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Cyngor Sir
CEREDIGION
County Council

Neuadd Cyngor Ceredigion, Penmorfa,
Aberaeron, Ceredigion SA46 0PA
www.ceredigion.gov.uk

PLEASE NOTE: This meeting may be broadcasted on the Council's Facebook site and in the archive record of the meeting. The images and sound recording may also be used for training purposes within the Council. Due to COVID-19 and the health and safety of Councillors and staff, members of the public and press cannot attend the meeting in person. The meeting can be viewed on the Council's Facebook page.

At the start of the meeting the Chair will confirm if all or part of the meeting is being filmed.

4 July 2022

Dear Sir / Madam

I write to inform you that a MEETING of COUNCIL will be held at the Council Chamber, Neuadd Cyngor Ceredigion, Penmorfa, Aberaeron and remotely via video conferencing on Friday, 8 July 2022 at 10.30 am for the transaction of the following business:

1. **Apologies**
2. **Disclosure of personal / prejudicial interests**
3. **Personal matters**
4. **To confirm the Minutes of the Meetings of the Council held on: 13 May 2022, 20 May 2022 and 27 May 2022 (Pages 5 - 28)**
5. **To appoint Members to the following roles: (Pages 29 - 36)**

Committees

Language Committee (vacant seat)

Seat allocated to the Welsh Liberal Democrats group, offered to all Members

Ethics and Standards Committee (Town and Community Council representatives)

To confirm the following appointments representing Town and Community Councils:

- Councillor Delyth James
- Councillor Jan Culley

Member Champion

'Age Friendly' Member Champion

To be nominated by the Leader

Internal Panels, Working Groups, Fora

Schools Admissions and Finance Forum	3 Members, namely <ul style="list-style-type: none">- Leader of the Council;- Cabinet Member for Schools Lifelong Learning and Skills;- Chairman of the Learning Communities Overview and Scrutiny Committee.
Gypsy and Traveller Steering Group	3 Members, namely <ul style="list-style-type: none">- Cabinet Member for Housing, Legal and Governance, People and Organisation and Public Protection;- Cabinet Member for Economy and Regeneration;- Local Member for Llandysilio and Llangrannog.

Partnerships, Joint Committees, Agencies

Mid Wales Fire Authority	- Vacant seat
Mid Wales Regional Skills Partnership (and will also attend the Growing Mid Wales Joint Committee)	- Cabinet Member with responsibility for Schools, Lifelong Learning and Skills
Teifi Nutrient Management Board	- Cabinet Member with responsibility for Economy and Regeneration
Corporate Joint Committee Overview and Scrutiny Committee	5 Members, politically balanced (from the Thriving Communities Overview and Scrutiny Committee)
Corporate Joint Committee Governance and Audit Sub Committee	2 Members of the Ceredigion County Council Governance and Audit Committee (political balance)
Corporate Joint Committee Standards Sub Committee	1 Member of the Ceredigion County Council Ethics and Standards Committee - Cllr Gwyn Wigley Evans. To confirm the following Independent Members: <ul style="list-style-type: none">- Caryl Davies- Carol Edwards

Corporate Joint Committee Sub Committee for Regional Transport Planning (TraCC)	- 1 additional Cabinet Member
Mid Wales Joint Scrutiny Committee for Health and Care	<ul style="list-style-type: none"> • The group is for scrutiny members with an interest in health • Up to three scrutiny members from each council including for example the scrutiny chair / convener • Membership is flexible and replacement scrutiny members will be allowed • Scrutiny support officers and appropriate observers should attend
Ceredigion Fostering Panel	1 Member
Cylch Caron Stakeholder Board	1 Member namely <ul style="list-style-type: none"> - Local Member for Tregaron and Ystrad Fflur

External Bodies

Welsh Books Council	1 Member
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6. **To consider a report on the Recommendations of the Democratic Services Committee in relation to the matters deferred by Council in relation to the Members' Schedule of Remuneration 2022/23 (Pages 37 - 40)**
7. **To consider a report on the Draft Protocols for Broadcasting and remote meetings (Pages 41 - 54)**
8. **To consider a report on the Application to Register Land as a Village Green at Erw Goch field adjoining Hafan y Waun, Waunfawr, Aberystwyth (Pages 55 - 88)**
9. **To confirm the appointment of co-opted Members to the Learning Communities Overview and Scrutiny Committee (Pages 89 - 96)**
10. **To consider a report on Amendments to the Ethics and Standards Hearing Procedures (Pages 97 - 112)**

11. **To consider the Annual Governance and Audit Committee Report 2021-22 (Pages 113 - 132)**
12. **To consider the Governance Framework Document and Draft Annual Governance Statement 2021-22 (Pages 133 - 258)**
13. **To consider a report on a Guide to the Constitution and changes to the Council's Constitution (Pages 259 - 570)**

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

Yours faithfully



Miss Lowri Edwards
Corporate Lead Officer: Democratic Services

To: Chairman and Members of Council

**Minutes of the hybrid Meeting of CEREDIGION COUNTY COUNCIL
held at the Council Chamber, Penmorfa, Aberaeron and remotely on
Friday, 13th May, 2022**

