involvement: To ensure that access to the Council's RIPA Policy and RIPA Social Media Policy is afforded to all Employees, and to facilitate transparency and openness within the organisation.

Prevention: To ensure that the Council's RIPA Policy remains updated and fit for purpose, and to approve the Council's RIPA Social Media Policy, to ensure appropriate rules and guidance in place for Officers.

RECOMMENDATION(S):

That the Committee:

- 1) Notes the content of the Report;
- 2) Notes that there has been no RIPA activity by any service of the Council during the period of the 1st of December 2020 to the 12th of August 2021; and
- 3) Notes the contents of the draft amended Corporate RIPA Policy and Procedures Document (**Appendix 1**) and the draft RIPA Social Media Policy (**Appendix 2**), and recommends that Council approves these documents.

REASON FOR RECOMMENDATION(S):

The recommendations are necessary to reflect changes in statutory guidance and legislation, and regulators' requirements.

1. POLICY:

To promote the wellbeing of the citizens of Ceredigion as a place where people can live in a high quality and safe environment.

2. BUDGET:

No budgetary constraints.

3. HUMAN RIGHTS ACT:

Compliant

4. STATUTORY

- 1) Regulation of Investigatory Powers Act 2000 ('RIPA')
- 2) Revised Code of Practice for Covert Surveillance and Property Interference 2018 (Code of Practice)

APPENDICES:

- **Appendix 1**- Amended draft Corporate RIPA Policy and Procedures Document;
- **Appendix 2**- Draft RIPA Social Media Policy; and
- **Appendix 3** – The IPCO letter of April 2020

Contact Name: Elin Prysor
Designation: Corporate Lead Officer - Legal and Governance (& Monitoring Officer)
Date of Report: 12 August 2021
Acronyms: N/A



**CYNGOR SIR CEREDIGION
CEREDIGION COUNTY COUNCIL**

**REGULATION OF INVESTIGATORY
POWERS ACT 2000 ('RIPA') PART II**

**Directed Surveillance, Covert Human Intelligence
Sources and Communications Data**

CORPORATE POLICY & PROCEDURES DOCUMENT

- **Adopted by Council 5th March 2020**
- **Revised by SRO July 2021**

INDEX

<u>Contents</u>	<u>Page(s)</u>
Covert Surveillance Policy Statement	4
 <u>PROCEDURE</u>	
PART 1 – Introduction to Surveillance Regulated by Chapter 2 of RIPA	6
PART 2 – Directed Surveillance	10
• Meaning of ‘Directed Surveillance’:	
○ Key points to note	11
○ Flowchart 1 – Are you conducting ‘Directed Surveillance’?	17
○ Meaning of ‘Intrusive Surveillance’ (Local Authorities cannot authorise Intrusive Surveillance)	18
○ Flowchart 2 – Are you doing ‘Intrusive Surveillance’?	20
• Limitations on the use of Directed Covert Surveillance	21
○ Enhanced authorisation levels	
○ Urgent cases	22
• Procedure for applying for a Directed Surveillance Authorisation	23
○ Role of the Investigating Officer – Applicant	
○ Completing the Forms	
○ The Role of the Authorising Officer	24
○ Renewals	25
○ Reviews	
○ Cancellations	26
○ Flowchart 3 – Basic Lifecycle of a Directed Surveillance Authorisation	27
○ Guidance for Authorising Officers on Authorising Directed Surveillance Applications	28
- Time Limits	
- Authorising Officer’s Considerations	
- Flowchart 4 - Authorising Directed Surveillance	32
○ Seeking Magistrate’s Approval for Directed Surveillance Application (Judicial Approval)	33
- Flowchart 5 – the Magistrate’s Approval Process;	35
PART 3 – Covert Human Intelligence Source (‘CHIS’)	36-48
• Meaning of a ‘CHIS’	36
○ Underage Sales	
○ Key Points to Note	
○ Flowchart 6 – Are you deploying a CHIS?	38
• Procedure for obtaining authorisation for a CHIS under RIPA	39
○ Use of Juvenile CHIS	
○ Online Covert Activity – RIPA Social Media Policy	
○ Completing the Forms	
○ The lifecycle of a CHIS Authorisation	40
• Guidance for Authorising Officers on authorising a CHIS: rules and criteria	41
○ The Authorising Officer	
○ Authorising Officer’s Considerations	42
○ Flowchart 7 – Authorising a CHIS	44
• Seeking Magistrate’s Approval for a CHIS (Judicial Approval)	45
○ Background	
○ Home Office Guidance	
○ Magistrate’s Approval Process	
○ Magistrate’s Options	46
○ Appeals	

○ Flowchart 8 – the Magistrate’s Approval Process (CHIS)	47
● Time Limits	48
PART 4 - Records, Data Handling, Retention Safeguards, Errors and Complaints	49-57
● The Central Register of Authorisations	49
● Assurance of Data Handling and Retention Safeguards;	50
○ The data pathway retention, review and disposal process	
○ Dissemination of information	51
○ Copying	53
○ Storage	
○ Deletion & Destruction	
○ Confidential and Legally Privileged Material	
○ Marking	54
● Errors	
● Complaints	57
PART 5 - Communications Data	58-72
● Meaning of ‘Communications Data’	58
● Interception of Communications Data	63
● Obtaining Communications Data through NAFN’s SPOC	64
● Authorising Agency: Office for Communications Data Authorisations	66
● The Council’s SRO for Communications Data	
● Communications Data Errors	67
● Authorising the Acquisition of Communications Data	69
● Time Limits	70
● The Approved Rank Officer	
● Notification in criminal proceedings	
● The Central Register of Authorisations – Communications Data	71
● Complaints	72
PART 6 - Non-RIPA Surveillance	73-79
● Meaning of ‘non-RIPA Surveillance’	73
● Why carry out non-RIPA Surveillance?	
○ Crimes not carrying six months imprisonment	
○ Employee Surveillance	
● Online covert activity-Internet and Social Networking Sites (‘SNS’)	75
● Human Rights Legislation Compliance	
● Data Protection Legislation Compliance	
● Data Protection Employment Practices Code of Practice	76
● Authorising Officers for Non-RIPA Surveillance	77
● Non-RIPA Surveillance Authorisation Form	
● Flowchart 9 – Authorising non-RIPA Surveillance	78
● Flowchart 10 – Non RIPA Surveillance - Basic Lifecycle of a Directed Surveillance Authorisation	79
Schedule 1 – Relevant Legislation	80

CEREDIGION COUNTY COUNCIL COVERT SURVEILLANCE - POLICY STATEMENT

Introduction

1. Ceredigion County Council ('the Council') is committed to building a fair and safe community for all by ensuring the effectiveness of laws designed to protect individuals, businesses, the environment and public resources.
2. The Council recognises that most organisations and individuals appreciate the importance of these laws and abide by them. The Council will use its best endeavours to help them meet their legal obligations without unnecessary expense and bureaucracy.
3. At the same time, the Council has a legal responsibility to ensure that those who seek to flout the law are the subject of firm but fair enforcement action. Before taking such action, the Council may need to undertake covert surveillance of individuals and/or premises to gather evidence of illegal activity.

Procedure

4. All covert surveillance shall be undertaken in accordance with the procedures set out in this document.
5. Ceredigion County Council shall ensure that covert surveillance is only undertaken where it complies fully with all applicable laws; in particular the:
 - The Human Rights Act 1998;
 - The Regulation of Investigatory Powers Act 2000 ('RIPA');
 - Protection of Freedoms Act 2012;
 - The Investigatory Powers Act 2016 ('IPA 2016'); and
 - The Data Protection Act 2018.
6. The Council shall, in addition, have due regard to all secondary legislation (including Regulations and orders), official guidance and codes of practice, particularly those issued by the Home Office, the Office of the Surveillance Commissioners ('OSC'), the Security Camera Commissioner and the Information Commissioner.
7. In particular, the following guiding principles shall form the basis of all covert surveillance activity undertaken by the Council:
 - Covert surveillance shall only be undertaken where it is absolutely necessary to achieve the desired aims;
 - Covert surveillance shall only be undertaken where it is proportionate to do so and in a manner that it is proportionate;
 - Adequate regard shall be had to the rights and freedoms of those who are not the target of the covert surveillance;
 - All authorisations to carry out covert surveillance shall be granted by appropriately trained and designated Authorising Officers; and
 - Covert surveillance (regulated by The Regulation of Investigatory Powers Act 2000 ('RIPA')) shall only be undertaken after obtaining judicial approval.

Training and Review

8. All Council officers undertaking covert surveillance shall be appropriately trained to ensure that they understand their legal and operational obligations. Officers should be competent and confident in the RIPA roles they perform. Refresher training should be provided and undertaken as necessary, to include practical exercises and account taken of any legislative changes. Training should also include guidance on completion of application forms.
9. Regular audits shall be carried out to ensure that Officers are complying with this policy.
10. This policy should be reviewed at least once a year, to ensure it remains fit for purpose.
11. The operation of the Council's RIPA activity shall be overseen and monitored by the Council's Overview and Scrutiny Co-ordinating Committee, by receiving reports every six months.

Conclusion

12. All citizens will reap the benefits of this Policy, through effective enforcement of criminal and regulatory legislation and the protection that it provides.
13. Adherence to this Policy will minimise intrusion into citizens' lives and will avoid any legal challenge to the Council's covert surveillance activities.
14. Any questions relating to this policy should be addressed to the Corporate Lead Officer-Legal & Governance (Monitoring Officer & Senior Responsible Officer).

Date

PART 1 – INTRODUCTION TO SURVEILLANCE REGULATED BY CHAPTER 2 OF RIPA

The Regulation of Investigatory Powers Act 2000 ('RIPA') regulates covert investigations by a number of bodies, including local authorities. It was introduced to ensure that individuals' rights are protected while also ensuring that law enforcement and security agencies have the powers they need to do their job effectively.

Ceredigion County Council ('the Council') is therefore included within the legislative framework with regard to the authorisation of directed surveillance, the use of covert human intelligence sources and accessing communications data.

Some sections of RIPA have been repealed and replaced by the Investigatory Powers Act 2016 ('IPA 2016'). As well as RIPA itself, several sets of Regulations have been produced along with three Home Office Codes of Practice.

The Council has had regard to the Codes of Practice produced by the Home Office, the procedures and guidance produced by Office of Surveillance Commissioners and Codes of Practice issued by the Information Commissioners in preparing this guidance and each Department should hold copies to which staff can refer.

Objectives of this document

The objective of this document is to ensure that all covert surveillance (as defined by RIPA and associated legislation and guidance) conducted by Council Officers is carried out appropriately and on a lawful basis. This document should be read in conjunction with the Home Office Revised Code of Practice on Covert Surveillance and Property Interference 2018, Covert Human Intelligence Sources, Camera Code of Practice and the Investigatory Powers Commissioner's Office (formerly Office of Surveillance Commissioners) Procedures and Guidance. Schedule 1 (below) lists current legislation and guidance that must be read in conjunction with this document, but this list is not exhaustive.

If the procedures outlined in this Policy are not followed, any evidence acquired as a result of surveillance activities may be susceptible to a human rights challenge. It may therefore not be admissible in Court, and the Council is unlikely to take proceedings based on such evidence. The Council may also be exposed to legal action by individuals who claim that their human rights to privacy and respect for family life will have been abused. See 'Dealing with complaints from the public' below.

Scope of this document

This document explains the Council's statutory responsibility to comply with RIPA, and associated legislation. It provides guidance and sets out the Council's procedures and matters to consider in relation to the following:

- Directed surveillance – see Part 2 below;
- A Covert Human Intelligence Source ('CHIS') – see Part 3 below; and
- Acquisition of Communications Data (through NAFN's SPOC) – see Part 5 below.

Parts 1 - 3 of this Policy only apply where surveillance is covert and directed i.e. where the individual or individuals are not aware at the time of surveillance that surveillance is being carried out. The purpose of these parts are to help officers decide what type of surveillance they are undertaking, whether it is regulated by Chapter 2 of RIPA, confirm the relevant procedures and provide guidance.

Part 4 deals with the keeping of records, data handling, retention safeguards & dealing with complaints and errors.

Separate non-RIPA guidance is also set out (see Part 6 below) below for observations or surveillance which are not carried out covertly.

The Information Commissioner has issued a separate Code of practice on the use of CCTV surveillance (available at: <https://ico.org.uk/media/1542/cctv-code-of-practice.pdf>).

Ceredigion County Council's statutory responsibility

The Council has a statutory responsibility to comply with the Human Rights Act 1998, which contains the Articles and Protocols of the European Convention for the Protection of Human Rights ('ECHR') that are deemed to apply in the UK. Since the UK's withdrawal from the European Union, a review is being undertaken in relation to the Human Rights Act 1998 but it currently remains in force.

Section 6 of the Human Rights Act 1998 makes it unlawful for the Council to act in any way that is incompatible with the ECHR.

Article 8 ECHR provides that:

- Everyone has the right to respect for his private and family life, his home and his correspondence; and
- There shall be no interference by a public authority with the exercise of this right except such as is:
 - a) In accordance with the law; and
 - b) Necessary in a democratic society in the interests of public safety, prevention of disorder or crime, protection of health or morals and protection of the rights and freedoms of others.

Therefore, surveillance will breach a person's human rights unless it is authorised under RIPA. RIPA provides the legal framework for lawful interference.

Obtaining authorisation to conduct surveillance in accordance with RIPA helps to protect the Council and its officers from complaints of interference with the rights protected by Article 6 and Article 8(1) ECHR, which is now enshrined in English law through the Human Rights Act 1998. This is to ensure any interference with the private life of citizens will be '*in accordance with the law*'.

Provided activities undertaken are also '*necessary and proportionate*' (see subsequent parts in this document for further details) they will not be in contravention of Human Rights legislation.

Information is considered private information if it includes any information relating to the subject's private or family life or the private or family life of any other person. It would include any aspect of a person's private or personal relationship with others, including family and professional or business relationships. Private information may include personal data, for example, names, telephone numbers and address details.

For example, where two people hold a conversation on the street they may have a reasonable expectation of privacy over the contents of that conversation. However, a directed surveillance authorisation may be required if a public authority's records or listens to the conversation as part of a specific investigation or operation.

Therefore, '*private information*' may be acquired through authorised covert directed surveillance even where a person is in a public place and may have a reduced expectation of privacy.

Furthermore, information relating to the private life of an individual may be obtained when a number of records are analysed together, or where a number of pieces of information are obtained, covertly, for the purpose of making a record about a person or for data processing to generate further information.

The totality of the information may constitute private information even if the individual records do not. For example, enforcement officers may photograph the exterior of business premises for record purposes without the need for a RIPA authorisation. If, however, the officers wished to establish a pattern of occupancy of those premises by any person and took photographs on a number of occasions, that conduct would likely result in the obtaining of private information and thus compliance with RIPA would be required.

The role of Elected Members

The statutory Codes of Practice issued pursuant to RIPA, namely the revised Covert Surveillance and Property Interference Code Practice 2018, states that elected Members should review the Council's use of RIPA and set the Policy at least once a year.

Members should also consider internal reports on the use of RIPA on a regular basis to ensure that it is being used consistently with the Council's policy and that the policy remains fit for purpose.

The role of the Senior Responsible Officer ('SRO')

The statutory Codes of Practice issued pursuant to RIPA, namely the revised Covert Surveillance and Property Interference Code of Practice 2018 considers that councils should appoint an SRO.

Ceredigion County Council's SRO is the Corporate Lead Officer-Legal & Governance/Monitoring Officer. The SRO should be able to advise Officers on the RIPA procedure and be responsible for:

1. The integrity of the process in place within the public authority to authorise directed surveillance, the use of covert human intelligent sources and interference with property or wireless telegraphy;
2. Compliance with Chapter 2 of RIPA and with the relevant codes; and
3. Engagement with the Commissioners and inspectors when they conduct their inspections, and where necessary, overseeing the implementation of any post inspection action plans recommended or approved by a Commissioner.

In addition, the SRO will be responsible for overseeing and co-ordinating:

1. The submission of quarterly reports detailing RIPA activity, to the Overview and Scrutiny Co-ordinating Committee;
2. The annual review by the Overview and Scrutiny Co-ordinating Committee of this Policy;

3. The identification of issues in the oversight process, to enable analysis of issues, evidencing results, and ensuring subsequent feedback into the RIPA training, to ensure these matters are corporately addressed;
4. The formal oversight of the RIPA process within the Council, including identifying individual and corporate training needs, and dissemination of information; and
5. Maintaining online persona/pseudonyms Register including details of services/individuals who can use/sanction them.

The role of the Investigatory Powers Commissioner's Office ('IPCO')

The IPA 2016 provides for an Investigatory Powers Commissioner (*the Commissioner*), whose remit includes providing comprehensive oversight of the use of the powers to which this code applies, and adherence to the practices and processes described in it.

The IPCO acts as the regulatory body in respect of the Directed Surveillance, Covert Human Intelligence Source aspects of RIPA and Communications Data. This Office conducts inspections of local authorities to ensure they are compliant with RIPA insofar as authorisations for directed surveillance and use of covert human intelligence sources is concerned. The IPCO does not give legal advice, although guidance may be given, when appropriate to request originating from the Senior Responsible Officer of a public authority.

Further information about the Investigatory Powers Commissioner, their office and their work may be found at: www.ipco.org.uk.

The role of the Information Commissioners Office ('ICO')

The ICO is the UK's independent authority set up to uphold information rights in the public interest, promoting good practice, openness by public bodies, data privacy for individuals and providing advice on standards. Audits also look at the way organisations handle requests for information under the Freedom of Information Act 2000.

PART 2 – DIRECTED SURVEILLANCE

Chapter 2 of RIPA sets out a regulatory framework for the use of covert investigatory techniques by public authorities to ensure that they are compatible with the ECHR, particularly Article 8 (the right to respect for private and family life).

The first issue for any local authority officer who is considering undertaking covert surveillance is what type of surveillance they are undertaking, and **whether it is something that can be authorised under RIPA**. Directed Surveillance is one of the two surveillance techniques available to the Council under Part 2 of Chapter 2 of RIPA. The second available technique is a CHIS, but the third, Intrusive Surveillance, cannot be authorised by the Council.

The Covert Surveillance and Property Interference Revised Code of Practice 2018 confirms at paragraph 2.2 and 2.3 that:

‘Surveillance, for the purpose of the 2000 Act, includes monitoring, observing or listening to persons, their movements, conversations or other activities and communications. It may be conducted with or without the assistance of a surveillance device and includes the recording of any information obtained

Surveillance is covert if, and only if, it is carried out in a manner calculated to ensure that any persons who are subject to the surveillance are unaware that it is or may be taking place.’

Meaning of ‘Directed Surveillance’

Directed Surveillance is defined in S.26 (2) of RIPA:

‘Subject to subsection (6), surveillance is directed for the purposes of this Part if it is covert but not intrusive and is undertaken –

- (a) for the purposes of a specific investigation or a specific operation;*
- (b) in such a manner as is likely to result in the obtaining of private information about a person (whether or not one specifically identified for the purposes of the investigation or operation); and*
- (c) otherwise than by way of an immediate response to events or circumstances the nature of which is such that it would not be reasonably practicable for an authorisation under this Part to be sought for the carrying out of the surveillance.’*

Typically, local authorities may use Directed Surveillance when investigating benefit fraud, trading standards offences or antisocial behaviour. This may involve covertly filming or following an individual or monitoring their activity in other ways.

Before undertaking any covert surveillance activity, an investigating officer must ask (and have an affirmative answer to) five questions before the activity can be classed as Directed Surveillance:

- Is the surveillance, actually ‘surveillance’ as defined by RIPA?
- Will it be done covertly?
- Is it for a specific investigation or a specific operation?
- Is it likely to result in the obtaining of private information about a person?
- Will it be done, otherwise than in an immediate response to events?

See **Flowchart 1 below** to assess when deciding if surveillance is directed.

Key Points to Note:

- A. **General observations** do not constitute Directed Surveillance. The revised Covert Surveillance and Property Interference Code of Practice 2018 (at Paragraph 3.33) states:

‘The general observation duties of many law enforcement officers and other public authorities do not require authorisation under the 2000 Act, whether covert or overt. Such general observation duties frequently form part of the legislative functions of public authorities, as opposed to the pre-planned surveillance of a specific person or group of people. General observation duties may include monitoring of publicly accessible areas of the internet in circumstances where it is not part of a specific investigation or operation’

- B. Surveillance is only directed if it is **covert**. The revised Covert Surveillance and Property Interference Code of Practice 2018 (at Paragraph 2.3) states (per 26(9)(a) RIPA):

‘Surveillance is covert if, and only if, it is carried out in a manner that is calculated to ensure that persons who are subject to the surveillance are unaware that it is or may be taking place’

This requires investigating officers to consider the manner in which the surveillance is going to be undertaken. If it is done openly, without making any attempt to conceal it or a warning letter is served on the target before the surveillance is done, then it will not be covert.

- C. The definition of **‘private information’** is very wide. The revised Covert Surveillance and Property Interference Revised Code of Practice 2018 states:

‘3.3 The 2000 Act states that private information includes any information relating to a person’s private or family life. Private information should be taken generally to include any aspect of a person’s private or personal relationship with others, including family and professional or business relationships. Information which is non-private may include publicly available information such as books, newspapers, journals, TV and radio broadcasts, newswires, web sites, mapping imagery, academic articles, conference proceedings, business reports, and more. Such information may also include commercially available data where a fee may be charged, and any data which is available on request or made at a meeting to a member of the public. Non-private data will also include the attributes of inanimate objects such as the class to which a cargo ship belongs.’

3.4 Whilst a person may have a reduced expectation of privacy when in a public place, covert surveillance of that person’s activities in public may still result in the obtaining of private information. This is likely to be the case where that person has a reasonable expectation of privacy even though acting in public and where a record is being made by a public authority of that person’s activities for future consideration or analysis. Surveillance of publicly accessible areas of the internet should be treated in a similar way, recognising that there may be an expectation of privacy over information which is on the internet, particularly where accessing information on social media websites’

There is a common misconception that if investigating officers are watching someone covertly in a public place or observing activities in an office or business premises that

there is no private information likely to be obtained and so there is no Directed Surveillance. The above sections of the code make it extremely unlikely that a public authority will be able to successfully argue that surveillance will never result in private information being obtained.

- D. Where covert surveillance needs to be done in an **emergency** and there is no time to authorise the activity (i.e. an urgent response to events), the surveillance can still be done but it will not require Directed Surveillance authorisation. Nonetheless, it is important to note that it would be very unlikely that these circumstances would apply to the Council, as, if challenged, the Council would be required to demonstrate that it was an immediate response to events and not reasonably practicable for the authorisation to be sought. This course of action is not recommended and if it is considered that there is an emergency situation, advice from the SRO should be sought immediately.

The revised Covert Surveillance and Property Interference Revised Code of Practice 2018 (at Paragraph 3.32) states:

‘Covert surveillance that is likely to reveal private information about a person but is carried out by way of an immediate response to events such that it is not reasonably practicable to obtain an authorisation under the 2000 Act, would not require a directed surveillance authorisation. The 2000 Act is not intended to prevent law enforcement officers fulfilling their legislative functions. To this end section 26(2)(c) of the 2000 Act provides that surveillance is not directed surveillance when it is carried out by way of an immediate response to events or circumstances the nature of which is such that it is not reasonably practicable for an authorisation to be sought for the carrying out of the surveillance.’

The Covert Surveillance and Property Interference Revised Code of Practice 2018 gives the example of an authorisation under RIPA not being appropriate where police officers conceal themselves to observe suspicious persons that they come across in the course of a routine patrol or monitor social media accounts during a public order incident.

E. Online Covert Activity

The Council’s RIPA Social Media Policy (available at [\[enter link\]](#)) sets out what the Revised Covert Surveillance and Property Interference Code of Practice states regarding online covert activity, and its relevant advice to assist Officers in understanding when a RIPA authorisation may be required. See the Council’s RIPA Social Media Policy for the Council’s requirements and guidance regarding on-line personas.

The Covert Surveillance and Property Interference Revised Code of Practice 2018 (at Paragraph 3.10) states that:

“The growth of the internet and the extent of the information that is now available online, presents new opportunities for public authorities to view or gather information which may assist them in preventing or detecting crime or carrying out other statutory functions, as well as in understanding and engaging with the public they serve. It is important that public authorities are able to make full and lawful use of this information for their statutory purposes. Much of it can be accessed without the need for RIPA authorisations; use of the internet prior to an investigation should not normally engage privacy considerations. But if the study of an individual’s online presence becomes persistent, or where material obtained from any check is to be extracted and recorded and may engage privacy considerations, RIPA authorisations

may need to be considered. The following guidance is intended to assist public authorities in identifying when such authorisations may be appropriate”.

Paragraphs 3.11 – 3.17 of the Code also contain relevant advice and will assist Officers in understanding when a RIPA authorisation may be required:-

3.11 *“The internet may be used for intelligence gathering and/or as a surveillance tool. Where online monitoring or investigation is conducted covertly for the purpose of a specific investigation or operation and is likely to result in the obtaining of private information about a person or group, an authorisation for directed surveillance should be considered, as set out elsewhere in this code. Where a person acting on behalf of a public authority is intending to engage with others online without disclosing his or her identity, a CHIS authorisation may be needed (paragraphs 4.10 to 4.16 of the Covert Human Intelligence Sources code of practice provide detail on where a CHIS authorisation may be available for online activity).*

3.12 *In deciding whether online surveillance should be regarded as covert, consideration should be given to the likelihood of the subject(s) knowing that the surveillance is or may be taking place. Use of the internet itself may be considered as adopting a surveillance technique calculated to ensure that the subject is unaware of it, even if no further steps are taken to conceal the activity. Conversely, where a public authority has taken reasonable steps to inform the public or particular individuals that the surveillance is or may be taking place, the activity may be regarded as overt and a directed surveillance authorisation will not normally be available.*

3.13 *As set out in paragraph 3.14 below, depending on the nature of the online platform, there may be a reduced expectation of privacy where information relating to a person or group of people is made openly available within the public domain, however in some circumstances privacy implications still apply. This is because the intention when making such information available was not for it to be used for a covert purpose such as investigative activity. This is regardless of whether a user of a website or social media platform has sought to protect such information by restricting its access by activating privacy settings.*

3.14 *Where information about an individual is placed on a publicly accessible database, for example the telephone directory or Companies House, which is commonly used and known to be accessible to all, they are unlikely to have any reasonable expectation of privacy over the monitoring by public authorities of that information. Individuals who post information on social media networks and other websites whose purpose is to communicate messages to a wide audience are also less likely to hold a reasonable expectation of privacy in relation to that information.*

3.15 *Whether a public authority interferes with a person’s private life includes a consideration of the nature of the public authority’s activity in relation to that information. Simple reconnaissance of such sites (i.e. preliminary examination with a view to establishing whether the site or its contents are of interest) is unlikely to interfere with a person’s reasonably held expectation of privacy and therefore is not likely to require a directed surveillance authorisation. But where a public authority is systematically collecting and recording information about a particular person or group, a directed surveillance authorisation should be considered. These considerations apply regardless of when the information was shared online. See also paragraph 3.6.*

Example 1: A police officer undertakes a simple internet search on a name, address or telephone number to find out whether a subject of interest has an online presence. This is unlikely to need an authorisation. However, if having found an individual's social media profile or identity, it is decided to monitor it or extract information from it for retention in a record because it is relevant to an investigation or operation, authorisation should then be considered.

Example 2: A customs officer makes an initial examination of an individual's online profile to establish whether they are of relevance to an investigation. This is unlikely to need an authorisation. However, if during that visit it is intended to extract and record information to establish a profile including information such as identity, pattern of life, habits, intentions or associations, it may be advisable to have in place an authorisation even for that single visit. (As set out in the following paragraph, the purpose of the visit may be relevant as to whether an authorisation should be sought.)

Example 3: A public authority undertakes general monitoring of the internet in circumstances where it is not part of a specific, ongoing investigation or operation to identify themes, trends, possible indicators of criminality or other factors that may influence operational strategies or deployments. This activity does not require RIPA authorisation. However, when this activity leads to the discovery of previously unknown subjects of interest, once it is decided to monitor those individuals as part of an ongoing operation or investigation, authorisation should be considered.

3.16 In order to determine whether a directed surveillance authorisation should be sought for accessing information on a website as part of a covert investigation or operation, it is necessary to look at the intended purpose and scope of the online activity it is proposed to undertake. Factors that should be considered in establishing whether a directed surveillance authorisation is required include:

Whether the investigation or research is directed towards an individual or organisation;

Whether it is likely to result in obtaining private information about a person or group of people (taking account of the guidance at paragraph 3.6 above);

Whether it is likely to involve visiting internet sites to build up an intelligence picture or profile;

Whether the information obtained will be recorded and retained;

Whether the information is likely to provide an observer with a pattern of lifestyle;

Whether the information is being combined with other sources of information or intelligence, which amounts to information relating to a person's private life;

Whether the investigation or research is part of an ongoing piece of work involving repeated viewing of the subject(s);

Whether it is likely to involve identifying and recording information about third parties, such as friends and family members of the subject of interest, or information posted by third parties, that may include private information and therefore constitute collateral intrusion into the privacy of these third parties.

3.17 Internet searches carried out by a third party on behalf of a public authority, or with the use of a search tool, may still require a directed surveillance authorisation (see paragraph 4.32).

Example: *Researchers within a public authority using automated monitoring tools to search for common terminology used online for illegal purposes will not normally require a directed surveillance authorisation. Similarly, general analysis of data by public authorities either directly or through a third party for predictive purposes (e.g. identifying crime hotspots or analysing trends) is not usually directed surveillance. In such cases, the focus on individuals or groups is likely to be sufficiently cursory that it would not meet the definition of surveillance. But officers should be aware of the possibility that the broad thematic research may evolve, and that authorisation may be appropriate at the point where it begins to focus on specific individuals or groups. If specific names or other identifiers of an individual or group are applied to the search or analysis, an authorisation should be considered.”*

Any systematic, repeated viewing of an individual’s online presence, covertly, and which may engage privacy considerations, requires the consideration of a RIPA authorisation.

In accordance with para 4.16 of the Covert Surveillance and Property Interference Code of Practice, where a public authority intends to access a social media or other online account to which they have been given access with the consent of the owner, the Authority will still need to consider whether the account may contain information about others who have not given their consent and if so the need for a directed surveillance authorisation should be considered.

Where several agencies are working together, only one of them would need to obtain an authorisation for covert activity were that deemed to be necessary and proportionate in the circumstances.

On-line personas

Where these are permitted to be used corporately, the SRO will maintain a central register of these pseudonyms, profiles/accounts, together with details of the services or individual officers permitted to use/sanction their use.

Covert Surveillance Social Media & On-line Persona Information

Relevant Council Services are required to:

- record information/data relating to covert social media/on-line surveillance, including on-line personas (* see below)
- identify a Designated Officer
- provide this data to the Designated Officer; and
- the Designated Officer must provide the information to the SRO or the SRO’s Representative (Governance Officer) every 4 months.

*The Designated Officer will be required to maintain the following information:

- which media sites/on-line profiles have been visited
- was access to the media site(s)/on-line profile(s) restricted (provide details);
- when were the media site(s)/on-line profile(s) visited;
- by whom (Officer/User);
- on whose request;
- who authorised;
- details of the surveillance e.g. case reference, operation, investigation;

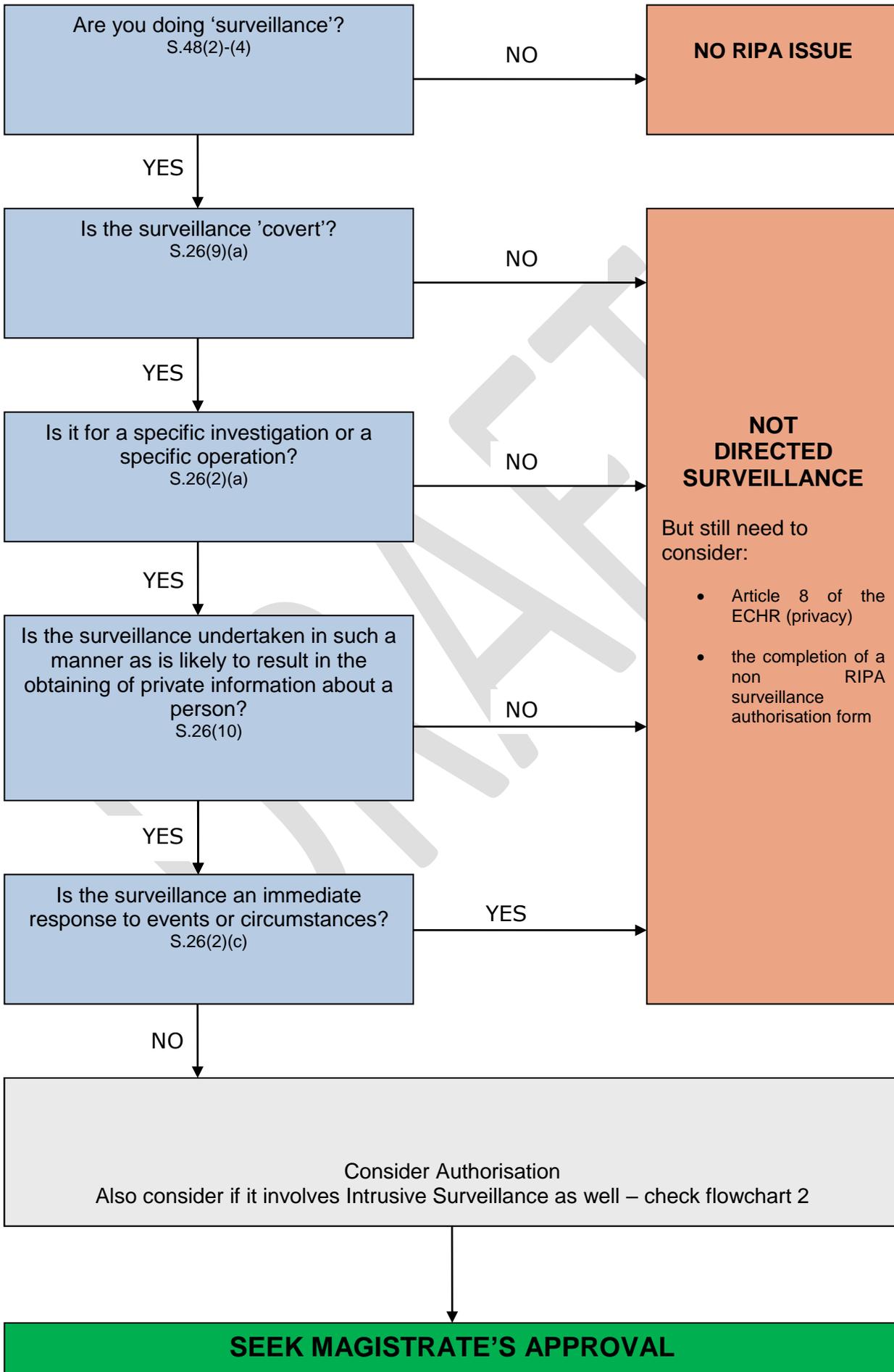
- date of request;
- date of access;
- on which profile/social media account;
- was an on-line persona/false profile/false identity used? If so, which?
- was an official corporate profile used? If so, which?
- how many viewings;
- length of viewing(s);
- for what purpose/rationale was the media site(s)/on-line profile(s) visited;
- Confirmation that the person whose identity is used has explicitly consented in writing, and their protection considered, and details of what is/is not to be done;
- Aim/desired information;
- was the subject aware;
- what data was obtained (including collateral information);
- what was done with any resultant product;
- Details of Social Media relevant to Application;
- Explanation why on-line persona required and alternative methods considered;
- Confirmation as to whether a Risk Assessment has been considered/carried out; and
- Any result, including any risk to Officer (and if not, why not).

Officers who use such sites must also adhere to the Corporate Social Media policy (2016) (available on the Council's intranet site (CeriNet).

- *'5.6 During work time employees may only access and view pages from allowed social media sites which are required in their role.*
- *Use of sites must be justifiable and approved by their line manager in advance of accessing such sites.*
- *6.3 Staff in a safeguarding environment must recognise the sensitivity inherent in their roles and before engaging in any social media activity they should consider if their actions could create any potential safeguarding concerns*
- *Ensure that your personal Facebook account does not compromise your professional position you should ensure that your privacy settings are set correctly*
- *Do not use your work contact details as part of your personal profile*
- *Do not use your personal profile in any way for official Council business.*
- *On your personal profile-Do not accept friend requests from members of the public where the primary relationship is through your work.*
- *On your personal profile-Do not accept friend requests from pupils (or their parents) or vulnerable adult service users that you work with.'*

The Council's RIPA Social Media Policy applies to all Council employees and sets out the position of the Council regarding the use of the internet, mobile web browsing and specifically social media websites, when undertaking surveillance, which could include an investigation, in accordance with RIPA. The Council's RIPA Social Media Policy should be read in conjunction with this document.

Flowchart 1 – Are you conducting ‘Directed Surveillance’?



Meaning of 'Intrusive Surveillance'

S.26 (3) RIPA states:

'Subject to subsections (4) to (6), surveillance is intrusive for the purposes of this Part if, and only if, it is covert surveillance that—
(a) is carried out in relation to anything taking place on any residential premises or in any private vehicle; and
(b) involves the presence of an individual on the premises or in the vehicle or is carried out by means of a surveillance device.'

As the name suggests, this type of surveillance is much more intrusive and so the legislation is framed in a way as to give greater protection to the citizen when it is used. Applications to carry out Intrusive Surveillance can only be made by the senior Authorising Officer of those public authorities listed in or added to S.32(6) of RIPA or by a member or official of those public authorities listed in or added to section 41(l). Local authorities **cannot authorise intrusive surveillance**.

It is still important to understand the definition of Intrusive Surveillance because sometimes over-zealous officers may overstep the mark and end up doing it. The following questions have to be asked:

- Is it Covert Surveillance as defined by RIPA?
- Is it being carried out in relation to anything taking place on any residential premises or in any private vehicle?
- Does it involve the presence of an individual on the premises or in the vehicle? and
- Is it being carried out by means of a surveillance device on the premises or in the vehicle?

See Flowchart 2 to assess if the surveillance is Intrusive.

Key Points to Note:

- A. When doing covert surveillance of premises it can only be 'intrusive' if it is carried out in relation to anything taking place on residential premises. This is defined in S.48(1) RIPA:

'residential premises' means (subject to subsection (7)(b)) so much of any premises as is for the time being occupied or used by any person, however temporarily, for residential purposes or otherwise as living accommodation (including hotel or prison accommodation that is so occupied or used);'

Covert surveillance of business premises will not be regarded as intrusive surveillance, e.g. where an officer is conducting surveillance of a unit on an industrial estate where a food business is suspected of producing counterfeit vodka, or a retail shop suspected of selling tobacco to under 18's, etc.

However, care must be taken where a business is located within a building or vehicle, which is also used as a private dwelling, e.g. a person, suspected of manufacturing counterfeit DVDs from a caravan that is also their private residence. No surveillance (which includes filming or capturing images) of persons and activities within those private living quarters is permitted as this would be considered as intrusive surveillance.

- B. Not all surveillance of vehicles is 'intrusive'; the target has to be a private vehicle as defined in S.48(1):

'private vehicle' means (subject to subsection (7)(a)) any vehicle which is used primarily for the private purposes of the person who owns it or of a person otherwise having the right to use it;'

The vehicle can be owned, borrowed, rented or leased. However (by virtue of S.48 (7) (a)) surveillance is not Intrusive where the target vehicle is a taxi or a chauffeur-driven vehicle such as a public coach service.

- C. For the surveillance to be intrusive rather than directed it has to be undertaken in such a manner as to involve the presence of an individual on the premises or inside the vehicle.

It is extremely unlikely that local authorities would allow their staff to undertake surveillance by getting inside a private vehicle covertly. However, it may be that an officer is stationed inside residential premises to covertly observe anti-social behaviour.

Whilst normally this kind of conduct is the realm of the police, care must be taken. For example, a keen investigator taking covert pictures from outside a house may decide to move to a more covert position or location to obtain clearer images.

- D. Surveillance can still be Intrusive even if the investigating officer is not on or inside the premises or vehicle but is using a surveillance device such a camera, listening device, recorder or even binoculars.

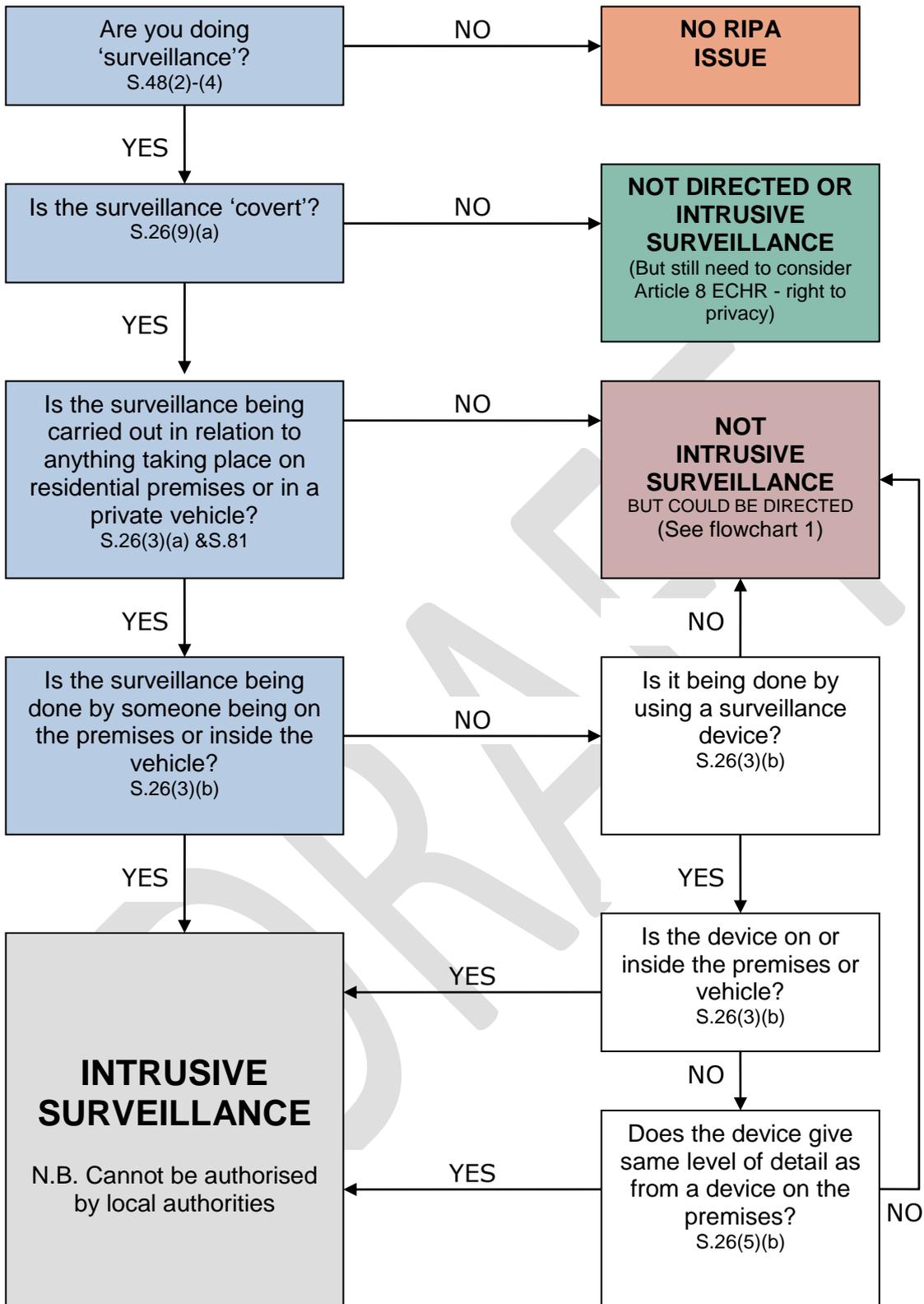
However the words of S.26 (5) should be noted:

'For the purposes of this Part surveillance which –

(a) is carried out by means of a surveillance device in relation to anything taking place on any residential premises or in any private vehicle, but

(b) is carried out without that device being present on the premises or in the vehicle, is not intrusive unless the device is such that it consistently provides information of the same quality and detail as might be expected to be obtained from a device actually present on the premises or in the vehicle.

Flowchart 2 - Are you doing 'Intrusive Surveillance'?



Limitations on the use of Directed Covert Surveillance

The Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) (Amendment) Order 2012 (SI no. 1500) imposes restrictions on local authorities' use of RIPA (see paragraph 4.44 of the Covert Surveillance and Property Interference Revised Code of Practice 2018).

It restricts AOs in a local authority in England or Wales from authorising the carrying out of directed surveillance unless it is necessary for the purpose of preventing or detecting a criminal offence and meets the following conditions:

- That the criminal offence to be prevented or detected is punishable by a maximum term of at least six months' imprisonment or
- Constitutes an offence under sections 146, 147 or 147A of Licensing Act 2003 (sale of alcohol to children) or section 7 of the Children and Young Persons Act 1933 (sale of tobacco to children under 18 years old).

This '*crime threshold*' does not apply to the authorisation of local authority use of CHIS or the acquisition of communications data.

The amendments to the legislation continues to allow the Council to authorise use of directed surveillance but only in more serious cases as long as the other tests are met i.e. that it is '*necessary*' and '*proportionate*' and where prior approval from a Justice of the Peace (Magistrate) has been granted.

It is therefore essential that investigating officers consider the penalty attached to the criminal offence, which they are investigating, **BEFORE** considering whether it may be possible to obtain an authorisation for directed surveillance.

If an AO is in any doubt about authorising any surveillance activity, they should seek advice from the SRO.

Enhanced authorisation levels

Directed surveillance likely or intended to result in the acquisition of knowledge of confidential or privileged material may be authorised only by AOs entitled to grant authorisations in respect of confidential or privileged information. This type of material includes:

- Material subject to legal privilege;
- Confidential personal information;
- Confidential constitution information; and
- Confidential journalistic material and journalists sources.

In the Council, the AO entitled to grant authorisations in respect of confidential or privileged information is the Chief Executive, or (in their absence) the person acting as the Chief Executive (i.e. Corporate Director).

Care must be taken where, through the use of surveillance, it would be possible to acquire knowledge of discussions between a minister of religion and an individual relating to the latter's spiritual welfare, or where matters of medical or journalistic confidentiality may be involved.