PRESENT: Councillor Paul Hinge (Chairman), Councillors Gareth Davies, Bryan Davies, Clive Davies, Euros Davies, Gethin Davies, Ifan Davies, Marc Davies, Meirion Davies, Rhodri Davies, Amanda Edwards, Endaf Edwards, Elaine Evans, Elizabeth Evans, Eryl Evans, Gwyn Wigley Evans, Keith Evans, Rhodri Evans, Wyn Evans, Hag Harris, Keith Henson, Geraint Hughes, Hugh R M Hughes, Chris James, Gwyn James, Ceris Jones, Maldwyn Lewis, Gareth Lloyd, Sian Maehrlein, Caryl Roberts, John Roberts, Wyn Thomas, Alun Williams and Matthew Vaux

(10.00am - 11.05am)

Procedure

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

1 Code of Conduct for Members

Elin Prysor, Monitoring Officer addressed the Council on the statutory requirement for all Members to make a Declaration of Acceptance and an undertaking to comply with the Code of Conduct, confirming that all Councillors making their statutory Declaration of Acceptance of Office have received comprehensive training on the Council's Code of Conduct on Monday 9th May 2022.

This is in order for them to perform their functions with an understanding of the Principles of Public Life, their duties and responsibilities under the Code, and also the consequences for failing to do so.

2 The Members to make a Declaration of Acceptance of Office and an Undertaking to comply with the Code of Conduct

All Members present verbally accepted their Declaration of Acceptance of Office and the undertaking to comply with the Code of Conduct which had been signed by each and countersigned by the Proper Officer.

3 Welcome by the Chairman

Councillor Paul Hinge welcomed all newly elected Councillors, all returning elected Councillors, and paid tribute to all former Members of the Council and wished them the very best for the future.

4 Personal matters

- a) Councillor Maldwyn Lewis extended his sincerely condolences to the family of Ifan John Jones, Ffostrasol, who had contributed extensively to his community;
- b) Councillor Maldwyn Lewis congratulated the Ffostrasol Football Team on winning the Ceredigion League Easter Monday cup;
- c) Councillor Maldwyn Lewis congratulated the Rhyd Lewis Bowling Club who will be representing Ceredigion in the league;
- d) Councillor Maldwyn Lewis congratulated Rhyd Lewis Young Farmers' Club on celebrating its 80th year, and for raising over £4,000 towards a

Chemotherapy Unit Glangwili, towards the Ukraine appeal and towards the Club;

- e) Councillor Ifan Davies congratulated Sara Pugh, Ffair Rhos on her success in gymnastics, winning the Welsh Tumbling competition;
- f) Councillor Euros Davies congratulated Ysgol Dyffryn Cledlyn on achieving the Welsh Language Charter Gold Award.

5 Apologies

Councillors Catrin M S Davies, Steve Davies, Mark Strong and Carl Worrall apologised for their inability to attend the meeting.

6 Disclosure of personal / prejudicial interests

There were no declarations of personal or prejudicial interest.

7 To receive notification of the establishment of Groups and the Leaders and other officers of the Groups

The Proper Officer reported that notification had been received of the constitution of the following political groups formed within the Council in accordance with the provisions of the Local Government and Housing Act 1989 and the Local Government (Committees and Political Groups) Regulations 1990, as follows:

Plaid Cymru – The Party of Wales Group

Councillors Bryan Davies, Catrin M S Davies, Clive Davies, Gareth Davies, Gethin Davies, Rhodri Davies, Steve Davies, Amanda Edwards, Endaf Edwards, Eryl Evans, Keith Henson, Chris James, Ceris Jones, Maldwyn Lewis, Caryl Roberts, Mark Strong, Wyn Thomas, Matthew Vaux, Alun Williams and Carl Worrall (20)

Leader of the Group: Councillor Bryan Davies

Deputy Leader of the Group: Councillor Alun Williams

Independents Group

Councillors Euros Davies, Ifan Davies, Marc Davies, Gwyn Wigley Evans, Keith Evans, Rhodri Evans, Wyn Evans, Hag Harris, Gwyn James and Gareth Lloyd (10)

Leader of the Group: Councillor Gareth Lloyd

Deputy Leader of the Group: Councillor Rhodri Evans

Welsh Liberal Democrats Group

Councillors Meirion Davies, Elaine Evans, Elizabeth Evans, Paul Hinge, Geraint Hughes, Sian Maehrlein and John Roberts (7)

Leader of the Group: Councillor Elizabeth Evans

Deputy Leader of the Group: Councillor Paul Hinge

Ungrouped Member

Councillor Hugh Hughes (1)

8 To elect the Leader of the Council

It was proposed by Councillor Gareth Davies and seconded by Councillor Keith Henson that Councillor Bryan Davies be elected Leader of the Council.

Following a vote, it was unanimously **RESOLVED** that Councillor Bryan Davies be elected Leader of the Council.

Councillor Bryan Davies thanked everyone for their support noting the importance of working together across all parties for the benefit of the County.

Councillors Elizabeth Evans and Gareth Lloyd congratulated Councillor Bryan Davies on being elected as Leader and re-iterated the importance of working together to represent Ceredigion in its entirety.

9 To elect a Chairman-elect for the Council for 2022/23 to be installed at the Annual Meeting to be held at 2.00pm on Friday, 27 May 2022

Councillor Rhodri Evans proposed and was seconded by Councillor Keith Evans that Councillor Ifan Davies be elected as the Chairman of the Council for the ensuing municipal year.

It was unanimously **RESOLVED** that Councillor Ifan Davies be elected Chairman-elect for the Council for 2022/23 to be installed at the Annual Meeting to be held at 2.00pm on Friday, 27th May 2022.

10 To elect a Vice-Chairman-elect for the Council for 2022/23 to be installed at the Annual Meeting to be held at 2.00pm on Friday, 27 May 2022

Councillor Bryan Davies proposed and was seconded by Councillor Alun Williams that Councillor Maldwyn Lewis be elected as the Vice-Chairman of the Council for the ensuing municipal year

It was unanimously **RESOLVED** that Councillor Maldwyn Lewis be elected Vice-Chairman-elect for the Council for 2022/23 to be installed at the Annual Meeting to be held at 2.00pm on Friday, 27th May 2022.

Confirmed at the Meeting of the Council held on 7 July 2022

CHAIRMAN: _____

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Minutes of the Meeting of CEREDIGION COUNTY COUNCIL
held at the Council Chamber, Penmorfa, Aberaeron and remotely on
Friday, 20th May, 2022

PRESENT: Councillor Paul Hinge (Chairman), Councillors Bryan Davies, Catrin M S Davies, Clive Davies, Euros Davies, Gethin Davies, Ifan Davies, Marc Davies, Meirion Davies, Rhodri Davies, Steve Davies, Amanda Edwards, Endaf Edwards, Elaine Evans, Elizabeth Evans, Eryl Evans, Gwyn Wigley Evans, Keith Evans, Rhodri Evans, Wyn Evans, Hag Harris, Keith Henson, Geraint Wyn Hughes, Hugh R M Hughes, Chris James, Ceris Jones, Maldwyn Lewis, Gareth Lloyd, Caryl Roberts, John Roberts, Wyn Thomas, Matthew Vaux, Alun Williams and Carl Worrall

(10.00am - 11.45am)

Procedure

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

1 Code of Conduct for outstanding Members

Elin Prysor, Monitoring Officer addressed the Council on the statutory requirement for all Members to make a Declaration of Acceptance and an undertaking to comply with the Code of Conduct, confirming that all Councillors making their statutory Declaration of Acceptance of Office today have received comprehensive training on the Council's Code of Conduct on Monday 9th May 2022 or on Thursday 19th May 2022.

This is in order for them to perform their functions with an understanding of the Principles of Public Life, their duties and responsibilities under the Code, and also the consequences for failing to do so.

2 Members to make a Declaration of Acceptance of Office and an Undertaking to comply with the Code of Conduct

Councillors Catrin M S Davies, Steve Davies and Carl Worrall verbally accepted their Declaration of Acceptance of Office and the undertaking to comply with the Code of Conduct which had been signed by each and countersigned by the Proper Officer.

3 Apologies

Councillors Gareth Davies, Gwyn James, Sian Maehrlein and Mark Strong apologised for their inability to attend the meeting

4 Disclosure of personal / prejudicial interests

The Chairman declared a personal interest on behalf of all Councillors in item 15 below. All Councillors agreed.

5 Personal matters

- a) Councillor Euros Davies, congratulated Rose Florence who will be celebrating her 104th birthday on 28th May;
- b) Councillor Bryan Davies extended his condolences to Councillor Mark Strong on the recent bereavement of his father;

- c) Councillor Alun Williams congratulated Mair Thomas on celebrating her 100th birthday;
- d) Councillor Rhodri Evans congratulated Cari Davies on winning the Ceredigion Junior Member of the Young Farmers' Club and Sioned Davies on winning the Ceredigion and the all Wales Senior Member of the Young Farmers' Club.;
- e) Councillor Keith Evans congratulated Menna James on celebrating her 100th birthday;
- f) Councillor Keith Evans extended his condolences to the family of Mr Lyndon Lloyd Jones on their recent bereavement.

6 To receive notification of the Deputy Leader and Cabinet Members by the Leader of the Council

The Leader of the Council, Councillor Bryan Davies informed the Council that the membership of the Cabinet was as follows:

Cabinet Member	Cabinet Portfolio
Councillor Bryan Davies	Leader and Cabinet Member for Democratic Services, Policy, Performance and Partnerships
Councillor Alun Williams	Deputy Leader and Cabinet Member for Through Age and Wellbeing
Councillor Catrin M S Davies	Cabinet Member for Culture, Leisure and Customer Services
Councillor Clive Davies	Cabinet Member for Economy and Regeneration
Councillor Gareth Davies	Cabinet Member for Finance and Procurement Services
Councillor Keith Henson	Cabinet Member for Highways and Environmental Services and Carbon Management
Councillor Wyn Thomas	Cabinet Member for Schools, Lifelong Learning and Skills
Councillor Matthew Vaux	Cabinet Member for Housing, Legal and Governance, People and Organisation and Public Protection

It was **RESOLVED** to note the new Cabinet Membership and Deputy Leader of the Council.