Where such material has been acquired and retained, the Council's SRO must be informed as soon as possible, as the matter should be reported to the IPCO during their next inspection and the material should be made available to the IPCO, if requested.

Note that RIPA does not enable the Council to make any authorisations to carry out intrusive surveillance (for further details, see Part 2 below).

Urgent cases – (Para 4.42 Covert Surveillance and Property Interference Revised Code of Practice 2018)

Paragraph 4.42 of the Covert Surveillance and Property Interference Revised Code of Practice 2018 states that:

*'The Protection of Freedoms Act 2012 amended the 2000 Act to make local authority authorisations subject to judicial approval. The change means that local authorities need to obtain an order approving the grant or renewal of an authorisation from a judicial authority, before it can take effect. In England and Wales an application for such an order must be made to a Justice of the Peace (JP). If the JP is satisfied that the statutory tests have been met and that the use of the technique is necessary and proportionate, he or she will issue an order approving the grant or renewal for the use of the technique as described in the application. The amendment means that **local authorities are no longer able to orally authorise the use of RIPA techniques.** All 37 The senior responsible officer should be a person holding the office, rank or position of an authorising officer within the relevant public authority. **authorisations must be made in writing and require JP approval. The authorisation cannot commence until this has been obtained.'***

This means that Local Authorities are not able to verbally authorise the use of RIPA techniques. All authorisations must be made in writing and require judicial approval. The authorisation cannot commence until this has been obtained. The SRO should be a person holding the office, rank or position of an AO within the relevant public authority.

A case is not normally regarded as urgent unless the time that would elapse would, in the opinion of the AO be likely to endanger life or jeopardise the investigation for which the authorisation was being given.

An authorisation is not to be regarded as urgent where the need for an authorisation has been neglected or is of the AO's or applicant's own making.

PROCEDURE FOR APPLYING FOR A DIRECTED SURVEILLANCE AUTHORISATION

If a Council Officer believes that their intended actions fall under the definition of directed covert surveillance, they will need to apply for a RIPA directed surveillance authorisation.

The 3 key elements of any RIPA authorisation are **necessity, proportionality** and whether there is any risk of **collateral intrusion**.

Before the Authorising Officer authorises the RIPA application, they will need to be sure that the authorisation is **necessary** for the purpose of preventing or detecting crime, that the surveillance is proportionate to the outcome sought, and that any risk of collateral intrusion has been identified and minimised.

The surveillance activity will not be **proportionate** if it is excessive in the circumstances of the case or if the information could be reasonably obtained by other less intrusive means.

Only the Chief Executive has the power to authorise directed surveillance involving the covert filming of any Elected Member, Corporate Director or Corporate Lead Officer.

Where several Agencies are working together, only one of them would need to obtain an authorisation for covert activity.

If during the course of the operation those activities change, there will be a need to apply for a review authorisation.

Role of the Investigating Officer – Applicant

The role of the Applicant is to present the facts of the application for covert surveillance including:

- The crime to be investigated;
- Reason why it is proposed to conduct the Investigation covertly;
- What covert tactics are requested;
- Why the covert tactics requested;
- Who the covert surveillance will be focused on;
- Who else will be affected by it;
- How it is intended to conduct the covert surveillance; and
- Provide facts and evidence.

The Applicant is not required to assert that the actions to be taken are necessary and proportionate- that is the statutory responsibility of the AO.

Completing the Forms

The Council Officer will need to make an application on the relevant form, which can be downloaded from the Home Office website, <https://www.gov.uk/government/collections/ripa-forms--2>

Application forms for directed surveillance will need to contain the following information:

- The action that needs to be authorised;
- If known, the identities of the people who are going to be the subject of the directed surveillance;
- An account of the investigation;

- An explanation of the techniques that you intend to use;
- Confirmation that the action proposed is intended to prevent crime or detect crime;
- An explanation of why the directed surveillance is considered to be proportionate to the outcome it seeks to achieve;
- An explanation of the information which is hoped to be obtained;
- An assessment of the potential for collateral intrusion (i.e., what interference will there be with the privacy of persons other than the subjects of the surveillance;
- Whether any confidential information will be acquired;
- If authorisation is needed urgently, the reasons for the urgency;
- Sequential Unique Reference Number (URN) obtained from the SRO and entered on to the form; and
- The form should specify the type of 'crime' involved – application forms should be explicit. General use of word 'crime' is not sufficient. Fishing expeditions are not appropriate.

Example forms (with guidance on filling in the forms) are available from the Council's Intranet Site (CeriNet) at [\[enter web link\]](#)). **Flowchart 3** will also assist.

Officers making an application and Authorising Officers should also be aware of, and have regard to:

- **Home Office Covert Surveillance and Property Interference Revised Code of Practice 2018;**
- **OSC Procedures & Guidance Document;**
- **This RIPA Policy; and**
- **ACT NOW Toolkit.**

Note: Standard wording should not be used when completing authorisations. The explanation and information provided on the authorisation should relate to the individual facts of the case and state clearly the objectives of the surveillance.

The Role of the Authorising Officer ('AO')

Once an authorisation has been granted, the Authorising Officer will consider the duration of the authorisation, renewal of the authorisation and cancellation of the authorisation.

Note: The notices and authorisations do not take effect until a Magistrate has approved the authorisation. See below for the procedure for seeking such approval.

Directed Surveillance authorisations cease to have effect 3 months from the date of approval.

RIPA and the associated Codes require that when the Council undertakes '*covert directed surveillance*', uses a CHIS or access communications data, these activities must only be authorised by an officer with delegated powers when the relevant criteria are satisfied.

The Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010 (SI 2010 N0.521) states that the AOs for a local authority can be a Director, Head of Service, Service Manager or equivalent.

Services may, therefore, currently nominate officers from at least Corporate Lead Officer level, who can authorise these activities either as an AO for the purposes of directed covert surveillance or use of a CHIS.

Pursuant to the Council's corporate restructure, effective from 1st April 2018, and further to Council resolution made on the 21st June 2018, the following officers are authorised to act as AOs:

- **Corporate Lead Officer: People and Organisation;**
- **Corporate Lead Officer: Policy, Performance & Public Protection; and**
- **Corporate Lead Officer: Porth Cynnal.**

Where the surveillance involves the likelihood of obtaining confidential information or the deployment of juveniles or vulnerable people (see below), then the authorisation **must** be sought from the Chief Executive or, in their absence, the acting Chief Executive.

If there is any doubt regarding sufficiency of rank, contact the SRO (Monitoring Officer/CLO – Legal and Governance) for advice.

Care must be taken where, through the use of surveillance, it would be possible to acquire knowledge of discussions between a minister of religion and an individual relating to the latter's spiritual welfare, or where matters of medical or journalistic confidentiality may be involved.

Where such material has been acquired and retained, the SRO must be informed as soon as possible, as the matter should be reported to the IPCO during their next inspection and the material should be made available to the IPCO, if requested.

In authorising any applications for directed surveillance, and in considering any renewals, reviews and cancellations, the Authorising Officer should also consider:

- (a) how long will the data be retained for?; and
- (b) is this compliant with the Council's Information and Records Management Policy and Corporate Retention Schedule?

(see Part 4 below).

Renewals

The Authorising Officer can renew an authorisation before it expires if it is necessary for the authorisation to continue for the purpose it was originally given.

An application for renewal must not be made more than 7 working days before the authorisation is due to expire. This is to ensure that the renewal is necessary.

Authorisations may be renewed more than once provided they continue to meet the criteria.

Applications for renewals must be made on another form which can be downloaded from the Home Office website (example forms (with guidance on how to fill in the forms) are available on the Council's Intranet Site (CeriNet) at [\[enter web link\]](#)), and see Paragraphs 5.16-21 of the Home Office Code of Practice for Directed Surveillance and Property Interference Revised Code of Practice 2018).

Note: Renewals do not take effect until a Magistrate has approved the authorisation.

Reviews

When the authorisation is granted, the AO will determine how often reviews should take place. Reviews will consider whether the authorisation is still needed i.e. whether the surveillance should continue.

Reviews do not require judicial approval and can be conducted internally (see Paragraphs 9.11-13 of the Home Office Code of Practice for Directed Surveillance and Property Interference).

The AO should consider the use of the tactics to date, along with their impact and any product, to ensure that each additional tactic is necessary, whether collateral intrusion can be justified, and whether the cumulative effect of the tactics is proportionate in light of progress.

Any amendments must be explicit, and no tactic may be used prior to it being granted by the AO.

The AO should clearly set out what activity and surveillance equipment is authorised in order that those conducting the surveillance are clear on what has been sanctioned at each stage in the authorisation process.

An audit trail of the review criteria should be kept.

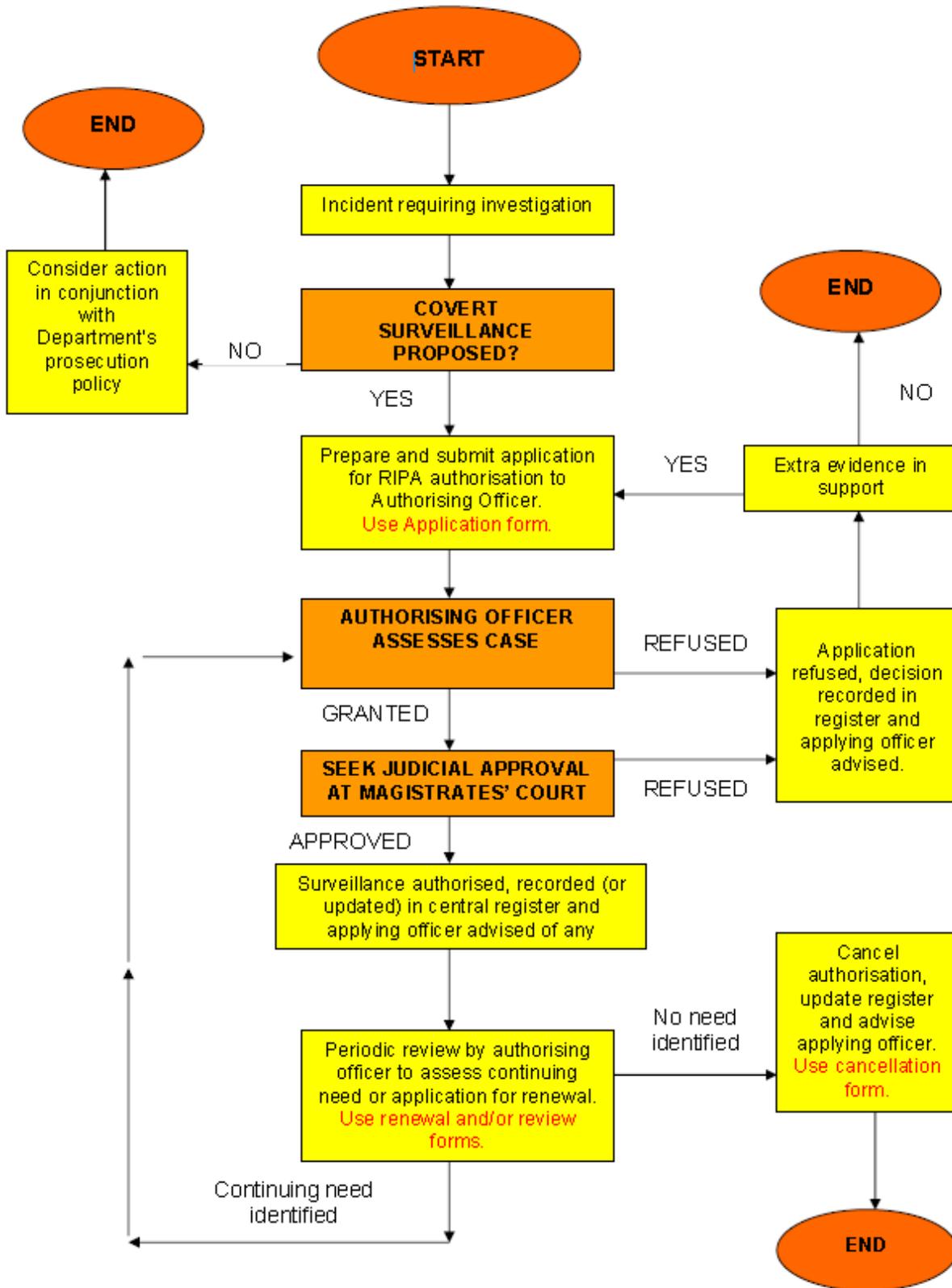
Cancellations

Authorisations will be cancelled when the AO is satisfied the criteria for authorisation is no longer met. To cancel the authorisation, the officer in charge of the investigation should complete a cancellation form (found on the Home Office website and Appendices to this document). This form should then be checked by the officer's manager, and it should then be sent to the AO. The cancellation form must contain the date of cancellation. The form will also require an explanation of reasons for cancellation, the value of the surveillance, and AO's statement (to include directions for management and storage of the product of surveillance).

See Paragraphs 5.22-27 of the Directed Surveillance and Property Interference Revised Code of Practice 2018.

Cancellations do not require judicial approval.

Flowchart 3 – Basic Lifecycle of a Directed Surveillance Authorisation (Similar lifecycle for a CHIS)



Guidance for Authorising Officers on Authorising Directed Surveillance Applications

Section 27 of RIPA provides a defence if covert surveillance is challenged:

- '(1) Conduct to which this Part applies shall be lawful for all purposes if -*
- (a) an authorisation under this Part confers an entitlement to engage in that conduct on the person whose conduct it is; and*
 - (b) His conduct is in accordance with the authorisation.'*

To take advantage of this defence, the surveillance needs to be properly authorised. S.28 sets out the criteria for authorising Directed Surveillance, whilst S.29 covers CHIS.

Time Limits

The current time limit for a Directed Surveillance authorisation is 3 months.

A renewal must be authorised prior to the expiry of the original authorisation, but it runs from the expiry date and time of that original authorisation. Authorisations may be renewed more than once if still considered necessary and proportionate and approved by a Magistrate.

An application for renewal must not be made more than 7 working days before the authorisation is due to expire. This is to ensure that the renewal is necessary but local authorities must take account of factors, which may delay the renewal process (e.g. intervening weekends or the availability of the relevant local authority authorising officer and a Magistrate to consider the application).

Authorising Officer's Considerations

S.28 (2) of RIPA states:

'A person shall not grant an authorisation for the carrying out of directed surveillance unless he believes –

- (a) that the authorisation is necessary on grounds falling within subsection (3); and*
- (b) that the authorised surveillance is proportionate to what is sought to be achieved by carrying it out.'*

See **Flowchart 4** to assess whether Directed Surveillance should be authorised.

It is the role of the AO to consider the following factors.

A. Is the surveillance necessary?

The surveillance has to be necessary on one of the grounds set out in S.28 (3). Previously local authorities could authorise Directed Surveillance where it was necessary

'for the purpose of preventing or detecting crime or of preventing disorder.'
S.28(3)(b))

The Home Office Review, which reported in January 2011, recommended that where local authorities wish to use Directed Surveillance, this should be confined to cases where the offence under investigation is a serious offence.

This recommendation was put into effect by [The Regulation of Investigatory Powers \(Directed Surveillance and Covert Human Intelligence Sources\) \(Amendment\) Order 2012, SI 2012/1500](#) which was made in June 2012 and came into force on 1st November 2012. This amends the [Regulation of Investigatory Powers \(Directed Surveillance and Covert Human Intelligence Sources\) Order 2010, SI 2010/521](#) ('the 2010 Order'), which prescribes which officers, within a public authority, have the power to grant authorisations for the carrying out of Directed Surveillance and the grounds, under Section 28(3), upon which authorisations can be granted.

The Council's AOs may **not** authorise Directed Surveillance unless it is for the purpose of preventing or detecting conduct which constitutes a criminal offence, or is a criminal offence, and it meets the conditions set out in the new Article 7A(3)(a) or (b) of the 2010 Order. Those conditions are that:

- a) The criminal offence which is sought to be prevented or detected is **punishable, whether on summary conviction or on indictment, by a maximum term of at least 6 months of imprisonment, or**
- b) Would constitute an offence under sections 146, 147 or 147A of the Licensing Act 2003 or section 7 of the Children and Young Persons Act 1933. The latter are all offences involving sale of tobacco and alcohol to underage children.

Surveillance being carried out to tackle disorder (e.g. anti-social behaviour) can no longer be authorised as Directed Surveillance, unless the disorder includes criminal offences satisfying the above criteria.

No RIPA authorisation is necessary for:

- Immediate response;
- General observation activities;
- Overt CCTV/APNR systems;
- TV detector vans;
- Overt recording of noise nuisance;
- Interview with members of the public;
- Covert recordings for noise nuisance, when the recording is in decibels or constitutes non-verbal noise, or is of verbal content made at a level which does not exceed that which can be heard with the naked ear (see Covert Surveillance and Property Interference Revised Code of Practice 2018 at para 3.40); nor
- Overt and covert recording of voluntary interviews with members of the public.

The AO should clearly set out what activity and surveillance equipment is authorised in order that those conducting the surveillance are clear as to what has been sanctioned at each stage in the authorisation process. It is recognised that it is not always possible, at the outset of an investigation, to foresee how it will progress. However, this should not be a reason for Applicants to request a wide number of tactics/techniques 'just in case' they are later needed.

The AO may not authorise more than that which can be justified at the time of the authorising decision, and should demonstrate control, and a proper understanding of necessity, collateral intrusion and proportionality, relating to each tactic/technique requested. AOs must ensure that legal requirements are addressed throughout the life of an authorisation.

B. Is the surveillance proportionate to what is sought to be achieved by carrying it out?

Proportionality means ensuring that the surveillance is the least intrusive method to obtain the required information having considered all reasonable alternatives. This requires consideration of not only whether surveillance is appropriate but also the method to be adopted, the duration and the equipment to be used.

It is necessary to balance the infringement against the benefit. The merit of each case is to be considered.

It is unacceptable to consider whether an authorisation is required based on the description of the surveillance alone. The legal principles must be applied to the particular facts, and is a matter of judgment.

The conduct that it is aimed to prevent/detect must be identified and clearly described, and an explanation provided of why it is necessary to use the covert techniques requested.

The AO may not authorise more that can be justified at the time of their decision and should demonstrate control, and a proper understanding of necessity, collateral intrusion and proportionality, relating to each tactic requested.

The OSC often states in its inspection reports that officers have not properly understood the concept of proportionality or have not demonstrated compliance within the authorisation form. The Covert Surveillance and Property Interference Revised Code of Practice 2018 (Para 4.7) requires four aspects to be addressed in the authorisation form:

1. Balancing the size and scope of the proposed activity against the gravity and extent of the perceived crime or offence;
2. Explaining how and why the methods to be adopted will cause the least possible intrusion on the subject and others;
3. Considering whether the activity is an appropriate use of the legislation and a reasonable way, having considered all reasonable alternatives, of obtaining the necessary result; and
4. Evidencing, as far as reasonably practicable, what other methods had been considered and why they were not implemented.

The AO should consider the use made of tactics to date, along with their impact and any product to ensure that each additional tactic is necessary, whether collateral intrusion can be justified, and whether the cumulative effect of the tactics is proportionate.

The AO should set out in their own words why they believe the (RIPA) activity is necessary and proportionate. A bare assertion is not sufficient.

C. Can Collateral Intrusion be avoided or minimised?

The AO will need to carefully consider the likelihood of collateral intrusion occurring. This is the risk of intrusion into the privacy of persons other than those who are directly the subjects of the investigation or operation. If the risk is significant, measures should be taken, wherever practicable, to avoid or minimise any unnecessary intrusion.

Investigating Officers and AOs will need to ask themselves:

- i. What is the impact on third parties? Is it significant? Can it be justified?
- ii. If it is, what can be done to avoid or minimise it?
- iii. Have the following been considered:
 - o Changing the timing of the surveillance;
 - o Reducing the amount of surveillance;

- Changing the method of surveillance;
- The nature of the private information likely to be obtained;
- The sensitivities of the local community; and
- Surveillance operations by other public authorities?

The need to obtain the best evidence to investigate the crime will be paramount at all times.

Next Stage: Once the surveillance has been authorised the next stage is to seek Magistrate's approval (see below).

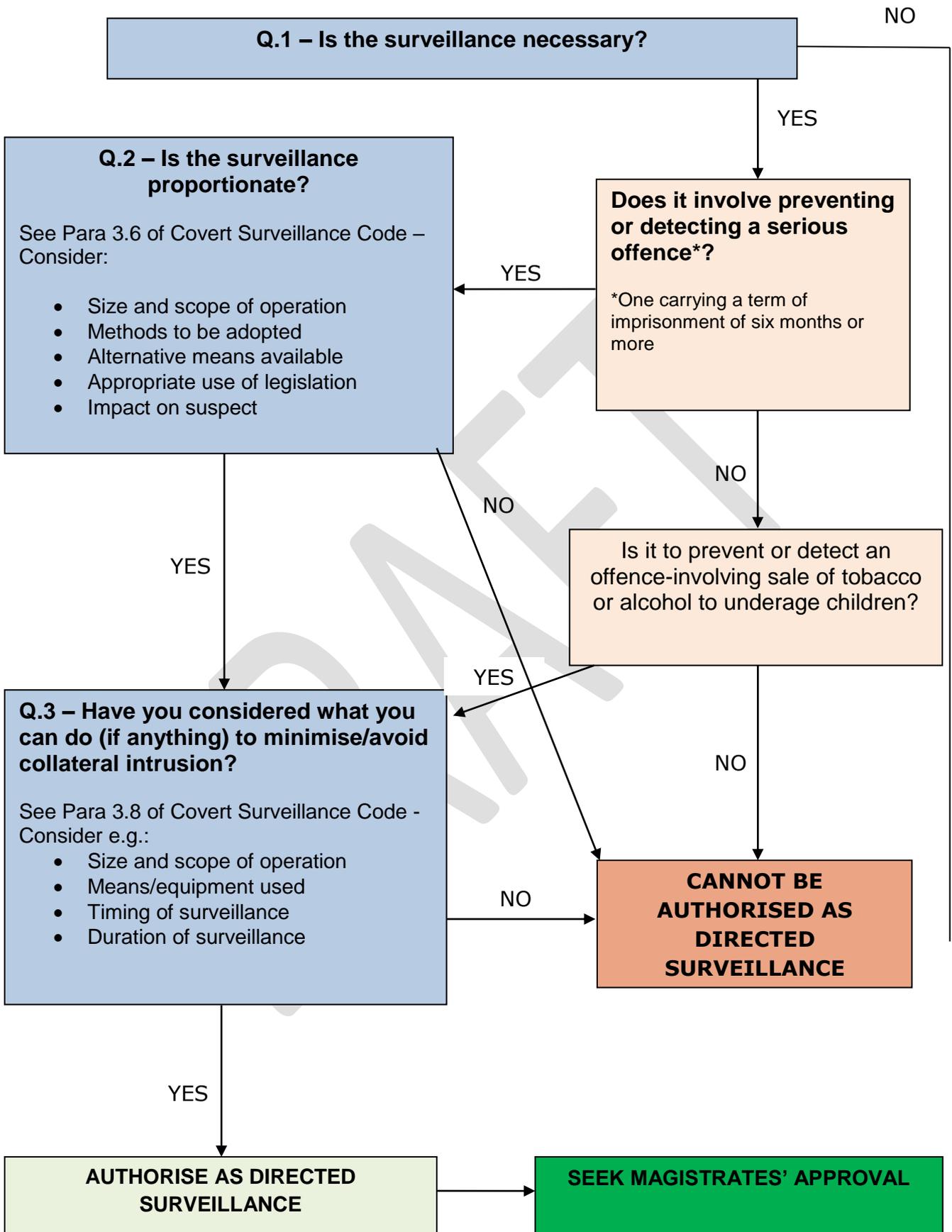
AOs must also, through their relevant Data Controller, ensure compliance with the appropriate data protection requirements under the Data Protection Act 2018 and any relevant internal arrangements produced by the Council relating to the handling and storage of material (see Paragraphs 9.1.4 to 9.2.2 of The Covert Surveillance and Property Interference Revised Code of Practice 2018 and Assurance of Data Handling and Retention Safeguards section below). Within the Council, this is the Data Protection Officer, who will report to the Council's Senior Information Risk Owner ('SIRO').

As set out above (and Part 4 below), in authorising any applications for directed surveillance, the Authorising Officer should also consider:

- (a) how long will the data be retained for?; and
- (b) is this compliant with the Council's Information and Records Management Policy and Corporate Retention Schedule?

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Flowchart 4 - Authorising Directed Surveillance



SEEKING MAGISTRATE'S APPROVAL (JUDICIAL APPROVAL) FOR DIRECTED SURVEILLANCE

Background

Chapter 2 of Part 2 of the Protection of Freedoms Act 2012 (sections 37 and 38) came into force on 1st November 2012. This changed the procedure for the authorisation of Council surveillance under RIPA and approval of a Magistrate is needed for the use of Directed Surveillance.

An approval is also required if an authorisation to use such techniques is being renewed. In each case, the role of the Magistrate is to ensure that the correct procedures have been followed and the relevant factors have been taken account of. There is no requirement for the Magistrate to consider either cancellations or internal reviews.

Home Office Guidance

The Home Office has published guidance on the Magistrate's approval process for both local authorities and the Magistrate's Court:

<http://www.homeoffice.gov.uk/publications/counter-terrorism/ripa-forms/local-authority-ripa-guidance/>

This guidance is non-statutory but provides advice on how local authorities can best approach these changes in law and the new arrangements that need to be put in place to implement them effectively. It is supplementary to the legislation and to the two statutory Codes of Practice made under RIPA.

See Flowchart 5 for summary of the Magistrates approval process

The Magistrate's Approval Process

1. The first stage will be to apply for an internal authorisation in the usual way. Once this has been granted, the local authority will need to contact the local Magistrates' Court to arrange a hearing.
2. The hearing constitutes legal proceedings. Therefore, local authority officers need to be formally designated to appear before the magistrate, take the oath, present evidence or provide information, as required, to support the application. The Council will need to formally designate officers for this purpose under section 223 of the Local Government Act 1972, to represent the Council within the proceedings.
3. The Home Office suggests that the Investigating Officer will be best suited to fulfil this role but the AO may also want to attend to answer any questions.
4. The local authority will provide the Magistrate with a copy of the original RIPA authorisation. This forms the basis of the application to the Magistrate and should contain all information that is relied upon. In addition, the local authority will provide the Magistrate with two copies of a partially completed judicial application/order form, which is included in the Home Office Guidance (example forms (with guidance on filling in the forms) are available from the Council's Intranet Site (CeriNet) at [enter web link])).
5. The hearing will be held in private and heard by a single Magistrate who will read and consider the RIPA authorisation and the judicial application/order form. She/he may

have questions to clarify points or require additional reassurance on particular matters. The forms and supporting papers must by themselves make the case. **It is not sufficient for the local authority to provide oral evidence where this is not reflected or supported in the papers provided.**

6. The Magistrate will consider whether they are satisfied that, at the time the authorisation was granted or renewed, there were reasonable grounds for believing that the authorisation was necessary and proportionate. They will also consider whether there continues to be reasonable grounds. In addition the Magistrate must be satisfied that the Authorising Officer was of appropriate designation within the local authority and that the authorisation was made in accordance with any applicable legal restrictions (e.g. meets the Serious Crime Test for Directed Surveillance)
7. The order section of the above mentioned form will be completed by the Magistrate and will be the official record of his/her decision. The Council will need to retain a copy of the form after it has been signed by the Magistrate.

Magistrate's Options

The Magistrate may decide to –

- ***Approve the grant/renewal of the authorisation***

The grant/renewal of the authorisation will then take effect and the Council may proceed to use the surveillance technique mentioned therein.

- ***Refuse to approve the grant/renewal of the authorisation on a technicality***

The RIPA authorisation will not take effect and the Council may not use the surveillance technique in that case. The Council will need to consider the reasons for the refusal. A technical error in the form may be remedied without the need to go through the internal authorisation process again. The Council can then reapply for Magistrate's approval.

- ***Refuse to approve the grant/renewal and quash the authorisation***

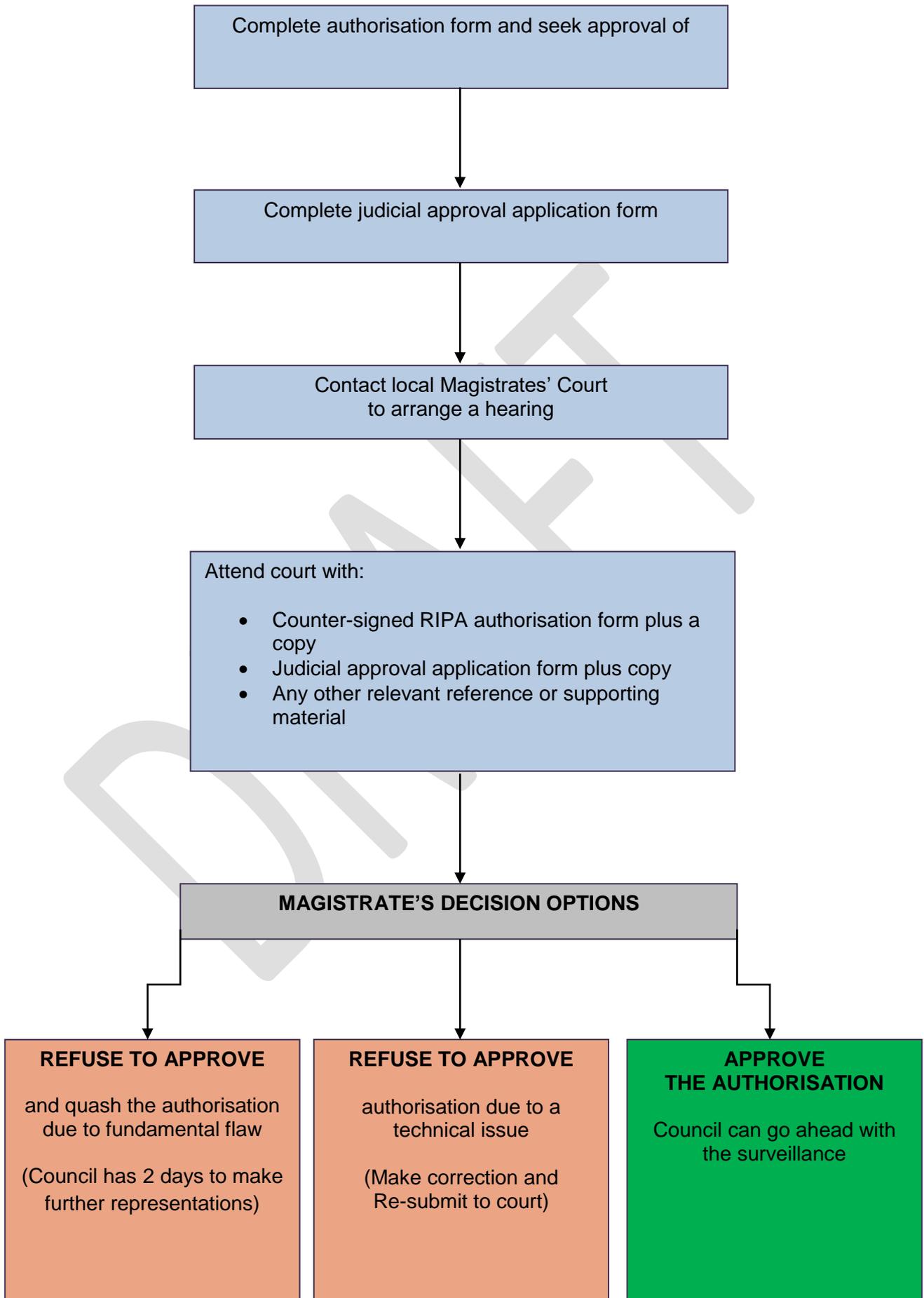
A Magistrate may refuse to approve the grant or renewal of an authorisation and decide to quash the original authorisation. This may be because they believe it is not necessary or proportionate. The RIPA authorisation will not take effect and the Council may not use the surveillance technique in that case. The Magistrate must not exercise their power to quash the authorisation unless the local authority has had at least two business days from the date of the refusal in which to prepare and make further representations to the court.

Appeals

There is no complaint route for a judicial decision unless it was made in bad faith. Any complaints should be addressed to the Magistrates' Advisory Committee. Therefore, the Council may only appeal a Magistrate's decision to refuse approval of an authorisation, on a point of law by making an application for Judicial Review in the High Court.

The Investigatory Powers Tribunal ('IPT') will continue to investigate complaints by individuals about the use of RIPA techniques by public bodies, including local authorities. If, following a complaint to them, the IPT finds fault with a RIPA authorisation, it has the power to quash the Magistrate's order, which approved the grant or renewal of the authorisation. It can also award damages if it believes that an individual's human rights have been violated by the local authority (see Investigatory Powers Tribunal Rules 2018 (SI 2018/1334), which came into force on the 31st December 2018).

Flowchart 5- The Magistrate's Approval Process



PART 3 - Covert Human intelligence Source ('CHIS')

As stated above, Chapter 2 of RIPA sets out a regulatory framework for the use of covert investigatory techniques by public authorities to ensure that they are compatible with the ECHR, particularly Article 8 (the right to respect for private and family life).

The first issue for any Council Officer who is considering undertaking covert surveillance is what type of surveillance they are undertaking, and **whether it is something that can be authorised under RIPA**. A CHIS is one of the two surveillance techniques available to the Council under Part 2 of Chapter 2 of RIPA. The second available technique is Directed Surveillance, but the third, Intrusive Surveillance, cannot be authorised by the Council.

Meaning of a 'CHIS'

A CHIS is defined in S.26(8) of RIPA:

'...a person is a covert human intelligence source if -

- (a) he establishes or maintains a personal or other relationship with a person for the covert purpose of facilitating the doing of anything falling within paragraph (b) or (c);*
- (b) he covertly uses such a relationship to obtain information or to provide access to any information to another person; or*
- (c) he covertly discloses information obtained by the use of such a relationship, or as a consequence of the existence of such a relationship.'*

To ascertain whether a person is a CHIS three questions must be asked:

1. Is the person establishing or maintaining a personal or other relationship with a person?
2. Is that relationship being used for a covert purpose? and
3. Is the covert purpose facilitating the doing of anything falling within Paragraph (b) or (c) (above)?

See Flowchart 6 to assess if the surveillance involves a CHIS.

A CHIS is somebody who is concealing or misrepresenting their true identity or purpose in order to covertly gather or provide access to information from the target. Examples of a CHIS include a private investigator pretending to live on a housing estate to gather evidence of drug dealing or an informant who gives information to Trading Standards about illegal business practices in a factory or shop.

Under Age Sales

If the Young Person is briefed to enter into a conversation, which may lead to private 'information being obtained, then authorisation may be required'. If however, the Young Person is told not to communicate, and therefore no private information is obtained, then authorisation is not required.

Key Points to Note:

- A. A public volunteer is not a CHIS. The Home Office Covert Human Intelligence Sources Revised Code of Practice 2018 (at Para 2.18) states:
'In many cases involving human sources, a relationship will not have been established or maintained for a covert purpose. Many sources merely volunteer or provide information that is within their personal knowledge, without being induced, asked, or tasked by a public authority. This means that the source is not a CHIS for the purposes of the 2000 Act and no authorisation under the 2000 Act is required.'

(See Chapter 3 of the Code for further guidance on types of source activity to which authorisations under Part II RIPA may or may not apply)

Care must be taken to ensure that someone who starts as a public volunteer does not end up being a CHIS.

- B. There must be covert use of a relationship to provide access to information or to covertly disclose information. Merely giving a complainant a diary sheet to note comings and goings will not make that person a CHIS.
- C. A test purchaser, in certain circumstances may require authorisation as a CHIS.

The Covert Surveillance and Property Interference Revised Code of Practice 2018 gives the following examples, to assist with the illustration and interpretation of certain provisions, but they are not provisions of the Code and are included only for guidance:

Example 3: Local authority officers attend a car boot sale where it is suspected that counterfeit goods are being sold, but they are not carrying out surveillance of particular individuals and their intention is, through reactive policing, to identify and tackle offenders. Again this is part of the general duties of public authorities and the obtaining of private information is unlikely. A directed surveillance authorisation need not be sought.

Example 4: *Intelligence suggests that a local shopkeeper is openly selling alcohol to underage customers, without any questions being asked. A juvenile is engaged and trained by a public authority and then deployed to act as a juvenile in order to make a purchase of alcohol. In these circumstances any relationship, if established at all, is likely to be so limited in regards to the requirements of the Act that a public authority may conclude that a CHIS authorisation is unnecessary. However, if the test purchaser is wearing recording equipment and is not authorised as a CHIS, or an adult is observing, consideration should be given to granting a directed surveillance authorisation.*

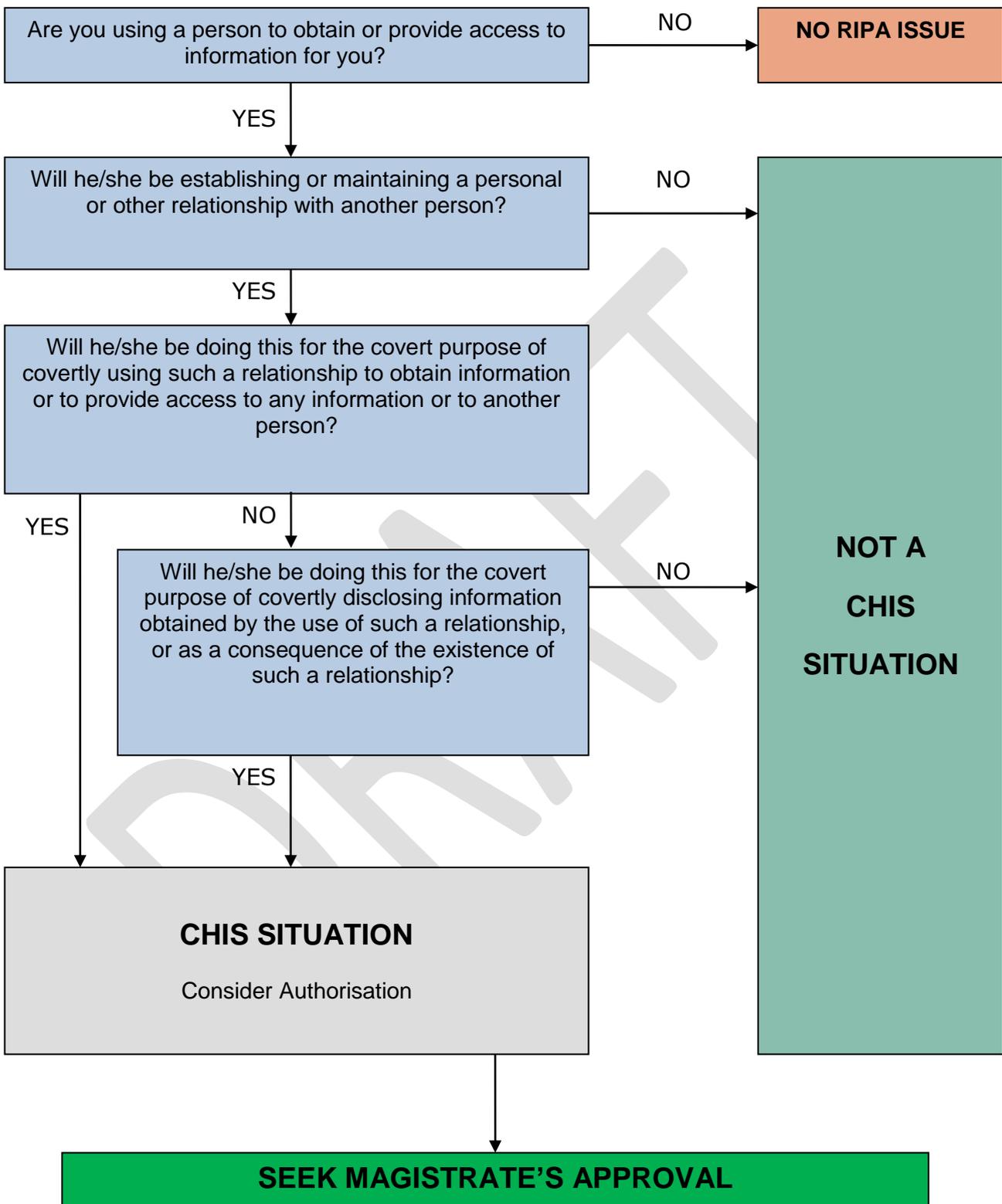
When considering underage test purchasing activities, investigating officers and Authorising Officer must also have regard to the:

- Age Restricted Products and Services: A Code of Practice for Regulatory Delivery (April 2014) (available at: <https://www.gov.uk/government/publications/code-of-practice-age-restricted-products>); and
- Pseudonyms/On-line personas
Where these are permitted to be used corporately, the SRO will maintain a Register of these pseudonyms, together with details of which Services or officers who can use them/sanction their use.

A regular check should then be made by Managers and/or the relevant Corporate Lead Officer of any such usage, including being able to review which media sites have been visited, when, for what purpose, and what has been done with any resultant product. Relevant Services are required to:

- record information/date relating to covert social media/on-line surveillance;
- identify a Designated Officer in the Service to collate the information;
- provide this information to the Designated Officer; and
- the Designated Officer is to provide the information to the SRO or SRO Representative every 4 months.

Flowchart 6 - Are you deploying a CHIS?



Procedure for obtaining authorisation for a CHIS under RIPA

Due to the statutory requirements that need to be adhered to when using a CHIS, it is unlikely that an investigation could involve the use of a CHIS without a lot of prior planning. Only in exceptional circumstances will Ceredigion County Council consider using CHIS as a surveillance method and assistance may be sought from the Police.

The Protection of Freedoms Act 2012 amended the 2000 Act to make CHIS authorisations by local authorities subject to judicial approval. These changes mean that local authorities need to obtain an order approving the grant or renewal of a CHIS authorisation from a Justice of the Peace before it can take effect.

If any Council Officer intends to use a CHIS, and requires advice and guidance, they should contact the SRO and/or the SRO's Representative **before any steps are taken**.

NB, as above, a public volunteer is not a CHIS.

Use of Juvenile CHIS

Special safeguards apply to the granting of authorisations where the CHIS would be a juvenile (under 18 years of age). Authorisations cannot be granted unless the provisions within The Regulation of Investigatory Powers (Juveniles) Order 2000 (<https://www.legislation.gov.uk/ukxi/2000/2793/contents/made>) are satisfied. Home Office Guidance on using a Juvenile CHIS is also available:

<https://www.gov.uk/government/publications/covert-human-intelligence-sources-draft-code-of-practice/juvenile-accessible-version>.

Where the surveillance involves the deployment of juveniles or vulnerable people as a CHIS, then the authorisation must be sought from the Chief Executive

If any Council Officer intends to use a Juvenile CHIS, and requires advice and guidance, they should contact the SRO and/or the SRO's Representative before any steps are taken.

Online Covert Activity – RIPA Social Media Policy

See the Council's RIPA Social Media Policy, which details Paragraph 4.11 of the Covert Human Intelligence Sources Revised Code of Practice 2018 (in relation to a CHIS authorisation), and which must be read in conjunction with this Policy.

Completing the Forms

An application must be made by the Officer on the relevant form, which can be downloaded from the Home Office website, <https://www.gov.uk/government/collections/ripa-forms--2>

Application forms will need to contain the following information:

- Details about the purpose for which the CHIS will be used;
- The identity, where known, to be used by the CHIS;
- Details of what the CHIS will be asked to do;
- Details of the investigation;
- Why the use of a CHIS is considered to be proportionate;
- Explanation of the information it is hoped will be obtained;
- The potential for collateral intrusion (i.e. interference with the privacy of people who are not subjects in the investigation);

- Likelihood of acquiring any confidential information; and
- Sequential Unique Reference Number (URN) obtained from the SRO and entered on to the form.

Officers making a CHIS application and Authorising Officers should also be aware of, and have regard to:

- The relevant Home Office Covert Human Intelligence Sources Code of Practice;
- This RIPA Policy; and the
- OSC Procedures and Guidance documents.

Example forms (with guidance on filling in the forms) are available from the Council's Intranet Site (CeriNet) at [\[enter web link\]](#)). **Flowchart 3** will also assist.

Note: As with directed surveillance application forms, standard wording should not be used when completing authorisations.

Before granting an authorisation, the Authorising Officer must be satisfied that the authorisation is necessary for the purpose of preventing and detecting crime. The Authorising Officer must also believe that using a CHIS is proportionate to the outcome sought and that there are adequate procedures in place for maintaining records of the operation. Collateral Intrusion will also need to be considered.

As set out in Part 4 below, in authorising any applications for a CHIS, the Authorising Officer should also consider:

- (a) how long will the data be retained for?; and
- (b) is this compliant with the Council's Information and Records Management Policy and Corporate Retention Schedule?

When using a CHIS, the Authorising Officer and the Officer who makes the application must have regard to section 29(5) of RIPA and also to The Regulation of Investigatory Powers (Source Records) Regulations 2000.

These provisions provide (amongst other things) the following:

- There will at all times be an officer within the Council who will have day to day responsibility for the CHIS;
- There will be another officer within the Council who will have general oversight over the use made of the CHIS;
- That records will document significant information connected with the security and welfare of the CHIS;
- That the tasks given to the CHIS and the uses made of the CHIS are recorded;
- The identity of the CHIS and the identity that is used by the CHIS; and
- That records are kept of all contacts and communications between the CHIS and the Council/ relevant officer at the Council.

The lifecycle of a CHIS authorisation

Once an authorisation has been granted, the Authorising Officer will consider the duration of the authorisation, renewal of the authorisation and cancellation of the authorisation.

Note: The notices and authorisations do not take effect until a Magistrate has approved the authorisation (this does not apply for communications data, which is dealt with by NAFN (see Part 4 below)).

CHIS authorisations cease to have effect 12 months from the date of approval. The duration of a juvenile CHIS authorisation is 1 month.

GUIDANCE FOR AUTHORISING OFFICERS AUTHORISING A CHIS: RULES AND CRITERIA

Section 27 of RIPA provides a defence if covert surveillance is challenged:

- '1) Conduct to which this Part applies shall be lawful for all purposes if -*
- a. an authorisation under this Part confers an entitlement to engage in that conduct on the person whose conduct it is; and*
 - b. his conduct is in accordance with the authorisation.'*

To take advantage of this defence, the surveillance needs to be properly authorised. S.29 sets out the criteria for authorising the use of a CHIS.

See **Flowchart 7** to assess whether to authorise a CHIS.