7 To receive notification from the Groups and to confirm membership of the following Committees and the Overview and Scrutiny Committees:

Committee

Members

Development
Management
Committee
(15)

Plaid Cymru (7):

Councillor Rhodri Davies
Councillor Carl Worrall
Councillor Ceris Jones
Councillor Mark Strong
Councillor Gethin Davies
Councillor Maldwyn Lewis
Councillor Chris James

Independents (4):

Councillor Ifan Davies
Councillor Rhodri Evans
Councillor Marc Davies
Councillor Gareth Lloyd

Liberal Democrats (3):

Councillor Meirion Davies
Councillor Geraint Hughes
Councillor Sian Maehrlein

Un-grouped (1):

Councillor Hugh Hughes

Licensing
Committee
(11)

Plaid Cymru (5):

Councillor Steve Davies
Councillor Amanda Edwards
Councillor Endaf Edwards
Councillor Eryl Evans
Councillor Caryl Roberts

Independents (3):

Councillor Euros Davies
Councillor Keith Evans
Councillor Gwyn James

Liberal Democrats (3):

Councillor Elaine Evans
Councillor Paul Hinge
Councillor John Roberts

Governance
and Audit
Committee
(6)

Plaid Cymru (3):

Councillor Steve Davies
Councillor Endaf Edwards
Councillor Maldwyn Lewis

Independents (2):

Councillor Gareth Lloyd
Councillor Wyn Evans

Liberal Democrats (1):

Councillor Elizabeth Evans

Democratic
Services
Committee
(6)

Plaid Cymru (3):

Councillor Endaf Edwards
Councillor Caryl Roberts
Councillor Mark Strong

Independents (2):

Councillor Gwyn James
Councillor Gareth Lloyd

Liberal Democrats (1):

Councillor Elizabeth Evans

Language
Committee
(7)

Plaid Cymru (3):

Councillor Catrin M S Davies
Councillor Rhodri Davies
Councillor Chris James

Independents (2):

Councillor Gwyn Wigley Evans
Councillor Gareth Lloyd

Liberal Democrats (2):

Councillor John Roberts
Vacant seat

Ethics and
Standards
Committee
(2)

Elected Members (2):
Councillor Gwyn Wigley Evans
Councillor Caryl Roberts

Elected Members (Community Council
representatives) (2):

To be appointed by the Community
Councils.

**Overview and
Scrutiny
Committees**

Corporate
Resources
(13)

Plaid Cymru (5):

Councillor Endaf Edwards
Councillor Eryl Evans
Councillor Ceris Jones
Councillor Caryl Roberts
Councillor Carl Worrall

Independents (4):

Councillor Euros Davies
Councillor Ifan Davies
Councillor Rhodri Evans
Councillor Hag Harris

Liberal Democrats (3):

Councillor Elaine Evans
Councillor Paul Hinge
Councillor Geraint Hughes

Un-grouped (1):

Councillor Hugh Hughes

Thriving
Communities
(13)

Plaid Cymru (6):

Councillor Gethin Davies
Councillor Rhodri Davies
Councillor Steve Davies
Councillor Chris James
Councillor Maldwyn Lewis
Councillor Carl Worrall

Independents (4):

Councillor Marc Davies
Councillor Gwyn Wigley Evans
Councillor Rhodri Evans

Councillor Wyn Evans

Liberal Democrats (3):

Councillor Meirion Davies
Councillor Sian Maehrlein
Councillor John Roberts

Healthier
Communities
(13)

Plaid Cymru (6):

Councillor Amanda Edwards
Councillor Eryl Evans
Councillor Ceris Jones
Councillor Mark Strong
Councillor Caryl Roberts
Councillor Carl Worrall

Independents (4):

Councillor Ifan Davies
Councillor Keith Evans
Councillor Gwyn James
Councillor Wyn Evans

Liberal Democrats (3):

Councillor Elaine Evans
Councillor Sian Maehrlein
Councillor John Roberts

Learning
Communities
(13)

Plaid Cymru (6):

Councillor Rhodri Davies
Councillor Amanda Edwards
Councillor Endaf Edwards
Councillor Eryl Evans
Councillor Chris James
Councillor Mark Strong

Independents (4):

Councillor Euros Davies
Councillor Marc Davies
Councillor Hag Harris
Councillor Gareth Lloyd

Liberal Democrats (3):

Councillor Meirion Davies
Councillor Paul Hinge
Councillor Geraint Hughes

8 To appoint a Chairman and Vice Chairman for the Democratic Services Committee

It was **RESOLVED** to:

- i. Appoint Councillor Elizabeth Evans as Chairman of the Democratic Services Committee; and
- ii. Appoint Councillor Gareth Lloyd as the Vice Chairman of the Democratic Services Committee.

9 To appoint a Chairman and Vice Chairman for the Overview and Scrutiny Coordinating Committee

It was **RESOLVED** to:

- i. appoint Councillor Keith Evans as the Chairman of the Overview and Scrutiny Co-ordinating Committee; and
- ii. appoint Councillor Wyn Evans as the Vice Chairman of the Overview and Scrutiny Co-ordinating Committee.

10 To appoint Members to the following Member Champion roles:

It was **RESOLVED** to appoint the following as Member Champions:

Champion

50+
Anti-slavery and Ethical Employment
Armed Forces
Biodiversity
Carers
Children and Young People
Combating Poverty
Digital champion
Diversity
Domestic Violence
Equalities
Health and Safety
Learning Disabilities
Member Development
Mental Health
Public Health
Safeguarding
Sustainability

Councillor

Alun Williams
Elizabeth Evans
Paul Hinge
Keith Henson
Carl Worrall
Wyn Thomas
Elaine Evans
Clive Davies
Catrin M S Davies
Sian Maehrlein
Catrin M S Davies
Keith Henson
Wyn Thomas
Bryan Davies
Catrin M S Davies
Matthew Vaux
Alun Williams
Keith Henson

11 To appoint Members to serve on School Governing Bodies

Consideration was given to the report on vacancies for LEA Members on School Governing Bodies and it was **RESOLVED** to make the appointments as presented at the meeting, subject to the following amendments.

- Llechryd Primary School, to appoint Councillor Amanda Edwards
- Cardigan Secondary School, to appoint Councillor Sian Maehrlein
- Penweddig School, to appoint 2 Members namely councillor Gareth Davies, and Councillor Endaf Edwards.

12 To appoint Members to serve on the following Internal Panels, Working Group, Fora

It was RESOLVED to appoint the following Members to serve on Internal Panels, Working Groups and Fora:

Panel / Group	Background	Councillors
Asset Management Group	4 Members, namely: - Leader - Cabinet Member with responsibility for Finance and Procurement - Cabinet Member with responsibility for Economy and Regeneration - Cabinet Member with responsibility for Highways and Environmental Services	Bryan Davies Gareth Davies Clive Davies Keith Henson
Development Management Committee Cooling-off Group	7 Members (political balance) Plaid Cymru – 3 Independent – 2 Lib Dems - 2	Rhodri Davies Ceris Jones Gethin Davies Gareth Lloyd Rhodri Evans Meirion Davies Geraint Hughes
Emergency Business Continuity Management Group	2 Members, namely: - Deputy Leader - Cabinet Member with responsibility for Public Protection Services	Alun Williams Matthew Vaux
Capital Monitoring Group	1 Member, namely: - Cabinet Member with responsibility for Finance and Procurement	Gareth Davies
Carbon Management Group	3 Members with political balance to include the: - Member Champion for Sustainability	Keith Henson Rhodri Evans Elizabeth Evans
Community Grants Panel	2 Members, namely: - Cabinet Member with responsibility for Economy and Regeneration - Cabinet Member with responsibility for Finance and Procurement	Clive Davies Gareth Davies
Corporate Employee Forum	2 Members, namely: - Leader	Bryan Davies Alun Williams

Panel / Group	Background	Councillors
	- Deputy Leader	
Corporate Health and Safety Forum	1 Member, namely - Member Champion for Health and Safety	Keith Henson
Corporate Parenting Group	1 Member, namely: - Cabinet Member with responsibility for Porth Cynnal	Alun Williams
Development Group	4 Members, namely: - Leader - Deputy Leader - Cabinet Member with responsibility for Economy and Regeneration - Cabinet Member with responsibility for Finance and Procurement	Bryan Davies Alun Williams Clive Davies Gareth Davies
Equalities Group	1 Member, namely: - Leader	Bryan Davies
Housing Grants Panel	4 Members, namely: - Leader - Cabinet Member with responsibility for Finance and Procurement - Cabinet Member with responsibility for Housing - Cabinet Member with responsibility for Porth Gofal	Bryan Davies Gareth Davies Matthew Vaux Alun Williams
Local Development Plan Working Group	7 Members (political balance) Plaid Cymru – 3 Independent – 2 Lib Dems - 2	Rhodri Davies Ceris Jones Chris James Gareth Lloyd Rhodri Evans Meirion Davies Geraint Hughes
Performance Management Board	2 Members, namely: - Leader - Deputy Leader (All Cabinet Members are invited to attend)	Bryan Davies Alun Williams
Waste Strategy	1 Member, namely:	Keith Henson

Panel / Group	Background	Councillors
Group	- Cabinet Member with responsibility for Highways and Environmental	
Constitution Cross Party Working Group	7 Members (political balance)	Bryan Davies Gareth Davies Alun Williams Gareth Lloyd Keith Evans Paul Hinge Elizabeth Evans

Members asked if the Asset Panel Group, which includes cross-party Members should be included to this listing, and it was also noted that the Carbon Management Group includes representation across all groups.