The Authorising Officer

RIPA and the associated Codes require that when the Council uses a CHIS, these activities must only be authorised by an officer with delegated powers when the relevant criteria are satisfied.

The Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010 (SI 2010 N0.521) states that the AOs for a local authority can be a Director, Head of Service, Service Manager or equivalent.

Services may, therefore, currently nominate officers from at least Corporate Lead Officer level, who can authorise these activities either as an AO for the purposes of directed covert surveillance or use of a CHIS.

Pursuant to the Council's corporate restructure, effective from 1st April 2018, and further to Council resolution made on the 21st June 2018, the following Officers are authorised to act as AOs (the AOs are the same as those appointed to authorise Directed Surveillance applications):

- **Corporate Lead Officer: People and Organisation;**
- **Corporate Lead Officer: Policy, Performance & Public Protection; and**
- **Corporate Lead Officer: Porth Cynnal.**

As above, where the surveillance involves the likelihood of obtaining confidential information or the deployment of juveniles or vulnerable people, then the authorisation **must** be sought from the Chief Executive or, in their absence, the acting Chief Executive.

If there is any doubt regarding sufficiency of rank, contact the SRO or the SRO's Representative for advice.

As above, care must be taken where, through the use of surveillance, it would be possible to acquire knowledge of discussions between a minister of religion and an individual relating to the latter's spiritual welfare, or where matters of medical or journalistic confidentiality may be involved.

Where such material has been acquired and retained, the Council's Senior Responsible Officer for RIPA must be informed as soon as possible, as the matter should be reported to the IPCO during their next inspection and the material should be made available to the IPCO, if requested.

Authorising Officer's Consideration

S.29(2) states:

'A person shall not grant an authorisation for the conduct or the use of a covert human intelligence source unless he believes -

- (a) that the authorisation is necessary on grounds falling within subsection (3);*
- (b) that the authorised conduct or use is proportionate to what is sought to be achieved by that conduct or use; and*
- (c) arrangements exist for the source's case that satisfy—*
 - (i) the requirements of subsection (4A), in the case of a source of a relevant collaborative unit;*
 - (iii) the requirements of subsection (5), in the case of any other source; and that satisfy such other requirements as may be imposed by order made by the Secretary of State'*

Please consult flowchart 7 when deciding whether the deployment of a CHIS should be authorised.

Three matters are important to consider before authorising the deployment of a CHIS:

1. Necessity

The deployment of a CHIS has to be necessary on one of the grounds set out in S.29 (3). Local authorities can only authorise on the one ground; where it is necessary:

'for the purpose of preventing or detecting crime or of preventing disorder.'
(S.29 (3) (b))

The matter being investigated must be an identifiable criminal offence or constitute disorder.

2. Proportionality

Proportionality means ensuring that the deployment of the CHIS is the least intrusive method to obtain the required information having considered all reasonable alternatives. This requires consideration of not only whether a CHIS is appropriate but also the method to be adopted, the duration and the equipment to be used. The CHIS Code (Para 3.5) requires four aspects to be addressed in the authorisation form:

- Balancing the size and scope of the proposed activity against the gravity and extent of the perceived crime or offence;
- Explaining how and why the methods to be adopted will cause the least possible intrusion on the subject and others;
- Considering whether the activity is an appropriate use of the legislation and a reasonable way, having considered all reasonable alternatives, of obtaining the necessary result; and

- Evidencing, as far as reasonably practicable, what other methods had been considered and why they were not implemented.

It is unacceptable to consider whether an authorisation is required based on the description of the surveillance alone. The legal principles must be applied to the particular facts, and is a matter of judgment.

The conduct that it is aimed to prevent/detect must be identified and clearly described, and an explanation provided of why it is necessary to use the covert techniques requested.

3. Security and Welfare Arrangements

CHIS's are often placed in difficult and sometime dangerous situations e.g. an informant on a housing estate in contact with criminal gangs. Appropriate security and welfare arrangements must also be in place in relation to each CHIS. S.29 (5) requires there to be:

- A person who will have day-to-day responsibility for dealing with the CHIS on behalf of that authority, and for his/her security and welfare;
- A person who will have general oversight of the use made of the CHIS. This person must be different to the one above;
- A person who will maintain a record of the use made of the CHIS. This can be any of the above or a separate person; and
- Proper and secure records to be kept about the use made of the CHIS.

Risk Assessment: An authorisation for the conduct or use of a CHIS may not be granted or renewed in any case where the source is under the age of eighteen at the time of the grant or renewal, unless a risk assessment has been carried out. This must be sufficient to demonstrate that:

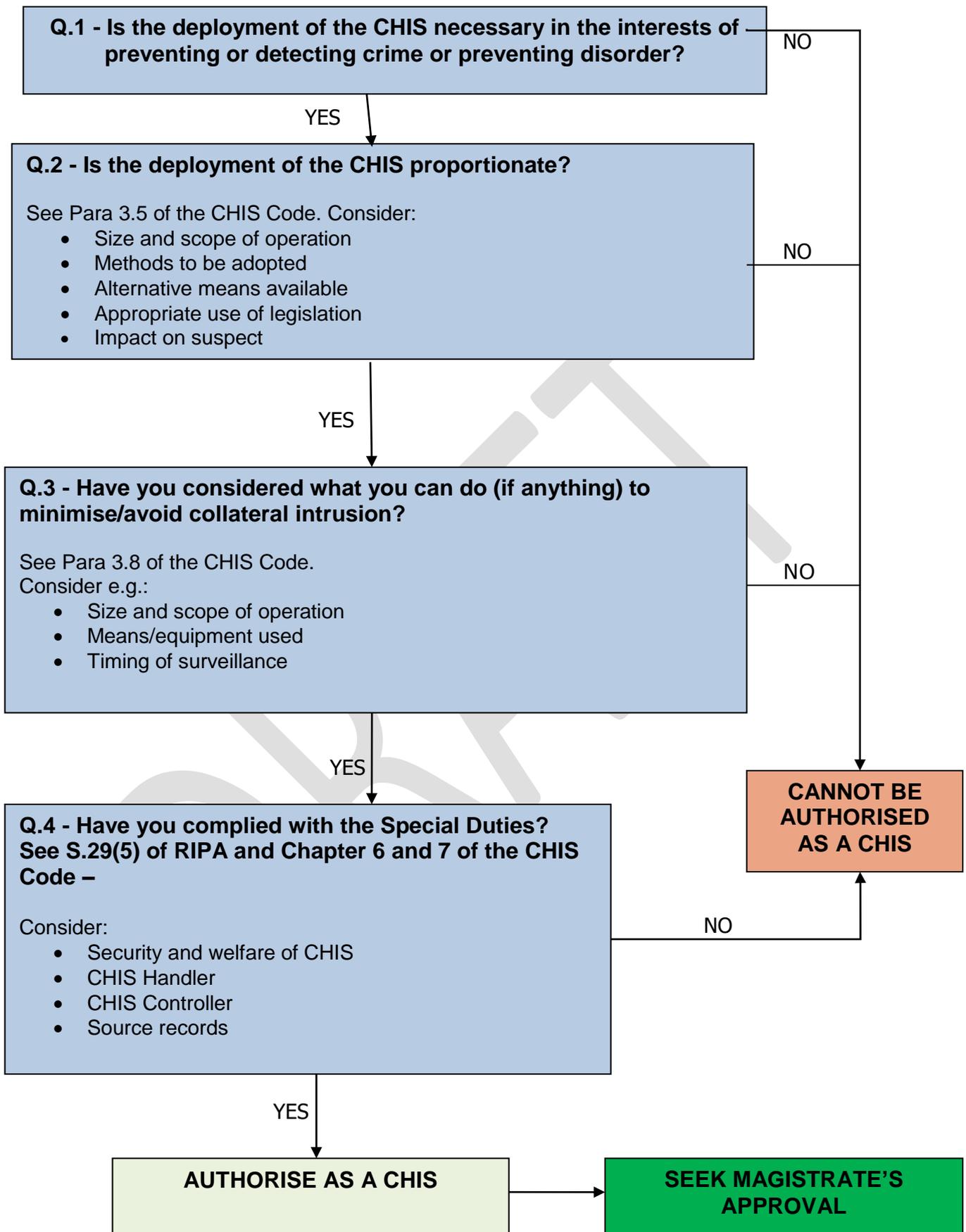
- The nature and magnitude of any risk of physical injury to the CHIS arising in the course of, or as a result of, carrying out the conduct described in the authorisation has been identified and evaluated;
- The nature and magnitude of any risk of psychological distress to the CHIS arising in the course of, or as a result of, carrying out the conduct described in the authorisation has been identified and evaluated;
- The person granting or renewing the authorisation has considered the risk assessment and has satisfied himself that any risks identified in it are justified and, if they are, that they have been properly explained to and understood by the CHIS; and
- The person granting or renewing the authorisation knows whether the relationship to which the conduct or use would relate is between the CHIS and a relative, guardian or person who has for the time being assumed responsibility for the CHIS's welfare, and, if it is, has given particular consideration to whether the authorisation is justified in the light of that fact.

As stated above, in authorising any applications for a CHIS, the Authorising Officer should also consider:

- (a) how long will the data be retained for?; and
- (b) is this compliant with the Council's Information and Records Management Policy and Corporate Retention Schedule?

Next Stage: Once the use of a CHIS has been authorised, the next stage is to seek Magistrate's approval (see below).

Flowchart 7 – Authorising a CHIS



SEEKING MAGISTRATE'S APPROVAL FOR A CHIS (JUDICIAL APPROVAL)

Background

Since the 1st of November 2012 and the introduction of Chapter 2 of Part 2 of the Protection of Freedoms Act 2012 (ss37 and 38), local authorities are required to obtain the approval of a Magistrate for the deployment of a CHIS.

An approval is also required to renew an authorisation. In each case, the role of the Magistrate is to ensure that the correct procedures have been followed and the relevant factors have been taken account of. There is no requirement for the Magistrate to consider either cancellations or internal reviews.

Home Office Guidance

The Home Office has published guidance on the Magistrate's approval process both for local authorities and the Magistrate's Court:

<http://www.homeoffice.gov.uk/publications/counter-terrorism/ripa-forms/local-authority-ripa-guidance/>

This guidance is non-statutory but provides advice on how the Council can best approach these changes in law and the new arrangements that need to be put in place to implement them effectively. It is supplementary to the legislation and to the two statutory Codes of Practice made under RIPA.

The Magistrate's Approval Process (see also Flowchart 8 below)

1. The first stage will be to apply for an internal authorisation in the usual way. Once this has been granted, the Council will need to contact the local Magistrates' Court to arrange a hearing.
2. The hearing constitutes legal proceedings. Therefore, the Council's Officers need to be formally designated to appear before the Magistrate, take the oath, present evidence or provide information, as required, to support the application. The Council will need to formally designate Officers for this purpose under section 223 of the Local Government Act 1972, to represent the Council within the proceedings.
3. The Home Office suggests that the Investigating Officer will be best suited to fulfil this role, but the AO may also want to attend to answer any questions.
4. The Council will provide the Magistrate with a copy of the original RIPA authorisation. This forms the basis of the application to the Magistrate and should contain all information that is relied upon. In addition, the Council will provide the Magistrate with two copies of a partially completed judicial application/order form, which is included in the Home Office Guidance (example forms (with guidance on filling in the forms) are available from the Council's Intranet Site (CeriNet) at [\[enter web link\]](#))).
5. The hearing will be held in private and heard by a single Magistrate who will read and consider the RIPA authorisation and the judicial application/order form. The Magistrate may have questions to clarify points or require additional reassurance on particular matters. The forms and supporting papers must by themselves make the case. **It is not sufficient for the Council to provide oral evidence where this is not reflected or supported in the papers provided.**

6. The Magistrate will consider whether they are satisfied that, at the time the authorisation was granted or renewed, there were reasonable grounds for believing that the authorisation was necessary and proportionate. They will also consider whether there continues to be reasonable grounds. In addition the Magistrate must be satisfied that the Authorising Officer was of appropriate designation within the local authority and that the authorisation was made in accordance with any applicable legal restrictions (e.g. meets the Serious Crime Test for Directed Surveillance).
7. The order section of the above-mentioned form will be completed by the Magistrate and will be the official record of their decision. The Council will need to retain a copy of the form after it has been signed by the Magistrate.

Magistrate's Options

The Magistrate may decide to –

- ***Approve the grant/renewal of the authorisation***

The grant/renewal of the authorisation will then take effect and the Council may proceed to use the surveillance technique mentioned therein.

- ***Refuse to approve the grant/renewal of the authorisation on a technicality***

The RIPA authorisation will not take effect and the Council may not use the surveillance technique in that case. The Council will need to consider the reasons for the refusal. A technical error in the form may be remedied without the need to go through the internal authorisation process again. The Council can then reapply for Magistrate's approval.

- ***Refuse to approve the grant/renewal and quash the authorisation***

A Magistrate may refuse to approve the grant or renewal of an authorisation and decide to quash the original authorisation. This may be because they believe it is not necessary or proportionate. The RIPA authorisation will not take effect and the Council may not use the surveillance technique in that case. The Magistrate must not exercise their power to quash the authorisation unless the Council has had at least two business days from the date of the refusal in which to prepare and make further representations to the Court.

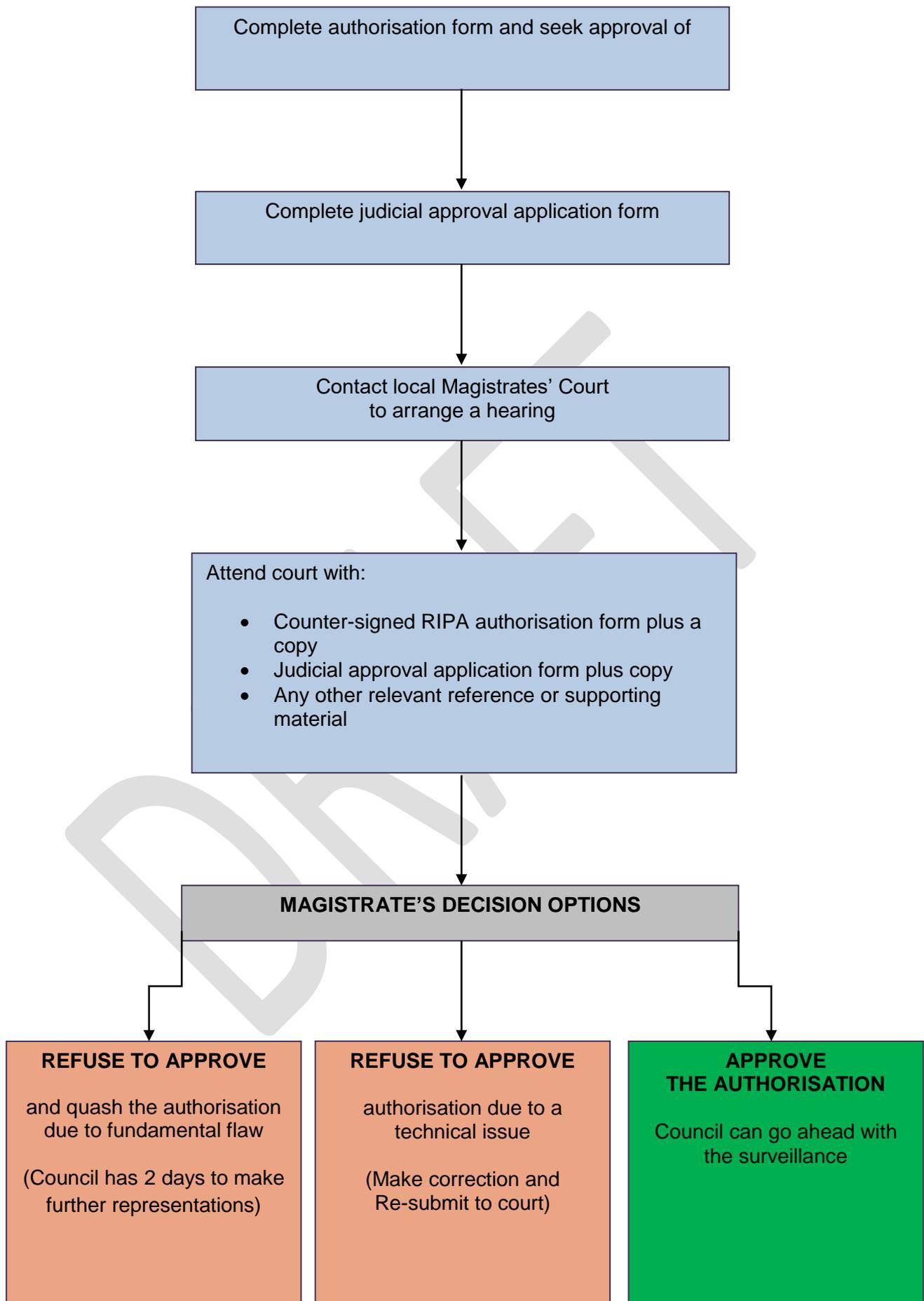
Appeals

There is no complaint route for a judicial decision unless it was made in bad faith. Any complaints should be addressed to the Magistrates' Advisory Committee.

Therefore, the Council may only appeal a Magistrate's decision to refuse approval of an authorisation, on a point of law by making an application for Judicial Review in the High Court.

The Investigatory Powers Tribunal ('IPT') will continue to investigate complaints by individuals about the use of RIPA techniques by public bodies, including local authorities. If, following a complaint to them, the IPT finds fault with a RIPA authorisation, it has the power to quash the Magistrate's order, which approved the grant or renewal of the authorisation. It can also award damages if it believes that an individual's human rights have been violated by the Council (see Investigatory Powers Tribunal Rules 2018 (SI 2018/1334), which came into force on the 31st December 2018).

Flowchart 8 - The Magistrate's Approval Process (CHIS)



Time Limits

The current time limits for an authorisation to use a CHIS is 12 months for a CHIS or 1 month if the CHIS is underage.

A renewal must be authorised prior to the expiry of the original authorisation, but it runs from the expiry date and time of that original authorisation. Authorisations may be renewed more than once if still considered necessary and proportionate and approved by a Magistrate.

An application for renewal must not be made more than 7 working days before the authorisation is due to expire. This is to ensure that the renewal is necessary but local authorities must take account of factors, which may delay the renewal process (e.g. intervening weekends or the availability of the relevant local authority authorising officer and a Magistrate to consider the application).

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PART 4 RECORDS, DATA HANDLING, RETENTION SAFEGUARDS, ERRORS AND COMPLAINTS

THE CENTRAL REGISTER OF AUTHORISATIONS

A central register record of the following information relating to all authorisations will be held centrally by the SRO, with the Officer retaining a copy, and will be kept for at least 3 years from the ending of each authorisation, and in any event in compliance with the Council's Information and Records Management Policy (2019):

<https://cerinet.ceredigion.gov.uk/media/2725/information-and-records-management-policy-v20.pdf>

Documentation of any instruction to cease surveillance must be retained. A record should be kept detailing the product obtained from the surveillance and whether objectives were achieved. Although the central register will be monitored by the SRO, it is ultimately the AO's responsibility to ensure renewals and cancellations are up to date.

Authorisations will be made available to the IPCO. It will be the responsibility of the SRO or nominated representative to ensure that the register is maintained and overseen.

The records should contain the following information:

- Original authorisation (not copies);
- The type of authorisation – e.g. Directed Surveillance or CHIS;
- The date the authorisation was given;
- The name and rank/grade of the authorising officer;
- The unique (sequential) reference number ('URN') of the investigation or operation;
- The title of the investigation or operation, including a brief description and names of subjects, if known;
- Whether the urgency provisions were used, and if so why;
- The date of any reviews;
- If the authorisation has been renewed, when it was renewed and who authorised the renewal, including the name and rank/grade of the authorising officer;
- Whether the investigation or operation resulted in obtaining confidential information;
- Whether the authorisation was granted by an individual directly involved in the investigation;
- The date the authorisation was cancelled;
- Instruction to cease surveillance;
- Record of product obtained from the surveillance;
- Record of whether objectives achieved;
- Authorisations by Magistrates' Courts include date of Court hearing;
- Name of determining Magistrate, the time and date of the decision;
- Where any application is refused, the grounds for refusal as given by the issuing authority or Judicial Commissioner;
- Record of whether, following a refusal of any application by a Judicial Commissioner, there is an appeal to the Investigatory Powers Commissioner; and
- Where there is such an appeal and the Investigatory Powers Commissioner also refuses the issuing of an application, the grounds for refusal given.

The Covert Surveillance and Property Interference Revised Code of Practice 2018 at Paragraph 8.2 also confirms that the following documentation should also be centrally retrievable for at least three years from the ending of each authorisation:

- A copy of the application and a copy of the authorisation together with any supplementary documentation and notification of the approval given by the AO;
- A record of the period over which the surveillance has taken place;
- The frequency of reviews prescribed by the AO;
- A record of the result of each review of the authorisation;
- A copy of any renewal of an authorisation, together with the supporting documentation submitted when the renewal was requested;
- The date and time when any instruction to cease surveillance was given;
- The date and time when any other instruction was given by the AO; and
- (For local authorities) A copy of the order approving or otherwise the grant or renewal of an authorisation from a Justice of the Peace ('JP').

All Investigating Officers should keep the authorisation within their own service and submit a copy to the SRO.

ASSURANCE OF DATA HANDLING AND RETENTION SAFEGUARDS

The procedures and safeguards to be applied in relation to the handling of any material obtained through Directed Surveillance under the 2000 Act is dealt with in detail in the Covert Surveillance and Property Interference Revised Code of Practice 2018 and Covert Human Intelligence Sources Code of Practice, which should be followed.

Application forms for RIPA Authorisations have been amended to include reference to retention periods, and confirmation that these periods are compliant with the Council's Information and Records Management Policy and Corporate Retention Schedule (example forms (with guidance on filling in the forms) are available from the Council's Intranet Site (CeriNet) at [[enter web link](#)])).

Authorisations must be kept for at least 3 years from the ending of each authorisation, and ideally up to five years. All data obtained under the IPA 2016 and RIPA must be clearly labelled and stored on a data pathway with a known retention policy.

The data pathway retention, review and disposal process must be in compliance with:

1. The Council's Information and Records Management Policy (2019):
<https://cerinet.ceredigion.gov.uk/media/2725/information-and-records-management-policy>;
2. The Council's Corporate Retention Schedule ([to follow](#));
3. The Covert Surveillance and Property Interference Revised Code of Practice 2018, https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/742041/201800802_CSPI_code.pdf

which states at Paragraph 8.5 - Retention of records:

Records must be available for inspection by the Investigatory Powers Commissioner and retained to allow the Investigatory Powers Tribunal ('IPT'), established under Part IV of the 2000 Act, to carry out its functions. The IPT will consider complaints made up to one year after the conduct to which the complaint relates and, where it is equitable to do so, may consider complaints made more than one year after the conduct to which the complaint relates (see section 67(5) of the Act), particularly where continuing conduct is alleged. Although records are only required to be retained for at least three years, it is therefore desirable, if possible, to retain records for up to five years.

See also Paragraphs 8.6-8.7 below regarding errors.

4. Retention practices must comply with relevant legal frameworks including:
- RIPA;
 - The IPA 2016;
 - The Data Protection Act 2018; and
 - Article 8(2) of the European Convention on Human Rights.

In authorising any applications relating to Directed Surveillance or a CHIS, AOs should also consider:

- (a) how long will the data be retained for?; and
(b) is this compliant with the Council's Information and Records Management Policy and Corporate Retention Schedule?

AOs must also ensure that they fully understand any data pathways used for RIPA or IPA 2016 data.

Example: Directed surveillance data may be simultaneously stored on several data pathways, as follows:

- Pathway 1: CCTV video product is transferred onto a CD and kept in a secure cabinet;
- Pathway 2: a copy of the video is sent via email and stored on a common storage drive;
- Pathway 3: a copy of the video is received via email and saved in an Outlook folder by a legal officer; and
- Pathway 4: a copy of the video is received via email and stored in a password protected evidential casework folder by a legal officer.

Safeguarding processes must also comply with the Covert Surveillance and Property Interference Revised Code of Practice 2018 (available at https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/742041/201800802_CSPI_code.pdf), which states at paragraph 9.3 that Public authorities '*should ensure that their actions when handling information obtained by means of covert surveillance or property interference comply with relevant legal frameworks and this code, so that any interference with privacy is justified in accordance with Article 8(2) of the European Convention on Human Rights. Compliance with these legal frameworks, including data protection requirements, will ensure that the handling of private information so obtained continues to be lawful, justified and strictly controlled, and is subject to robust and effective safeguards.*'

The Council must be compliant with data safeguards to establish a high level of confidence that all data obtained is retained lawfully, and to embed and encourage best practice for compliance, and also ensure that the handling of private information so obtained continues to be lawful, justified and strictly controlled, and is subject to robust and effective safeguards. Data must not be retained for longer than necessary or appropriate.

It is the responsibility of each service to securely retain all authorisations within their service and once an investigation is closed, the duplicate records held by the service should be disposed of in an appropriate manner i.e. treated as confidential waste and shredded—

AOs, through their relevant Data Controller, must ensure compliance with the appropriate data protection requirements under the Data Protection Act 1998 and any relevant internal arrangements produced by the Council relating to the handling and storage of material.

Any breaches of data protection requirements should also be reported to the Information Commissioner.

These safeguards will be subject to periodic review to ensure that they remain up-to-date and effective.

The Covert Surveillance and Property Interference Revised Code of Practice 2018 states:

- (at Paragraph 9.5) Safeguards (including privileged or confidential information):
Dissemination, copying and retention of material must be limited to the minimum necessary for authorised purposes. For the purposes of the code, something is necessary for the authorised purposes if the material:
 - *is, or is likely to become, necessary for any of the statutory purposes set out in the 2000, 1997 or 1994 Act in relation to covert surveillance or property interference;*
 - *is necessary for facilitating the carrying out of the functions of public authorities under those Acts;*
 - *is necessary for facilitating the carrying out of any functions of the Commissioner or the Investigatory Powers Tribunal;*
 - *is necessary for the purposes of legal proceedings; or*
 - *is necessary for the performance of the functions of any person by or under any enactment.*

Paragraphs 9.14 to 9.22 of the Covert Surveillance and Property Interference Revised Code of Practice 2018 provide guidance as to the safeguards, which govern the dissemination, copying, storage and destruction of private information obtained through covert surveillance or property interference.

The Council must ensure that there are internal arrangements in force for securing that the requirements of the safeguards referred to in the Covert Surveillance and Property Interference Revised Code of Practice 2018 are satisfied in relation to private information obtained.

Training on Data Handling and Retention Safeguards can be arranged for any Authorising Officers or Officers who may handle such data – please contact the SRO if you would like to undertake any such Training.

Dissemination of information

The number of persons to whom any of the information is disclosed, and the extent of disclosure, should be limited to the minimum necessary for the authorised purpose(s). This obligation applies equally to disclosure to additional persons within the Council, or another public authority, and to disclosure outside the Council, or other public authority. Similarly, only the material that is needed by the recipient must be disclosed e.g. if a summary of the material will suffice, no more than that summary should be disclosed.

This obligation to limit the number of persons to whom any of the information is disclosed, including the extent of the disclosure, to the minimum necessary for the authorised purpose(s) also applies to anyone to whom the material is subsequently disclosed. In some cases, this will be achieved by requiring the latter to obtain permission from the original authority before disclosing the material further. In others, explicit safeguards should be applied to any secondary recipients.

As confirmed in the Interception of Communications Data section above, regarding material obtained under a warrant or authorisation is disclosed to the authorities of a country or

territory outside the UK, the Council must ensure that the material is only handed over to the authorities if it appears to them that any requirements relating to minimising the extent to which material is disclosed, copied, distributed and retained will be observed to the extent that the authorising officer, Judicial Commissioner or Secretary of State considers appropriate.

Where material obtained under a warrant or authorisation is disclosed to the authorities of a country or territory outside the UK, the Council must ensure that the material is only handed over to the authorities if it appears to them that any requirements relating to minimising the extent to which material is disclosed, copied, distributed and retained will be observed to the extent that the authorising officer, Judicial Commissioner or Secretary of State considers appropriate.

Copying

Material obtained through covert surveillance or property interference may only be copied to the extent necessary for the authorised purposes. Copies include not only direct copies of the whole of the material, but also extracts and summaries which identify themselves as the product of covert surveillance or property interference, and any record which refers to the covert surveillance or property interference and the identities of the persons to whom the material relates.

Storage

Material obtained through covert surveillance or property interference, and all copies, extracts and summaries of it, must be handled and stored securely, so as to minimise the risk of loss or theft. It must be held so as to be inaccessible to persons without the required level of security clearance (where applicable). This requirement to store such material securely applies to all those who are responsible for the handling of the material.

The Council must apply the following protective security measures:

- Physical security to protect any premises where the information may be stored or accessed;
- IT security to minimise the risk of unauthorised access to IT systems; and
- An appropriate security clearance regime for staff, which is designed to provide assurance that those who have access to this material are reliable and trustworthy.

Deletion & Destruction

Information obtained through covert surveillance or property interference, and all copies, extracts and summaries, which contain such material, should be scheduled for deletion or destruction and securely destroyed as soon as they are no longer needed for the authorised purpose(s). The duplicate records held by the service should be disposed of in an appropriate manner i.e. treated as confidential waste and shredded.

If such information is retained, it should be reviewed at appropriate intervals to confirm that the justification for its retention is still valid.

Confidential and Legally Privileged Material

There are also very specific and detailed requirements in relation to particularly sensitive material, much of which is subject to enhanced authorisation regimes, this type of material includes:

- Material subject to legal privilege;
- Confidential personal information;
- Confidential constituent information; and
- Confidential journalistic material and journalists sources.

Surveillance likely or intended to result in the acquisition of knowledge of confidential or privileged material may be authorised only by AOs entitled to grant authorisations in respect of confidential or privileged information and care must be taken where, through the use of surveillance, it would be possible to acquire knowledge of discussions between a minister of religion and an individual relating to the latter's spiritual welfare, or where matters of medical or journalistic confidentiality may be involved.

Where such material has been acquired and retained, the Council's Senior Responsible Officer for RIPA must be informed as soon as possible, as the matter should be reported to the IPCO during their next inspection and the material should be made available to the IPCO, if requested.

Marking

Consideration should be given to appropriate marking of material, such as, for example, a marking of 'CONFIDENTIAL' or 'NOT TO BE DISTRIBUTED WITHOUT WRITTEN PERMISSION' on confidential or sensitive material.

Errors

Careful preparation and checking of authorisations and appropriate technical systems will reduce the scope for making errors.

The SRO will undertake an annual review of errors together with a written record.

See Paragraphs 8.6-8.18 Covert Surveillance & Property Interference Revised Code of Practice 2018:

8.6 This section provides information regarding errors. Proper application of the surveillance provisions provided for in Part II of the 2000 Act and the property interference provision provided for in the 1994 and 1997 Acts, should reduce the scope for making errors. Public authorities will be expected to have thorough procedures in place to comply with these provisions, including for example the careful preparation and checking of warrants and authorisations, reducing the scope for making errors.

8.7 Wherever possible, any technical systems should incorporate functionality to minimise errors.

8.8 An error must be reported if it is a 'relevant error'. Under section 231(9) of the Investigatory Powers Act 2016, a relevant error for the purpose of activity covered by this code is any error by a public authority in complying with any requirements that are imposed on it by any enactment which are subject to review by a Judicial Commissioner. This would include compliance by public authorities with Part II of the 2000 Act or the property interference provisions of the 1994 and 1997 Acts. Examples of relevant errors occurring would include circumstances where:

- Surveillance or property interference activity has taken place without lawful authorization; or
- There has been a failure to adhere to the safeguards set out in the relevant statutory provisions and Chapter 9 of the Code.

8.9 Errors can have very significant consequences on an affected individual's rights and, in accordance with section 235(6) of the Investigatory Powers Act 2016, all

relevant errors made by public authorities must be reported to the Investigatory Powers Commissioner by the public authority that is aware of the error.

8.10 When a relevant error has occurred, the public authority that made the error must notify the Investigatory Powers Commissioner as soon as reasonably practicable, and no later than **ten working** days (or as agreed with the Commissioner) after it has been established by appropriate internal governance processes that a relevant error has occurred. Such internal governance processes are subject to review by the Investigatory Powers Commissioner. Where the full facts of the error cannot be ascertained within that time, an initial notification must be sent with an estimated timescale for the error being reported in full and an explanation of the steps being undertaken to establish the full facts of the error.

8.11 From the point at which the public authority identifies that a relevant error may have occurred, they must take steps to confirm the fact of an error as quickly as it is reasonably practicable to do so. Where it is subsequently confirmed that an error has occurred and that error is notified to the Commissioner, the public authority must also inform the Commissioner of when it was initially identified that an error may have taken place.

8.12 A full report must be sent to the Investigatory Powers Commissioner as soon as reasonably practicable in relation to any relevant error, including details of the error and, where it has not been possible to provide the full report within ten working days (or as agreed with the Commissioner) of establishing the fact of the error, the reasons this is the case. The report should include information on the cause of the error; the amount of surveillance or property interference conducted and material obtained or disclosed; any unintended collateral intrusion; any analysis or action taken; whether any material has been retained or destroyed; and a summary of the steps taken to prevent recurrence.

8.13 The Investigatory Powers Commissioner may issue guidance as necessary, including guidance on the format of error reports. Public authorities must have regard to any guidance on errors issued by the Investigatory Powers Commissioners.

8.14 In addition to the above, errors may arise where a warrant or authorisation has been obtained as a result of the public authority having been provided with information which later proved to be incorrect due to an error on the part of the person providing the information, but on which the public authority relied in good faith. Whilst these actions do not constitute a relevant error on the part of the authority which acted on the information, such occurrences should be brought to the attention of the Investigatory Powers Commissioner. Where reporting such circumstances to the Investigatory Powers Commissioner, the processes outlined at Paragraph 8.10 apply as they apply to the reporting of a relevant error.

Examples of common mistakes in RIPA Forms

- Using out of date Home Office forms;
- Not quoting URN;
- Copying wording from old authorisations;
- Failing to give detailed explanations of what the surveillance will involve;
- Failing to sufficiently consider and/or explain the proportionality factors;
- Failing to sufficiently consider and/or explain Collateral Intrusion;
- Failing to sufficiently consider likelihood of obtaining confidential information;
- Failing to send (original) completed forms to the SRO; or

- Failure to request only the tactics known to be available and intended to be used.

Examples of Authorising Officers' Mistakes

- Repetitive narrative and rubber stamping without proper consideration of all the facts set out in the authorisation form;
- Failure to clearly set out what activity and surveillance equipment is authorised;
- Not knowing the capability of the surveillance equipment which is being authorised; E.g. cameras that record continuously, thermal image/infrared capability, cameras activated by motion);
- Failing to demonstrate that less intrusive methods have been adequately considered and why they have been discounted in favour of the tactic selected;
- Failing when cancelling authorisations, to give directions for management and storage of the product of the surveillance;
- No robust and quality assurance procedures;
- Failure to evidence proportionality – that other means have been considered, and that the relevant criteria has been considered; or
- The need for authorisation has to be judged at the time of the authorisation, not with the benefit of hindsight.

Serious Errors

8.15 Section 231 of the 2016 Act states that the IPC must inform a person of any relevant error relating to that person if the Commissioner considers that the error is a serious error and that it is in the public interest for the person concerned to be informed of the error. The Commissioner may not decide that an error is a serious error unless he or she considers that the error has caused significant prejudice or harm to the person concerned. The fact that there has been a breach of a person's Convention rights (within the meaning of the Human Rights Act 1998) is not sufficient by itself for an error to be a serious error.

8.16 In deciding whether it is in the public interest for the person concerned to be informed of the error, the Commissioner must in particular consider:

- national security;
- the prevention or detection of serious crime;
- the economic well-being of the United Kingdom; or
- the continued discharge of the functions of any of the intelligence services.

8.17 Before making their decision, the Commissioner must ask the public authority which has made the error to make submissions on the matters concerned. Public authorities must take all such steps as notified to them by the Investigatory Powers Commissioner to help identify the subject of a serious error.

8.18 When informing a person of a serious error, the Commissioner must inform the person of any rights that the person may have to apply to the Investigatory Powers Tribunal, and provide such details of the error as the Commissioner considers to be necessary for the exercise of those rights.

Further guidance can be found in:

- Para 7.1 – 7.20 of the Covert Human Intelligence Sources Revised Code of Practice 2018 and
- Para 8.6 – 8.18 of the Covert Surveillance and Property Interference Revised Code of Practice 2018.

COMPLAINTS

Any individual who is dissatisfied about the way the Council has or is carrying out surveillance may make a complaint. The decision as to which procedure should be used lies with the individual concerned.

If a person wishes to complain using the Council's procedures, then the complainant should be made aware of the Council's Corporate Complaints Procedure (see <https://www.ceredigion.gov.uk/your-council/comments-compliments-and-complaints/corporate-complaints/> and <https://www.ceredigion.gov.uk/media/1179/complaints-policy-bookletenglish.pdf>) The complaint will be dealt with in accordance with that procedure.

If a person wishes to complain directly to an independent body or had used the Council's internal procedures and is still dissatisfied, then he/she may complain to the Investigatory Powers Tribunal ('IPT').

The IPT has jurisdiction to investigate and determine complaints against public authority use of investigatory powers. To find out more information about the IPT or make a complaint, then full details of how to do so are available on the IPT website: www.ipt-uk.com.

Complaints can be made in writing to:

The Investigatory Powers Tribunal
PO Box 33220
London
SW1H 9ZQ

* See Part 5 below for complaints regarding Communications Data

Part 5 - Communications Data

The RIPA (Communications Data) Order 2010 (SI 2010 no. 480) came into force on the 6th of April 2010 and confirms the powers contained within Chapter 2 of RIPA provided to Local Authorities by the equivalent 2003 Order.

Chapter 2, in brief, allows a Public Authority, such as the Council, to acquire information defined as 'communications data'. This includes subscriber data and service data but not 'traffic data' as defined by RIPA.

It is the Investigatory Powers Act 2016 ('IPA 2016') that regulates access to Communications data (<https://www.legislation.gov.uk/ukpga/2016/25/>). See also the Communications Data Code of Practice 2018:

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/757850/Communications_Data_Code_of_Practice.pdf.

Meaning of 'Communications Data'

Communications data is '*information held by communication service providers (e.g. telecom, internet and postal companies) relating to the communication made by their customers*'. This includes information relating to the use of a communications service but does not include the contents of the communication itself.

A simple example of a successful application for communications data could include, for example, applying for details confirming an email's date and time, but not its content.

The Communications Data Code of Practice 2018 states (at paragraph 2.18) that the term 'communications data' includes the 'who', 'when', 'where', and 'how' of a communication but not the content i.e. what was said or written (the content of a communication is defined in section 261(6) of the IPA 2016 as any element of the communication, or any data attached to or logically associated with the communication, which reveals anything of what might reasonably be considered to be the meaning (if any) of that communication).

The Communications Data Code of Practice 2018 states, in relation to Communications Data, that:

- 2.19 *'It includes the way in which, and by what method, a person or thing communicates with another person or thing. It excludes anything within a communication including text, audio and video that reveals the meaning, other than inferred meaning, of the communication.'*
- 2.20 *It can include the address to which a letter is sent, the time and duration of a communication, the telephone number or email address of the originator and recipient, and the location of the device from which the communication was made. It covers electronic communications including internet access, internet telephony, instant messaging and the use of applications. It also includes postal services.*
- 2.21 *Communications data is generated, held or obtained in the provision, delivery and maintenance of communications services – i.e. postal services or telecommunications services.*
- 2.22 *Communications data in relation to telecommunications operators' services and systems includes data held or obtainable by a telecommunications operator or postal operator or which is available directly from a telecommunication system and comprises four elements.*

Data about an entity to which a telecommunications service is provided and relates to the provision of the service

- 2.23 *This data includes information about any person or entity to whom a service is provided, whether a subscriber or guest user and whether or not they have ever used that service. For example, this may include information about the person associated with an email address even if that email address has not been used since its creation.*
- 2.24 *An entity (see below for further details) can also include devices so this data would cover information about the devices owned by a customer as well as the services provided by the telecommunications operator to which the owner of the devices subscribes. This data may include names and addresses of subscribers.*
- 2.25 *Importantly this data is limited to data held or obtained by the telecommunications operator in relation to the provision of a telecommunications service – it does not include data which may be held about a customer by a telecommunications operator more generally which is not related to the provision of a telecommunications service.*
- 2.26 *For example, for a social networking provider data such as the status of the account, contact details for the customer and the date a person registered with the service would all be communications data as they relate to the use of the service. However, other data held by the provider about a customer which does not relate to the provision of the telecommunications service, including personal information such as political or religious interests included in profile information, is not within scope of the definition of communications data.*

Data comprised in, included as part of, attached to or logically associated with a communication for the purposes of a telecommunication system that facilitates the transmission of that communication

- 2.27 *This data includes any information that is necessary to get a communication from its source to its destination, such as the dialled telephone number or Internet Protocol (IP) address. It includes data which:*
- *identifies the sender or recipient of a communication or their location;*
 - *identifies or selects the apparatus used to transmit the communication;*
 - *comprises signals which activate the apparatus used (or which is to be used) to transmit the communication; and*
 - *identifies data as being part of a communication.*
- 2.28 *This element of the communications data definition also includes data held, or capable of being obtained, by the telecommunications operator which is logically associated with a communication for the purposes of the telecommunication system by which the communication is being, or may be, transmitted. In practice this will often mean any data which is used to route or transmit a communication which the telecommunications operator holds or could obtain, for example from the network.*

Communications Data Code of Practice

- 2.29 *This might include, for example data about domain name system ('DNS') requests which allow communications to be routed across the network. It also*

includes data that facilitates the transmission of future communications (regardless of whether those communications are, in fact, transmitted).

2.30 *Only information falling within this section of the definition of communications data can be obtained directly from a telecommunication system by a public authority.*

Data which relates to the use of a service or system

2.31 *This element includes other information held by a telecommunications operator about the use of the service such as information that the provider holds for billing purposes.*

Data which is about the architecture of a telecommunication system.

2.32 *The definition of communications data additionally includes data held by a telecommunications operator about the architecture of the telecommunication system (sometimes referred to as 'reference data'). This may include the location of cell masts or Wi-Fi hotspots. This information itself does not contain any information relating to specific persons and its acquisition in its own right does not interfere with the privacy of any customers. However, this data is often necessary for the public authority to interpret the data received in relation to specific communications or users of a service.*

2.33 *Part 3 of the Act does not apply to any conduct by a public authority to obtain publicly or commercially available communications data. A communications data authorisation under Part 3 is not mandatory to obtain reference data, such as mobile phone mast locations, from a telecommunications operator as there is no intrusion into an individual's rights. However, some reference data, such as details of Wi-Fi hotspots, may be commercially sensitive and an authorisation can be sought by a public authority seeking to obtain this data from a telecommunications operator where the telecommunications operator requires it.*

Entity and Events Data

2.34 *All communications data held by a telecommunications operator or obtainable from a telecommunication system falls into two categories:*

- *entity data – this data is about entities or links between them and describes or identifies the entity but does not include information about individual events. Entities could be individuals, groups and objects (such as mobile phones or other communications devices);*
- *events data – events data identifies or describes events in relation to a telecommunication system which consist of one or more entities engaging in an activity at a specific point, or points, in time.*

2.35 *The authorisation levels required to access communications data reflect the fact that the set of events data as a whole contains the more intrusive communications data, including information on who has been in communication with whom, a person's location when their mobile device connects to the network and internet connection records. The rank of the designated senior officer that can authorise acquisition of data reflects the differing levels of intrusiveness of the data. For example, in certain circumstances, the police can authorise access to entity data at Inspector level but events data is authorised at Superintendent level.*

Additionally entity data can be obtained in a wider range of crime types than events data.

2.36 There are some circumstances where a telecommunications operator will need to process events data in order to respond to a request for entity data. In such circumstances the level of authorisation required is for the type of data that is to be disclosed, rather than the type of data that is processed e.g. where a public authority wants to know the identity of a person using an IP address at a specific time and date this will be an application for entity data.

2.37 Where a public authority provides events data to a telecommunications operator as part of a request for entity data then the telecommunications operator may disclose that events data in the response to the entity data authorisation. Taking the example above, the telecommunications operator could include the time and date of the communication as part of the response without the need for it to be authorised as an event. This is because the public authority, by providing the events data to the telecommunications operator, has demonstrated they are already aware of the event and only intend to determine the entity involved in that event. By disclosing the events data the telecommunications operator would only be providing the public authority with information they already knew. Such disclosure is likely to occur where the telecommunications operator discloses the full record from their systems.

Entity data

2.38 Entity data covers information about a person or thing, and about links between a telecommunications service, part of a telecommunication system and a person or thing, that identify or describe the person or thing. This means that individual communication devices such as phones, tablets and computers are entities. The links between a person and their phone are therefore entity data but the fact of or information about communications between devices on a network at a specific time and for a specified duration would be events data.

2.39 Examples of entity data include:

- *'subscriber checks' such as "who is the subscriber of phone number 01234 567 890?", "who is the account holder of e-mail account example@example.co.uk?" or "who is entitled to post to web space www.example.co.uk?";*
- *subscribers' or account holders' account information, including names and addresses for installation, and billing including payment method(s), details of payments;*
- *information about the connection, disconnection and reconnection of services to which the subscriber or account holder is allocated or has subscribed (or may have subscribed) including conference calling, call messaging, call waiting and call barring telecommunications services;*
- *information about apparatus or devices used by, or made available to, the subscriber or account holder, including the manufacturer, model, serial numbers and apparatus codes (This includes PUK (Personal Unlocking Key) codes for mobile phones. These are initially set by the handset manufacturer and are required to be disclosed in circumstances where a locked handset has been lawfully seized as evidence in criminal investigations or proceedings); and*
- *information about selection of preferential numbers or discount calls.*

2.40 Entity data can change over time. So, for example if a person moves house the address held by a telecommunications operator will change. The fact of that is an attribute of the entity (the person) and not a communication event.

2.41 Some telecommunications operators may choose to retain user passwords as clear text for business purposes (In many cases a telecommunications operator will actually retain a password hash rather than the password itself. When a user enters the password to use a service it is encrypted and the hash generated is checked against the hash already held by a telecommunications operator meaning the operator never needs to retain the actual password). In this context passwords would constitute entity data. Any information, such as a password, giving access to the content of any stored communications or access to the use of a communications service may only be sought under Part 3 of the Act from a telecommunications operator in the following circumstances:

- where such information is necessary in the interests of national security; or
- for preventing death, injury or damage to health.
-

2.42 A communications data authorisation cannot authorise a public authority to use a password obtained through that or another communications data authorisation. If a public authority wishes to use a password obtained through a communications data authorisation to access the content of stored communications or any communications service it must, in accordance with section 6

2.43 of the Act, ensure that it has appropriate lawful authority.