13 To appoint Members to serve on the following Partnerships, Joint Committees, Agencies

It was RESOLVED to appoint the following to the Partnerships, Joint Committees and Agencies:

Partnership / Committee	Background	Councillors
Aberystwyth-Shrewsbury Railway Line Liaison Committee	2 Members	Alun Williams Paul Hinge
Carers Alliance	1 Member, namely - Cabinet Member with responsibility for Porth Cymorth Cynnar	Alun Williams
Ceredigion Public Service Board, and Sub-Committees	Leader of the Council to sit on the PSB Sub-Committees to be allocated among Cabinet Members	Bryan Davies
Corporate Joint Committee	1 Member, namely Leader	Bryan Davies
Corporate Joint Committee Sub Committees	Joint Overview and Scrutiny Committee (5 Members with political balance)	To defer a decision
	Governance and Audit Committee (2 Members)	To defer a decision
	Standards Committee (2 Members)	To defer a decision

Corporate Passenger and Transport Unit Reference Group	4 Members (3 voting rights), namely: <ul style="list-style-type: none"> - Cabinet Member with responsibility for Highways and Environmental - Cabinet Member with responsibility for Schools - Cabinet Member with responsibility for Through Age Services (shared voting right) 	Keith Henson Wyn Thomas Alun Williams
Cylch Caron Project Board	2 Members (1 voting right), namely <ul style="list-style-type: none"> - Cabinet Member with responsibility for Porth Gofal (with voting right) - Cabinet Member with responsibility for Housing (no voting rights) 	Alun Williams Matthew Vaux
Enterprise and Innovation Project Group	1 Member, namely: <ul style="list-style-type: none"> - Cabinet Member with responsibility for Economy and Regeneration 	Clive Davies
Growing Mid Wales Partnership	3 Members, namely: <ul style="list-style-type: none"> - Leader of the Council - 2 Cabinet Members 	Bryan Davies Clive Davies Keith Henson
Growing Mid Wales Joint Committee	5 Members, namely: <ul style="list-style-type: none"> - Leader of the Council - 4 Cabinet Members 	Bryan Davies Catrin M S Davies Clive Davies Keith Henson Matthew Vaux
Growing Mid Wales Joint Overview and Scrutiny Committee	5 Members (political balance)	To defer a decision

Harbour Users Group	1 Member, namely - Cabinet Member with responsibility for Highways and Environmental	Keith Henson
Local Access Forum	1 Member, namely: - Cabinet Member with responsibility for Economy and Regeneration	Clive Davies
Mid Wales Adoption Panel	1 Member, namely - Cabinet Member with responsibility for Porth Cynnal	Alun Williams
Mid Wales Joint Committee for Health and Care	1 Member, namely: - Leader	Bryan Davies
North and Mid Wales Trunk Road Agency	1 Member, namely: - Cabinet Member with responsibility for Highways and Environmental	Keith Henson
PATROL (Parking and Traffic Regulations Outside London Adjudication Joint Committee)	1 Member	Keith Henson
Standing Advisory Council on Religious Education (SACRE)	5 Members	Keith Henson Ceris Jones Keith Evans Ifan Davies John Roberts
Strategic Housing Partnership	1 Member, namely: - Cabinet Member with responsibility for Housing	Matthew Vaux

TraCC	2 Members, namely: - Cabinet Member with responsibility for Economy and Regeneration - Cabinet Member with responsibility for Highways and Environmental	Clive Davies Keith Henson
Traffic Management Consultative Group	1 Member, namely: - Cabinet Member with responsibility for Highways and Environmental	Keith Henson
West Wales Care and Repair Board of Management	1 Member, namely: - Cabinet Member with responsibility for Housing	Matthew Vaux
West Wales Partnership Board	1 Member, namely: - Cabinet Member with responsibility for Porth Cynnal	Alun Williams
Youth Justice Management Board	1 Member, namely: - Cabinet Member with responsibility for Porth Cymorth Cynnar	Alun Williams

14 To appoint Members to serve on outside bodies (Enclosure A)

It was RESOLVED to appoint the following to the external bodies:

External Body / Panel	Number of Members required	Councillor(s)
Aberystwyth University	2 Members, namely: - Leader - Chairman of the Council	Bryan Davies Ifan Davies
Ceredigion Sports Council	2 Members, namely: - Cabinet Member with responsibility for Porth Gofal - Cabinet Member with responsibility for Finance and Procurement	Alun Williams Gareth Davies