Events

2.44 Events data covers information about time-bound events taking place across a telecommunication system at a time interval. Communications data is limited to communication events describing the transmission of information between two or more entities over a telecommunications service. This will include information which identifies, or appears to identify, any person, apparatus ('Apparatus' is defined in section 263 of the Act to include 'any equipment, machinery or device (whether physical or logical) and any wire or cable') or location to or from which a communication is transmitted. It does not include non-communication events such as a change in address or telephone number for a customer.

2.45 Examples of events data include, but are not limited to:

- information tracing the origin or destination of a communication that is, or has been, in transmission (including incoming call records);
- information identifying the location of apparatus when a communication is, has been or may be made or received (such as the location of a mobile phone);
- information identifying the sender or recipient (including copy recipients) of a communication from data comprised in or attached to the communication;
- routing information identifying apparatus through which a communication is or has been transmitted (for example, file transfer logs and e-mail headers – to the extent that content of a communication, such as the subject line of an e-mail, is not disclosed);
- itemised telephone call records (numbers called) (Itemised bills can include an indication of the cost for receiving communications, for example calls

and messages received by a mobile telephone that has been 'roaming' on another network);

- *itemised internet connection records;*
- *itemised timing and duration of service usage (calls and/or connections);*
- *information about amounts of data downloaded and/or uploaded;*
- *information about the use made of services which the user is allocated or has subscribed to (or may have subscribed to) including conference calling, call messaging, call waiting and call barring telecommunications services.'*

Interception of Communications Data

The recording of telephone calls between two parties when neither party is aware of the recording cannot be undertaken by a local authority.

There may be situations where either the caller or receiver consents to the recording of the telephone conversation and, in such circumstances a warrant is not required. This type of surveillance will require authorisation, either as directed covert surveillance, or, if it is a CHIS making or receiving the telephone conversation (usually an officer working 'undercover'), as a CHIS authorisation.

Where as part of an already authorised directed covert surveillance or CHIS a telephone conversation is to be recorded by the officer or the CHIS then no special or additional authorisation is required.

The recording of telephone conversations for purposes not connected with investigatory powers does not fall within the RIPA legislative framework.

The IPA 2016 sets out general duties in relation to privacy in relation to:

- unlawful interception of communications data and
- unlawful obtaining of communications data.

The Act also abolishes and restricts various general powers to obtain communications data and restricts the circumstances in which equipment interference, and certain requests about the interception of communications, can take place. The Act sets out prohibitions against unlawful interception.

Note that under section 11 IPA 2016, it is an offence for a person in a public authority knowingly or recklessly to obtain communications data from a telecommunications operator or postal operator without lawful authority. An offence is not committed if the person obtaining the data can show that they acted in the reasonable belief that they had lawful authority.

It is not an offence to obtain communications data where this data is publicly or commercially available by a Telecommunications Operator/Postal Operator. In such circumstances the operator's consent provides the lawful authority. However, public authorities should not require, or invite, any operator to disclose communications data by relying on this exemption.

The IPA 2016 does not allow local authorities to intercept communications data. Officers of the Council are only permitted to obtain Communications Data through NAFN's SPOC (see below).

Communications Data authorisations cease to have effect 1 month from the date of approval. An authorised renewal can extend the authorisation for up to an additional month.

Failure to secure proper approval and to comply with the Council's Policy could lead to evidence being excluded by Courts, complaints against the Council, or the commission of criminal offences. The Council is subject to audit and inspection by the Investigatory Powers Commissioner's Office and it is important that we demonstrate compliance with IPA 2016.

Obtaining Communications Data through NAFN's SPOC

It is imperative that the acquisition of Communications Data is properly authorised.

Acquisition of communications data under the IPA 2016 involves four roles:

- (a) Applicant;
- (b) Approved Rank Officer ('ARO')
- (c) Single point of contact ('SPOC');
- (d) Senior Responsible Officer in a Public Authority ('SRO')

Authorising requests for Communications Data is done through the Council's membership of National Antifraud Network ('NAFN'), who act as an accredited SPOC with Telecoms Operators, Postal Operators and Internet Service Providers.

Officers authorised to seek the acquisition of any form of Communications Data (the Applicant) must apply for acquisition via NAFN's central SPOC portal. An Approved Rank Officer must also be aware of the application and NAFN facilitates the approval of the request by the Office for Communications Data Authorisations ('OCDA').

Since the IPA 2016 came into force, it has become the main legislation governing how public authorities including law enforcement agencies, intelligence agencies and local authorities use the investigatory powers available. These powers provide for the lawful acquisition of communications data including the details of who, where, when, how and with whom regarding a communication but not the contents (i.e. what is said).

To use the NAFN secured website, applicants have to individually register on the NAFN website at www.nafn.gov.uk. Once registered, the applicant completes the online application form and it is then submitted electronically to one of the SPOCs at NAFN, who will advise the AO of any need for changes. The relevant forms can also be downloaded from the Home Office website, and a copy can be obtained from the SRO or SRO Representative.

The application to acquire communications data must (per paragraphs 5.4-5.5 of the Communications Data Code of Practice 2018):

- describe the communications data required, specifying, where relevant, any historic or future date(s) and, where appropriate, time period(s);
- specify the purpose for which the data is required, by reference to a statutory purpose under the Act;
- include a unique reference number;
- include the name and the office, rank or position held by the person making the application;

- describe whether the communications data relates to a victim, a witness, a complainant, a suspect, next of kin, vulnerable person or other person relevant to the investigation or operation;
- include the operation name (if applicable) to which the application relates;
- identify and explain the time scale within which the data is required;
- explain why the acquisition of that data is considered necessary and proportionate to what is sought to be achieved by acquiring it (see Communications Data Code of Practice 2018 section on necessity and proportionality, beginning at paragraph 3.3. This also applies to the next two bullets on collateral intrusion and unintended consequences);
- present the case for the authorisation in a fair and balanced way. In particular, all reasonable efforts should be made to take account of information which supports or weakens the case for the authorisation;
- consider and, where appropriate, describe any meaningful collateral intrusion – the extent to which the rights of any individual not under investigation may be infringed and why that intrusion is justified in the circumstances;
- consider and, where appropriate, describe any possible unintended consequences of the application; and
- where data is being sought from a telecommunications operator or postal operator, specify whether the telecommunications operator or postal operator may inform the subject(s) of the fact that an application has been made for their data.
- The application should record subsequently whether it was authorised by an authorising individual and when that decision was made. Applications should be retained by the public authority and be accessible to the SPoC.

The NAFN officer appointed as SPOC, amongst other things, carries out a quality control role and advises on various matters to assist the investigating officer and the Approved Rank Officer in the Council for Communications Data Authorisations, who are required to be the same level of seniority (see 4.11 of the Communications Data Code of Practice 2018) to the Senior Responsible Officer for Communications Data.

The NAFN SPOC advises on whether the application meets the statutory requirements, whether the information being sought can be easily obtained by the Telecoms Operators, Postal operators or Internet Service Providers and whether the application would be cost effective. NAFN's SPOC will also be the contact officer for all liaisons with the Telecoms Operators, Postal Operators or Internet Service Providers.

The following officers currently undertake the role of '**Approved Rank Officers**' to confirm to NAFN that they are aware of the application made on behalf of the Council:

1. Corporate Lead Officer: Policy, Performance & Public Protection;

Alternative substitutes (if Approved Rank Officer 1 above unavailable);

- Corporate Lead Officer: People and Organisation; and
- Corporate Lead Officer: Porth Cynnal.

The Approved Rank Officer will receive notification, when the applicant completes the application, of the submission. Once they have confirmed they are aware of the application, the NAFN SPOC will receive the application and carry out appropriate checks on the application. If any fundamental changes are made to the application, the Approved Rank Officer will be required to confirm their awareness of the amended application. The Approved Rank Officer shall send a copy of the email to the SRO for Communications Data (see below).

Authorising Agency: Office for Communications Data Authorisations ('OCDA')

The IPA 2016 introduced the OCDA, the independent body responsible for the authorisation and assessment of all Data Communications applications under the IPA 2016. The OCDA carries out the following functions:

- Independent assessment of all Data Communications applications.
- Authorisation of any appropriate applications.
- Ensuring accountability of Authorities in the process and safeguarding standards.

Consequently, the acquisition of communications data by local authority Officers no longer requiring judicial approval. The application will be submitted by NAFN to the OCDA who will then assess the application. The NAFN SPOC then uses the authorisation process to obtain the required communications data from the Telecoms Operators/Postal Operators database and that data is posted on the website so that it can only be accessed by the applicant. If NAFN do not have direct access to the database of the relevant Telecoms Operators/Postal Operators their SPOC will send a notice to the Telecoms Operators/Postal Operators in the usual way.

Where the OCDA **authorises** the request, this decision is communicated to NAFN's SPOC (NAFN) and actions are taken to request the data from the relevant telecommunications providers and other agencies holding such communications data to provide the necessary data.

Where the OCDA requires the application to be **revised**, it will be returned via NAFN's SPOC and the Applicant will have 14 calendar days to revise the application and resubmit. Failure to revise the application within the 14 days will result in the application being automatically rejected.

Where the OCDA rejects the application, the Applicant can:

1. Cease to proceed with the application;
2. Re-submit the application with revised justification and/or a revised course of conduct to request the data; or
3. Re-submit the un-amended application and request a review of the decision by the OCDA.

In the case of seeking a review, or affectively appealing against the original determination **the Authority has 7 calendar days to seek the review**. Any appeal must be made by the Council's SRO. The OCDA will provide guidance on this process.

Using the NAFN portal has significant advantages and there is no other means of obtaining communications data, since the Code of Practice requires the Council to use the NAFN SPOC Service.

Both historical and future information may be sought from a provider, subject to limitations.

The Council's Senior Responsible Officer ('SRO') for Communications Data

The Council's **SRO for Communications Data** is the Monitoring Officer/Corporate Lead Officer – Legal & Governance

Any questions regarding Communications Data can be addressed to the SRO for Communications Data, or alternatively care of the **SRO Representative for Communications Data**, who is the Governance Officer.

The Communications Data Code of Practice 2018 (available at https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/822817/Communications_Data_Code_of_Practice.pdf) confirms at paragraph 4.10 that the Council should have a SRO for Communications Data. The SRO for Communications Data must be of a senior rank, which is at least the same rank as the designated senior officer (for NAFN's purposes, this would be a Council Director, Head of Service, Service Manager or a rank equivalent). Paragraph 4.10 of the Communications Data Code of Practice 2018 also states that the SRO for Communications Data is responsible for:

- (a) the integrity of the process in place within the public authority to acquire communications data;
- (b) engagement with Authorising Officers in the Office for Communications Data Authorisations (where relevant);
- (c) compliance with Part 3 of the IPA 2016 and with the Communications Data Code of Practice 2018, including responsibility for novel or contentious cases (see paragraph 8.45 of the Communications Data Code of Practice 2018);
- (d) oversight of the reporting of errors to the Investigatory Powers Commissioner ('IPC') and the identification of both the cause(s) of errors and the implementation of processes to minimise repetition of errors;
- (e) ensuring the overall quality of applications submitted to Office for Communications Data Authorisations ('OCDA') by the public authority;
- (f) engagement with the IPC's inspectors when they conduct their inspections; and
- (g) where necessary, oversight of the implementation of post-inspection action plans approved by the IPC.

Records kept must be held centrally by the NAFN SPOC and be available for inspection by the Investigatory Powers Commissioner's Office upon request and retained to allow the Investigatory Powers Tribunal ('IPT'), to carry out its functions. The retention of documents service will be provided by NAFN, who shall also provide copies periodically, and as requested, to the SRO for Communications Data (see also paragraphs 24.1 – 24.9 of the Communications Data Code of Practice 2018).

For further information regarding Communications Data acquisition and disclosure, retention and general matters see the Communications Data Code of Practice 2018: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/757850/Communications_Data_Code_of_Practice.pdf.

Communications Data Errors

Where any error occurs, in the giving of a notice or authorisation or as a consequence of any authorised conduct or any conduct undertaken to comply with a notice, a record should

be kept. An error can only occur after the notice has been served on the Telecoms Operators/Postal Operators, so if it is discovered before this point it does not officially count as an error.

See paragraphs 24.17 – 24.37 of the Communications Data Code of Practice 2018.

There are 2 types of errors namely '**Reportable Errors**' and '**Recordable Errors**':

- **Reportable Errors** are ones where communications data is acquired wrongly and in this case a report must be made to the Investigatory Powers Commissioner as soon as reasonably practical and no later than 5 working days (or as agreed with the Commissioner) after it has been established by the appropriate internal governance processes that a relevant error has occurred, as this type of occurrence could have significant consequences for the individual whose details were wrongly disclosed.
- **Recordable Errors** are ones where an error has occurred but has been identified before the communications data has been acquired. The Council must keep a record of these occurrences, but a report does not have to be made to the Commissioner.

Reportable Errors could include:

- A notice being made for a purpose, or for a type of data, which the public authority cannot seek;
- Human error, such as incorrect transposition of information;
- Disclosure of the wrong information by a CSP when complying with a notice; or
- Disclosure or acquisition of data in excess of that required.

Recordable Errors could include:

- A notice which is impossible for a Communications Service Provider to comply with;
- Failure to review information already held, e.g. seeking data already acquired or obtained for the same investigation, or data for which the requirement to obtain it is known to be no longer valid;
- Notices being sent out to the wrong CSP; or
- Notices being sent out to CSPs that were not produced by the Approved Rank Officer who authorised the application.

Where a telephone number has been sent to another Telecommunications Operator or Postal Operator, then this does not constitute an error. Where excess data is disclosed, if the material is not relevant to the investigation it should be destroyed once the report has been made to the Commissioner.

If having reviewed the excess material it is intended to make use of it, the Applicant must make an addendum to the original application to set out the reasons for needing to use this excess data. The SRO for Communications Data will then decide whether it is necessary and proportionate for the excess data to be used in the investigation (see paragraphs 24.38 – 24.42 of the Communications Data Code of Practice 2018).

Any reportable error must be reported to the SRO and to the Commissioner within 5 working days. NAFN reports errors on behalf of the Council and the SRO will be made aware of these for the Council's records and any internal action required. If the report relates to an error made by a Telecoms Operators/Postal Operators, it must still be reported, but NAFN shall inform the Telecoms Operators/Postal Operators to enable them to investigate the cause.

The records kept for recordable errors must include details of the error, explain how the error occurred and provide an indication of the steps that will take place to prevent a reoccurrence. These records must be available for inspection by the Investigatory Powers Commissioner inspectors and must be regularly reviewed by the SRO.

Serious Errors

Regarding a 'Serious Error', which 'caused significant prejudice or harm to the person concerned', this must be reported to the Council's SRO the IPC. The IPC may inform the affected individual subject of the data disclosure, who may make a complaint to the IPT. The IPC must be satisfied that the error is a) a serious error AND b) it is in the public interest for the individual concerned to be informed of the error.

Before deciding if the error is serious or not the IPC will accept submissions from the Council as to whether disclosure is in the public interest e.g. it may not be in the public interest to disclose if to do so would be prejudicial to the 'prevention and detection of crime'.

See paragraphs 25.1 – 25.9 of the Communications Data Code of Practice 2018 for more information on the role of the Investigatory Powers Commissioner and 25.10 – 25.17 for more information regarding the role of the Information Commissioner.

See also paragraphs 25.18 – 25.21 of the Communications Data Code of Practice 2018 for further information regarding Enforcement of integrity, destruction and security standards.

Authorising the Acquisition of Communications Data

Section 81 of the IPA 2016 provides a defence if acquisition and disclosure of communications data is challenged:

81. Lawfulness of conduct authorised by this Part

(1) Conduct is lawful for all purposes if—

- (a) it is conduct in which any person is authorised to engage by an authorisation or required to undertake by virtue of a notice given in pursuance of an authorisation, and*
- (b) the conduct is in accordance with, or in pursuance of, the authorisation or notice.*

Therefore, to take advantage of this defence, the surveillance needs to be properly authorised.

The Test of Necessity and Proportionality

The acquisition of communications data should only be authorised if the Approved Rank Officer is satisfied that:

1. The action is NECESSARY on the following grounds:

- For the prevention or detection of crime or the prevention of disorder and,

2. The surveillance is PROPORTIONATE - The Human Rights Act defines a measure or action as proportionate if it:

- Impairs as little as possible the rights and freedoms (of the individual concerned and of innocent third parties); and
- Is carefully designed to meet the objectives in question is not arbitrary, unfair or based on irrational considerations.

Detecting crime includes establishing by whom, for what purpose, by what means and generally in what circumstances any crime was committed, the gathering of evidence for use in any legal proceedings and the apprehension of the person (or persons) by whom any crime was committed.

An application may contain several requests for various types of data relating to a specific investigation or operation. Consideration should therefore be given as to how this may affect the efficiency of the public authority's processes and the impact of managing disclosure issues before, during and after a criminal trial.

For further guidance, please see the relevant Home Office guidance available from the Home Office website: <https://www.gov.uk/government/collections/ripa-codes>

Time Limits

The application should specify the shortest period for the data that is necessary in order to achieve the objective for which the data is sought.

All notices and authorisations requesting communications data from the service provider will only be valid for 1 month from the date of granted authorisation/notice given (by the OCDA through NAFN's SPOC). A renewal for a period of up to 1 month can be made and a renewed authorisation or notice takes effect upon the expiry of the authorisation or notice it is renewing.

Where the Approved Rank Officer agrees to the renewal, the Approved Rank Officer must have considered the reasons why it is necessary and proportionate to continue, and record the date of the renewal.

Where an authorisation should be cancelled (e.g. no longer necessary or proportionate), NAFN's SPOC must be notified immediately. The SPOC shall cancel the authorised action and take steps to notify the postal or telecommunications service provider without delay.

The Approved Rank Officer

The Approved Rank Officer is the person who is a manager at service level or above within the Council, and their role is to have an awareness of the application made by the Applicant, and confirm this to NAFN's SPOC. They do not authorise or approve the application.

If the Approved Rank Officer having read the application considers the Applicant has met all the requirements for necessity and proportionality then he/she should simply record that fact. A simple note by the Approved Rank Officer should be recorded.

If the Approved Rank Officer does not consider the case for obtaining the data has been met the application should be rejected and referred back to the SPOC and the Applicant.

Similarly, if a Magistrate rejects an application, the application should be rejected and referred back to the SPOC.

If the application is rejected either by the SPOC or the Approved Rank Officer, the SPOC will retain the form and inform the applicant in writing of the reasons for its rejection. The NAFN's SPOC will do so via the website.

If the Approved Rank Officer is recording their considerations within the NAFN database and is attributable to the Approved Rank Officer, a signature is not required.

The Central Register of Authorisations – Communications Data

In respect of communications data, NAFN's SPOC will retain copies of the original of all applications, authorisations, copies of notices and withdrawals of authorisations and cancellation of notices, cross-referenced against each associated document.

Applications, authorisations, copies of notices, and records of the withdrawal and cancellation of authorisations, must be retained in written or electronic form for a minimum of 3 years. A record of the date and, when appropriate, the time each notice or authorisation is granted, renewed or cancelled (see paragraphs 24.1-24.9 of the Communications Data Code of Practice for full details of the level of information that should be retained).

Nothing in this Policy has an affect on similar duties under the Criminal Procedure and Investigations Act 1996, which requires material obtained in the course of an investigation and that may be relevant to the investigation to be recorded, retained and revealed to the prosecutor.

When the NAFN system is being used, the retention of documents service will be provided by NAFN, who shall also provide copies periodically, and as requested, to the SRO for Communications Data, and deal with any requests from inspectors from the ICO.

Nonetheless, the Council's Central Record should also contain a record of:

- Number of applications rejected by Approved Rank Officer;
- Number of notices requiring disclosure of communications data within the meaning of each subsection of Section 21(4);
- Number of authorisations for acquiring of communications data within the meaning of each subsection of Section 21(4); and
- Number of times an urgent notice is given orally.

NAFN are able to provide on request, statistical information about the numbers of notices or authorisations that they have issued on behalf of the Council during a particular time period including any errors that have occurred. The Council's SRO for Communications Data will request such information from NAFN on a quarterly basis.

COMPLAINTS

As set out in paragraph 26.2 of the Communications Data Code of Practice 2018, the Information Commissioner is responsible for the oversight of the security, integrity and destruction of data retained in accordance with the Act. Failure to comply with the provisions of the Communications Data Code of Practice 2018 in these areas may also engage concerns about compliance with data protection and related legislation. Any concerns about compliance with data protection and related legislation should be passed to the Information Commissioner's Office (ICO):

Information Commissioner's Office
Wycliffe House
Water Lane
Wilmslow
Cheshire
SK9 5AF
0303 123 1113
www.ico.org.uk

As set out in paragraph 26.3 of the Communications Data Code of Practice 2018, the Investigatory Powers Tribunal (IPT) has jurisdiction to consider and determine complaints regarding public authority use of investigatory powers, including those covered by this code, as well as conduct by or on behalf of any of the intelligence services and is the only appropriate tribunal for human rights claims against the intelligence agencies. Any complaints about the use of powers as described in this code should be directed to the IPT.

Any individual who is dissatisfied about the way the Council has or is carrying out surveillance may make a complaint. The decision as to which procedure should be used lies with the individual concerned.

If a person wishes to complain using the Council's procedures, then the complainant should be made aware of the Council's Corporate Complaints Procedure (see <https://www.ceredigion.gov.uk/your-council/comments-compliments-and-complaints/corporate-complaints/> and <https://www.ceredigion.gov.uk/media/1179/complaints-policy-bookletenglish.pdf>) The complaint will be dealt with in accordance with that procedure.

If a person wishes to complain directly to an independent body or had used the Council's internal procedures and is still dissatisfied, then he/she may complain to the Investigatory Powers Tribunal ('IPT').

The IPT has jurisdiction to investigate and determine complaints against public authority use of investigatory powers. To find out more information about the IPT or make a complaint, then full details of how to do so are available on the IPT website: www.ipt-uk.com.

Complaints can be made in writing to:

The Investigatory Powers Tribunal
PO Box 33220
London
SW1H 9ZQ

* See Part 4 above for complaints regarding Directed Surveillance or a CHIS.

PART 6 - Non-RIPA Surveillance

Meaning of 'non-RIPA Surveillance'

From time to time, the Council may wish to undertake covert surveillance, which is not regulated by RIPA. This is fine, as RIPA is permissive legislation. The procedures and guidance below sets out the processes required for NON-RIPA authorisation. The process is intended to reflect that of a RIPA authorisation, save for the judicial approval requirement. More information is contained below outlining the procedures to be followed in respect of Non-RIPA Surveillance, including the completion of an application form.

It is important to have a procedure in place for non-RIPA Surveillance, as mechanisms for activity, which cannot be protected is encouraged. In those circumstances, statutory definitions are met but not under the RIPA grounds. The human rights aspects must still be considered and an authorisation provides a useful audit of decisions and actions.

Investigating officers are required to obtain a Unique Reference Number ('URN') from the SRO prior to submission to an Authorising Officer for non-RIPA Surveillance.

Authorisation under RIPA affords the Council a defence under S.27 of RIPA i.e. the activity is lawful for all purposes, provided an authorisation is in place, and the conduct of the Officers is in accordance with the legislation. However, failure to obtain an authorisation does not make covert surveillance unlawful.

RIPA is a shield not a sword and Section 80 of RIPA contains a general saving for lawful conduct:

'Nothing in any of the provisions of this Act by virtue of which conduct of any description is or may be authorised by any warrant, authorisation or notice, or by virtue of which information may be obtained in any manner, shall be construed –

- (a) as making it unlawful to engage in any conduct of that description which is not otherwise unlawful under this Act and would not be unlawful apart from this Act;*
- (b) as otherwise requiring—*
 - (i) the issue, grant or giving of such a warrant, authorisation or notice, or*
 - (ii) the taking of any step for or towards obtaining the authority of such a warrant, authorisation or notice, before any such conduct of that description is engaged in; or*
- (c) as prejudicing any power to obtain information by any means not involving conduct that may be authorised under this Act.'*

This point was explained more fully by the Investigatory Powers Tribunal in the case of C v The Police (Case No: IPT/03/32/H 14th November 2006):

'Although RIPA provides a framework for obtaining internal authorisations of directed surveillance (and other forms of surveillance), there is no general prohibition in RIPA against conducting directed surveillance without RIPA authorisation. RIPA does not require prior authorisation to be obtained by a public authority in order to carry out surveillance. Lack of authorisation under RIPA does not necessarily mean that the carrying out of directed surveillance is unlawful.'

Why carry out non-RIPA Surveillance?

The Council may wish to do such 'non-RIPA Surveillance' for one of two reasons:

I. Crimes Not Carrying Six Months of Imprisonment

As stated above, the Council's AOs may not authorise Directed Surveillance under RIPA unless it is for the purpose of preventing or detecting a criminal offence, and it meets the condition set out in New Article 7A (3)(a) or (b) of the 2010 Order. Those conditions are that the criminal offence sought to be prevented or detected is punishable, whether on summary conviction or on indictment, by a term of **at least 6 months of imprisonment**, or would constitute an offence under sections 146, 147 or 147A of the Licensing Act 2003 or section 7 of the Children and Young Persons Act 1933 (offences involving sale of tobacco and alcohol to underage children).

However, just because a crime does not meet the six-month test does not mean covert surveillance cannot be undertaken.

This point was made by the Chief Surveillance Commissioner in his [annual report](#) (2010/2011):

'The higher threshold in the proposed legislation will reduce the number of cases in which local authorities have the protection of RIPA when conducting covert surveillance; it will not prevent the use of those tactics in cases where the threshold is not reached but where it may be necessary and proportionate to obtain evidence covertly and there will be no RIPA audit trail. Part I of RIPA makes unauthorised interception unlawful. In contrast, Part II makes authorised surveillance lawful but does not make unauthorised surveillance unlawful.'

II. Employee Surveillance

Most employee surveillance will not be able to be authorised under RIPA.

See the previous decision by the Investigatory Powers Tribunal: C v The Police and the Secretary of State for the Home Department (14th November 2006, No. IPT/03/32/H)

C, a former police sergeant, retired in 2001 having made a claim for a back injury he sustained after tripping on a carpet in a police station. He was awarded damages and an enhanced pension due to the injuries.

In 2002, the police instructed a firm of private detectives to observe C to see if he was doing anything that was inconsistent with his claimed injuries. Video footage showed him mowing the lawn. C sued the police claiming they had carried out directed surveillance without an authorisation. The Tribunal first had to decide if it had jurisdiction to hear the claim. The case turned on the interpretation of the first limb of the definition of directed surveillance i.e. was the surveillance 'for the purposes of a specific investigation or a specific operation?'

The Tribunal ruled that this was not the type of surveillance that RIPA was meant to regulate. It made the distinction between the ordinary functions and the core functions of a public authority:

'The specific core functions and the regulatory powers which go with them are identifiable as distinct from the ordinary functions of public authorities shared by all authorities, such as the employment of staff and the making of contracts. There is no real reason why the performance of the ordinary functions of a public authority should fall within the RIPA regime, which is concerned with the regulation of certain investigatory powers, not with the regulation of employees or of suppliers and service providers.'

The Tribunal also stated that it would not be right to apply RIPA to such surveillance for a number of reasons:

- 1) RIPA does not cover all public authorities, and there was no sense in police employee surveillance being conducted on a different legal footing than, for example, the Treasury, which does not have the same surveillance rights under RIPA.
- 2) The Tribunal has very restrictive rules about evidence, openness and rights of appeal. The effect of these would lead to unfairness for employees of RIPA authorities when challenging their employers' surveillance as compared to those who were employed by non-RIPA authorities.

This case suggests that, even where employee surveillance is being carried out on one of the grounds in section 28(3), the key question is:

Is it for a core function linked to one of the authority's regulatory functions? Within a local authority context, this would include, amongst others, Trading Standards, Environmental Health and Licensing. If it is not being done for one of these purposes, it will not be directed surveillance.

Online covert activity-Internet and Social Networking Sites ('SNS')

See the Council's RIPA Social Media Policy for guidance regarding on-line covert activity regarding the Internet and SNS, which must be read in conjunction with this Policy.

See ***Flowchart 9 – Authorising Non-RIPA Surveillance***

Human Rights Legislation Compliance

Covert surveillance done without a RIPA authorisation will not have the protection of RIPA (i.e. the defence in S.27 of RIPA). However, it will still be able to be undertaken as long as it is done in accordance with the ECHR, which is directly enforceable against public authorities pursuant to the Human Rights Act 1998, as stated above.

Article 8 of the ECHR states:

'Everyone has the right to respect for his private and family life his home and his correspondence.

There shall be no interference by a public authority with the exercise of this right except such as in accordance with the law and is necessary in a democratic society in the interests of public safety, for the protection of public order, health or morals, or for the rights and freedoms of others.'

To satisfy Article 8 ECHR, the covert surveillance must be **both necessary and proportionate**. In deciding whether it is, the same factors need to be considered as when authorising surveillance regulated by RIPA.

Data Protection Legislation Compliance

The Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000 (SI 2000/2699) ('the Telecommunications Regulations') permit the Council without further authorisation to lawfully intercept its employees email or telephone communications, and also to monitor their internet access for purposes of prevention or detection of crime, or the detection of unauthorised use of these systems. Regard should be

had to the Council's Internal Information Security Policy (available on the Council's Intranet Site (Cerinet)).

Further advice on these regulations should be sought from the Council's Data Protection Officer and regard should be had to the Council's internal Information Security Policy, and also the 'ICO Quick Guide to the Employment Practice Code' (see https://ico.org.uk/media/for-organisations/documents/1128/quick_guide_to_the_employment_practices_code.pdf).

When doing covert surveillance of employees not regulated by RIPA, the Data Protection Act 1998 ('DPA') will apply, as personal information about living individuals will be being processed e.g. their movements, photographs etc.

The Information Commissioner has published a Data Protection Employment Practices Code of Practice (available at www.ico.gov.uk). This type of surveillance is outside the remit of this document.

In both the above cases, it is important to have a proper audit trail through written records.

Data Protection Employment Practices Code of Practice

The Information Commissioner has published a **Data Protection Employment Practices Code of Practice** (available at: https://ico.org.uk/media/for-organisations/documents/1064/the_employment_practices_code.pdf (the 'DPEP Code') Part 3 of the DPEP Code covers all types of employee surveillance from video monitoring and vehicle tracking to email and internet surveillance. It gives guidance on how to do employee surveillance in a way that complies with the DPA. Whilst the code is not law, it can be taken into account by the Information Commissioner and the courts in deciding whether the DPA has been complied with.

The DPEP Code states that employee monitoring should take place for a clear justified purpose and employees should be aware that it is taking place.

With regard to covert surveillance, it states that it will be rare for such monitoring to be justified. It should therefore only be used in exceptional circumstances e.g. prevention or detection of crime or serious malpractice.

One of the other main recommendations of the DPEP Code is that senior management should normally authorise any covert monitoring of employees. They should satisfy themselves that there are grounds for suspecting criminal activity or equivalent malpractice. They should carry out an impact assessment and consider whether the surveillance is necessary and proportionate to what is sought to be achieved.

The DPEP Code sets out other rules that local authorities (and others) need to consider when doing covert surveillance of employees:

- Prior to the investigation, clear rules must be set up limiting the disclosure and access to information obtained;
- The number of people involved in a covert monitoring exercise should be limited;
- The surveillance must be strictly targeted at obtaining evidence within a set time frame and it should not continue after the investigation is complete;
- If using audio or video equipment, this should not normally be used in places such as toilets or private offices;

- Information obtained through covert monitoring should only be used for the prevention or detection of criminal activity or serious malpractice; and
- Other information collected in the course of monitoring should be disregarded and, where feasible, deleted unless it reveals information that no employer could reasonably be expected to ignore.

In both the above Non-RIPA cases, it is important to have a proper audit trail through written records. In his annual report (2011/2012), the Chief Surveillance Commissioner (at paragraph 5.22) emphasised this:

'I occasionally encourage the use of similar authorisation mechanisms for activity which cannot be protected by the Acts (for example where covert techniques are used to identify a missing person when no crime is suspected). In these circumstances statutory definitions are met but none of the grounds specified in RIPA section 28(3) or RIP(S)A section 6(3), yet the human rights of the subject of surveillance must be considered. The authorisation process provides a useful audit of decisions and actions.'

Authorising Officers for non-RIPA Surveillance

The Authorising Officers for non-RIPA Surveillance are the same Authorising Officers as authorise RIPA Surveillance i.e.:

- **Corporate Lead Officer: People and Organisation;**
- **Corporate Lead Officer: Policy, Performance & Public Protection; and**
- **Corporate Lead Officer: Porth Cynnal.**

Similar mechanisms for activity which cannot be protected by RIPA legislation is encouraged. In those circumstances, statutory definitions are met, but not under the grounds specified in RIPA. The human rights aspects must still be considered. An authorisation process provides a useful audit of decisions and actions. The process reflects that of directed surveillance, save for the Judicial Approval requirement.

A URN should be sought from the Senior Responsible Officer prior to submission to Authorising Officers, with the original form sent to the SRO for entry in the Central Register upon completion of authorisation process, and a copy retained by the Service.

Non-RIPA Surveillance Authorisation Form

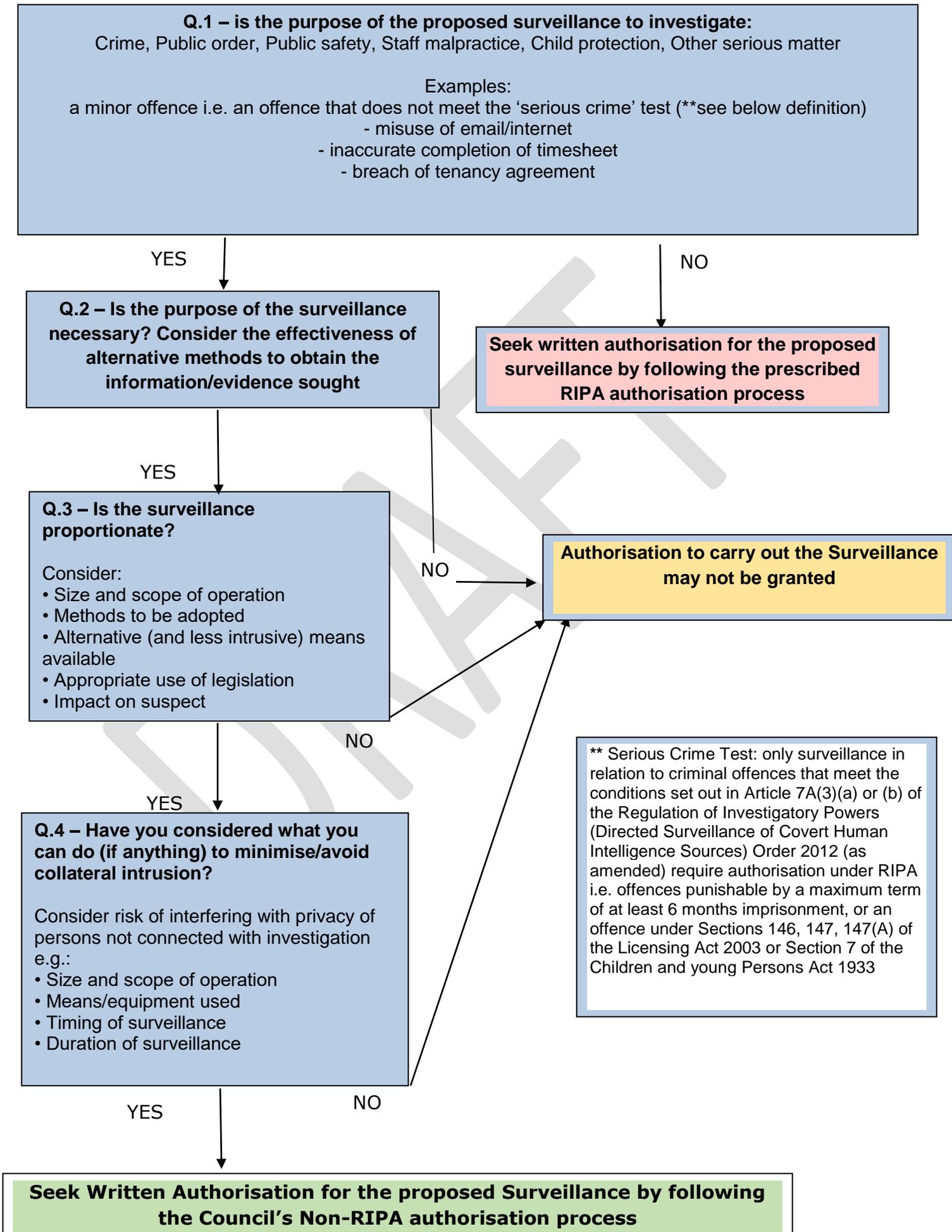
A Non-RIPA authorisation form must be completed, as above, and an example form with guidance is available on the Council's intranet site (CeriNet) at [\[enter link\]](#).

Lifecycle of a Non-RIPA surveillance authorisation

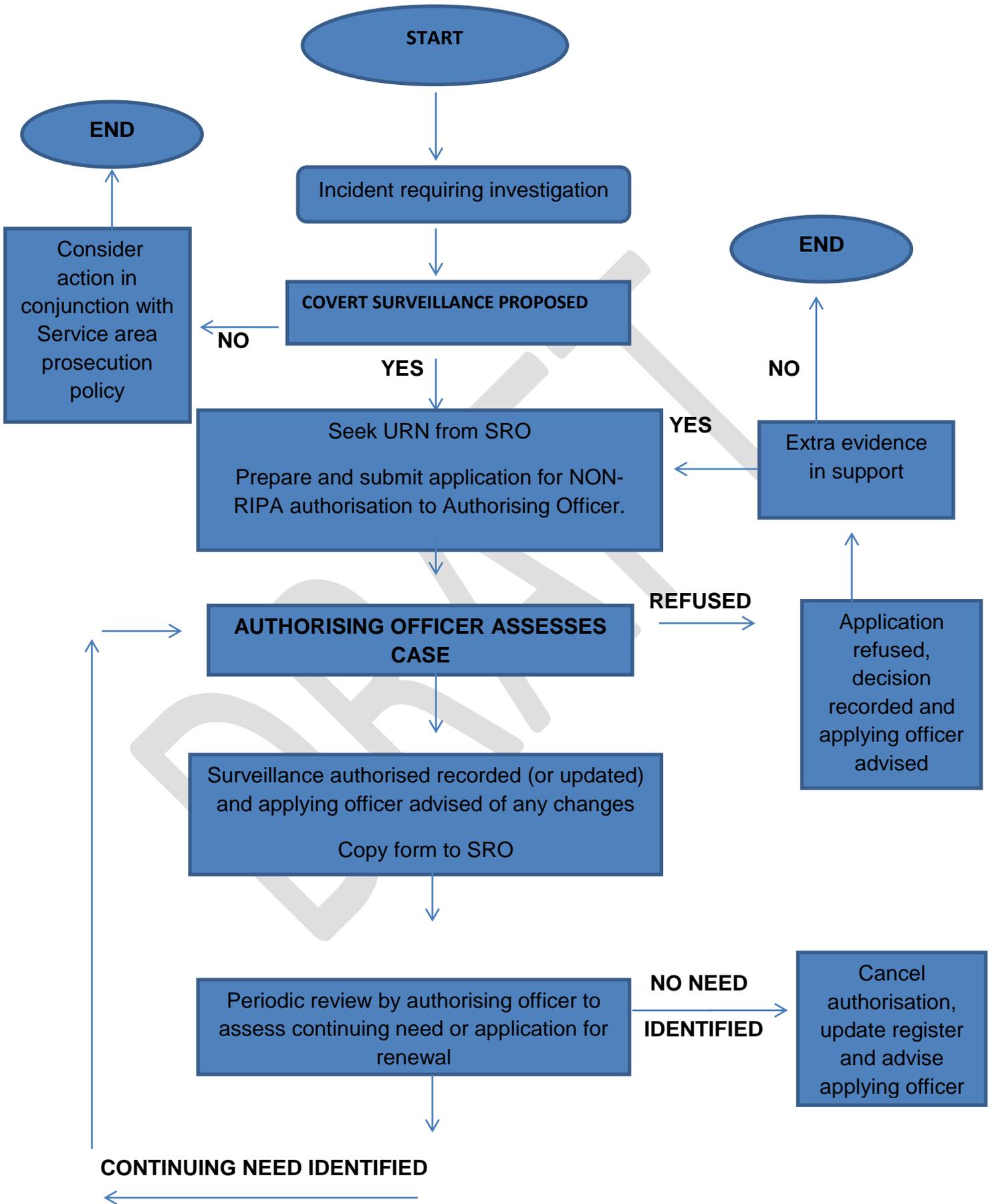
A Flowchart showing the basic lifecycle of a Non-RIPA surveillance authorisation is shown below. This is identical to the lifecycle for Directed RIPA Surveillance, except that judicial approval is not required.

Non-RIPA activity will be reported to the Overview & Coordinating Scrutiny Committee.

Flowchart 9- Authorising Non-RIPA Surveillance



Flowchart 10 – Non RIPA Surveillance - Basic Lifecycle of a Directed Surveillance Authorisation



Schedule 1 – Relevant Legislation, Codes of Practice, Policies & Guidance

The Ceredigion County Council RIPA Corporate Policy and Procedures Document should be read in conjunction with all current and relevant legislation, guidance and codes of practice, including (but not limited to) the following:

- The Regulation of Investigatory Powers Act 2000
<http://www.legislation.gov.uk/ukpga/2000/23/contents>
- RIPA Explanatory Notes
<http://www.legislation.gov.uk/ukpga/2000/23/notes/contents>
- RIPA Statutory Codes of Practice:
 - Covert Surveillance and Property Interference Revised Code of Practice 2018
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/742041/201800802_CSPI_code.pdf
 - Covert Human Intelligence Sources Revised Code of Practice
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/742042/20180802_CHIS_code.pdf
 - Bulk Acquisition of Communications Data Code of Practice:
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/715477/Bulk_Communications_Data_Code_of_Practice.pdf
 - Communications Data Code of Practice 2018:
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/822817/Communications_Data_Code_of_Practice.pdf
 - Investigation of Protected Electronic Information Revised Code of Practice
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/742064/RIPA_Part_III_Code_of_Practice.pdf
 - Equipment interference Code of Practice 2018
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/715479/Equipment_Interference_Code_of_Practice.pdf
- Investigatory Powers Act 2016 ('IPA 2016')
<https://www.legislation.gov.uk/ukpga/2016/25/contents>
- SI 2010 N0.521 - Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010
<http://www.legislation.gov.uk/uksi/2010/521/contents/made>
- SI 2012 No.1500 (The Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) (Amendment) Order 2012)
<http://www.legislation.gov.uk/uksi/2012/1500/contents/made>
- Guidance issued by the Investigatory Powers Commissioner's Office ('IPCO') (formerly the Office of Surveillance Commissioner ('OSC')) (available at: <https://www.ipco.org.uk/>) including OSC Procedures and Guidance Document: <https://ipco-wpmedia-prod-s3.s3.eu-west-2.amazonaws.com/OSC-PROCEDURES-AND-GUIDANCE.pdf>
- Information Commissioner's Office Data Protection Employment Practices Code
https://ico.org.uk/media/for-organisations/documents/1064/the_employment_practices_code.pdf
- Home Office Surveillance Camera Code of Practice (2013)

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/282774/SurveillanceCameraCodePractice.pdf

- The Council's Social Media Policy:
<https://ceri.ceredigion.gov.uk/portal/employee-handbook/policies-procedures/social-media-policy/>
- The Council's Information Security Policy;
<https://www.ceredigion.gov.uk/your-council/strategies-plans-policies/information-security-policy/>
- The Council's Code of Conduct for Local Government Employees*
- The Council's Data Protection and GDPR Policy**
- The Council's Email Policy*
- The Council's Information and Records Management Policy (available at <https://www.ceredigion.gov.uk/your-council/strategies-plans-policies/information-and-records-management-policy/>)**
- The Council's Policy and Guidelines for Safeguarding Children & Adults at Risk*
- The Council's Social Media Editorial and Administration Policy*
- The Council's Whistleblowing Policy*

*: available on the Council's intranet site (CeriNet)

** : available on the Council's website and CeriNet

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**CYNGOR SIR CEREDIGION
CEREDIGION COUNTY COUNCIL**

**Social Media Policy
for the purposes of the REGULATION OF
INVESTIGATORY POWERS ACT 2000 ('RIPA')**

22/07/21

Overview and Co-ordinating Committee: 15/9/2021

This Social Media Policy for the purposes of the REGULATION OF INVESTIGATORY POWERS ACT 2000 ('RIPA') ('RIPA Social Media Policy') applies to all Ceredigion County Council ('the Council') employees ('Officers'), including agents of the Council.

It and sets out the position of the Council) regarding the use of the internet, including mobile web browsing, and, in particular, social media websites, when undertaking investigations under and in accordance with RIPA.

Scope

1. The Council recognises the benefits and opportunities that multimedia, such as the internet, provide to access and share information, including a wide range of on-line facilities.
2. This RIPA Social Media Policy should be read in conjunction with the relevant legislation, codes of practice, policies and guidance listed at Schedule 1 below.

Surveillance and Council Social Media

3. Covert surveillance
Social Media platforms, such as:
On-line accounts, pages, noticeboards, profiles or other Social Media (such as Council Facebook pages/profiles, Twitter feeds or LinkedIn profiles/pages) owned or controlled by the Council, or private accounts of Officers must not be used for any covert surveillance or investigation without prior consideration being given as to whether a RIPA authorisation is required.
4. Overt surveillance
Overt use of Social Media (whether inside or outside the scope of RIPA), does not require a RIPA authorisation.
5. These requirements are in place because of the need to:
 - protect the reputation of the Council;
 - to avoid potential consequences of the misuse of Council Social Media; and
 - to ensure compliance with RIPA legislation and guidance.
6. This Policy does not replace the Council's [Corporate Social Media Policy \(2016\)](#), which all Officers using social media sites must also adhere to.
7. This Policy applies when Officers undertake covert surveillance on-line/on Social Media (whether the covert surveillance is RIPA Surveillance or non-RIPA Surveillance (see the Council's Regulation of Investigatory Powers Act 2000 ('RIPA') PART II Directed Surveillance, Covert Human Intelligence Sources and Communications Data Corporate Policy & Procedures Document ('RIPA Policy'))).
8. Whilst the use of Social Media to investigate is not automatically considered covert surveillance or activity, its use when conducting investigations/surveillance can mean that it crosses over into the realms of covert and/or targeted surveillance, and become '*misuse*', even if inadvertently done.
9. It is crucial that the provisions of RIPA, as it relates to covert and directed surveillance, are followed at all times when using Social Media in investigations.

10. Advice should be taken from the Corporate Lead Officer-Legal & Governance (Monitoring Officer & Senior Responsible Officer for RIPA) and/or CLO-People & Organisation, should any social media surveillance when using Social Media involve investigating the activities of an Employee of the Council.
11. See the Council's RIPA Policy for an explanation as to what constitutes 'Surveillance' and 'Private Information', and which details how there could be an expectation of privacy on-line, and in particular, for information on social media, despite privacy settings.

What is 'Social Media'?

12. This RIPA Social Media Policy will apply to all forms of Social Media/Networking Sites, which are internet based and often includes the construction of a public or semi-public profile. Additional characteristics could include (but are not limited to):
 - 12.1 The ability to show/share a list of other users with whom the user share a connection (e.g. referred to as 'friends' or 'followers');
 - 12.2 The ability to view and browse the profile's list of connections and that of other users;
 - 12.3 Hosting capabilities allowing users to post media content viewable by other users; and
 - 12.4 Community based online social pages, such as discussions forums or chatrooms.
13. Social Media examples include, but are not limited to (as Social Media is a constantly changing area) those listed below:
 - 13.1 Personal blogs;
 - 13.2 Posts or comments on any other blogs;
 - 13.3 Online forums;
 - 13.4 Online noticeboards;
 - 13.5 Facebook (social networking);
 - 13.6 Twitter (microblog);
 - 13.7 YouTube (video sharing);
 - 13.8 Flickr (image sharing);
 - 13.9 Tumblr (blogging/social networking);
 - 13.10 LinkedIn (professional network);
 - 13.11 Reddit (forums); and
 - 13.12 Instagram (image sharing).

Covert surveillance on Social Media & On-line Personas

15. See the Council's RIPA Policy for an explanation of 'covert surveillance'.
16. The fact that on-line investigation is now routine and easy to access does not reduce the need for authorisation. Investigating and Authorised Officers must understand how the Social Media being used works, since the services provided are not all the same.
17. Officers intending to use covert Council or personal accounts (such as Facebook), to access private postings of individual members of the public/service users, must consider obtaining a RIPA authorisation but note that there is currently no mechanism for a Council Service to operate covert accounts on Facebook within Facebook's

terms and conditions, so any evidence obtained outside of the Site's terms and conditions may breach these terms.

18. Officers must be aware that:
 - 18.1 unauthorised access to computer material (entering a computer system without permission i.e. hacking);
 - 18.2 unauthorised access to computer materials with intent to commit a further crime (entering a computer system to steal data or destroy a device or network (e.g. planting a virus));
 - 18.3 unauthorised modification of data (modifying or deleting data, including the introduction of malware or spyware onto a computer (electronic vandalism and theft of information)); and
 - 18.4 Making, supplying or obtaining anything that can be used in computer misuse offences
is a breach of the Computer Misuse Act 1990, which is a criminal offence leading to fines and imprisonment. Examples of breaches could include using a social media site outside of that site's terms and conditions.
19. The Council's RIPA Policy and the Revised Covert Surveillance and Property Interference Code of Practice 2018 at Paragraphs 3.10, and 3.11-3.17 gives further information on when a RIPA authorisation may be needed for online covert activity, and Paragraph 4.16 gives guidance on where previous consent was given.
20. Where on-line personas are permitted to be used corporately, the SRO will maintain a central register of these pseudonyms, profiles/accounts, together with details of the services or individual officers permitted to use/sanction their use.
21. Monitoring will be undertaken by the SRO every 4 months of any usage relating to covert-surveillance on social media and on-line personas, and a list maintained of data/information retained, when that surveillance is likely to obtain a person's private information (whether the covert surveillance is RIPA surveillance or non-RIPA surveillance). This information will be provided by a Designated Officer in the relevant Service.
22. The Designated Officer will provide the information/data to the SRO on a 4 monthly basis. The SRO will also record details of which Services or Officers can use covert-surveillance on social media and on-line personas, and also which officers can sanction their use.
23. If an Officer wishes to set up an on-line persona for a covert purpose, when private information is likely to be obtained (to include a false identity or false profile) this must only be done with the authorisation the relevant Corporate Lead Officer.
24. Using photographs of other persons without their permission to support the on-line persona, infringes other laws.
25. AOs must also inform the SRO of an Officer's request to set up an on-line persona, providing details of the Officer's authorisation to access the account.

Privacy settings

26. A reasonable expectation of privacy can exist for material published online, if access controls are applied or in private communication format, such as instant messages. Where privacy settings are available but not applied, the data may be considered open source and, although an authorisation is not usually required, it must be considered. **Repeat viewing of 'open source' sites may constitute directed surveillance on a case-by-case basis, and the type of the social media is relevant.**

Example 1

'Facebook' -if the data is communicated only to 'Friends', it may reasonably be regarded as private information, with an expectation of privacy, as the information is only communicated to an exclusive group.

Example 2

'Twitter'-this may be regarded as communication to the world at large, although where search criteria are entered, it may become directed surveillance.

27. If any member of the public can access the information (e.g. where there is no veto mechanism), it is not private information. Open source information does not usually require authorisation. However, if a profile is built up of an individual's lifestyle, it may become Directed Surveillance.

28. If it is considered necessary and proportionate for the Council to covertly access sites, which are subject to privacy settings, this can only be done through an appropriate authorisation.

29. Where an Officer intends to engage with others online without disclosing their identity, a CHIS authorisation may be needed (i.e. the activity is more than mere reading of the site's content) e.g. an Officer covertly sends a 'friend' request on Facebook.

30. If a relationship is established or maintained (i.e. the activity is more than a mere reading of the site's content) a CHIS authorisation is necessary:

'CHIS authorisation is only required for the use of an internet trading organisation such as eBay when a covert relationship is likely to be formed. The use of disguised purchaser details in a simple, overt, electronic purchase does not require a CHIS authorisation, because no relationship is usually established at that stage.'

(Office of the Surveillance Commissioners 'OSC' Procedures and Guidance 2016 (at 239)).

31. The Officer should consider the purpose of looking at, or attempting to look at, the Social Media information (see the Council's RIPA Policy and revised Covert Surveillance and Property Interference Code of Practice at 3.33).

32. Officers must not adopt the identity (i.e. false profiles/false identity) of a person known/likely to be known to the subject of interest or users of the site without authorisation, and without the consent of the person whose identity is used, and without considering the protection of that person. The consent must be explicit (i.e. the person from whom consent is sought must agree (preferably in writing) what is and is not to be done).

Surveillance Procedures

33. There are three available surveillance procedures that Officers must consider before undertaking surveillance involving SNS/Social Media (see the Council's RIPA Policy for further information, RIPA and the Investigatory Powers Act 2016). They are:
- The use of '**Directed Surveillance**';
 - The use of **CHIS**; and
 - Powers to acquire or obtain '**Communications Data**'.
34. Key issues Officers need to consider include:
- 34.1 What expectation of privacy a user may reasonably have when posting on the Internet;
- 34.2 How covert or overt the Officer looking at information on the internet is being; and
- 34.3 Whether or not a RIPA or CHIS authorisation should be obtained.

Example Scenarios

35. **Scenario 1 – Viewing publically available postings/websites where the person viewing does not have to register a profile, answer a question, or enter any significant correspondence in order to view e.g. a typical trader's website.**
- There should be a low expectation of privacy and no RIPA authorisation would normally be required to view or record these pages.
 - Nonetheless, repeated visits over time (perceived monitoring) may require a RIPA authorisation. Private information can remain private, even if posted on such a website and the ECHR has construed that the way a business is run *can* be private information. If an Officer intends to monitor in this way, they may acquire private information and this should be done in a systematic way, with results recorded (including whether the Officer happens to access private information). The fact that, on previous visits, a lack of private information is found, could evidence that any subsequent acquisition was incidental and a RIPA authorisation is not required.
 - If a test purchase is required, a fictitious name and address may be used without triggering the need for a CHIS (or Directed Surveillance) authorisation, provided no '*relationship*' is formed. Consideration is needed of the likelihood of acquisition of private information, or how far a '*relationship*' is formed.
36. **Scenario 2 – Viewing postings on social media, such as a social network where the viewer has had to register a profile but there is no other restriction on access e.g. Facebook where there is no need to be accepted as a '*friend*' to view e.g. a Trader has a Facebook '*shop window*' advertising their business/wares.**
- The person running the site/posting information may reasonably expect viewers to work within the terms and conditions of the website.
 - Viewing should usually, consequently, be done in an overt way i.e. via an account profile using the Officer's correct name, and email address (which should be a Ceredigion.gov.uk email address) or an appropriate Officer set and sanctioned profile. If so, a recording of the visit being made could be presented evidentially.

- If the post/web page does not include private information, a viewing would not engage privacy issues and therefore a RIPA authorisation is not needed. However a mixture of private and business material could be viewable, and, as above, the ECHR construes the way a business is run as being private information. Repeat visits over time so that monitoring could be perceived, may require an authorisation.
 - A 'Covert' account at this level should only be used in the context of a RIPA authorisation.
37. **Scenario 3 – Viewing postings on social networks which require a 'friend' or similar status to view.**

- Viewings are very likely to include private information, so repeated viewings will constitute 'surveillance' under RIPA, and so require a RIPA authorisation, which could be whether or not a 'covert' or 'overt' account is used (although likely best obtained through a CHIS authorisation, using a covert profile and appropriate risk assessments).
- An 'overt' account which gains 'friend' or similar status **may still require a RIPA authorisation**, since it may be that such a status could be granted by default on the part of the person posting/web-page owner.
- The Officer must ensure that their access is being authorised by the relevant Authorising Officer.
- E.g. under Facebook's terms and conditions, only people who know the person who maintains a profile should send to that profile a 'friend' request. If accepted, that person may mistakenly believe the person requesting is an acquaintance of theirs e.g. they do not recall or know by another name. These persons still have a justifiable expectation of privacy. Since requesting access may not comply with a narrow interpretation of Facebook's terms and conditions, a clearly identifiable **Council Service Sanctioned profile** would then deal with that expectation of privacy, rather than a more neutral Officer based social media profile, such as a Facebook profile with their name, Officer status and details of their employment by the Council, where these details may not be appreciated by the person accepting the 'friend' request.
- An appropriate Officer set and sanctioned profile must be authorised by the SRO in order to obtain intelligence and provide advice.

Recording Information, Data Handling and Retention Safeguards

38. All data obtained should be appropriately recorded on the relevant form and the Central Register updated. A copy of the submitted form must be retained by the Officer and the original document(s) submitted to the SRO (for updating the Central Register). Part 4 of the Council's RIPA Policy sets out the procedures regarding assurance of data handling and retention safeguards.
39. Particular care must be taken regarding sensitive information obtained through on-line personas. Any information retained must be retained in line with the Data Protection Act 2018, the Freedom of Information Act 2000, and any other legal requirements, including those of confidentiality, and the Council's policies and procedures. Advice can be sought from the Data Protection Officer.

Schedule 1- Relevant Legislation, Codes of Practice, Policies & Guidance

1. This RIPA Social Media Policy should be read in conjunction with all current and relevant legislation, guidance and codes of practice, including (but not limited to) the following:
 - 1.1 The Council's RIPA Policy;
<https://ceri.ceredigion.gov.uk/net/wp-content/uploads/2018/05/1.1-S-RIPA-procedure-policy-English-amended-05.10.2017.pdf>
 - 1.2 Regulation of Investigatory Powers Act 2000 ('RIPA');
<https://www.legislation.gov.uk/ukpga/2000/23/contents>
 - 1.3 RIPA Explanatory Notes;
<http://www.legislation.gov.uk/ukpga/2000/23/notes/contents>
 - 1.4 Documents and guidance issued by the Investigatory Powers Commissioner's Officer ('IPCO') (formerly the Office of Surveillance Commissioner ('OSC')) (available at:
<https://www.ipco.org.uk/>) including OSC Procedures and Guidance Document:
<https://ipco-wpmedia-prod-s3.s3.eu-west-2.amazonaws.com/OSC-PROCEDURES-AND-GUIDANCE.pdf>
 - 1.5 RIPA Statutory Codes of Practice:
 - 1.5.1 Covert Surveillance and Property Interference Revised Code of Practice 2018;
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/742041/201800802_CSPI_code.pdf
 - 1.5.2 Covert Human Intelligence Sources Revised Code of Practice;
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/742042/20180802_CHIS_code_.pdf
 - 1.5.3 Bulk Acquisition of Communications Data Code of Practice:
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/715477/Bulk_Communications_Data_Code_of_Practice.pdf
 - 1.5.4 Equipment Interference Code of Practice;
(https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/496069/53693_CoP_Equipment_Interference_Accessible.pdf)
 - 1.5.5 Communications Data Code of Practice 2018:
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/822817/Communications_Data_Code_of_Practice.pdf
 - 1.5.6 Investigation of Protected Electronic Information Revised Code of Practice;
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/742064/RIPA_Part_III_Code_of_Practice.pdf
 - 1.6 Home Office Surveillance Camera Code of Practice (2013)
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/282774/SurveillanceCameraCodePractice.pdf
 - 1.7 Investigatory Powers Act 2016 ('IPA');
<https://www.legislation.gov.uk/ukpga/2016/25/contents>
 - 1.8 SI 2010 N0.521 - Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010; and

<http://www.legislation.gov.uk/uksi/2010/521/contents/made>

- 1.9 SI 2012 No.1500 (The Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) (Amendment) Order 2012).
<http://www.legislation.gov.uk/uksi/2012/1500/contents/made>
- 1.10 The Council's Social Media Policy:
<https://ceri.ceredigion.gov.uk/portal/employee-handbook/policies-procedures/social-media-policy/>
- 1.11 The Council's Information Security Policy; <https://www.ceredigion.gov.uk/your-council/strategies-plans-policies/information-security-policy/>
- 1.12 The Council's Code of Conduct for Local Government Employees*
- 1.13 The Council's Data Protection and GDPR Policy**
- 1.14 The Council's Email Policy*
- 1.15 The Council's Information and Records Management Policy (available at <https://www.ceredigion.gov.uk/your-council/strategies-plans-policies/information-and-records-management-policy/>)**
- 1.16 The Council's Policy and Guidelines for Safeguarding Children & Adults at Risk*
- 1.17 The Council's Social Media Editorial and Administration Policy*
- 1.18 The Council's Whistleblowing Policy*

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** : available on the Council's website and CeriNet

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Investigatory Powers
Commissioner's Office

PO Box 29105, London
SW1V 1ZU

By Email

April 2020

Dear Sir/Madam,

Assurance of data handling and retention safeguards

In light of the recent and serious compliance failings by part of the UK intelligence community, I have asked the IPCO inspectorate to carry out a full review of the ways in which data is handled by the public authorities we oversee. This work, which was initiated in late 2019, has comprised initial discussions with a range of authorities in relation to their data holdings. This includes any data obtained under the Investigatory Powers Act (IPA) 2016 and the Regulation of Investigatory Powers Act (RIPA) 2000 and which is therefore the subject of oversight by my office. This programme is intended to promote compliance with these acts and the Codes of Practice, and with other legal obligations including the Data Protection Act (DPA) 2018. You will be aware that the current restrictions have meant that our working model has changed and that any contact with our inspectors will be conducted remotely for the foreseeable future. Nonetheless, my inspectors will contact you to discuss data assurance alongside our usual inspections.

The objectives of the Data Assurance programme are:

- To inspect and investigate compliance with data safeguards to establish a high level of confidence that all data obtained under the powers overseen by IPCO is retained lawfully.
- To embed and encourage best practice for compliance at each authority we oversee.
- To assist the authorities we oversee to understand and investigate the compliance challenges arising from the use of bespoke, off-the-shelf and shared data handling programmes and technical storage environments.

My inspectors have identified that many organisations are retaining data for longer than is necessary or appropriate for a number of reasons. Firstly, in many cases authorities have not fully implemented data retention and disposal policies, secondly, many authorities operate with a culture of comprehensive retention to prevent operational data loss, and finally, systems used to transfer and securely store data may not promote or enable appropriate disposal processes.

For example, consider that an authority seeks and is granted a directed surveillance authorisation. Under that authorisation, surveillance is conducted for a period of time and provides information to meet the objectives of the investigation. As part of the investigation, one officer emails the results of the surveillance to a colleague and their manager, both of whom save a copy on their desktop and in Outlook for future reference. The officer also emails the product to a legal colleague so that the product may be used as evidence during criminal proceedings, it is therefore disclosed to a court and retained in a password-protected file for further use in the event of an appeal. At this point, no decision is taken as to how long that data should be retained, and the copies on both Outlook and the desktops are retained.



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Although this example demonstrates legitimate use of the data for investigative and evidential use of the data, this approach is unlikely to be compliant with the code of practice for surveillance. The data pathway described includes retention on a personal desktop and in Outlook as well as a password-protected evidential copy. In this example, no retention, review or disposal process is in place for either pathway. In cases such as this, my inspectorate have found that data is being retained longer than is necessary, and at times indefinitely. I urge you to review your obligations under IPA and RIPA and to revisit the safeguards in the Codes of Practice¹ to ensure that appropriate policies and processes are in place within your authority.

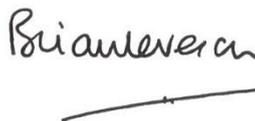
Starting in 2020, IPCO inspections will include data assurance and will require the following to be made available to my inspectors: safeguarding policies; retention and disposal schedules; access to any systems used to store data obtained under IPA and RIPA. Through each inspection, my office will ask you to demonstrate the adequacy of your policies, including physical security of data, adequacy of staff training, steps to minimise copying of data and processes to ensure all relevant data and copies are deleted at the appropriate time.

This work is a central part of IPCO's role to assist public authorities to use these powers lawfully, in the public interest. I anticipate that this programme will allow my office to establish a good level of confidence in the safeguarding practices of the authorities I oversee. I recommend that you take the following actions, which will assist you in demonstrating compliance and adherence to your obligations to safeguard any data you have obtained or may obtain:

- 1) Review the safeguarding obligations in the relevant Code of Practice for any powers used by your authority.
- 2) Ensure that internal safeguard policies for retaining, reviewing and disposing of any relevant data are accurate and up-to-date.
- 3) Ensure that the authorising officer for your authority has a full understanding of any data pathways² used for RIPA or IPA data.
- 4) Ensure that all data obtained under IPA and RIPA is clearly labelled and stored on a data pathway with a known retention policy.
- 5) Review the wording of safeguards in any applications to obtain data under IPA and RIPA and ensure that they accurately reflect the retention and disposal processes at your authority³.
- 6) Review whether data obtained under previous authorisations is being retained for longer than is necessary and, if appropriate, consider disposing of retained data.

If you have any questions about this programme or the recommendations we have made, please do not hesitate to contact IPCO at Info@IPCO.org.uk. Although we are not conducting inspections in person, my inspectors are available to answer any questions you have, and will be conducting inspections remotely, on a rolling basis, throughout the year.

Yours sincerely



The Rt. Hon. Sir Brian Leveson
The Investigatory Powers Commissioner

¹ Communications Data Code of Practice Chapter 13, CHIS Code of Practice Chapter 8 and Property Interference and Surveillance Code of Practice Chapter 9 set out safeguarding requirements.

² For example, directed surveillance data may be simultaneously stored on several data pathways: Pathway one – CCTV video product is transferred onto a CD and kept in a secure cabinet; Pathway two – a copy of the video is sent via email and stored on a common storage drive; Pathway three – a copy of the video is received via email and saved in an Outlook folder by a legal officer; Pathway four – a copy of the video is received via email and stored in a password protected evidential casework folder by a legal officer.

³ For example, if all data will be retained for a set number of years this should be stated in your application, or the application should refer to the internal safeguards policy document.

Cyngor Sir CEREDIGION County Council

REPORT TO:	Overview and Scrutiny Coordinating Committee
DATE:	15 September 2021
LOCATION:	ZOOM
TITLE:	CYSUR/CWMPAS Combined Local Operational Group Safeguarding Report Qtr 4 2020/21
PURPOSE OF REPORT:	To monitor activity on a multi-agency basis of the actions taken to safeguard children and adults within Ceredigion
REASON SCRUTINY HAVE REQUESTED THE INFORMATION:	To ensure members monitor progress in the CYSUR/CWMPAS Combined Local Operational Group quarterly management meetings

BACKGROUND:

Please see attached CYSUR-CWMPAS Combined Local Operational Group Safeguarding Report for Qtr 4, 2020/21.

These are multi-agency management reports in relation to safeguarding children and adults in Ceredigion during the period 1st January to 31st March 2021. They provide management information on action taken under the Wales Safeguarding Procedures.

The Reports include information provided by other agencies in relation to safeguarding the welfare of children and adults in Ceredigion.

The management information is discussed by members of the CYSUR/CWMPAS Combined (Ceredigion) Local Operations Group in order to monitor and evaluate the effectiveness of the safeguarding of children and adults arrangements in Ceredigion and the outcomes achieved

These multi agency meetings provide an opportunity to identify and act upon any performance and other issues within this area of work.

Performance information is also provided to the Mid and West Wales Regional Safeguarding Board which is also an opportunity to analyse performance, trends and issues across the Region.

Summary of Key points:

CHILDREN SAFEGUARDING

- There was a slight decrease in the number of safeguarding children reports from the previous quarter and this was a slightly lower number than during the same quarter in the previous year.

With the easing of restrictions and schools re-opening there has been a growth in the number of reports with some suppresses reporting levels during lockdown.

- Police were the main referring agency in this quarter.
- The main concerns that lead to completing child protection enquiries were allegations of physical abuse and sexual abuse.
- There were a reduced number of initial child protection conferences held this quarter and all were held within the required timescale.
- In some cases, concerns have been escalated into the Public Law Outline arena directly rather than holding a conference due to the seriousness of the concerns and the need for the court directed protective action.
- 65.7% Review CPC's were held in timescales, this was due to staff sickness absence and prioritisation of ICPC, the Review RCPCs were rearranged as soon as possible following and an Agency independent Chair was appointed in early February.
- The main risk factors recorded were domestic abuse, parental separation, parental substance misuse and parental mental health difficulties.
- The number of children on the Child Protection Register was reduced by 17 children, 24 Children were deregistered with only 7 Children being registered at ICPC.

ADULT SAFEGUARDING

- There has been an increase in the number of adults reported at risk since Quarter 3, with an increase from 117 adults in Quarter 3 to 146 in Quarter 4 which approximately reflects the number of adults reported to be at risk in Quarter 4 of 2019-2020. During the period from Quarter 1 to the end of Quarter 3, there was a marked decrease in the number of adults at risk reported but there has been an increase in Quarter 4. These figures seem to be a reflection of the decrease in the amounts of reports received when due to COVID restrictions, society was in lockdown with there been an increase then in reports received when restriction started to be lifted.
- The number of reports received have increased in Quarter 4 from the three previous quarters, with a steep increase in referrals in March of this year, and this is comparable with the increase in reports received in March of Q4 2019-2020. It seems that we have begun to return to the number of reports received prior to the commencement of the COVID 19 pandemic and prior to the enforcement of the lockdown situation.
- The Local Health Board is the main source of reports in Quarter 4, followed by Provider agencies and then the Police, compared with Quarter 3 where the Local Authority was the main source of reporting, followed by the Police and then the Local Health Board. This quarter, there has been a significant increase in the number of reports received from Provider agencies compared to previous quarters. This quarter we have received an increase number of reports in relation to concerns in care homes and in terms of domiciliary care support about pressure areas, the management of medication, thefts undertaken by professional care staff and reports of concerns about the misuse or non-use of PPE.

- Emotional/psychological abuse is the highest form of abuse reported in this quarter as at Quarter 3, with neglect being the next most reported category of abuse which again is the same pattern from Quarter 3.
- There is an increase in the number of females allegedly experiencing sexual abuse this quarter and these reports seem to be in relation to issues of domestic abuse.
- This quarter there are slightly less the number of reports that did not proceed to an enquiry but there is still a high number of reports being received where it has been assessed that an enquiry is not necessary and this needs to be explored further.
- This quarter, there was a further low number of enquiries where it was concluded that action needed to be taken, i.e., that a protection plan needed to be put in place. There were only 6 in this quarter, a slight decrease from 7 in quarter 3, but a marked decrease from Q2 (23), Q1 (39) and Q4 2019-2020 (53).
- Of the 6 Protection Plans put in place, 5 people were safeguarded in their own home and 1 person needed to be safeguarded in a care home setting, with 1 person needed to be safeguarded from a paid employee, 2 needed to be safeguarded from relatives/friend and 1 from another.

Has an Integrated Impact Assessment been completed? If, not, please state why No

Summary:

This report is provided on an ongoing basis and demonstrates the continuing work that is undertaken in relation to safeguarding children and adults in Ceredigion.

WELLBEING OF FUTURE GENERATIONS:

- Long term:** Balancing short term need with long term planning for the future
- Integration:** Positively impacting on people, economy, environment and culture and trying to benefit all three
- Collaboration:** Working together with other partners to delivery

Involvement: Involving those with an interest and seeking their views, stakeholder engagement and consultation

Prevention: Putting resources into preventing problems occurring or getting worse

RECOMMENDATION (S):

To note the contents of the report and the levels of activity with the Local Authority

REASON FOR RECOMMENDATION (S):

So that governance of the Local Authority activity and its partner agencies are monitored

Contact Name: Siân Howys

Designation: Corporate Lead Officer: (Children & Families)

Date of Report: 2nd June 2021

Acronyms:

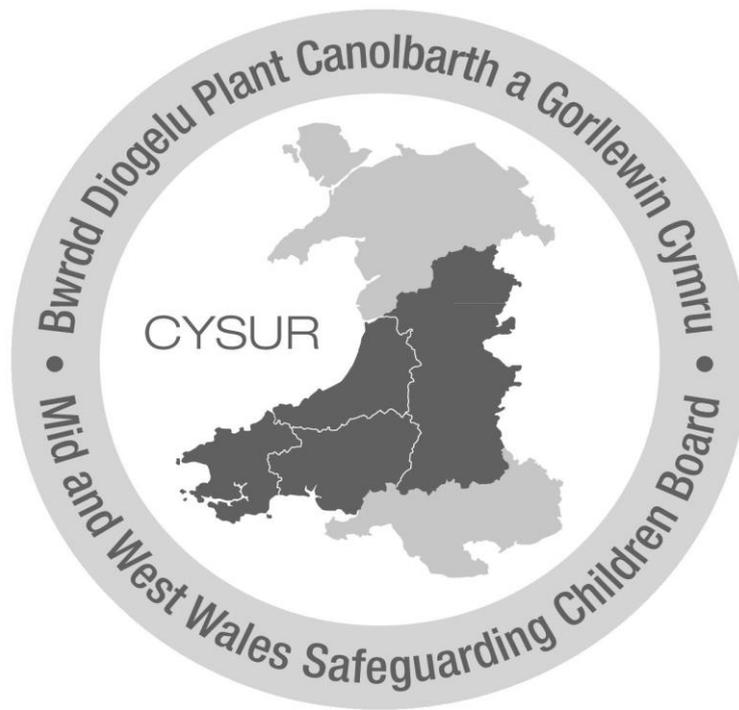
CP – Child Protection

CPR – Child Protection Register

Part 4 – Allegations against a member of staff or those working with children, e.g. - foster carers, volunteers, playgroups, etc.

CPCC – Child Protection Case Conference

ICPC – Initial Child Protection Conference



CEREDIGION
CYSUR LOCAL OPERATIONAL GROUP
Performance Management Report

Quarter: 4
1.1.21 – 31.3.21

CONTENTS:	TUDALEN / PAGE
SECTION 1: Introduction	3
SECTION 2: Headline and Comparative Data	4
SECTION 3: Child Protection Referrals	5
SECTION 4: Child Protection Section 47 Enquiries	9
SECTION 5: Child Protection Conferences	11
SECTION 6: The Child Protection Register	19
SECTION 7: Protection Strategy Meetings in Special Circumstances	22
SECTION 8: Multi Agency Child Sexual Exploitation	23
SECTION 9: Annual Summary Report	24
SECTION 10: Police – MARAC	25
SECTION 11: Learning Services	28
SECTION 12: Hywel Dda University Health Board	35
SECTION 13: S-CAMHS	38
SECTION 14 Adult Safeguarding	39

SECTION 1: INTRODUCTION:

This is the multi-agency management report in relation to safeguarding children in Ceredigion during the period 1st January to 31st March 2021. It provides performance management information on action taken to safeguard children.

It includes reports from partner agencies relating to safeguarding and promoting the wellbeing of children in Ceredigion.

The indicators and measures used are defined and reported on locally, regionally and nationally.

This management information is regularly discussed by members of the CYSUR Ceredigion Local Operations Group in order to monitor and evaluate the effectiveness of safeguarding children arrangements in Ceredigion and the outcomes achieved.

Any comments or queries regarding the report should be addressed to:

Elizabeth Upcott
Rheolwr Corfforaethol Diogelu
Safeguarding Corporate Manager,
Elizabeth.Upcott@ceredigion.gov.uk
01545 574212

SECTION 2: Headline and Comparative Data

Referral Outcomes	Jan-Mar 2021	Oct-Dec 2020	July-Sept 2020	April-June 2020	Jan-Mar 2020
Reports/Referrals leading to Child Protection Strategy Discussions / Meetings	99	102	92	85	106
Number of Initial CP Conferences (excluding transfer and pre-birth conferences)					
Number of Initial CP Conferences (excluding transfer and pre-birth conferences)	3	13	10	5	11
Number of Initial Pre Birth CP Conferences	-	1	2	2	-
Number of Transfer CP Conferences	1	-	-	-	1
Total number of Initial CP Conferences (including transfer and pre-birth Conferences)	4	14	12	7	12
Total number of children subject to Initial/Pre-birth/Transfer Conferences	9	20	23	9	30
Number of children's names placed on the CP Register (excluding pre-birth and transfer conferences)					
Number of children's names placed on the CP Register (excluding pre-birth and transfer conferences)	4	15	18	7	23
Number of children's names to be placed on the CP Register at birth	-	1	2	2	-
Number of children's names placed on the CP Register after transfer from other Local Authorities	3	-	-	-	3
Total number of children's names placed on the CP Register following Initial Conferences	7	16	20	9	26
Total number of children's names not placed on the CP Register	2	4	3	-	4
Total number of Review CP Conferences					
Total number of Review CP Conferences	18	17	16	19	11
Total number of children subject to Review CP Conferences	35	39	26	42	15
Total number of children remaining on CP Register	11	18	11	24	9
Total number of children removed from the CP Register	24	21	15	18	6

Analysis:

There was a very slight decrease in the number of referrals that lead to action taken under Wales Safeguarding Procedures during this quarter and slightly lower than during this quarter in the previous year.

The percentage of children discussed at review conferences and who were deregistered was 69%.

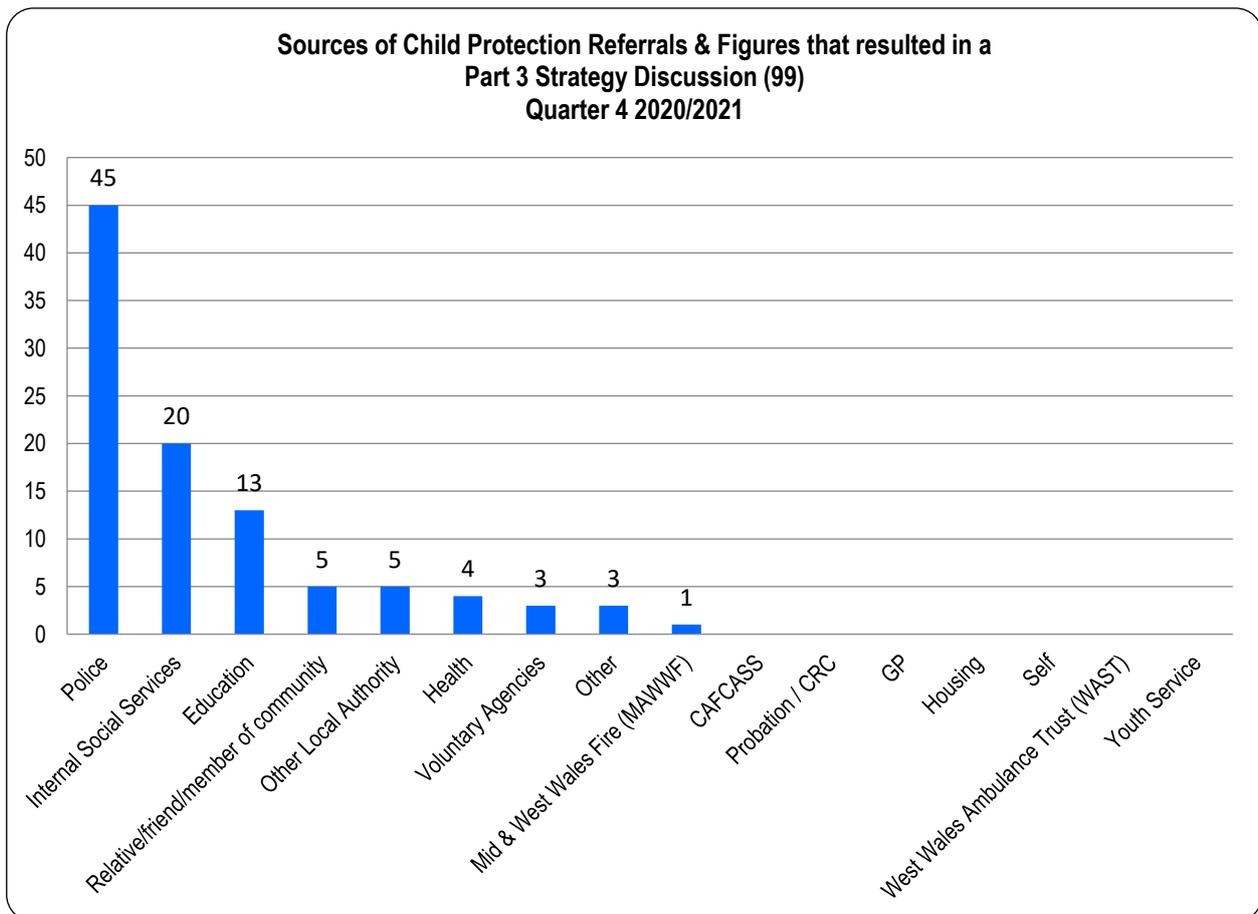
SECTION 3: Child Protection Reports and Referrals:

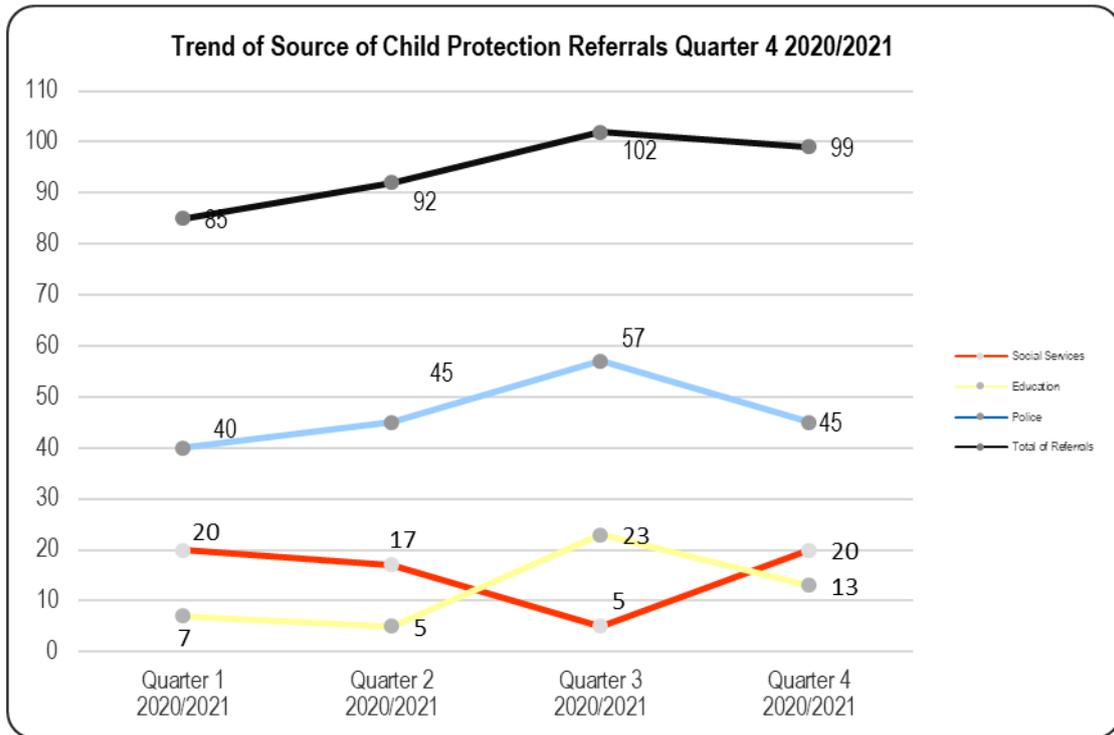
Victoria Climbié Inquiry Recommendation 39 requires that front line staff transfer enquiries about the safety and welfare of children to the appropriate team without delay and within an hour. In Ceredigion, Porth Gofal receives and records all calls from the public, professionals and agencies and passes them to the Child and Family Assessment and Support Team.

The following table shows the level of compliance with the recommendation:

Level	Passed to Duty Team Officer within 1 hour	Passed to Duty Team Officer with 2 hours	Passed to Duty Team Officer within 2-5 hours	Total
January				
1	76	14	22	112
2	59	19	6	84
3	89	18	3	110
4	33	3	0	36
5	0	0	0	0
Level	Passed to Duty Team Officer within 1 hour	Passed to Duty Team Officer with 2 hours	Passed to Duty Team Officer within 2-5 hours	Total
February				
1	72	6	20	98
2	61	7	11	79
3	44	9	10	63
4	32	1	1	34
5	1	0	0	1
				Total
March				
1	68	21	24	113
2	61	21	13	95
3	68	14	9	91
4	48	12	1	61
5	5	0	0	5

Sources of Child Protection Referrals and Figures that resulted in a Strategy Discussion					
Contact by	January	February	March	Total	Comp figures quarter 3
Police	12	17	16	45	57
Internal Social Services	8	5	7	20	5
Education	3	4	6	13	23
Relative/friend/member of community	2	1	2	5	4
Other Local Authority	4	-	1	5	4
Health	-	2	2	4	7
Voluntary Agencies	1	-	2	3	1
Other	1	2	-	3	1
Mid & West Wales Fire (MAWWF)	-	-	1	1	-
Probation / CRC	-	-	-	-	-
CAFCASS	-	-	-	-	-
GP	-	-	-	-	-
Youth Service	-	-	-	-	-
Self	-	-	-	-	-
Housing	-	-	-	-	-
West Wales Ambulance Trust(WAST)	-	-	-	-	-
Total	31	31	37	99	102



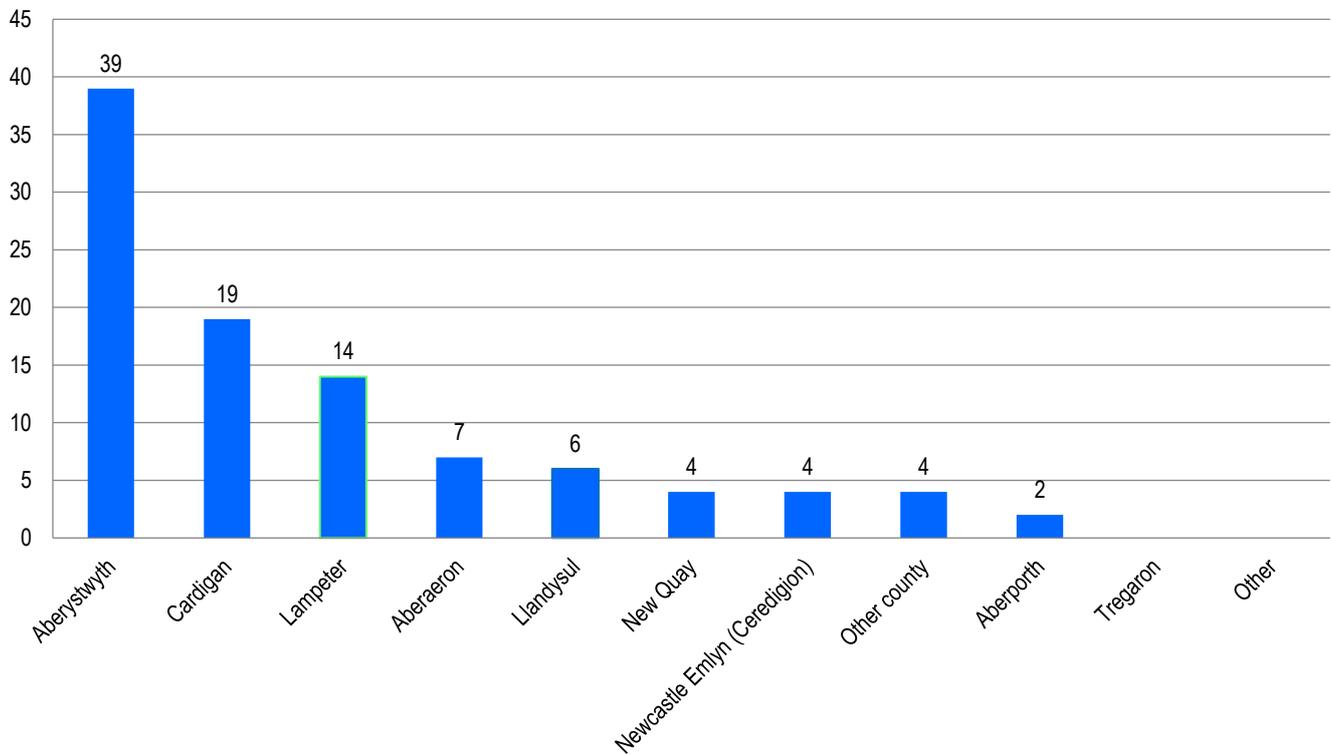


Analysis:

The Police were the largest source of referrals during the quarter with schools rate having fallen despite reopening at the beginning of the quarter.

Area Postal Addresses of Child Protection Referrals leading to a Part 3 Strategy Discussion					
Nearest town in Postal Address	January	February	March	Total	Comparative figure quarter 3
Aberystwyth	11	16	12	39	56
Cardigan	5	5	9	19	4
Lampeter	5	4	5	14	15
Aberaeron	3	1	3	7	4
Llandysul	4	--	2	6	8
New Quay	-	1	3	4	5
Newcastle Emlyn (Ceredigion)	-	3	1	4	4
Other county	2	-	2	4	1
Aberporth	1	1	-	2	2
Tregaron	-	-	-	-	3
Other	-	-	-	-	-
Total Number of Referrals	31	31	37	99	102

Area Postal Addresses of Child Protection Referrals leading to a Part 3 Strategy Discussion (99) Quarter 4 2020/2021



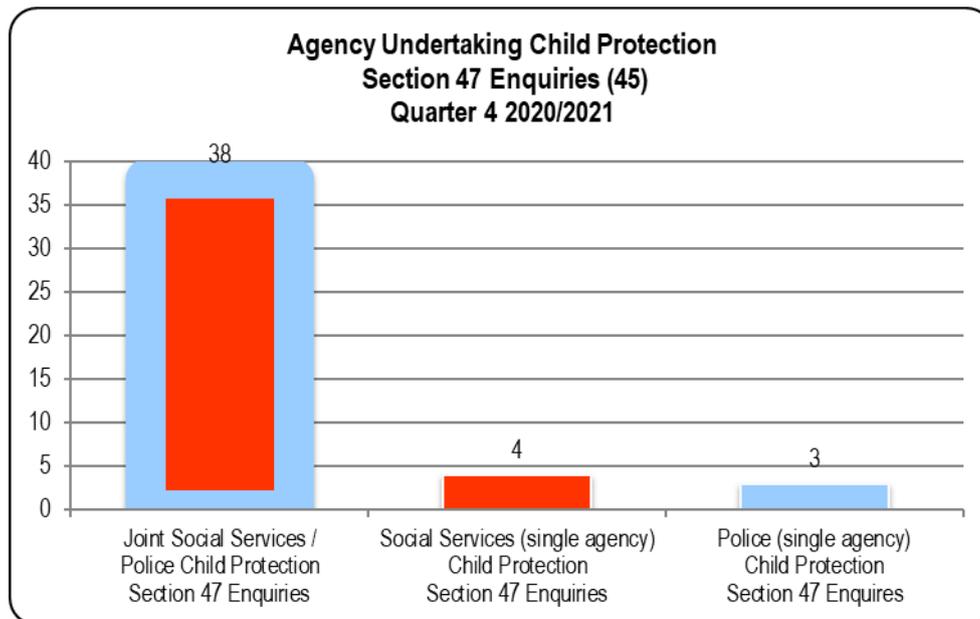
Analysis:

Aberystwyth is consistently the area of the greatest number of referrals

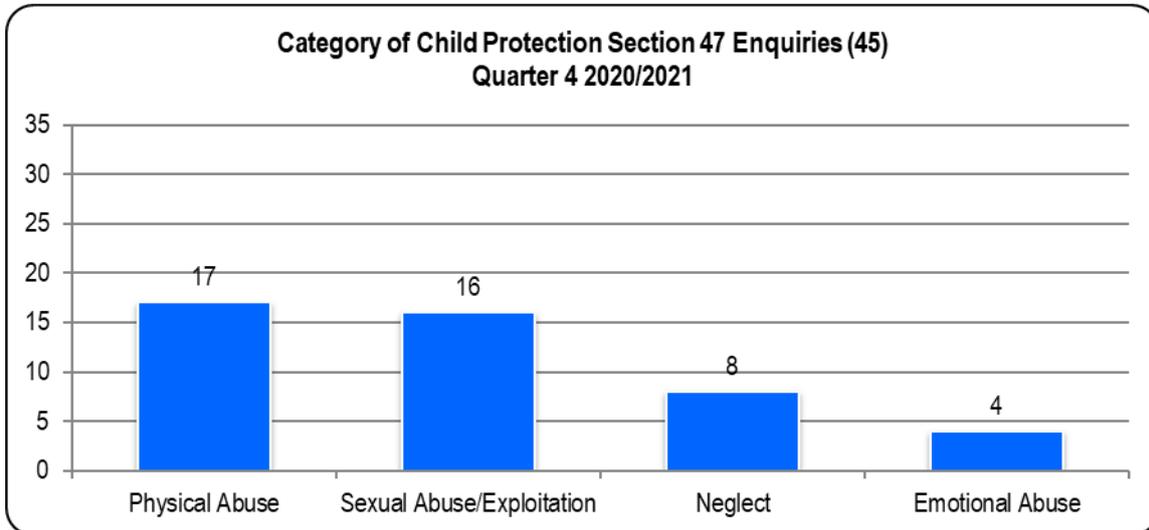
% Breakdown of Safeguarding Activity Quarter 4 2020/2021 (1 January – 31 March)			
Total of 982 - All Initial Contacts re Children			
NAET Assigned to Children's Teams - Information unavailable	Strategy Discussions 10%	Section 47 Enquiries 5%	Initial Child Protection Conferences 1%

SECTION 4: Child Protection Section 47 Enquiries

No. of Part 3 Child Protection Strategy Discussions/ Meetings					
January	February	March	Total	Comparative fig quarter 3	
31 (40)	31 (25)	37 (37)	99	102	
Agency undertaking Child Protection Section 47 Enquiries					
	January	February	March	Total	Comparative fig quarter 3
Joint Social Services / Police Child Protection Section 47 Enquiries	14	12	12	38	38
Social Services (single agency) Child Protection Section 47 enquiries	4	-	-	4	2
Police (single agency) Child Protection Section 47 enquires	-	-	3	3	10
Total Enquiries	18	12	15	45	50



Category of Child Protection Section 47 Enquiry					
Category	January	February	March	Total	comparative fig Quarter 3
Physical Abuse	5	4	8	17	24
Sexual Abuse/Exploitation	4	6	6	16	23
Neglect	5	2	1	8	2
Emotional Abuse	4	-	-	4	1
Total Number of Enquiries	18	12	15	45	50



Video Interviews					
	Jan	Feb	Mar	Total	comparative fig Quarter 3
Number of video interviews with children	-	-	-	-	-

Analysis:

The main concerns that lead to completing child protection enquiries were allegations of physical and sexual abuse.