Consortium Local Authorities Wales (CLAW)	1 Member, namely - Leader of the Council (with the Cabinet Member for Economy and Regeneration to deputise)	Bryan Davies
Dyfed- Powys Police and Crime Panel	3 Members. Must reflect political balance of the Council and nominations will be subject to the approval of the Home Secretary.	Wyn Thomas Keith Evans Elizabeth Evans
Dyfi Biosphere Partnership	2 Members, namely: - Cabinet Member holding a portfolio for key relevance to the Dyfi Biosphere such as sustainable development, natural resources or climate change - Local Member from a Ward within the enlarged Dyfi Biosphere (Aberystwyth Penparcau, Aberystwyth Morfa a Glais, Aberystwyth Rheidol, Llanbadarn Fawr, Faenor, Tirymynach, Borth a Ceulanmaesmawr)	Keith Henson Catrin M S Davies
Hywel Dda Community Health Council Joint Council for Wales	3 Members 1 Member, namely - Leader of the Council	Amanda Edwards Wyn Evans Elizabeth Evans Bryan Davies
Mid Wales Fire Authority	2 Members	Hag Harris Gwyn Wigley Evans Keith Henson
North and Mid Wales Trunk Road Authority	1 Member, namely: - Cabinet Member with responsibility for Highways and Environmental Services	
Parc Natur Penglais	2 Local Members	Mark Strong Alun Williams
Penllyn a'r Sarnau Special Area of Conservation WLGA	1 Member (representing the Council on conservation and marine issues) 2 Members, namely: - Leader of the Council Deputy Leader of the Council	Keith Henson Bryan Davies Alun Williams
WLGA Association Executive Board	1 Member, namely Leader of the Council	Bryan Davies

15 To receive a report from the Corporate Lead Officer for Democratic Services on the Schedule of Member Remuneration for 2022/23

Councillor Bryan Davies, Leader of the Council presented the report to Council.

The Council **RESOLVED** to note the following:

1. The payment of Basic and Senior Salaries as prescribed by the Independent Remuneration Panel, as set out in Schedule 1
2. Civic Salaries payable to the Chair and Deputy Chair of the Council, from 27th May 2022, to be £25,593 and £20,540 respectively
3. To note the Entitlement to Family Absence
4. To note the Contribution towards Cost of Care and Personal Assistance
5. Schedule of other payments as set out in Schedule 1

Following a vote, the Council **RESOLVED** to approve the following:

1. Continuation of the current practice of not making payments for travelling expenses whilst undertaking constituency duties
3. To continue with the opt-in monthly allowance scheme of a maximum of £10 to cover telephone, broadband and postage costs
4. To reflect the opt-in of this allowance in the Statement of Payments made to Members annually
5. Co-opted Members to be paid fees subject to a maximum equivalent to 10 full days for each committee to which an individual has been co-opted
6. To continue to publish the total amount reimbursed by the authority during the year but not attributed to any named Member in respect of the reimbursement of care
7. The 2022/2023 Schedule of Member Remuneration, subject to incorporating any amendments determined by the Council at this meeting and
8. To authorise the Corporate Lead Officer: Democratic Services to incorporate any such amendments prior to publication after the Annual Meeting to be held 27th May 2022.

Members agreed to defer a decision on paragraph 15.1 of the covering report relating to the requirement for prior approval for travelling out of County for meetings, conferences and training, for further consideration by the Democratic Services Committee.

Confirmed at the Meeting of the Council held on 7 July 2022

CHAIRMAN: _____

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**Minutes of the Annual General Meeting of CEREDIGION COUNTY COUNCIL
held at the Council Chamber, Penmorfa, Aberaeron and remotely on
Friday, 27th May, 2022**

PRESENT: Councillor Paul Hinge (Chairman), Councillors Bryan Davies, Catrin M S Davies, Clive Davies, Euros Davies, Gareth Davies, Gethin Davies, Ifan Davies, Marc Davies, Meirion Davies, Rhodri Davies, Steve Davies, Amanda Edwards, Endaf Edwards, Elaine Evans, Elizabeth Evans, Eryl Evans, Gwyn Wigley Evans, Keith Evans, Rhodri Evans, Wyn Evans, Hag Harris, Keith Henson, Geraint Wyn Hughes, Hugh R M Hughes, Chris James, Gwyn James, Ceris Jones, Maldwyn Lewis, Gareth Lloyd, Caryl Roberts, John Roberts, Wyn Thomas, Matthew Vaux and Carl Worrall

(2.00pm - 2.40pm)

Procedure

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

1 Apologies and personal matters

Councillors Sian Maehrlein, Mark Strong and Alun Williams apologised for their inability to attend the meeting

2 An address by Councillor Paul Hinge regarding his year as Chairman of the Council

Councillor Paul Hinge thanked all for their support during the past year including all Members, his Vice-Chairman Councillor Ifan Davies, his consort Angharad Lewis and the Chaplain Rev Richard Lewis.

In reflecting on his year in office, he referred to the various functions he had attended and stated that it had been a privilege to represent the Council on these occasions. These included the International Sheepdog trials in Aberystwyth, the Queen's Stage of the Tour de Britain race which started from Penmorfa, Aberaeron, the re-affirmation of the Ceredigion the Armed Forces Covenant on board HMS Tracker, the official opening of the Veterinary Science School at Aberystwyth University, and the 200th anniversary ceremony to commemorate the issue of the Royal Charter to Lampeter St David's University.

Councillor Paul Hinge thanked Officers for all their support in ensuring that meetings held remotely ran in a smooth manner, and that he was well supported during his year as Chairman.

3 Appreciation of the Council for the services of the retiring Chairman

Councillor Elizabeth Evans paid tribute to the Chairman, Councillor Paul Hinge for the excellent service provided by him during the 2021/22 Municipal Year, undertaking his role with great dignity and affording all Members with respect.