The majority of enquiries were carried out jointly by Police and Children Services.

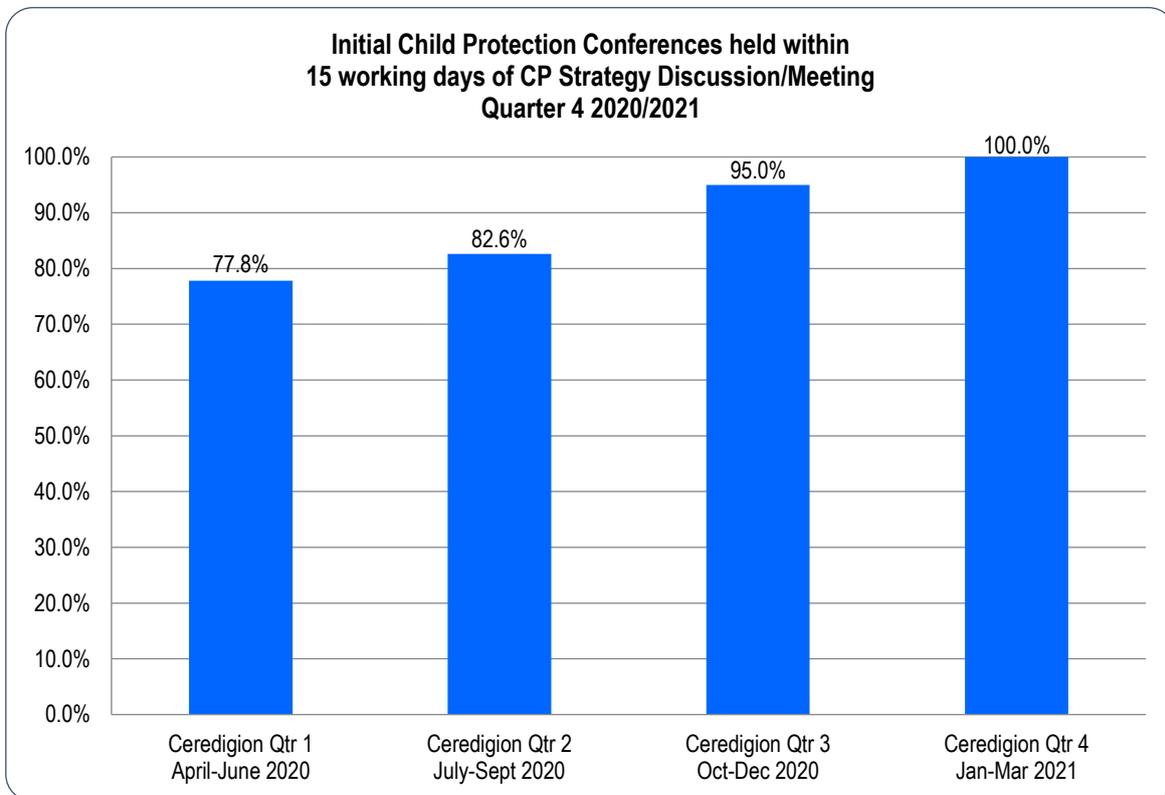
SECTION 5: Child Protection Conferences

This table contains breakdown figures in relation to Outcomes of Initial Child Protection Conferences					
Total Number of Initial CPCs	No. of children	No. of unborn	No. of families	Number of children placed on CPR incl. unborn and transferred	No. of children with Child In Need of Care and Support Plan if not registered
4	9	-	4	7	2

Initial Child Protection Conferences in timescale

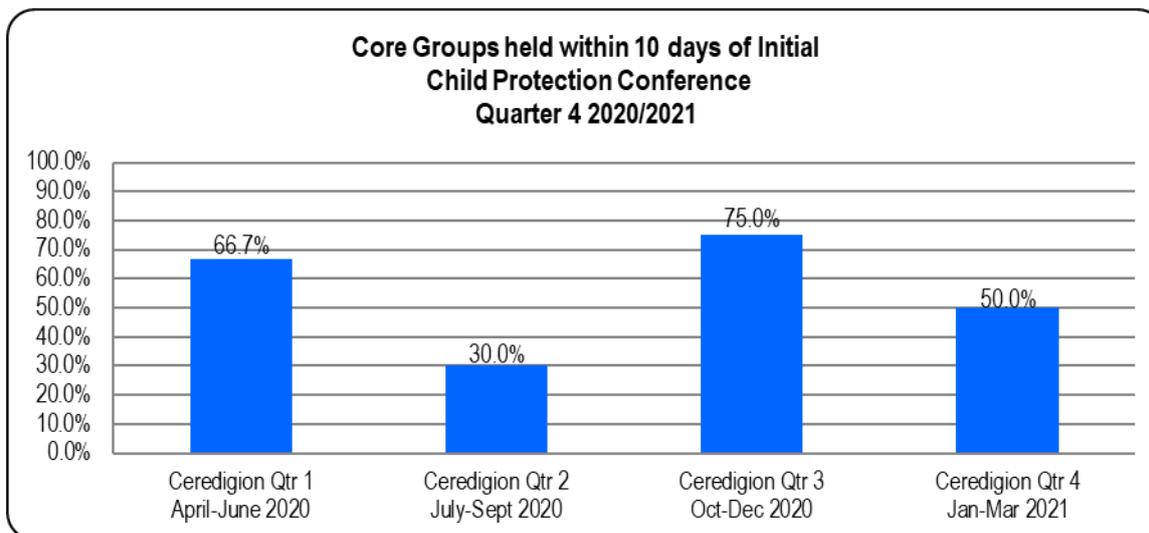
100.0% of Initial Child Protection Conferences were recorded to have taken place within 15 working days of the Strategy Discussion/Meeting.

It is important to note that all initial and Review Case Conferences are being held virtually via Microsoft Teams. Both parents and children have been able to participate in the meetings.



Child Protection Core Group Meetings in timescale:

50.0% of Child Protection Core Group Meetings were recorded to have taken place within 10 working days of the Initial CP Conference. This represents 2 children out of 4. For 1 sibling group of 2 children there was a delay due to professional availability.



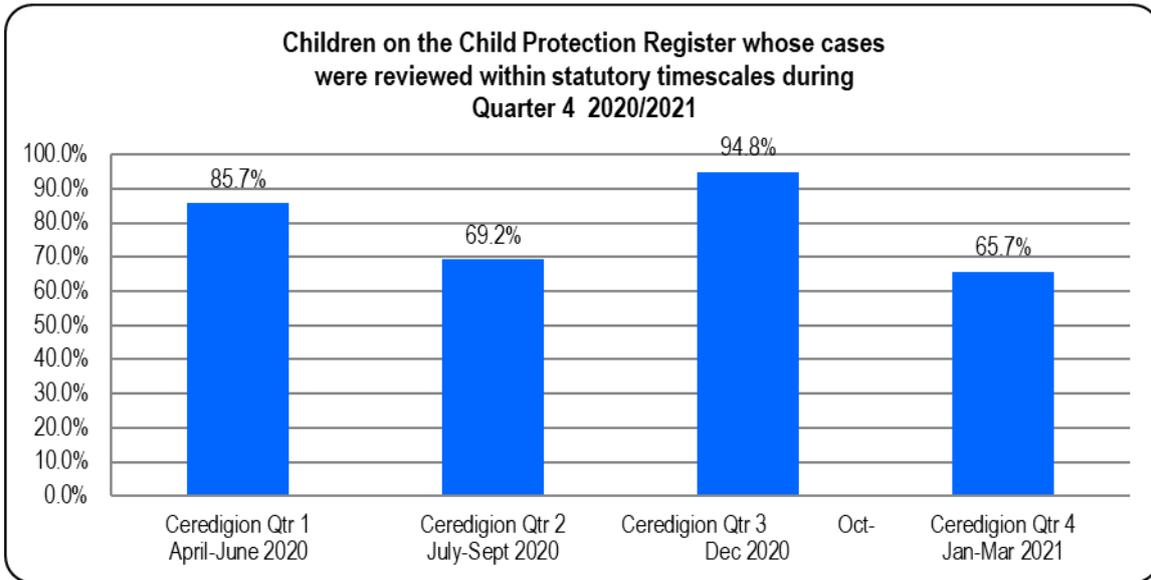
This table contains breakdown figures in relation to the outcomes of Review Child Protection Conferences:					
Total No. of Review CPCs	No. of children	No. of families	No. of names of children remaining on CP Register	No. of names of children removed from CP Register	No. of children with Child In Need of Care and Support Plan following de-registration
18	35	18	11	24	17

Outcomes of Reviews:

Of the 24 children who were de-registered, 17 were in receipt of further intervention on a Child in Need of Care and Support Plan; 5 subject to a Court Order and Looked After Children a further 2 children were not in need of any services.

Review Child Protection Conferences in Timescales:

65.7% of Review Child Protection Conferences were recorded to have taken place within timescales. For 3 sibling groups of 2 children and 6 other individual children the Conferences were out of timescales due to sickness absence of the Independent Chair, and prioritisation of ICPC. The RCPC were rearranged as soon as possible following the appointment of an Agency Independent Chair in early February; the review conferences were on average 35 days late, with 7 of the reviewed children being deregistered at their First 3 Month Review Conference.



Participation of parents and children in Child Protection Conferences						
*Comparative data for Quarter 3 in brackets						
*Social Worker report to parents 24 hours before CPC	*CP Chair met with family before CPC	*CP Chair met with child before CPC	*Family member present at CPC	*Children's views represented at CPC who did not attend (5 -18 yrs.)	*Children attendance at CPC (Over 11 yrs.)	*Children Who have allocated Advocate / Tros Gynnal.
100% (87%)	100% (96%)	80% (60%)	100% (94%)	91% (91%)	42% (21%)	76% (75%)

Child and Family Participation and Attendance at Conferences:

Attendance by parents, children and family members:

At least 1 parent/grandparent with parental responsibility was present in 22 (100%) Child Protection Conferences.

In total, 38 parents and other family members attended CP Conferences.

The views of children and young people have been represented before and during the CP Conference;

A total of 44 Children from 22 families were the subject of Initial, Pre-birth, Transfer and Review CP Conferences during this quarter.

Conferences consisted of 0 (0%) Pre-birth child, 3 (7%) children were under 6 months, 4 (9%) child was between 6 and 12 months, 9 (21%) children were over 1 and under 5 years, 16 (36%) children were between 5 and 10 years and 12 (27%) children were between 11 and 18 years old. 14 (88%) Children between the ages of 5 and 11 had their views represented at the Conference. 5 (42%) of the Young Persons aged over 11 years attended their Conference, 4 (80%) of these Young People met with the Chair prior to the Conference; the Chair did not meet with any of these young people after the Conference. All 7 (100%) of the Young Persons who did not attend the Conferences had their views represented at the Conference.

19 (76%) Of young persons over the age of 5 years received the services of an advocate, another 6 were referred for a service but the parents weren't engaging at the time. 3 Further young people were referred but refused the service.

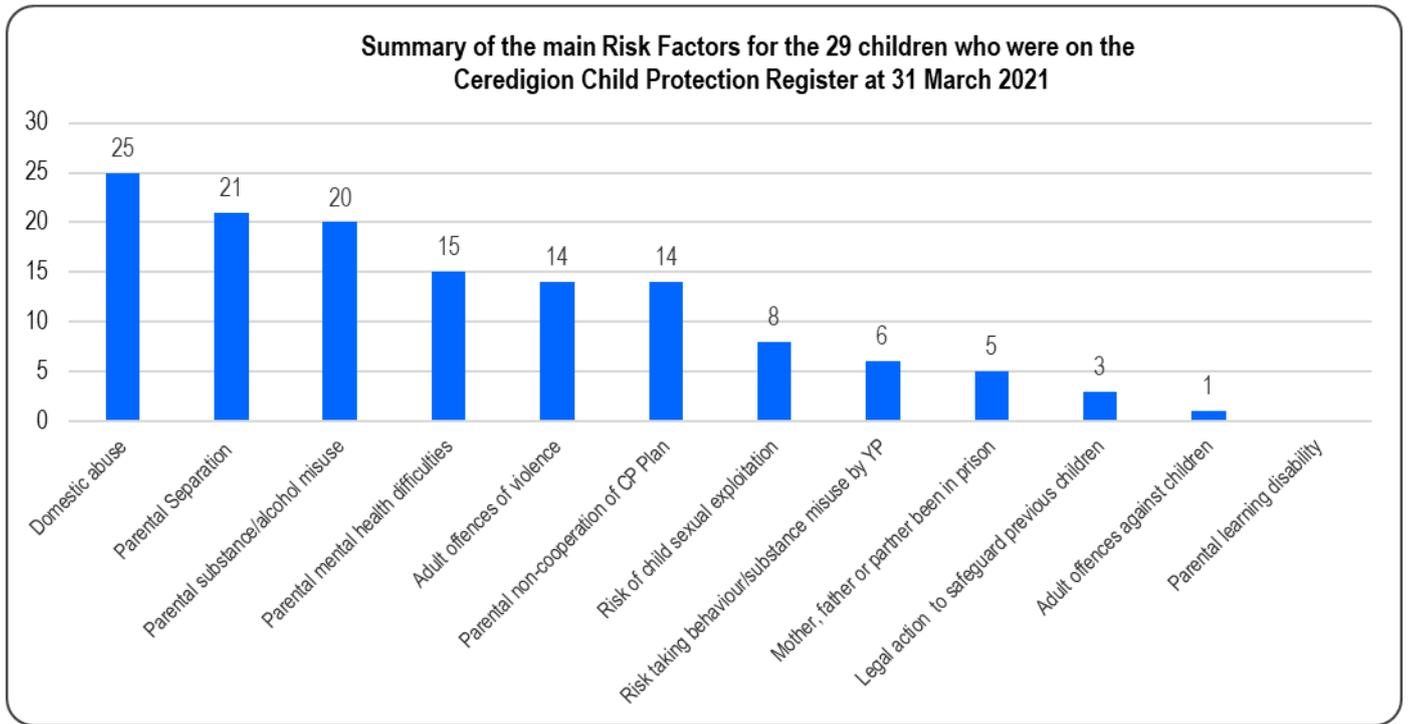
Performance Management Report 1/1//21 - 31/3/21

Analysis

100% Conferences have at least 1 family member in attendance.

The Advocate Service was offered to every child aged 5 and over discussed at Conference in this period, unfortunately the parents of 6 children weren't engaging well at the time and therefore the service was not received by the children. 3 Young People were referred to the Advocacy Services, but declined the offer, these were therefore taken out of the equation

Summary of main Risk Factors/ ACEs identified and discussed at Child Protection Conferences	
This table is based on the Independent Conference Chair's evaluation of risk factors noted at Initial CP Conferences when children's names were placed on the Child Protection Register and at Review CP Conferences when children's names remained on the Register.	
Summary of the main Risk Factors for the 29 children who were on the Ceredigion Child Protection Register at 31 March 2021	
Domestic Abuse (ACE)	25 (86.2%)
Parental separation has been a factor in this household (ACE)	21 (72.4%)
Parental substance/alcohol misuse (ACE)	20 (68.9%)
Parental mental health difficulties (ACE)	15 (51.7%)
Adult offences of violence	14 (48.3%)
Parental non-cooperation with the CP Plan	14 (48.3%)
Risk of child sexual exploitation	8 (27.6%)
Risk taking behaviour/substance misuse by young person	6 (20.7%)
Mother, father or partner have been in prison (ACE)	5 (17.2%)
Legal action taken to safeguard previous children in family	3 (10.3%)
Adult offences against children	1 (3.4%)
Parental learning disability	0 (0%)



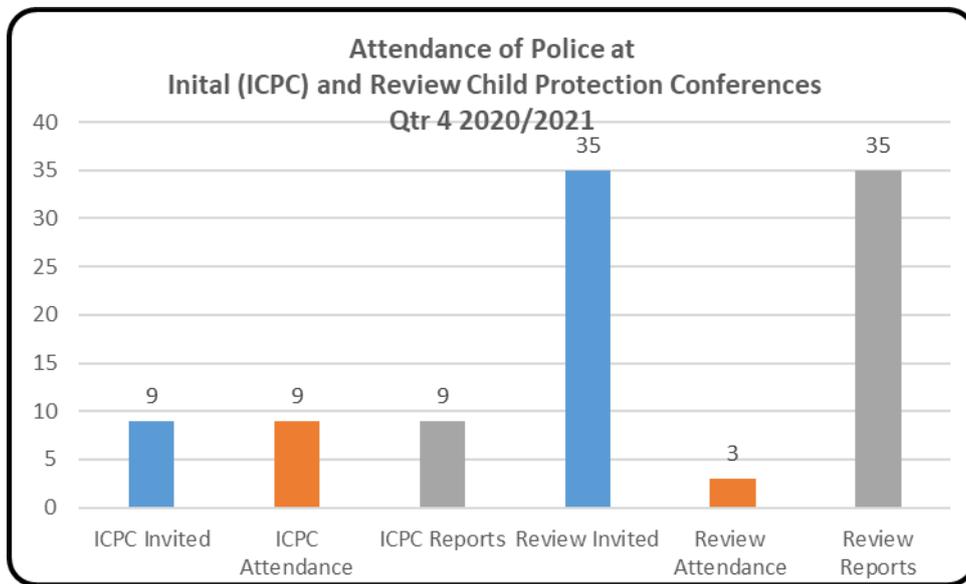
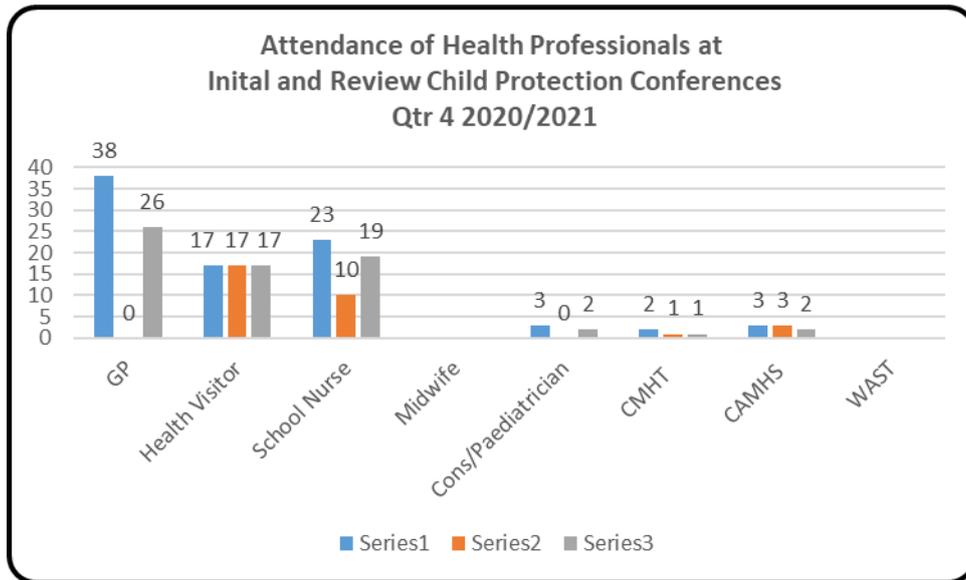
The Toxic Three Risk Factors for the 29 children who were on the Ceredigion Child Protection Register at 31 March 2021		
Number of children subject to a Care and Support Protection Plan where all of the Three Toxic Risk Factors feature (Domestic Abuse, Parental Substance Misuse and Parental Mental Health)	10	34.5%
Number of children subject to a Care and Support Protection Plan where Parental Separation or / and Incarceration feature (ACE)	22	75.9%
Number of children subject to a Care and Support Protection Plan where all five ACE (Domestic Abuse, Parental Substance Misuse, Parental Mental Health, Parental Separation and Incarceration)	4	13.8%

Analysis:

The main risk factors recorded were domestic abuse, parental separation, parental substance misuse and parental mental health difficulties.

Agency Attendance at Conferences:





The attendance of agencies at CPCs is illustrated in the charts above. An average of 6 agencies' staff members were invited to each CPC and an average of 3 attended.

There was an average of 5 written reports available at each CPC.

The date for a Review CPC was arranged at each conference when it was required.

All 44 (100%) of CPCs were quorate.

3 (14%) CPCs recommended that a Family Group meeting be convened.

Written reports were provided by Social Workers for all 22 (100%) of CPCs, Chronologies were included in 1 (25%) of Initial Conferences reports.

22 (100%) of professionals/agency staff expressed their views about the level of risk and registration at all CPCs.

40 (91%) CPC registration decisions were unanimous; with 4 (9%) CPC registration a majority decision.

1 (2%) CPCs reported that there was dissent regarding the safety of the CP Plan for safeguarding the welfare of a child on the CP Register.

0 (0%) CPC's identified a young carer.

1 (4%) CPC identified that there was a shortfall in information regarding the mother's partner.

2 (9%) CPC's identified that the young persons had moderate/severe learning disability; with 4 (18%) CPC's reporting that the young person's had an Individual Development Plan.

Performance Management Report 1/1//21 - 31/3/21

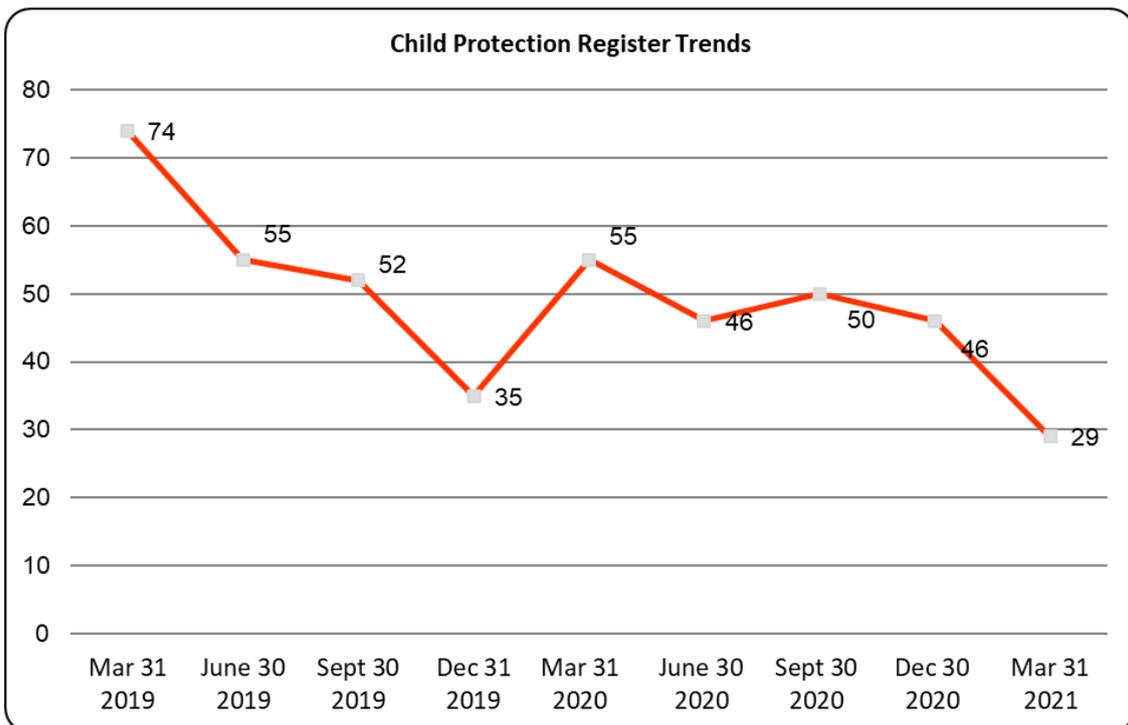
1 (4%) CPC identified a physical/sensory disability, 0 (0%) behaviour problems were reported in CPC's.

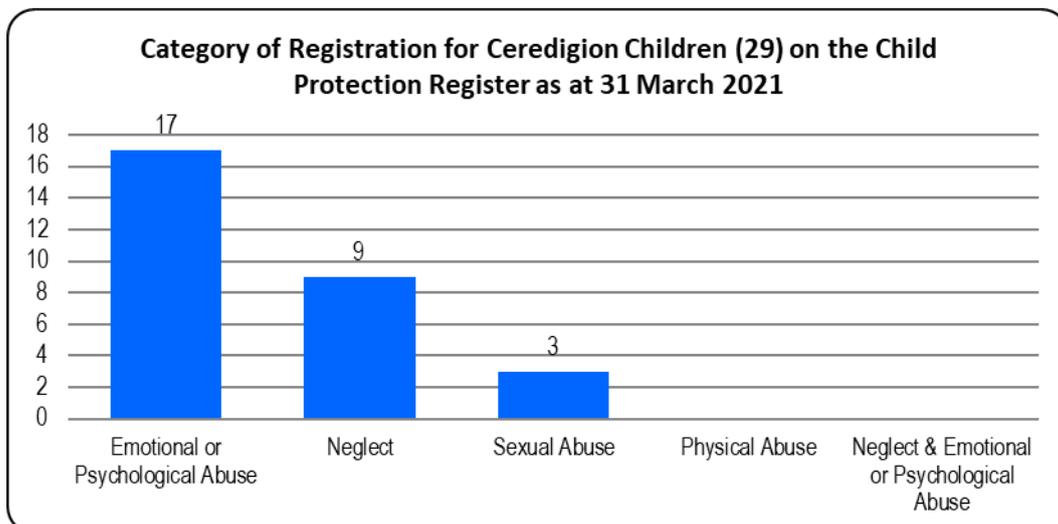
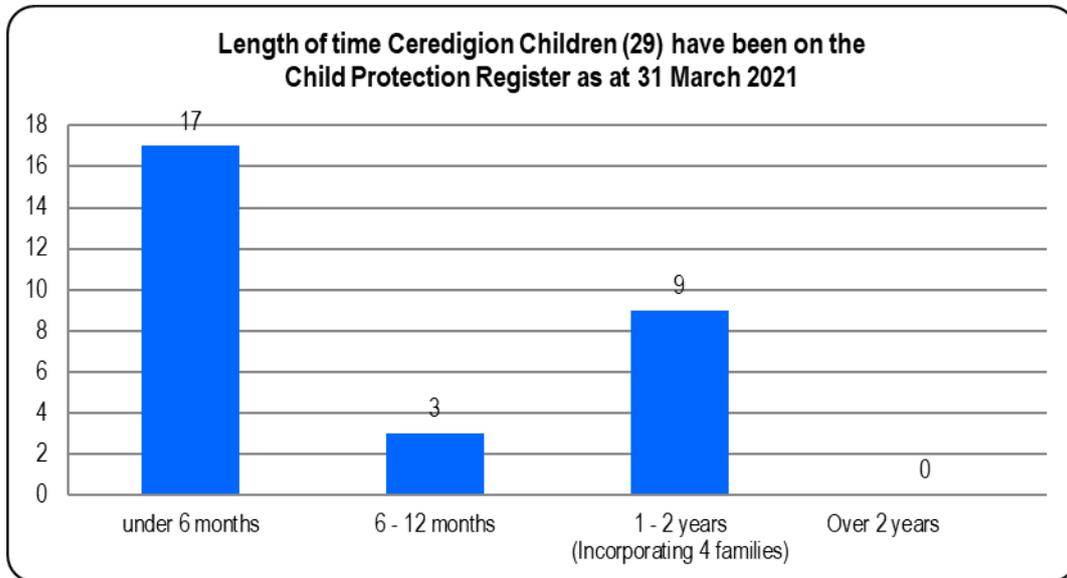
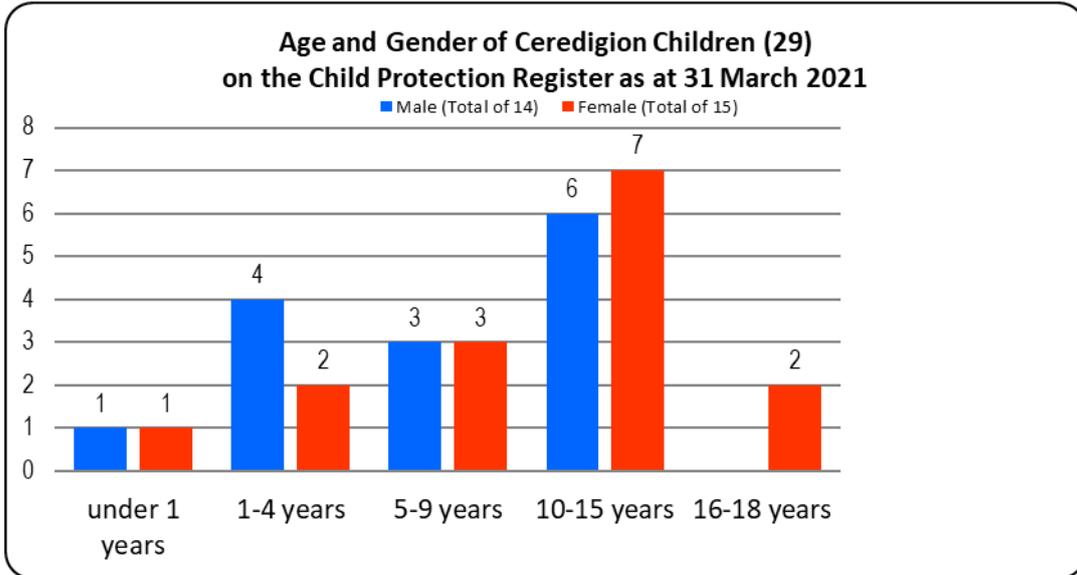
4 (18%) CPCs identified that the young persons had speech/language difficulties; with 0 (0%) CPC informed that the children had been excluded from school.

SECTION 6: Child Protection Register

The following table and chart provides the register data and trends at the end of each quarter commencing with the most recent quarter.

Child Protection Register (CPR)	No of Ceredigion children registered on the CPR	No of Ceredigion Families registered on CPR	No of children temporarily registered on CPR	No of families temporarily registered on CPR	Total no. of all children registered on the CPR	Total no. of all families registered on the CPR	Total no of Ceredigion children on CPR Looked After
March 31 st 2021	29	16	12	6	41	22	5
Dec 31 st 2020	46	24	7	5	53	29	5
Sept 30 th 2020	50	22	4	3	54	25	1
June 30 th 2020	46	24	4	2	50	26	4
March 31 st 2020	55	26	10	4	65	30	2
Dec 31 st 2019	35	20	12	5	47	25	3
Sept 30 th 2019	52	27	7	3	59	30	4
June 30 th 2019	55	31	10	5	65	36	3
March 31 st 2019	74	40	4	3	78	44	5
Dec 31 st 2018	53	32	2	2	55	34	4
Sept 30 th 2018	58	36	9	7	67	43	3
June 30 th 2018	54	31	9	6	63	37	6





WG Measure 28 - The average length of time for all children who were on the Child Protection Register:

This Measure asks for the average length of time in calendar days on the register for all children who were de-registered during the quarter	Jan-Mar	244.1
--	---------	-------

	Jan-Mar 2021	Oct-Dec 2020	July-Sept 2020	April-June 2020	Jan-Mar 2020	Oct-Dec 2019	July-Sept 2019	April-June 2019	Jan-Mar 2019
Rate per 10,000 Children under 18	23	36	39	36	42	27	40	42	57

WG Measure 27 – The number of re-registrations of children on Local Authority Child Protection Registers within the year

Initial Conferences	Jan-Mar 2021	Oct-Dec 2020	July-Sept 2020	April-June 2020	Jan-Mar 2020	Oct-Dec 2019	July-Sept 2019	April-June 2019
Number of Children previously on the register and deregistered within last 12 months	0	0	0	0	0	1	5	1

Analysis

There was a considerable decrease in the number of children on the Register during this period. 24 Children were deregistered, which consisted of 1 family with 5 children, 1 family with 4 children, 1 family with 3 children, 4 families with 2 children and 4 families with one child. However 7 Children were registered at Initial Child Protection Conferences. The number of children in these families consisted of 1 family with 3 children and 2 families with 2 children.

The highest category of registration is emotional abuse and neglect which reflects domestic abuse as one of the greatest risk factors.

The majority of children are on the Register for a period of up to 6 months.

The number of girls on the Register has overtaken the number of boys.

The biggest age category of registration remains at 10-15yrs.

SECTION 7: Child Protection Strategy Meetings held under Part 4 and Part 5 of the All Wales Child Protection Procedures

There were 21 children referred and in total there were 31 strategy meetings held in the quarter.

Strategy Meetings were held in relation to 2 Ceredigion Looked After Children and 1 other Local Authority Looked After Child.

1 Ceredigion Looked After Children placed out of county was reported to be the subject of Child Protection Enquiries within the placement area.

Category of Child Protection Strategy Meeting (Specific Circumstances)	January Meetings held	February Meetings held	March Meetings held	Total number of cases
Risk of child exploitation	5	5	4	11
Concerns regarding sexually harmful behaviour	1	0	2	2
Concerns regarding a young person going missing from home	1	1	2	4
Professional Concerns	3	2	5	9
Total number of meetings	10	8	13	
Total number of cases discussed in this quarter				26

ADRAN/SECTION 8: Multi Agency Child Exploitation Management Meetings

New Case / Review	Exit / Remain in MACSE	Male / Female	Age	At home / in care	CPR	Date of meeting	Agency Attendance
R	R	F	16	H	Y	12.02.21	CFAST, Coleg, Police, YJPS
R	E	F	14	H	Y	02.03.21	CFAST, Police, Learning Services
R	E	F	15	C	N	16.03.21	CFAST, Police, Learning Services, Health
N	R	F	13	H	N	06.01.21	CFAST, Police, Learning Services, TAF, Health
N	E	F	17	H	N	06.01.21	CFAST, Police, Learning Services, Health
N	R	F	16	H	N	08.01.21	CFAST, Police, Learning Services, YJPS, Health
N	R	F	13	H	N	08.01.21	CFAST, Police, Learning Services, Health
N	R	M	17	H	N	14.01.21	CFAST, Police, YJPS, Coleg, Housing
N	R	M	15	H	N	09.02.21	CFAST, Police, Learning Services, YJPS, TAF
N	E	F	17	H	N	12.02.21	CFAST, Police, Coleg
N	R	F	16	H	Y	05.03.21	CFAST, Police, CAMHS, Housing
N	R	F	15	H	N	12.03.21	CFAST, Police, Learning Services, Health, TPA
N	R	M	15	H	N	24.03.21	CFAST, Police, Learning Services, Health, YJPS, TAF

There were 10 new cases that came into MACE in Quarter 4 and 3 review cases. Of these 10 were female aged 13 – 17 years and 3 were male aged 15 – 17 years and 3 are on the CP Register.

SECTION 9: Annual Summary Report

1st April 2020 to 31st March 2021		
Child Protection Strategy Discussions/Meetings	Comparative data for previous year	
Strategy Discussions / Meetings	378	335
Strategy Meetings (Part 4 and 5)	105	70
Child Protection Referral Outcomes		
Number of Initial CP Conferences (excluding transfer and pre-birth conferences)	31	31
Initial Pre Birth CP Conferences	5	-
Transfer CP Conferences	1	2
Total Initial CP Conferences(including transfer and pre-birth conferences)	37	33
Total number of children discussed at Initial CP Conferences	61	69
Total number of children's names placed on the Child Protection Register (including at birth)	52	61
Total number of children subject to Initial CP Conference not registered	9	8
Initial CP Conference where children had been previously on the Register and had been deregistered within last 12 months	0	7
Review CP Conference Outcomes		
Total No of Review CP Conferences	70	82
Total No of children reviewed	142	151
Names de-registered from the CP Register	78	81
Number of Children and Families subject of Child Protection Conferences		
Number of Children	115	142
Number of Families	59	72

SECTION 10: Police Marac Report

January -

Overall number of cases met MARAC criteria	237 cases				
Number of cases reviewed and resulted at MRE (MARAC Repeat/Escalation) review stage.	131 cases reviewed 99 cases resulted				
Overall number of cases dealt with at Daily Discussion.	138 cases discussed 125 cases resulted				
Cases through to MARAC	13 cases				
Percentage of cases	41.8% resulted at MRE review 52.8% resulted at DD 5.5% through to MARAC				
Divisional breakdown of case numbers	Carmarthenshire - 85 Pembrokeshire – 87 Ceredigion – 27 Powys – 38				
No of children in the household	Total – 291 Carmarthenshire - 110 Pembrokeshire – 41 Ceredigion – 101 Powys – 39				
	Resulted at MRE	Resulted at DD	MARAC	Time Saved going to MARAC (*average 10min a case)	
Carmarthenshire	30	50	5		13hrs 30min
Pembrokeshire	45	41	1		14hrs 30min
Ceredigion	14	11	2		4hrs 10min
Powys	10	23	5		5hrs 50min

February –

Overall number of cases met MARAC criteria	225 cases			
Number of cases reviewed and resulted at MRE (MARAC Repeat/Escalation) review stage.	106 cases reviewed 64 cases resulted			
Overall number of cases dealt with at Daily Discussion.	169 cases reviewed 139 cases resulted			
Cases through to MARAC	22 cases to MARAC			
Percentage of cases	28.4% resulted at MRE review 61.7% resulted at DD 9.7% through to MARAC			
Divisional breakdown of case numbers	Carmarthenshire - 95 Pembrokeshire – 68 Ceredigion – 18 Powys – 44			
No of children in the household	Total – 220 Carmarthenshire - 82 Pembrokeshire – 76 Ceredigion – 13 Powys – 49			
	Resulted at MRE	Resulted at DD	MARAC	
Carmarthenshire	28	58	9	
Pembrokeshire	21	43	4	
Ceredigion	7	10	1	
Powys	8	28	8	

March –

Overall number of cases met MARAC criteria	277 cases			
Number of cases reviewed and resulted at MRE (MARAC Repeat/Escalation) review stage.	155 reviewed 122 resulted			
Overall number of cases dealt with at Daily Discussion.	155 discussed 129 resulted			
Cases through to MARAC	26 through to MARAC			
Percentage of cases	44.0% resulted at MRE review 46.5% resulted at DD 9.4% through to MARAC			
Divisional breakdown of case numbers	Carmarthenshire - 105 Pembrokeshire – 80 Ceredigion – 41 Powys – 51			
No of children in the household	Total – 269 Carmarthenshire - 108 Pembrokeshire – 78 Ceredigion – 35 Powys – 48			
	Resulted at MRE	Resulted at DD	MARAC	
Carmarthenshire	43	54	8	
Pembrokeshire	44	31	5	
Ceredigion	17	17	7	
Powys	18	27	6	

SECTION 11: Learning Services**ADRODDIAD LOG GWASANAETHAU YSGOLION****BWLIAN / BULLYING**

Mae data bwlio yn parhau l gael eu gasglu yn dymhorol ym mhob cyfarfod Llywodraethol yr ysgolion. Gweler isod, data a gasgwyd yn nhymor y Gwanwyn 2021 am ddigwyddiadau bwlio y tymor blaenorol sef tymor yr Hydref 2020.

Bullying data is collected by all schools during Governing Body meetings on a termly basis. Please see below data collected for the Autumn term 2020, which was collected during the previous Spring term 2021.

Math o Fwlian	Gwanwyn 2020 / Spring 2020	Haf 2020 / Summer 2020	Hydref 2020 / Autumn 2020
Gallu / Ability	2	2	1
Oedran / Age	1	0	0
Edrychiad / Appearance	8	5	5
Biffonig / Biphobic	0	0	0
Anabledd / Disability	0	1	0
Rhyw / Gender	2	0	0
Homoffonig / Homophobic	0	0	0
Plentyn syn Derbyn Gofal / Looked after Child	0	0	0
Di-ddeuaidd / Non Binary	0	0	0
Beichiogrwydd neu Famolaeth / Pregnancy or Maternity	0	0	0
Hiliol / Racial	2	0	3
Crefydd neu Gred / Religion or Belief	0	0	0
Rhywiol / Sexual	0	0	0
Trawsffonig / Transphobic	0	0	0

Gofalwr Ifanc / Young Carer	0	0	0
E Ddiogelwch / E-safety	7	1	1
Eraill / Other	21	1	8
Cyfanswm / Total	43	10	18

Conflict between friends has also been included in the recordings by Schools. These types of behaviours would not usually fall within the definition of bullying, however most Schools document these under the 'other' category in the feedback form.

HYFFORDDIANT / TRAINING

Mae hyfforddiant Diogelu ac Amddiffyn Plant lefel 1 ar rhaglen e-ddysgu yn unig, dyma'r nifer o staff sydd wedi cwblhau yr hyfforddiant hyn drwy cyfnod chwarter 4. Yn ogystal, mae'r niferoedd o staff sydd wedi cwblhau lefel 2 Amddiffyn Plant yn rhithiol hefyd wedi ei ychwanegu yn ystod y cyfnod hwn.

Level 1 Safeguarding and Child Protection training is only available as an e-learning programme, below is the number of staff who have completed the training during the quarter 4 period. In addition, the number of staff who have completed the level 2 Child Protection training virtually during this period, is also noted below.

Lefel 1 / Level 1	360
Lefel 2 / Level 2	132 (93 CCC staff / 39 external)

VAWDASV

Mae yna 90 o staff wedi cwblhau hyfforddiant VAWDASV ar-lein yng nghyfnod chwarter 4.

90 members of staff have completed the online VAWDASV training between the quarter 4 period.

PROMOTING FAMILY STABILITY AND RELATIONSHIP QUALITY WEBINAR

On Thursday 25th March, the above named webinar was held virtually for Ceredigion staff. It was a multi-agency approach, working collaboratively with Billy Goodfellow (Tim Teulu), Kizzie Garner-Hughes (Children's Services/Education), Michelle Pooley (WWDAS) and Emma Williams (Family law Solicitor). The objectives of the session was to;

To introduce focus on family stability and relationship quality

To enable practitioners to recognise and prioritise conversations about the difficulties of relationships

To enable practitioners to access mediation, couple counselling or other support

To learn about children's needs and how conflict between parents impacts those needs being met.

Initially this was planned to take place in March 2020, however due to covid, this was postponed. The reason behind identifying the need to present this information, was due to the high number of issues being raised and identified in relation to parental conflict, and it's effect on School settings and Family support agencies etc. Michelle Pooley also then explored with participants, the differentiation of conflict and abusive behaviours.

20 persons attended the event, which was a morning session only. The audience consisted of School based staff, Inclusion Officers and Family Support Workers. Positive feedback was received.

ADDYSG DDEWISOL GARTREF / ELECTIVE HOME EDUCATION

Nifer o blant yr ydych yn ymwybodol ohonynt sydd yn cael eu haddysgu'n ddewisol gartref / <i>Number of children that you are aware of that are Electively Home Educated (EHE)</i>	Nifer o blant EHE sy'n hysbys i'r Awdurdod Lleol sydd wedi cael cynnig ymweliad blynyddol yn ystod y 12 mis diwethaf / <i>Number of EHE children known to the Local Authority that have been offered an annual visit in the last 12 months</i>	Canlyniad / <i>Outcome</i>
258	80	Virtual meetings/phone calls – 41 Declined – 21 No response -18 – consideration for home visit / letter sent for update on education provision

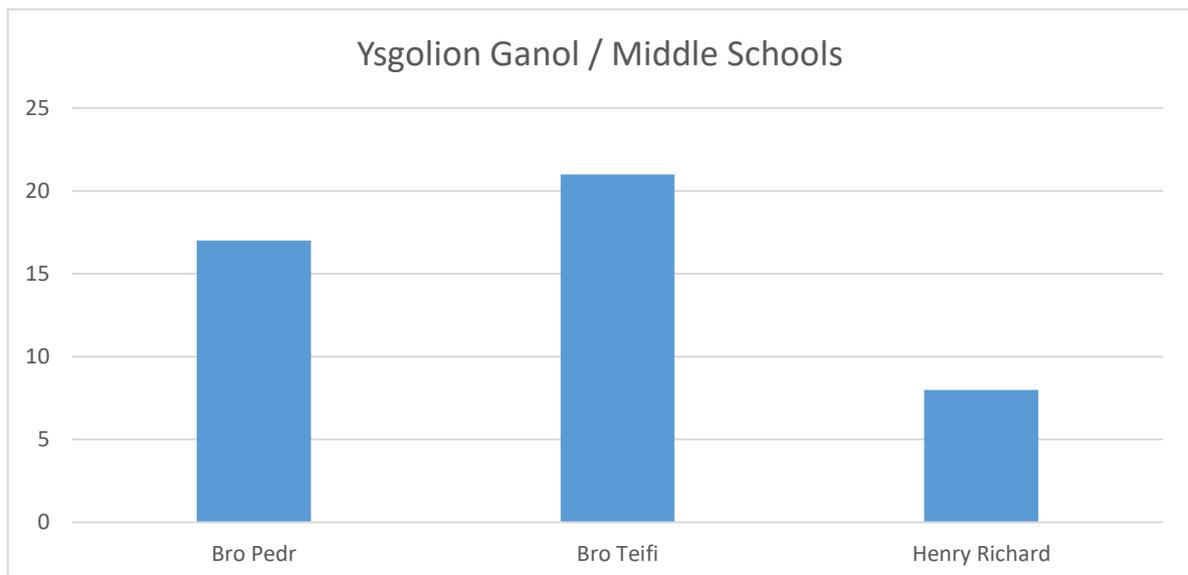
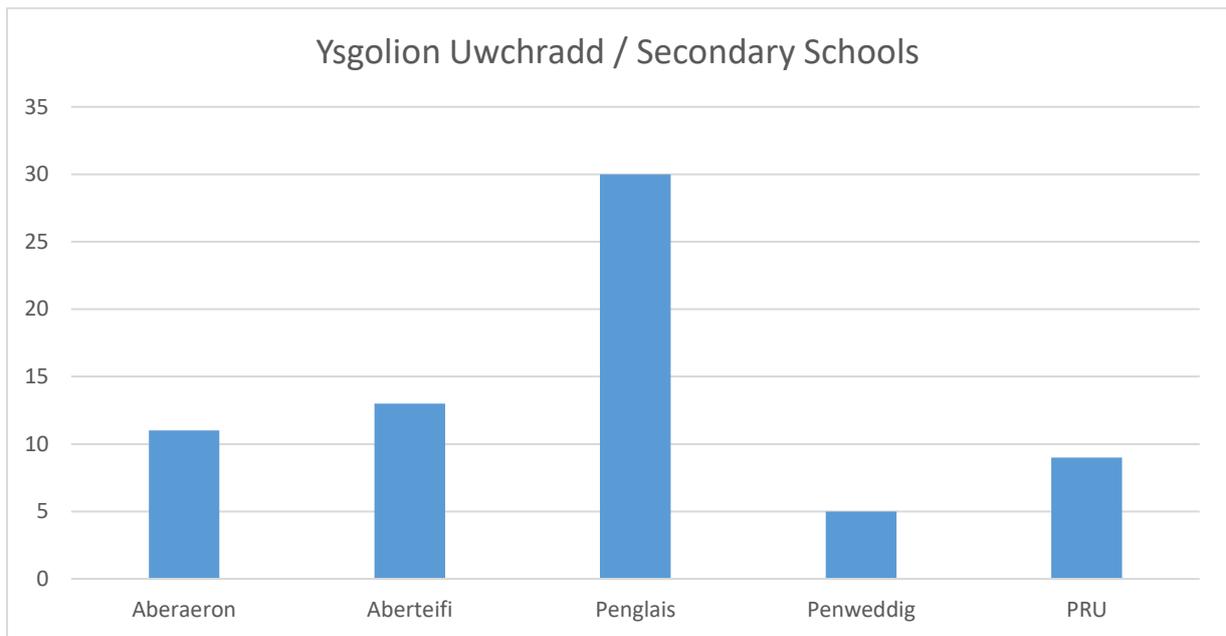
PLANT MEWN GOFAL / LOOKED AFTER CHILDREN

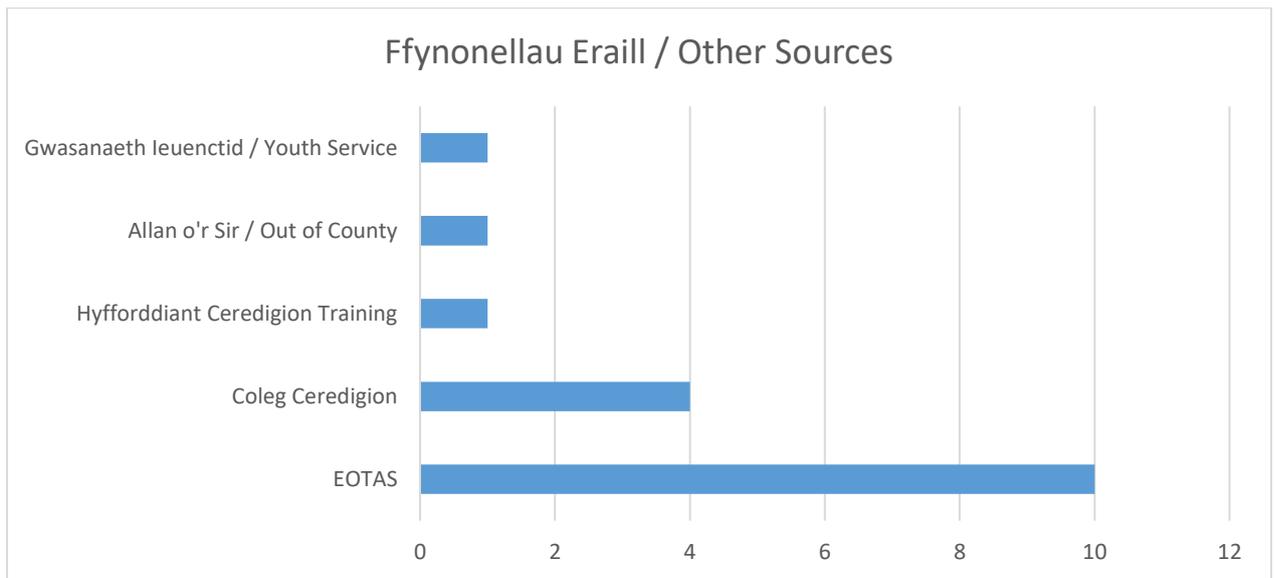
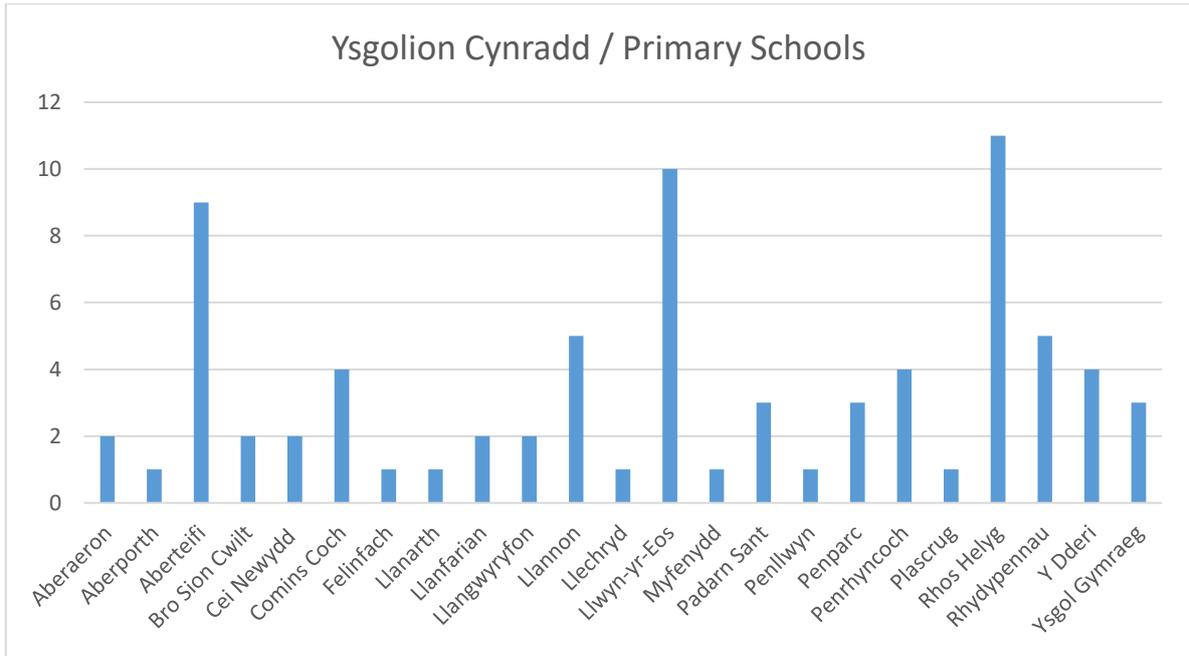
Plant mewn gofal yng Ngheredigion o oedran ysgol statudol / <i>Looked after children in Ceredigion of statutory school age</i>	Ionawr / January – 42 Chwefror / February – 43 Mawrth / March – 45
Plant mewn gofal allan o'r Sir o oedran ysgol statudol / <i>Looked after children placed out of County of statutory school age</i>	Ionawr / January – 13 Chwefror / February – 13 Mawrth / March – 13
Plant mewn gofal o Siroedd eraill o oedran ysgol statudol / <i>Looked after children from other Local Authorities of statutory school age</i>	Ionawr / January – 34 Chwefror / February – 35 Mawrth / March - 37

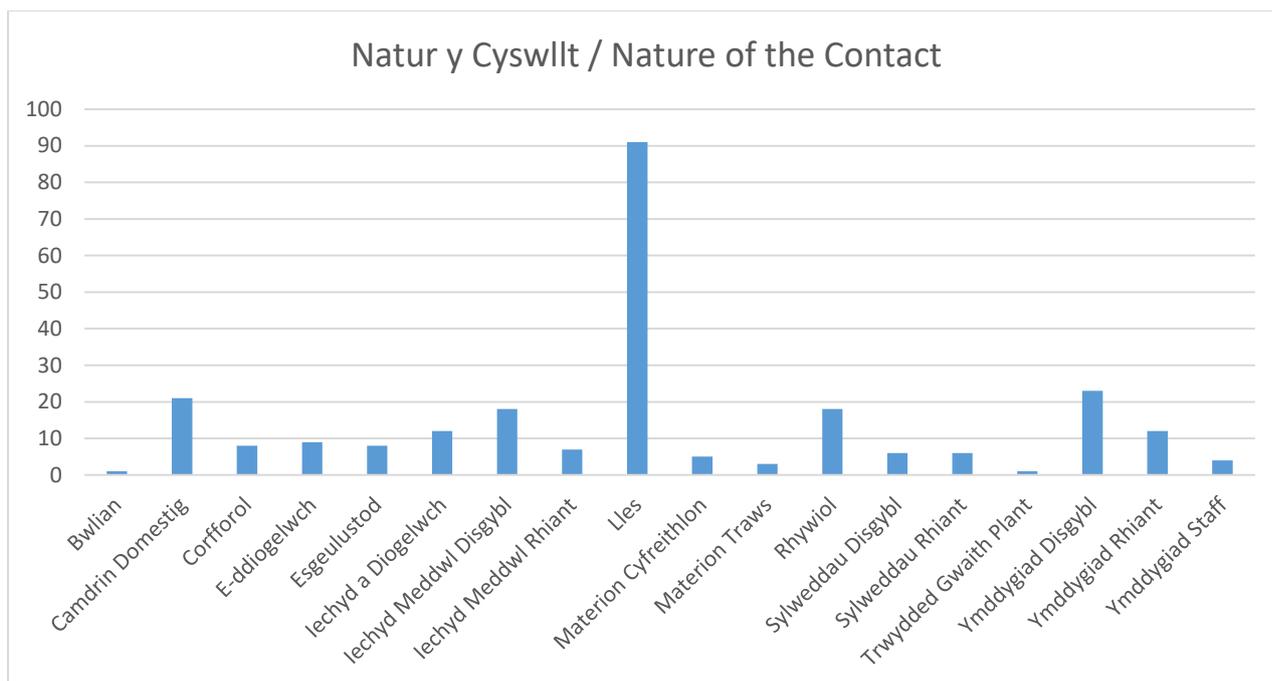
CYSWLLT YSGOLION / SCHOOL CONTACTS

Gweler isod, y rhifau a natur y cyswllt a dderbyniwyd o ysgolion / sefydliadau dysgu yn ystod chwarter 4.

Please see below the number of contacts received from schools/learning establishments and their nature, during the period of quarter 4.







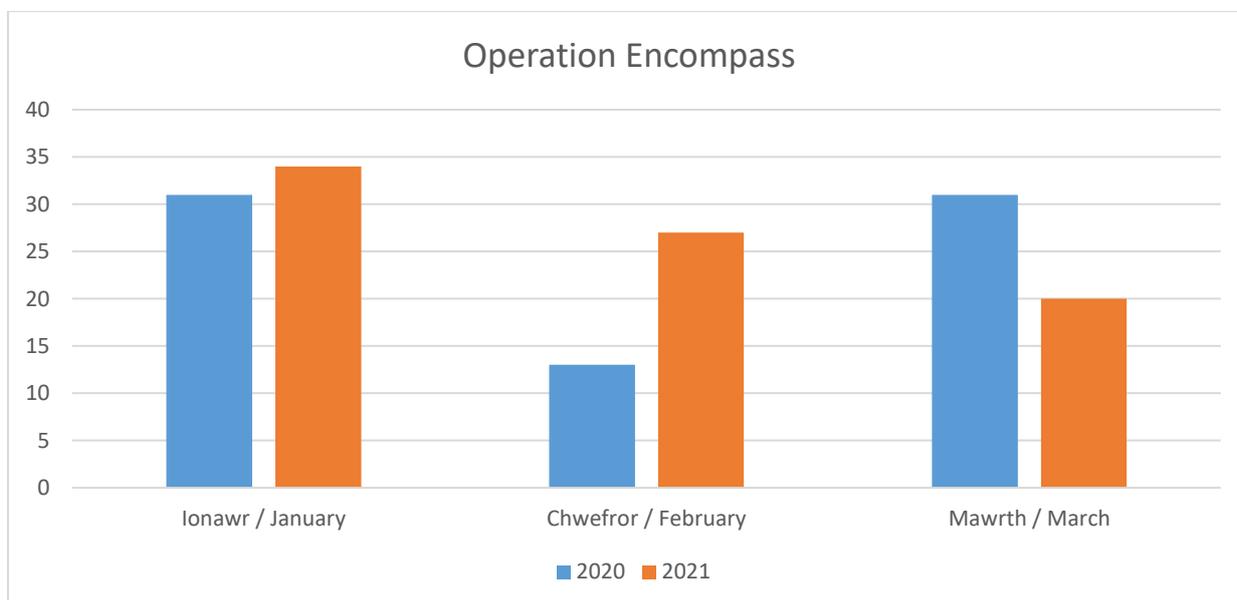
Oherwydd fod niferoedd fawr o rhesymau cyswllt, maen't wedi crynhoi mewn l'r grwpiau isod, er mwyn medru darllen yn fwy glir ar y siart.

Due to the large amount of reasons given for contact, some have been grouped together as noted below, in order for the information to be presented more clearly on the chart.

Arf / Weapon	
Cais am wybodaeth / Request for Information	
Camdrin Domestig / Domestic Abuse	
Corfforol / Physical	
E-ddiogelwch / E-Safety	Gan gynnwys cam ddefnydd ffon symudol/rhyngwrwyd. Danfon negeseuon/lluniau/fideo anwedus. / Which also includes misuse of mobile phones/internet. Sending inappropriate messages, photos, videos.
Esgeulustod / Neglect	Gan gynnwys amodau cartref, materion ariannol, goruchwyliaeth. / Which also includes home conditions, financial issues and supervision.
Gofal / Care	
Iechyd a Diogelwch / Health and Safety	
Iechyd Meddwl Disgybl / Pupil Mental Health	Gan gynnwys camdriniaeth emosiynol / Which also includes Emotional abuse.
Iechyd Meddwl Rhiant / Parent Mental Health	
Lles / Wellbeing	Gan gynnwys plant ar goll, presenoldeb, tor perthynas, galar, gofalwyr ifanc, cyswllt cyfnod clo, materion cyswllt rhwng rhieni / Which also includes missings, attendance, relationship

Performance Management Report 1/1/21 - 31/3/21

	<i>breakdown, young carers, contact difficulties during lockdown, contact issues between parents.</i>
Materion Cyfreithlon / <i>Legal Matters</i>	
Prevent	
Rhywiol / <i>Sexual</i>	Gan gynnwys perthnasau amhriodol ag egsbloetio plant yn rhywiol / <i>Which also includes inappropriate relationships and Child Sexual Exploitation.</i>
Sylweddau Disgybl / <i>Pupil Substances</i>	Gan gynnwys cyffuriau ag alcohol / <i>Includes Alcohol and Drugs misuse.</i>
Sylweddau Rhiant / <i>Parent Substances</i>	Gan gynnwys cyffuriau ag alcohol / <i>Includes Alcohol and Drugs misuse.</i>
Materion Traws / <i>Trans Matters</i>	
Ymddygiad Disgybl / <i>Pupil Behaviour</i>	
Ymddygiad Rhiant / <i>Parent Behaviour</i>	Gan gynnwys materion parthed rhieni yn y carchar / <i>Which includes incarceration.</i>
Ymddygiad Staff / <i>Staff Conduct</i>	Gan gynnwys unrhyw gwynion/sylwadau parthed ymddygiad aelodau o staff ysgolion a/neu sydd yn gysylltiedig ag ysgolion Ceredigion. / <i>Which includes any complaints or comments regarding staff behaviour or conduct, who is a member of teaching staff or associated with a Ceredigion school.</i>



SECTION 12: Health



Hywel Dda University Health Board Safeguarding Report to the Local Operational Groups

Qtr 4 2020 / 21

This report informs the Local Operational Groups of updates on safeguarding developments in Hywel Dda University Health Board during quarter 4, 2020-21.

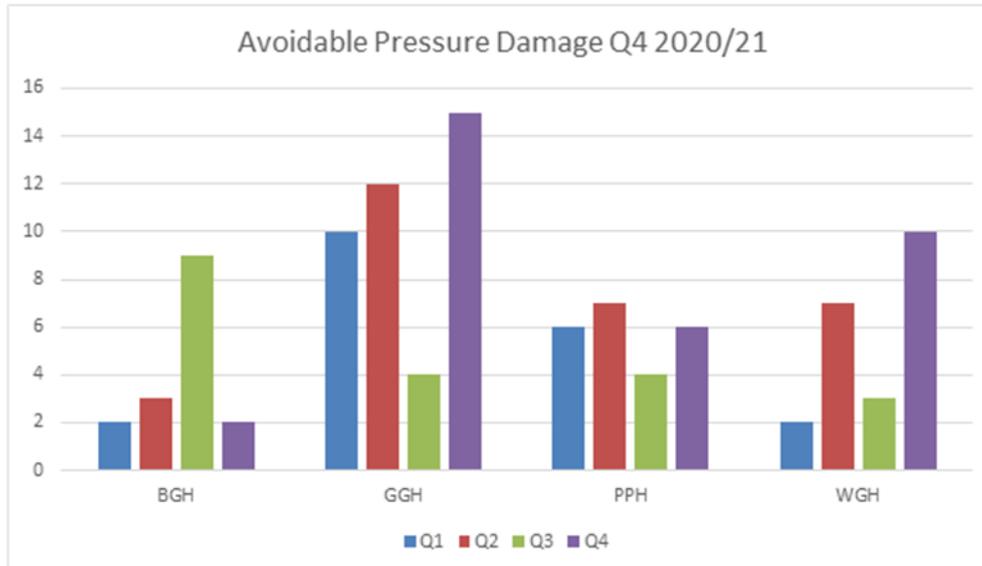
Adult Safeguarding

Quarter 4 2020/21 Acute Hospital Avoidable Pressure Damage Audit

The number of avoidable cases of pressure damage incidents across the all 4 sites in Q4 is a total of 33 avoidable cases. This was an increase from 19 cases in quarter 3 2020/21 and in part is a result of extra scrutiny meetings to discuss cases from postponed meetings at the end of Q3.

20 reported cases were grade 1 or 2, these grades would not have been reported to safeguarding prior to the SSWBWA, 12 were recorded as Suspected Deep Tissue Injury (SDTI) and 1 unstageable. This means that the practitioner was unable to grade at the time and they were lost to follow up. This may be because the patient was in last stages of life and died before the nature of the damage became apparent, or the person moved from within the Health Board catchment area. It is not uncommon for pressure damage to be reported as SDTI, but within a few days it is apparent that it is a grade 1 or 2.

Prior to the SSWBWA, the 1 unstageable case would have been referred to safeguarding and potentially some from the SDTI group.



Avoidable Pressure Damage Audit 2019-20

In agreement with partners, the Health Board has conducted an audit to demonstrate that the scrutiny process occurring within the Health Board provides a robust and effective means of capturing the unavoidable and avoidable pressure damage reported via Datix, also to evidence that learning has taken place from the actions produced.

A summary of the recommendations from the audit are as follows.

- The Health Board should review the approach to the scrutiny process and documentation to ensure consistency across all services and provide assurance of robust learning. Electronic storage of evidence of learning, needs to be considered in terms of where it is stored as it provides the organisational memory for the Health Board.
- A regular audit of scrutiny should continue in acute services to ensure the process remains robust and learning is evidence effectively.
- To share the learning from this audit with community nursing services to further embed consistency processes related to pressure damage scrutiny.

Detail of the audit is embedded below.



Pressure damage
audit Narrative 2020

Safeguarding Children

Audits

The team has audited compliance with FGM recognition and reporting and also processes for Sharing Safeguarding Information in Pregnancy. The Head of Midwifery is reviewing the results and recommendations to form an action plan for the service.

Midwifery services have drafted a Concealed Pregnancy Guideline. This is being reviewed against the published CPR, CYSUR 6/2018 to provide assurance of compliance against the relevant recommendation.

VAWDASV

In recognition of the autonomy, authority and accountability needed to participate in the VAWDASV agenda nationally, regionally and locally we have appointed a Lead VAWDASV and Safeguarding Practitioner to the corporate safeguarding team from within existing resource.

NHS Wales Safeguarding Maturity Matrix

NHS Trusts and Health Boards in Wales are required to carry out a self-assessment against the NHS Safeguarding Maturity Matrix.

The self-assessment for 2021 will be undertaken via the Safeguarding Delivery Groups and collated to formulate the wider HDUHB improvement plan. This will be submitted to the NHS Safeguarding Network in September 2021 and subject to peer review



PHW Safeguarding
Maturity Matrix 2020

Once for Wales Management System – Safeguarding Function

Further to previous updates, a safeguarding report form has been designed for use in the system with the intention this would generate a good quality safeguarding electronic report form directly to Local Authorities. The concept behind the form was presented to the Regional Safeguarding Board Chairs and Business Unit Managers on 5th May 2021 by the national project leads. Next steps are to mock up a child and adult report form for Board Chairs to see and discuss next steps in terms of local / regional pilots with Health Board partners. We are keen in Hywel Dda University Health Board to engage our three Local Authorities in such a pilot.

Mandy Nichols-Davies
Head of Safeguarding
13th May 2021

Performance Management Report 1/1/21 - 31/3/21

SECTION 13: S-CAMHS

CEREDIGION
CWMPAS LOCAL OPERATIONAL GROUP

Performance Management Report – Safeguarding Adults

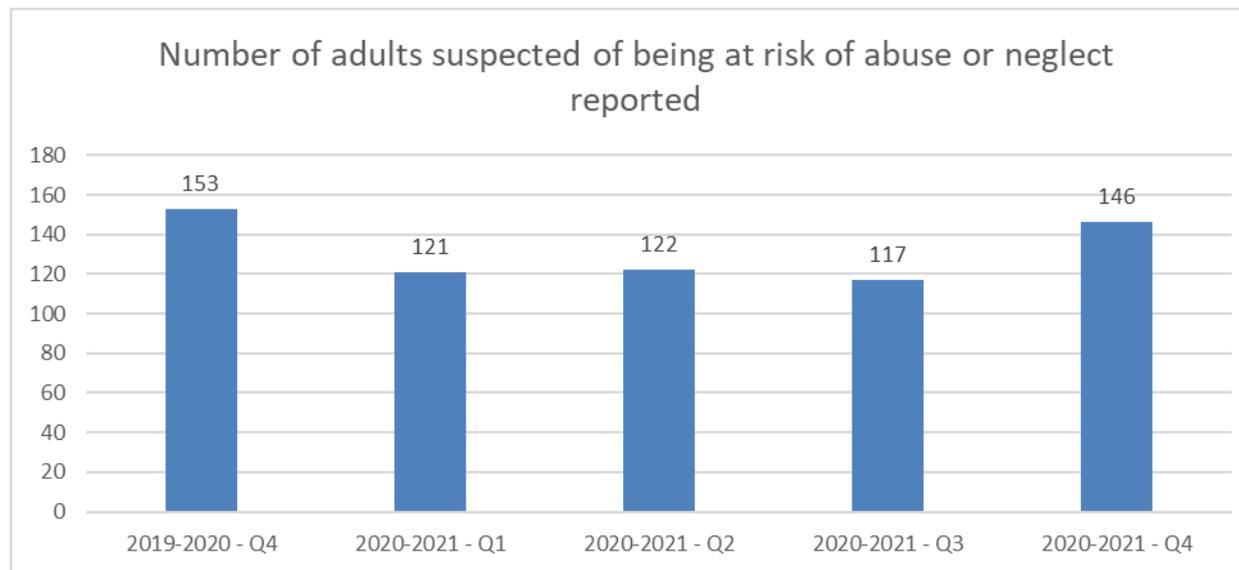
Quarter: 4

1.1.21 – 31.3.21

Adult Safeguarding Annual Summary Report	
Number of Strategy Discussion Meetings	121
Number of Adult Initial Strategy Meetings	31
Number of Adult Review Strategy Meetings	21
Number of Professional Concerns Meetings	34
Number of Professional Concerns Further Meetings	9

DATA RETURNS EVIDENCE Q4 2020-2021

Adults	
2019-2020 - Q4	153
2020-2021 - Q1	121
2020-2021 - Q2	122
2020-2021 - Q3	117
2020-2021 - Q4	146



There has been an increase in the number of adults reported at risk since Quarter 3, with an increase from 117 adults in Quarter 3 to 146 in Quarter 4 which approximately reflects the number of adults reported to be at risk in Quarter 4 of 2019-2020.

During the period from Quarter 1 to the end of Quarter 3, there was a marked decrease in the number of adults at risk reported but there has been an increase in Quarter 4. These figures seem to be a reflection of the decrease in the amounts of reports received when due to COVID restrictions, society was in lockdown with there been an increase then in reports received when restriction started to be lifted.

Reports - Month

Row Labels	Count of Assessment ID
2019 - 2020 - Q4	169
Jan	60
Feb	44
Mar	65
2020 - 2021 - Q1	133
Apr	51
May	41
Jun	41
2020 - 2021 - Q2	149
Jul	54
Aug	52
Sep	43
2020 - 2021 - Q3	131
Oct	45
Nov	44
Dec	38
2020 - 2021 - Q4	157
Jan	67
Feb	52
Mar	52
Grand Total	739



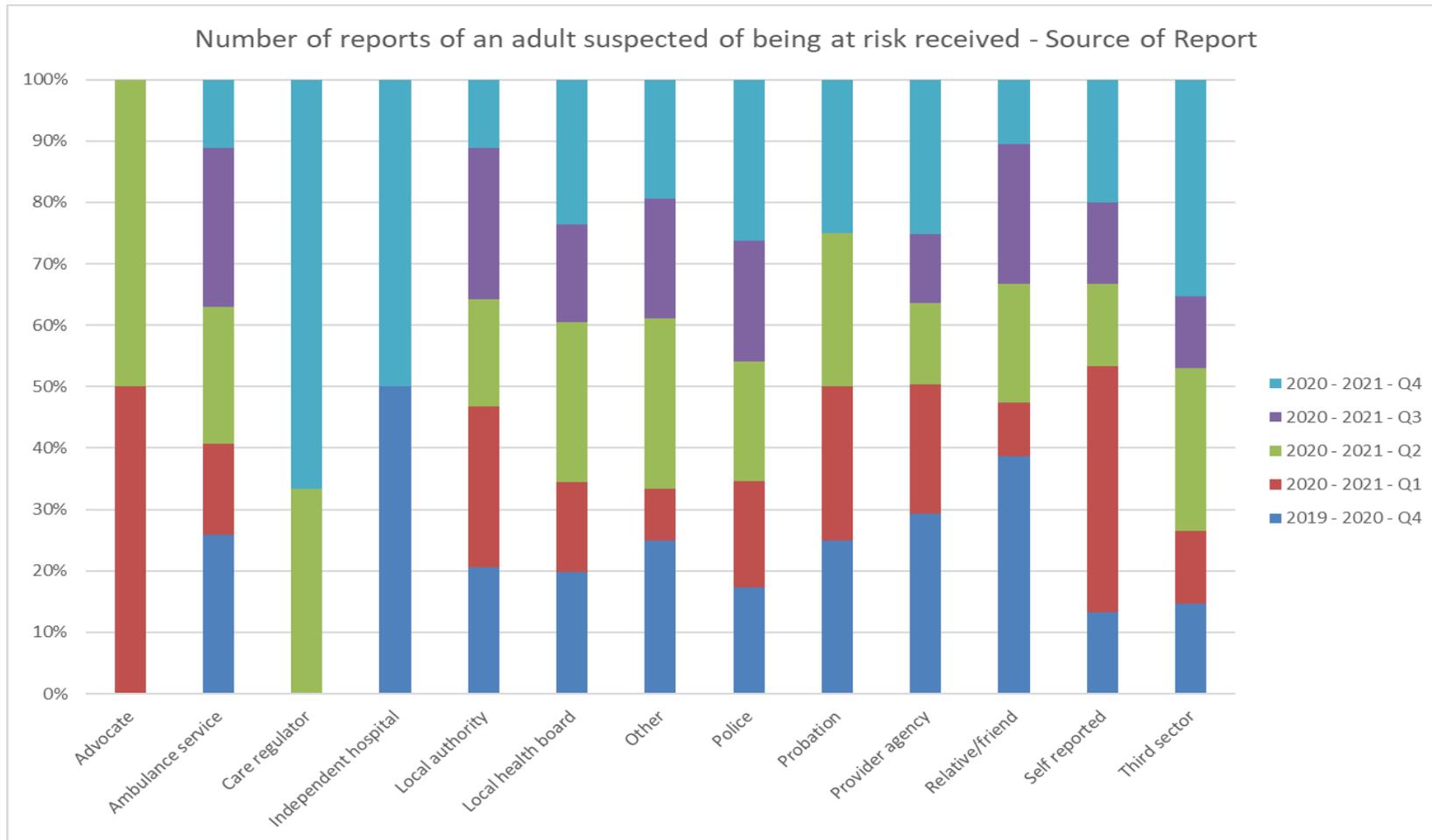
Page 388

The number of reports received have increased in Quarter 4 from the three previous quarters, with a steep increase in referrals in March of this year, and this is comparable with the increase in reports received in March of Q4 2019-2020. It seems that we have begun to return to the number of reports received prior to the commencement of the COVID 19 pandemic and prior to the enforcement of the lockdown situation.

Reports - Month

Count of Assessment

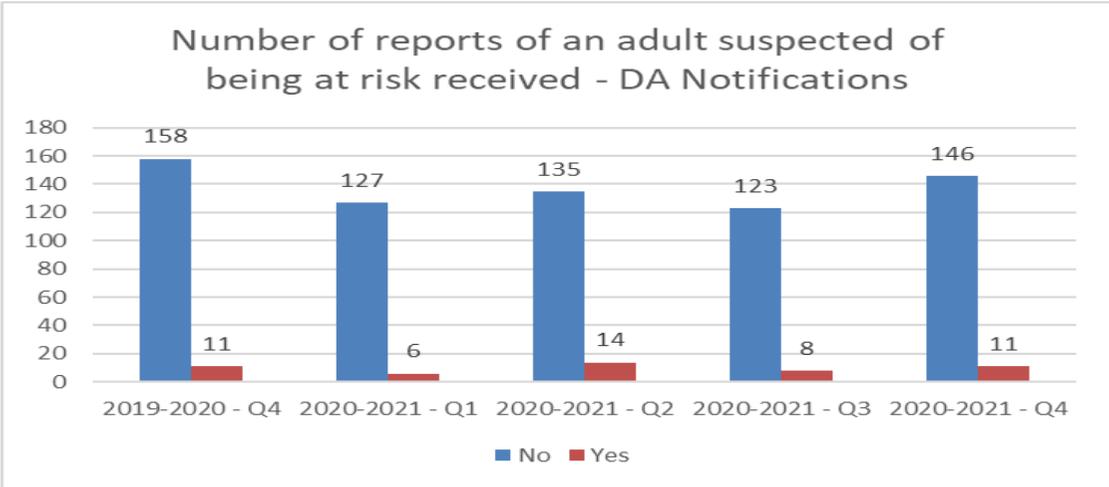
ID	Column Labels					Grand Total
	2019 - 2020 - Q4	2020 - 2021 - Q1	2020 - 2021 - Q2	2020 - 2021 - Q3	2020 - 2021 - Q4	
Advocate		1	1			2
Ambulance service	7	4	6	7	3	27
Care regulator			1		2	3
Independent hospital	1				1	2
Local authority	26	33	22	31	14	126
Local health board	31	23	41	25	37	157
Other	9	3	10	7	7	36
Police	23	23	26	26	35	133
Probation	1	1	1		1	4
Provider agency	42	30	19	16	36	143
Relative/friend	22	5	11	13	6	57
Self reported	2	6	2	2	3	15
Third sector	5	4	9	4	12	34
Grand Total	169	133	149	131	157	739



The Local Health Board is the main source of reports in Quarter 4, followed by Provider agencies and then the Police, compared with Quarter 3 where the Local Authority was the main source of reporting, followed by the Police and then the Local Health Board. This quarter, there has been a significant increase in the number of reports received from Provider agencies compared to previous quarters. This quarter we have received an increase number of reports in relation to concerns in care homes and in terms of domiciliary care support about pressure areas, the management of medication, thefts undertaken by professional care staff and reports of concerns about the misuse or non-use of PPE.

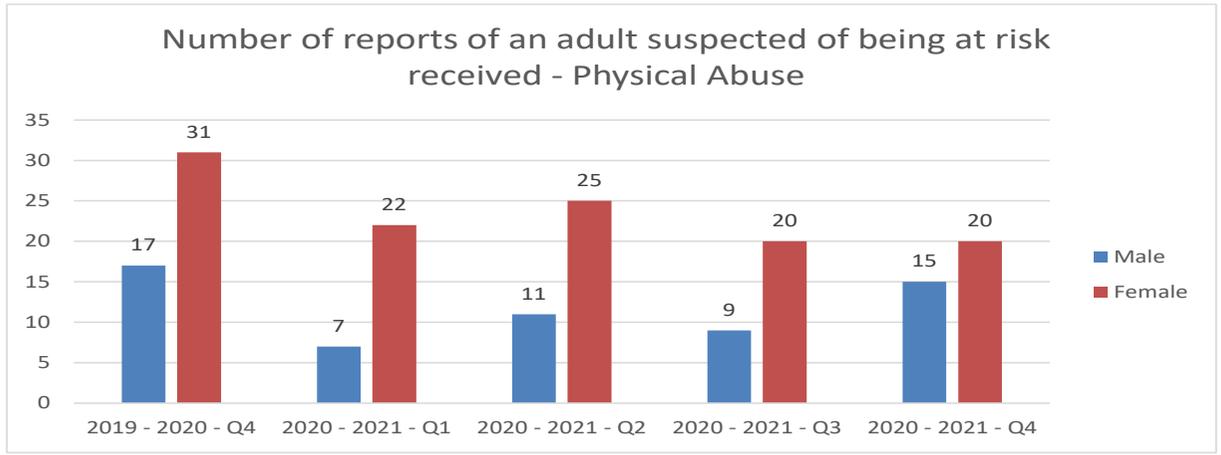
Report Source	Police		
Reports			
Count of Assessment			
ID	Column Labels		
Row Labels	No	Yes	Grand Total
2019 - 2020 - Q4	12	11	23
2020 - 2021 - Q1	17	6	23
2020 - 2021 - Q2	12	14	26
2020 - 2021 - Q3	18	8	26
2020 - 2021 - Q4	24	11	35
Grand Total	83	50	133

Period	No	Yes
2019-2020 - Q4	158	11
2020-2021 - Q1	127	6
2020-2021 - Q2	135	14
2020-2021 - Q3	123	8
2020-2021 - Q4	146	11



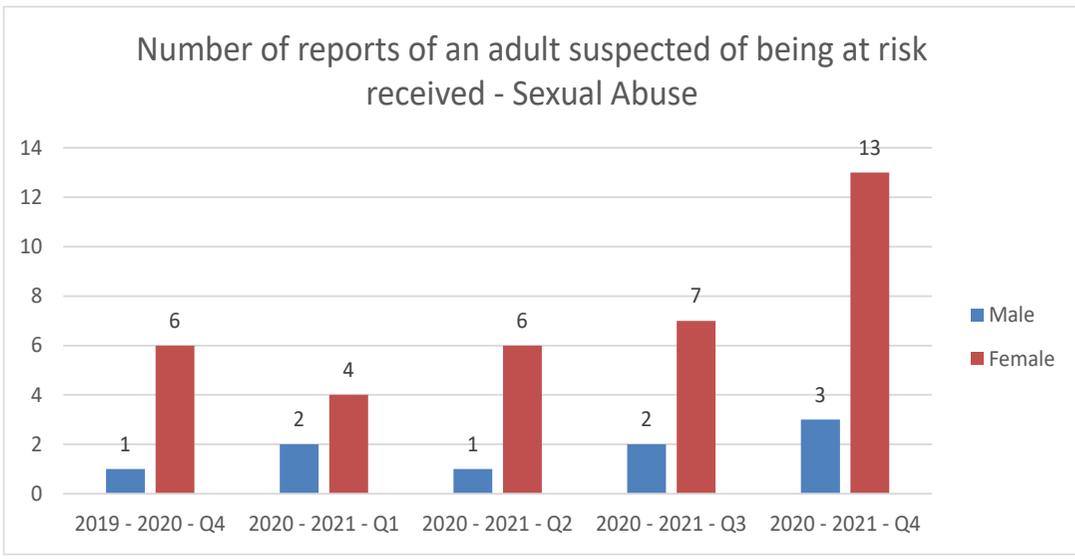
Above is the number of domestic notifications received.

Physical		Yes		
Physical				
Count of Assessment				
ID	Column Labels			
Row Labels	Male	Female	Grand Total	
2019 - 2020 - Q4	17	31	48	
2020 - 2021 - Q1	7	22	29	
2020 - 2021 - Q2	11	25	36	
2020 - 2021 - Q3	9	20	29	
2020 - 2021 - Q4	15	20	35	
Grand Total	59	118	177	



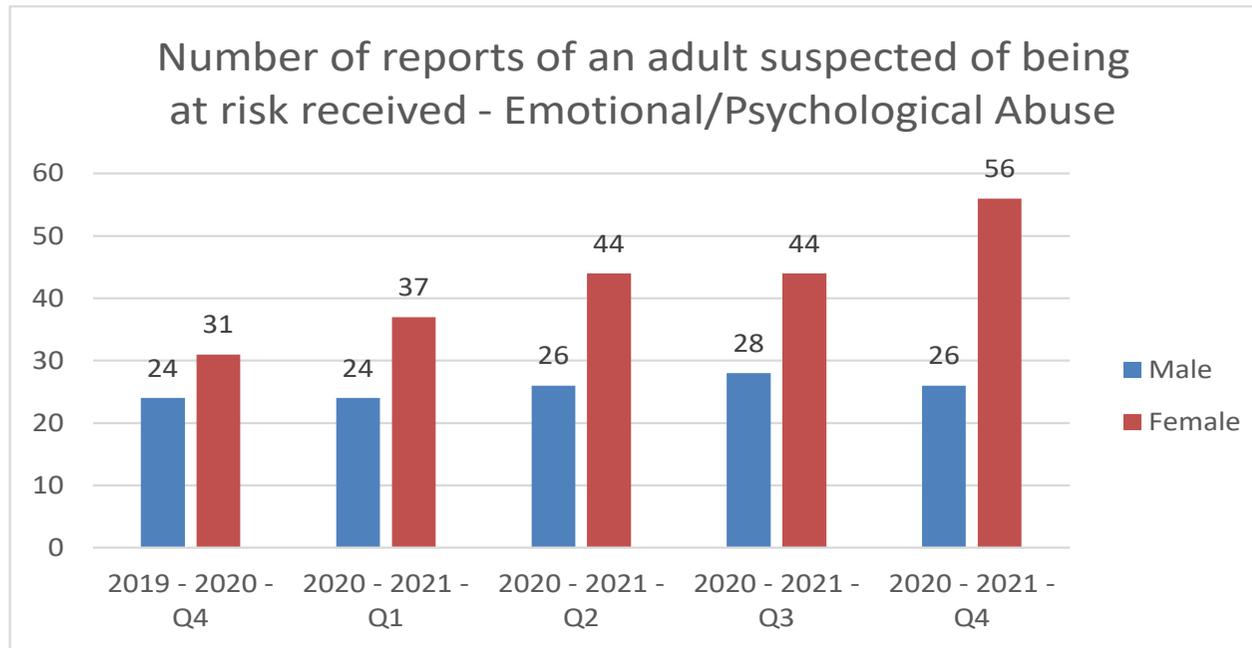
Emotional/psychological abuse is the highest form of abuse reported in this quarter as at Quarter 3, with neglect being the next most reported category of abuse which again is the same pattern from Quarter 3.

Sexual		Yes		
Sexual				
Count of Assessment				
ID	Column Labels			
Row Labels	Male	Female	Grand Total	
2019 - 2020 - Q4	1	6	7	
2020 - 2021 - Q1	2	4	6	
2020 - 2021 - Q2	1	6	7	
2020 - 2021 - Q3	2	7	9	
2020 - 2021 - Q4	3	13	16	
Grand Total	9	36	45	

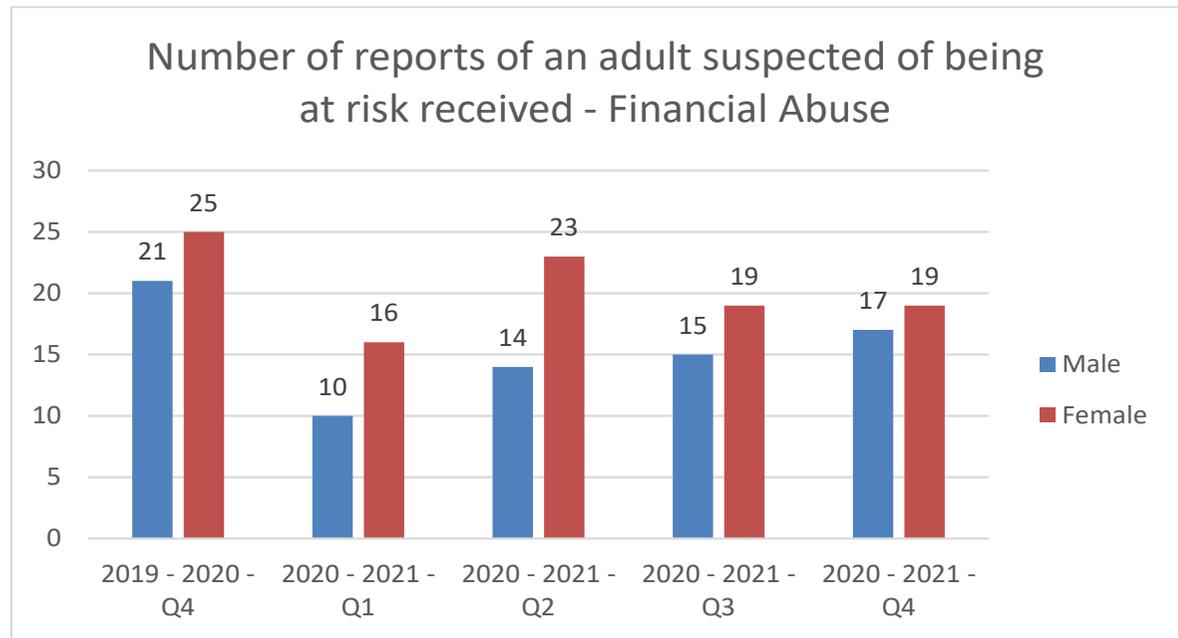


There is an increase in the number of females allegedly experiencing sexual abuse this quarter and these reports seem to be in relation to issues of domestic abuse

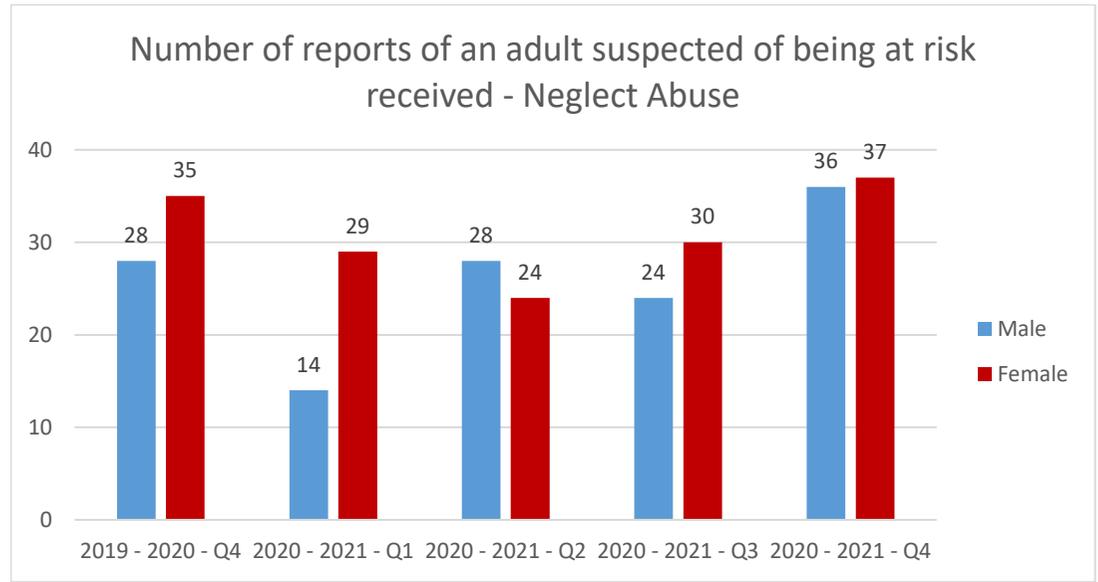
Emotional/Psychological		Yes		
Emotional/Psychological				
Count of Assessment ID	Column Labels			
Row Labels	Male	Female	Grand Total	
2019 - 2020 - Q4	24	31	55	
2020 - 2021 - Q1	24	37	61	
2020 - 2021 - Q2	26	44	70	
2020 - 2021 - Q3	28	44	72	
2020 - 2021 - Q4	26	56	82	
Grand Total	128	212	340	



Financial		Yes	
Financial			
Count of Assessment ID	Column Labels		
Row Labels	Male	Female	Grand Total
2019 - 2020 - Q4	21	25	46
2020 - 2021 - Q1	10	16	26
2020 - 2021 - Q2	14	23	37
2020 - 2021 - Q3	15	19	34
2020 - 2021 - Q4	17	19	36
Grand Total	77	102	179



Neglect		Yes		
Neglect				
Count of Assessment				
ID	Column Labels			
Row Labels	Male	Female	Grand Total	
2019 - 2020 - Q4	28	35	63	
2020 - 2021 - Q1	14	29	43	
2020 - 2021 - Q2	28	24	52	
2020 - 2021 - Q3	24	30	54	
2020 - 2021 - Q4	36	37	73	
Grand Total	130	155	285	

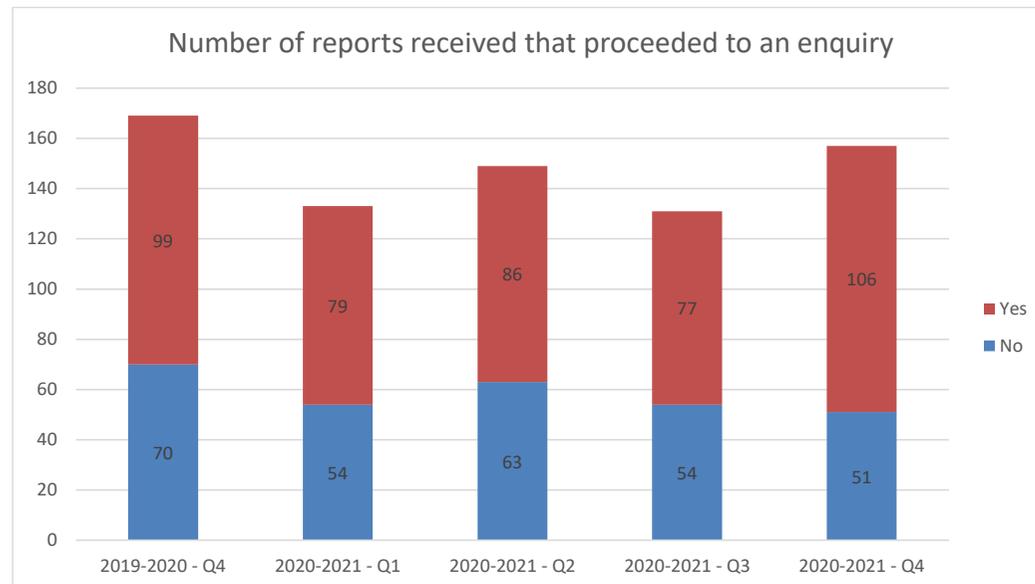


Reports that led to Enquiry

Count of Assessment ID	Column Labels				Grand Total
Row Labels	No - Other (please comment)	No - The individual refused to participate in enquiry	No - The individual was not an adult at risk	Yes - Proceeded to enquiry	
2019 - 2020 - Q4	35	1	34	99	169
2020 - 2021 - Q1	18	3	33	79	133
2020 - 2021 - Q2	26	1	36	86	149
2020 - 2021 - Q3	33	4	17	77	131
2020 - 2021 - Q4	21	2	28	106	157
Grand Total	133	11	148	447	739

Row Labels	No	Yes
2019-2020 - Q4	70	99
2020-2021 - Q1	54	79
2020-2021 - Q2	63	86
2020-2021 - Q3	54	77
2020-2021 - Q4	51	106

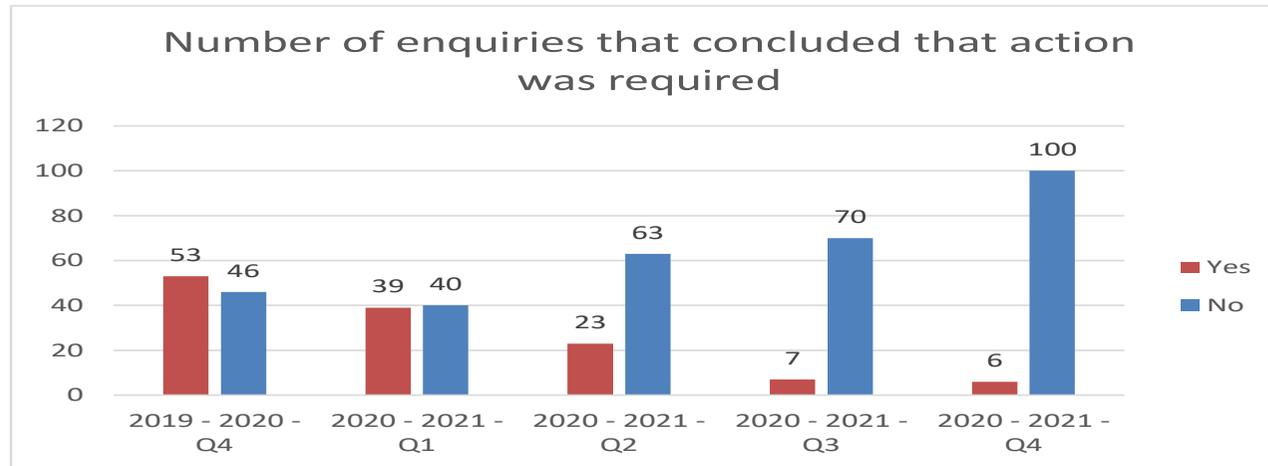
This quarter there are slightly less the number of reports that did not proceed to an enquiry but there is still a high number of reports being received where it has been assessed that an enquiry is not necessary and this needs to be explored further.



Should the report proceed to an enquiry
 Yes - Proceeded to enquiry

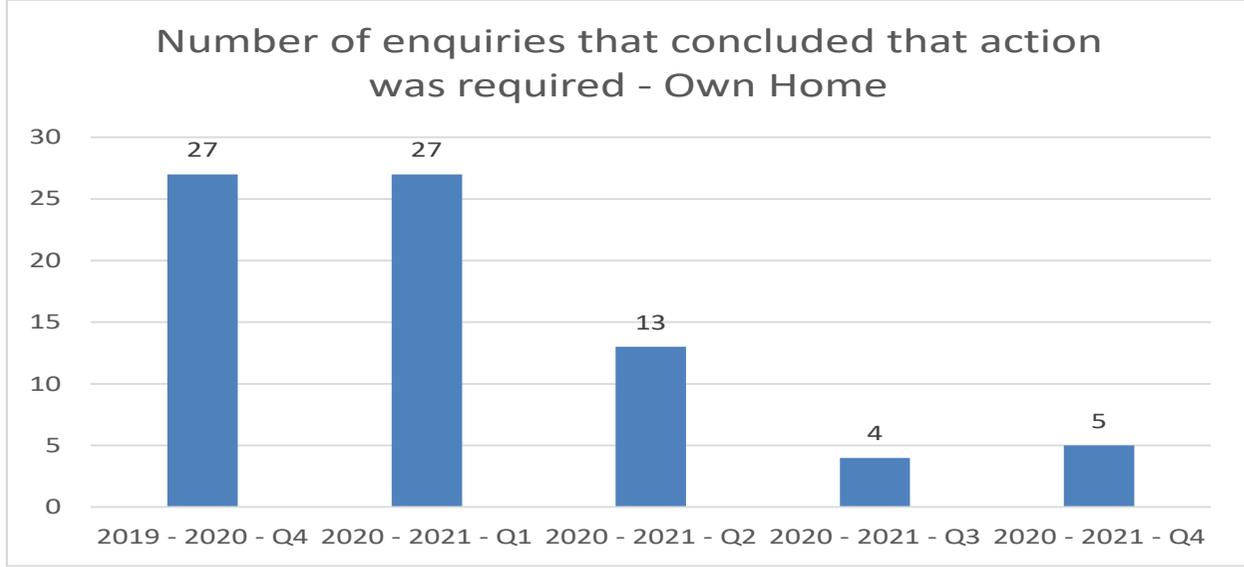
Reports that led to Enquiry

Count of Assessment ID	Column Labels		
	Yes	No	Grand Total
2019 - 2020 - Q4	53	46	99
2020 - 2021 - Q1	39	40	79
2020 - 2021 - Q2	23	63	86
2020 - 2021 - Q3	7	70	77
2020 - 2021 - Q4	6	100	106
Grand Total	128	319	447



This quarter, there was a further low number of enquiries where it was concluded that action needed to be taken, i.e., that a protection plan needed to be put in place. There were only 6 in this quarter, a slight decrease from 7 in quarter 3, but a marked decrease from Q2 (23), Q1 (39) and Q4 2019-2020 (53).

CYSUR Own Home	1
Place - Own Home	
Row Labels	Count of Assessment ID
2019 - 2020 - Q4	27
2020 - 2021 - Q1	27
2020 - 2021 - Q2	13
2020 - 2021 - Q3	4
2020 - 2021 - Q4	5
Grand Total	76



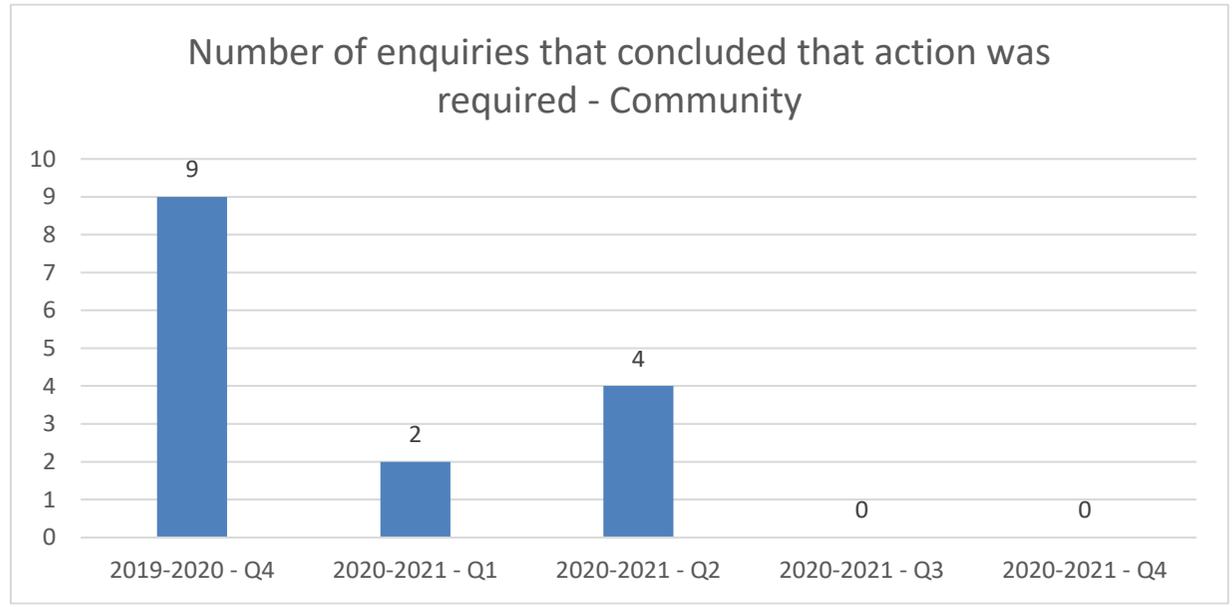
Of the 6 Protection Plans put in place, 5 people were safeguarded in their own home and 1 person needed to be safeguarded in a care home setting, with 1 person needed to be safeguarded from a paid employee, 2 needed to be safeguarded from relatives/friend and 1 from another.

CYSUR Community 1

Place - Community

Row Labels	Count of Assessment ID
2019 - 2020 - Q4	9
2020 - 2021 - Q1	2
2020 - 2021 - Q2	4
Grand Total	15

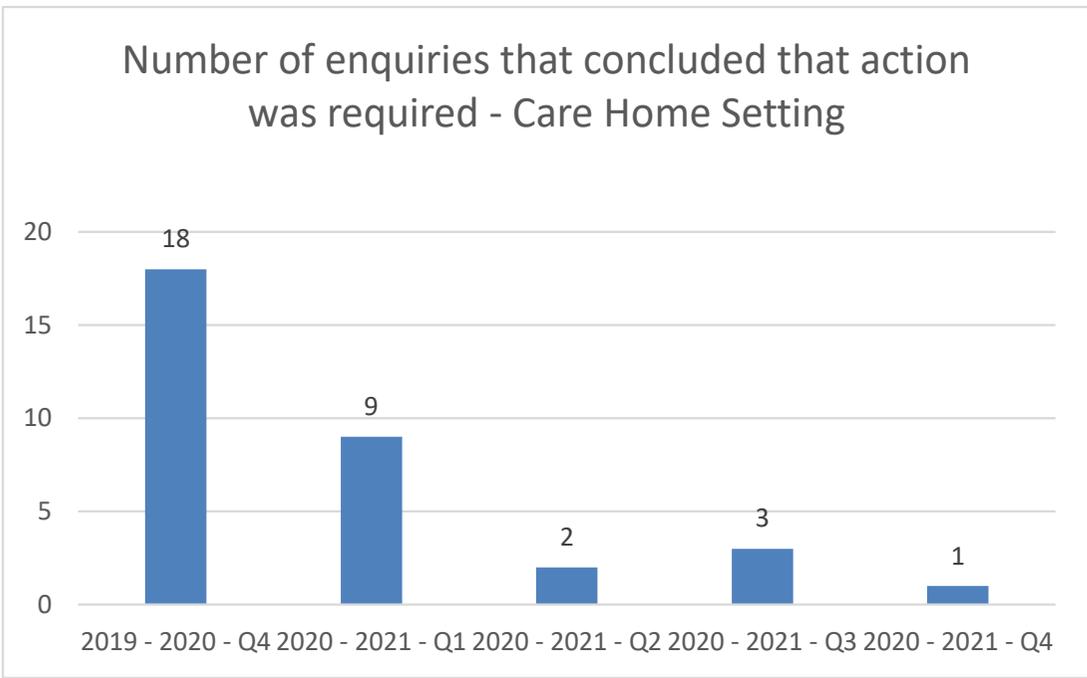
Row Labels	Place - Community
2019-2020 - Q4	9
2020-2021 - Q1	2
2020-2021 - Q2	4
2020-2021 - Q3	0
2020-2021 - Q4	0



CYSUR Care Home
Setting 1

Place - Care Home Setting

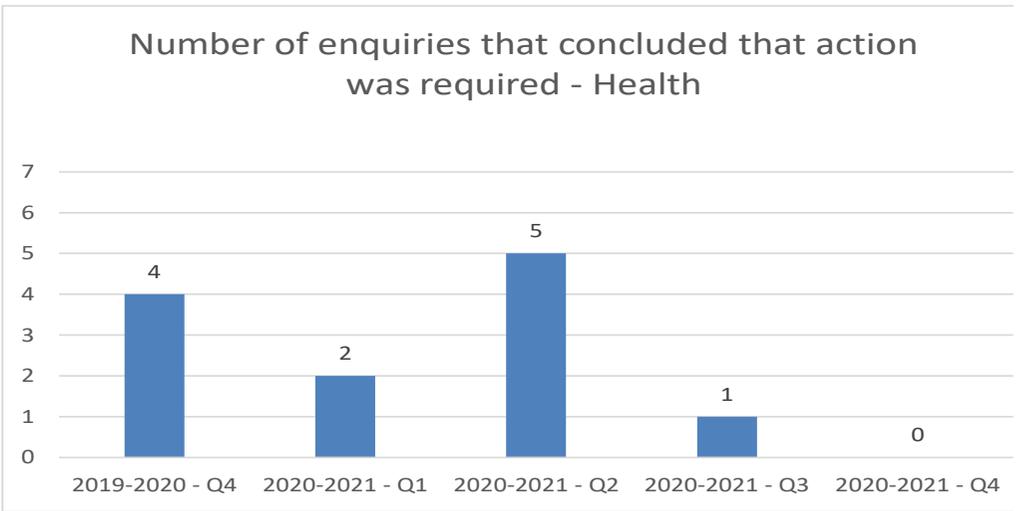
Row Labels	Count of Assessment ID
2019 - 2020 - Q4	18
2020 - 2021 - Q1	9
2020 - 2021 - Q2	2
2020 - 2021 - Q3	3
2020 - 2021 - Q4	1
Grand Total	33



CYSUR Health Setting	1
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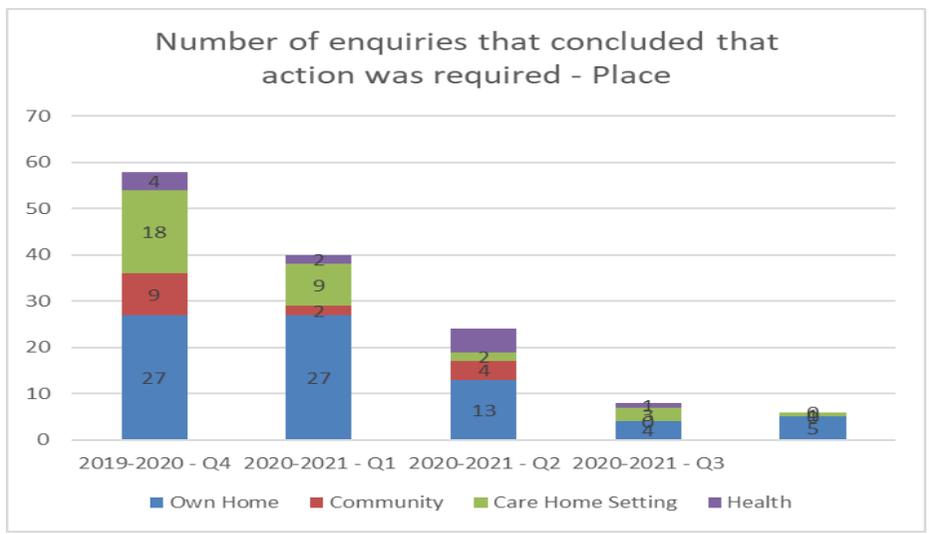
Place - Health	
Row Labels	Count of Assessment ID
2019 - 2020 - Q4	4
2020 - 2021 - Q1	2
2020 - 2021 - Q2	5
2020 - 2021 - Q3	1
Grand Total	12

2019-2020 - Q4	4
2020-2021 - Q1	2
2020-2021 - Q2	5
2020-2021 - Q3	1
2020-2021 - Q4	0



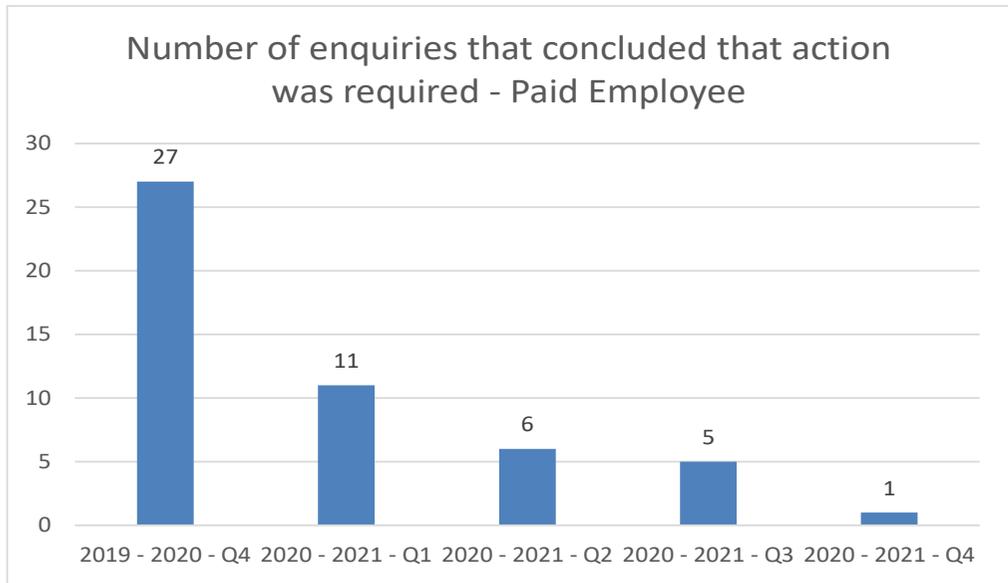
Page 402

Period	Own Home	Community	Care Home Setting	Health
2019-2020 - Q4	27	9	18	4
2020-2021 - Q1	27	2	9	2
2020-2021 - Q2	13	4	2	5
2020-2021 - Q3	4	0	3	1
2020-2021 - Q4	5	0	1	0



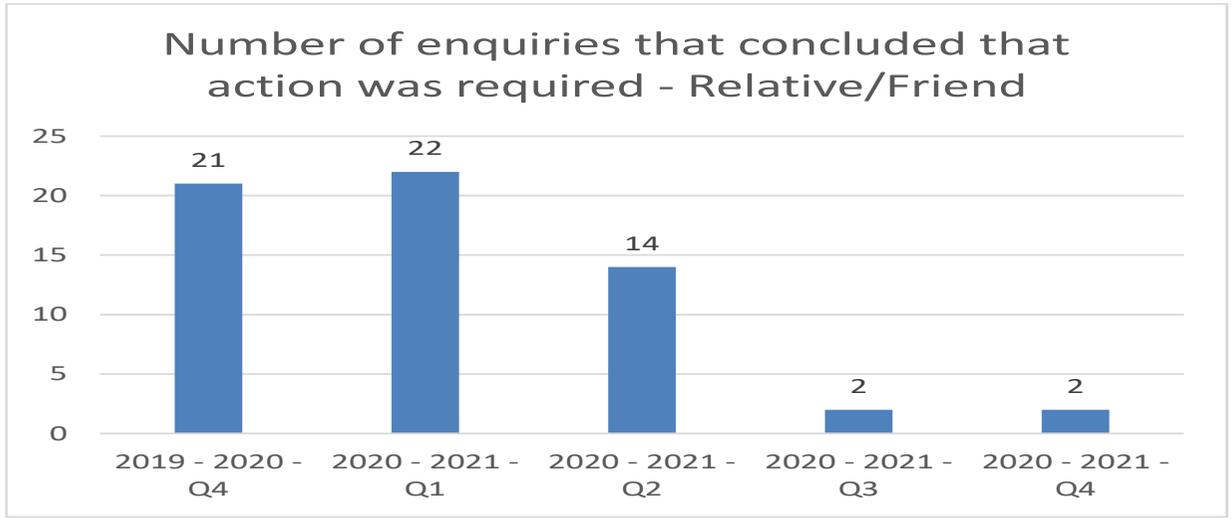
Person - Paid Employee	1
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Row Labels	Count of Assessment ID
2019 - 2020 - Q4	27
2020 - 2021 - Q1	11
2020 - 2021 - Q2	6
2020 - 2021 - Q3	5
2020 - 2021 - Q4	1
Grand Total	50



Person - Relative Friend	1
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Row Labels	Count of Assessment ID
2019 - 2020 - Q4	21
2020 - 2021 - Q1	22
2020 - 2021 - Q2	14
2020 - 2021 - Q3	2
2020 - 2021 - Q4	2
Grand Total	61



Person - Volunteer
Unpaid Employee 0

Person - Other Service User 1

Person - Other Service User

Row Labels	Count of Assessment ID
2020 - 2021 - Q1	1
2020 - 2021 - Q2	2
Grand Total	3

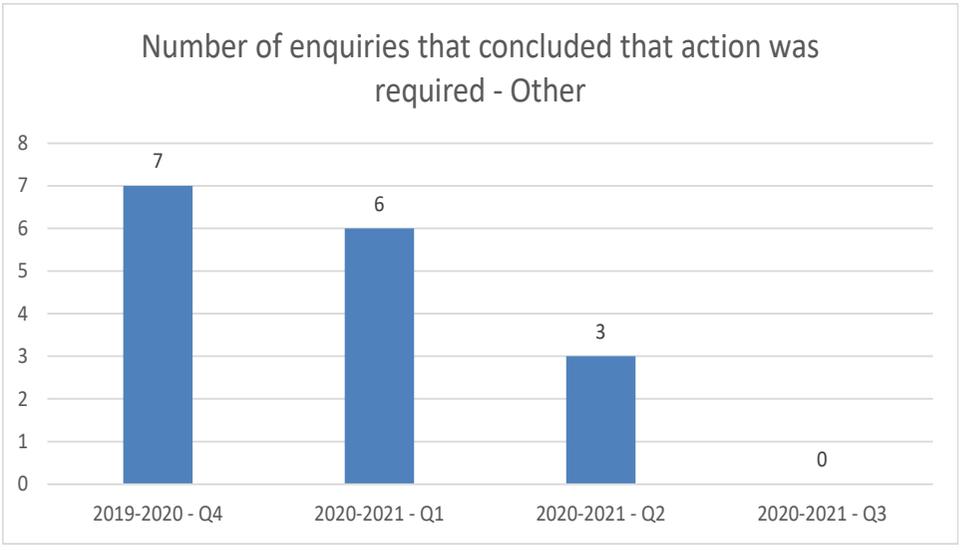
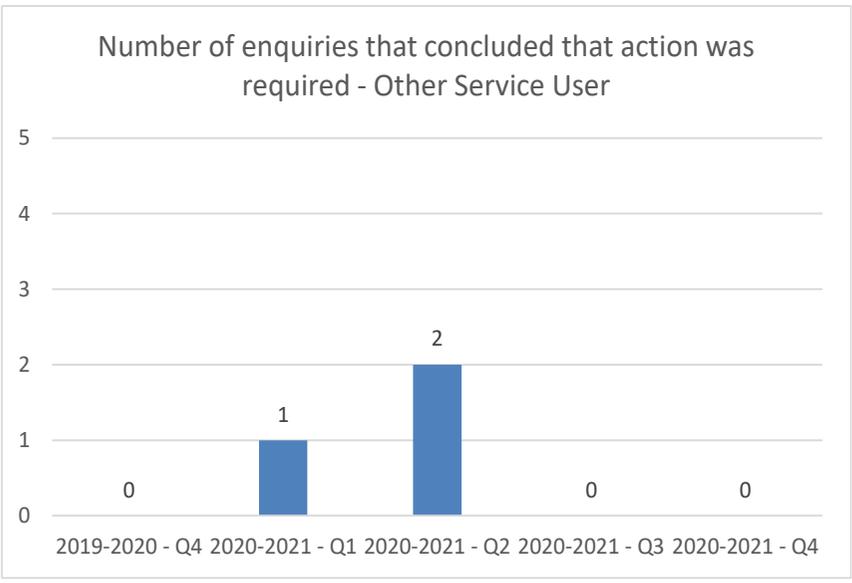
2019-2020 - Q4	0
2020-2021 - Q1	1
2020-2021 - Q2	2
2020-2021 - Q3	0
2020-2021 - Q4	0

Person - Other 1

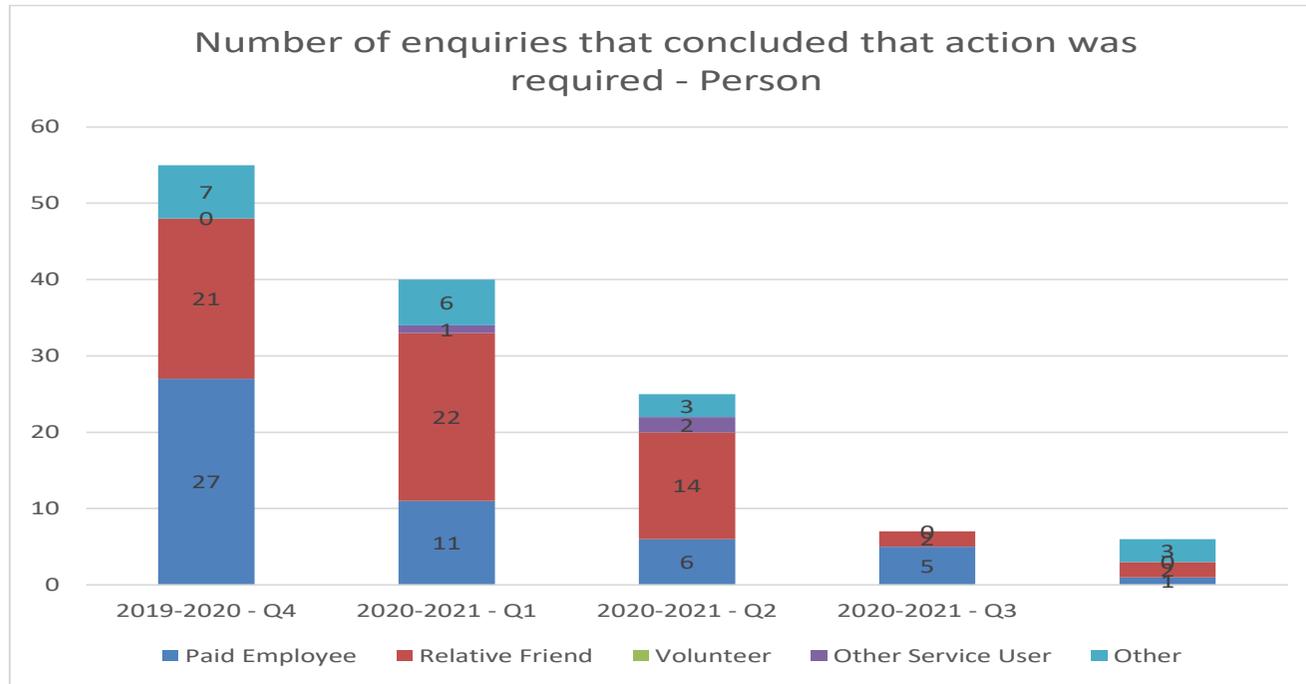
Person - Other

Row Labels	Count of Assessment ID
2019 - 2020 - Q4	7
2020 - 2021 - Q1	6
2020 - 2021 - Q2	3
2020 - 2021 - Q4	3
Grand Total	19

2019-2020 - Q4	7
2020-2021 - Q1	6
2020-2021 - Q2	3
2020-2021 - Q3	0
2020-2021 - Q4	3



Period	Paid Employee	Relative Friend	Volunteer	Other Service User	Other
2019-2020 - Q4	27	21	0	0	7
2020-2021 - Q1	11	22	0	1	6
2020-2021 - Q2	6	14	0	2	3
2020-2021 - Q3	5	2	0	0	0
2020-2021 - Q4	1	2	0	0	3



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Cyngor Sir CEREDIGION County Council

REPORT TO:	Overview and Scrutiny Co-ordinating Committee
DATE:	15 September 2021
LOCATION:	ZOOM
TITLE:	Draft Forward Work Programme 2021/22
PURPOSE OF REPORT:	Review the current work programme of the Committee
REASON SCRUTINY HAVE REQUESTED THE INFORMATION:	The forward work programme of the Committee is reviewed and updated at each meeting

BACKGROUND:

Overview and Scrutiny Committees oversee the work of the Council to make sure that it delivers services in the best way and for the benefit of the local community.

The role of Overview and Scrutiny is to look at the services and issues that affect people in Ceredigion. The process provides the opportunity for Councillors to examine the various functions of the council, to ask questions on how decisions have been made, to consider whether service improvements can be put in place and to make recommendations to this effect.

Scrutiny plays an essential role in promoting accountability, efficiency and effectiveness in the Council's decision making process and the way in which it delivers services.

The main roles of the Overview and Scrutiny Committees:

- Holding the cabinet and officers as decision-makers to account
- Being a 'critical friend', through questioning how decisions have been made to provide a 'check and balance' to decision makers, adding legitimacy to the decision making process
- Undertaking reviews of council services and policy
- Undertaking reviews to develop council services and policies
- Considering any other matter that affects the county
- Ensuring that Ceredigion is performing to the best of its ability and delivering high quality services to its citizens
- Assessing the impact of the Council's policies on local communities and recommending improvement
- Engaging with the public to develop citizen centred policies and services

Effective Overview and Scrutiny can lead to:

- Better decision making
- Improved Service Delivery and Performance
- Robust Policy Development arising from public consultation and input of independent expertise
- Enhanced Democracy, Inclusiveness, Community Leadership and Engagement
- Adds a clear dimension of transparency and accountability to the political workings of the Council
- Provides an opportunity for all Members to develop specialist skills and knowledge that can benefit future policy making and performance monitoring processes
- Creates a culture of evidence based self-challenge

CURRENT SITUATION:

Questions to consider when choosing topics

- Is there a clear objective for examining this topic?
- Are you likely to achieve a desired outcome?
- What are the likely benefits to the Council and the citizens of Ceredigion?
- Is the issue significant?
- Are there links to the Corporate Strategy
- Is it a key issue to the public?
- Have the issues been raised by external audit?
- Is it a poor performing service?

Choosing topics

Overview and Scrutiny Committees should consider information from the Corporate Strategy, Improvement Plan, Strategic Plan, Service Plans, the Corporate Risk Register, budget savings – proposals and impact, Quarterly Corporate Performance Management panel meetings and departmental input in choosing topics and designing their Forward Work Programmes, as well as any continuing work.

RECOMMENDATION (S):

To review and update the current Forward Work Programme.

Contact Name:	Lisa Evans
Designation:	Scrutiny and Standards Officer
Date of Report:	8/9/2021
Acronyms:	FWP – Forward Work Programme

Overview and Scrutiny Draft Forward Work Programme 2021/22

Committee	Item (description/title)	Invited Speakers	Purpose i.e. monitoring, policy, recommendation
Coordinating			
16 June	PSB Minutes (including Chair of the project group) Cysur / CWMPAS Safeguarding Reports COVID-19 Gold Command Action Log	Diana Davies Sian Howys Elin Prysor	Monitoring Monitoring Monitoring
15 September	Update on Cylch Caron Project PSB Annual Report Strategic Equality Plan Annual Monitoring Report 2020-21 2020/21 Well-being and Improvement Objectives Annual Report RIPA Policy and RIPA Social Media Policy Cysur / Cwmpas safeguarding Reports	Donna Pritchard Diana Davies / Lynne Walters Michael Smith Rob Starr Elin Prysor / Hannah Rees San Howys	Monitoring Monitoring Monitoring Monitoring Monitoring
1 December	An update on the Socio-Economic Duty, reported in January 2021.	Michael Smith	

2022 10 February Budget Preparation	Budget Preparation		
Future meetings	Effect of Brexit on the general economy of Ceredigion		

Committee	Item (description/title)	Invited Speakers	Purpose i.e. monitoring, policy, recommendation
Learning Communities			
27 May	<p>Welsh in Education Strategic Plan</p> <p>Use of virtual provision in the future</p> <p>Partnership Agreement between LA and Schools 2021-24</p>	<p>Silyn Roberts</p> <p>Meinir Ebbsworth/Non Davies</p>	
20 September	<p>Curriculum for Wales</p> <p>Additional Learning Needs Strategy</p> <p>Update on the Lifelong Learning and Skills Service and the Prevention Support Service</p> <p>Estyn Progress Report</p> <p>GCSE and A Level results award process 2021</p>	<p>Gillian Evans</p> <p>Elen James</p> <p>Meinir Ebbsworth</p> <p>Meinir Ebbsworth</p>	
25 November	<p>Report on the GCSE and Higher Level examination results</p> <p>feedback of the consultation on the Welsh in Education Strategic Plan 2022-32</p>	<p>Meinir Ebbsworth</p> <p>Silyn Roberts</p>	

<u>2022</u>			
24 February Budget Preparation 1:30pm	Budget		
2 March	Child Sufficiency Assessment	Carys Davies	
Future meetings	Play Sufficiency Assessment	Cathryn Morgan	
Workstreams	Standards and Schools ALN, Inclusion & Wellbeing Porth Cymorth Cynnar, Community Wellbeing & Learning	Meinir Ebbsworth Gillian Evans Elen James	

Committee	Item (description/title)	Invited Speakers	Purpose i.e. monitoring, policy, recommendation
Thriving Communities			
26 May	Carbon Management Annual Report	Lyndon Griffiths	
15 July	Highways Inspections Code of Practice	Rhodri Llwyd	
1 October	Safe Zones	Rhodri Llwyd / Russell Hughes Pickering	
4 November	Update on Ash Dieback 6 monthly update on Achieving Net Zero by 2030 Use of Open Spaces		
2022 20 January	Car parking in towns – look at financially; location; annually; seasonally.		

25 February Budget Preparation 9:30am	Budget Preparation		
Future meetings	Rivers and flooding Refuse collection		

Committee	Item (description/title)	Invited Speakers	Purpose i.e. monitoring, policy, recommendation
Corporate Resources			
13 May Special Meeting	Driving at Work Policy Carers' Policy Managing slurry on County Farms	Geraint Edwards Geraint Edwards Russell Hughes- Pickering	Pre-Cabinet Pre-Cabinet Requested by Committee and Thriving Members during Budget meeting
7 July 2021	Corporate Concerns & Complaints Policy Health and Wellbeing Strategy	Marie-Neige Hadfield Geraint Edwards	Pre-Cabinet Pre-Cabinet
14 October 2021	A report on Poverty during the pandemic to include the Hardship Strategy	Sian Howys Diana Davies	Requested by Members

	<p>Talking, Listening and Working Together, Draft Engagement Policy of Ceredigion County Council</p> <p>Clic update to include libraries</p>	<p>Cathryn Morgan</p> <p>Michael Smith</p> <p>Joy Lake/Anna Gawthorpe/Gareth Griffiths</p>	<p>Pre-Cabinet</p> <p>Request</p>
<p>Special meeting 27 October</p>	<p>Dignity at Work Policy</p> <p>Council fleet and Driving at Work – use of private vehicles</p> <p>Sickness Absence in Schools Policy</p>	<p>Geraint Edwards</p>	
<p><u>2022</u> 13 January</p>	<p>Talking, Listening and Working Together, Draft Engagement Policy of Ceredigion County Council</p> <p>Sickness Absence</p> <p>Digital Connectivity</p>	<p>Michael Smith</p> <p>David Owen</p>	<p>Request</p>
<p>25 February Budget Preparation 1:30pm</p>			

17 March			
<p>Task and Finish Group</p> <p>Future meetings</p>	<p>Estates – County Farms – informal meeting arranged with Farm Tenants (April meeting cancelled due to Covid)</p> <p>Task and Finish County Farms meeting arrange for 13th July 2021 at 3pm (not open to the public)</p>	<p>Invite</p>	

Committee	Item (description/title)	Invited Speakers	Purpose i.e. monitoring, policy, recommendation
Healthier Communities			
24 June	<p>IRO</p> <p>Update from the Committee Chairman on the May 2021 Mid Wales Joint Committee meeting</p>	Sian Howys	Monitoring
17 September Special Meeting Invitation to be extended to Members of the Learning Communities Committee 2pm	<p>Through Age and Wellbeing Strategy</p> <p>Care Inspectorate Wales (CIW) – Assurance Check 2021: Ceredigion County Council</p>	<p>Caroline Lewis</p> <p>Sian Howys</p>	Pre-Cabinet
22 September Special meeting	<p>Fly Tipping – Explanation of the procedure</p> <p>Pest Control</p> <p>Update on Wellbeing Centres and developments in Lampeter Wellbeing Centre</p>	<p>Heddwyn Evans</p> <p>Anne Louise</p> <p>Elen James & Carwyn Young</p>	<p>Request</p> <p>Request</p> <p>Request by Officer</p>

	Animal Welfare (Licensing of Activities involving Animals) (Wales) Regulation 2021	Heddwyn Evans	Pre-Cabinet
6 October	<p>Concern – finding more foster carers who are welsh speaking must be a priority for looked after children in Ceredigion. Members of the healthier communities highlighted the issue of welsh speaking children being placed with English speaking families. A Member said that its a long standing issue and that these children find themselves in very strange circumstances having to change language.</p> <p>Packages of care to include Dementia Care</p> <p>Effect of Drug Use in the County</p> <p>IRO quarter 4, 2021</p>	<p>Donna Pritchard and Nerys Lewis</p> <p>Donna Pritchard and Heather West</p> <p>John Callow</p> <p>Sian Howys</p>	<p>Request made at a meeting when considering IRO report</p> <p>Request</p> <p>Request</p>
20 October Special meeting	<p>Animal Welfare and Dog Breeding</p> <p>Trading Standards (scams)</p> <p>Carers Unit annual report 2020-2021</p>	<p>Heddwyn Evans</p> <p>Anne Louise</p> <p>Lowri Evans</p>	<p>Request</p> <p>Request</p> <p>Pre-Cabinet</p>
16 December	Grants and Loans Policy	Llyr Hughes	Pre-Cabinet

2022 24 February Budget Preparation 9:30am			
16 March			
Future Items	Statutory Director of Social Services Annual Report	Sian Howys Donna Pritchard	Monitoring

Minutes of a Meeting of the Co-ordinating Overview and Scrutiny Committee held virtually via zoom on Wednesday, 16th June 2021

PRESENT: Councillor Rowland Rees-Evans (Chair), Councillors Elaine Evans, Bryan Davies, Lyndon Lloyd MBE, Wyn Thomas, Ivor Williams, Dan Potter, Euros Davies. Elizabeth Evans (Observer).

ALSO IN ATTENDANCE: Councillor Ellen ap Gwynn (Leader of the Council), Councillors Ray Quant MBE, (Deputy Leader of the Council), Rhodri Evans, Gareth Lloyd, Catherine Hughes, Alun Williams (Cabinet Members).

Hazel Lloyd Lubran, Chief Executive, Cavo.

OFFICERS PRESENT: Diana Davies, Corporate Manager, Partnerships and Performance, Lynne Walters, Partnership Officer, Siân Howys, Corporate Lead Officer and Statutory Director of Social Services, Elin Prysor, Corporate Lead Officer, Hannah Rees, Governance Officer, Lisa Evans, Standards and Scrutiny Officer, Dwynwen Jones, Overview and Scrutiny Support Officer, Iona Davies and Rhidian Jones, Translators.

(10:00am –11:20pm)

1 Apologies

Councillor Marc Davies apologised for being unable to attend the meeting and Councillor Mark Strong apologised for being unable to attend due to experiencing connectivity issues.

2 Disclosure of Personal / Prejudicial Interests

There were no disclosures of personal or prejudicial interests.

3 Minutes of the Ceredigion Public Services Board (PSB) meetings held on the 22nd February 2021 and 26th April 2021 along with a focus on the Understanding Our Communities Project Group

The Chair introduced Diana Davies, Lynne Walters, and Hazel Lloyd Lubran to the meeting to present the report, to provide an opportunity for Committee Members to scrutinise the decisions made or actions taken by Ceredigion PSB.

Lynne Walters presented the information referring in particular to work undertaken during the last quarter of 2020 reviewing the membership and priorities of each Project Group. She reported that five of the Project Groups have agreed new priorities and action plans that focus on implementation with a COVID lens.

Hazel Lloyd Lubran, Chair, Understanding our Communities Project Group, provided an update on the group progress as requested by this Committee at its January meeting. Hazel briefly explained the ongoing work undertaken during the COVID pandemic. She emphasised the excellent communication that has and continues to take place with the network of local support groups

established. She also stated that the continued communication between public and private sector organisations proved invaluable during the crisis.

Members then had the opportunity to ask questions which were answered in turn by Officers present. Many Members praised the work undertaken in their Towns and Communities during the crisis and noted the excellent team spirit shown.

The Chairman thanked Officers for their presentations and advised Committee Members that a representative from each of the groups will have an opportunity to attend and present at future meetings.

Following discussion, Committee Members were asked to consider the following recommendation:

RECOMMENDATION (s):

- i. To receive the minutes of the Ceredigion PSB meeting held on the 22nd February 2021 and the draft minutes of the Ceredigion PSB meeting held on the 26th April 2021;
- ii. To receive the most recent report for the PSB Project Groups are presented to the PSB;
- iii. To receive a focus report on the work of the Understanding Our Communities Project Group; and;
- iv. To receive an outline of the Ceredigion Local Well-being Plan Annual Report 2020-21.

Committee Members agreed to receive the recommendations as outlined above in order for the Overview and Scrutiny Coordinating Committee to carry out their role of taking an overview of the overall effectiveness of the PSB.

4 CYSUR/CWMPAS Combined Local Operational Group Safeguarding Report quarter 2 2020/2021

The Chair welcomed Siân Howys to the meeting to present an Executive Summary of the CYSUR/CWMPAS report.

Following questions, Committee Members agreed that a message be relayed to Social Services staff to commend them on their hard work and commitment during the COVID crisis. Ms Howys agreed to take this message back to her Colleagues.

Committee Members **AGREED** to note the contents of the report and the levels of activity within the Local Authority so that the governance of the Local Authority activity and its partner agencies is monitored.

5 Report on Covid-19 Gold Command Decision Log

Elin Prysor and Hannah Rees were welcomed to present the report on Covid-19 Gold Command Decision Log. Hannah Rees presented the report providing the information on the decisions of the Covid-19 Leadership Group (Gold

Command) for the meetings held between 1st December 2020 and the 29th April 2021.

Following discussion, Committee Members were asked to note the contents of the report and the contents of the Gold Command Covid-19 Leadership Group Meetings as shown in the Decision Log included with the agenda papers.

Members **AGREED** to receive and note the report for information so to monitor the governance of the Council's adapting decision-making arrangements.

6 To confirm minutes of the Coordinating Committee meeting held on the 11 February 2021 and 18 March 2021 and to consider any matters arising for those minutes

Councillor Ivor Williams proposed to confirm the minutes of the Coordinating Committee meeting held on the 11 February 2021 and 18 March 2021 as a true record and Councillor Lyndon Lloyd MBE seconded his proposal. There were no matters arising from those minutes.

7 Committees Draft Forward Work Plans 2020/2021

Each Committee Chair or Vice-chair in the Chair's absence or the Scrutiny Officer if both absent provided information in turn regarding their respective Overview and Scrutiny Committees.

Following discussion, it was agreed that the following would be included on the following Committee's Forward Work Plans as items for future consideration:

- Corporate Resources – CLic Services
- Healthier Communities – Effect of drug use throughout the County (to include learning establishments (Learning Communities Committee Members to be invited to attend when considering this item).

9 Any other matter which the Chairman decided is for urgent attention of the Committee

There were no other matters raised.

Councillor Rowland Rees-Evans, Chair, thanked Committee Members for attending the meeting and to Officers for presenting the information in a and concise manner. He thanked the Democratic Services team and Translators for ensuring the smooth running of the meeting.

Chairman:_____

Date:_____

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