Councillor Ifan Davies presented Councillor Paul Hinge with a Former-Chairman Chain of Office and Plaque.

- 4 To elect Councillor Ifan Davies as Chairman of the Council for the ensuing Municipal Year**
It was proposed by Councillor Rhodri Evans and seconded by Councillor Keith Evans and unanimously **RESOLVED** that Councillor Ifan Davies be elected Chairman of the Council for the ensuing municipal year, 2022/23.
- 5 Declaration of Acceptance of Office by the Chairman, Councillor Ifan Davies**
The newly elected Chairman was presented with his Chain of Office and made his declaration of acceptance of office and addressed the Council. The Chairman's Consort, Mrs Iona Davies was presented with the Insignia of Office.
- 6 Address by the Chairman of the Council**
Councillor Ifan Davies thanked Councillor Paul Hinge for his hard work and commitment during the past year. He thanked Councillors Rhodri Evans and Keith Evans for their kind words and congratulated all Members on being elected to the Council and welcomed all the new Members.
- 7 To elect Councillor Maldwyn Lewis as Vice-Chairman of the Council for the ensuing Municipal Year**
It was proposed by Councillor Bryan Davies and seconded by Councillor Gareth Davies and unanimously **RESOLVED** that Councillor Maldwyn Lewis be elected Vice-Chairman of the Council for the ensuing municipal year.
- 8 Declaration of Acceptance of Office by the Vice-Chairman, Councillor Maldwyn Lewis**
The newly elected Vice-Chairman made his Declaration of Acceptance of Office and was presented with the Insignia of Office by the Chairman. The Vice-Chairman's Consort, the Reverend Carys Ann was presented with the Insignia of Office.
- 9 Notification of the appointment of the Chairman's Chaplain for the ensuing Municipal Year**
The Chairman, Councillor Ifan Davies confirmed Reverend Aled Wyn Lewis as his Chaplain for the ensuing Municipal Year.
- 10 Address by the Leader of the Council, Councillor Bryan Davies**
The Leader of the Council, Councillor Bryan Davies welcomed the Lord Lieutenant, the High Sheriff, Elin Jones AM, guests, officers and fellow Members to the meeting. He congratulated Councillor Ifan Davies on being elected Chairman, noting that this would be an important year for Ceredigion in welcoming the National Eisteddfod to Tregaron.

He noted his appreciation to the former Chairman, Councillor Paul Hinge for charring meetings with dignity and professionalism, and he welcomed the former Councillor, Rowland Rees-Evans back to the Chamber in his new role as High Sherriff. He thanked the former Leader, Ellen ap Gwynn and the former Deputy Leader Ray Quant MBE, noting that the new Cabinet was looking forward to being as transparent as possible and open to discussing ideas with all Members for the benefit of Ceredigion. He also thanked all

previous Members for their contributions in their local wards as well as the county as a whole.

He referred to the highlights during the previous administration, including the Growing Mid Wales partnership, the continuation of the Cylch Caron project and to the Arfor scheme. He noted that Ceredigion has led the way in recycling, and hoped that Ceredigion would also lead the way with carbon management. He noted that the last two years have been extremely challenging and thanked all Council staff, volunteers and various groups who have worked tirelessly to help the people of Ceredigion.

There are several projects on the horizon which will contribute to the economy, attracting and keeping young people in Ceredigion, making Ceredigion one of the best counties to live in and he noted that he is proud to be part of a team which works for the benefit of its residents.

11 Committee Membership 2022/23

It was **RESOLVED** to confirm the Membership of the Council's Committees in accordance with the list circulated at the meeting.

Confirmed at the Meeting of the Council held on 7 July 2022

CHAIRMAN: _____

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Julie Morgan AS/MS
Y Dirprwy Weinidog Gwasanaethau Cymdeithasol
Deputy Minister for Social Services



Llywodraeth Cymru
Welsh Government

19 May 2022

Dear Councillor,

As Deputy Minister for Social Services, supporting older people across Wales is a key part of my role. In April I published the delivery plan [Age Friendly Wales: Our Strategy for an Ageing Society](#). My flagship project for this strategy is the £1.1million of funding to local authorities to support the development of Age Friendly Communities across Wales. £50,000 of funding is being distributed to each authority with the primary aim of appointing a dedicated officer to take this work forward. This is a key commitment in our Programme for Government which runs until 2026.

The ultimate aim is for each local authority to join the World Health Organisation Network of Age Friendly Communities and Cities. Cardiff was the first to join this network based on their engagement with older people and their careful forward planning. I am keen to encourage other local authorities to join the network.

Having a dedicated officer in each local authority is fantastic step forward, however, these officers will benefit from the support of an **Age Friendly Champion** - an elected local councillor who can drive this agenda forward and act as a voice for older people in the Council Chamber. An Age Friendly Champion would ensure that the interests of older people are considered in all aspects of local authority activity, from housing to transport, community projects to health and social care – getting to grips with all the key issues that make a difference. We're all getting older, this is about planning for the future we all want, today.

As our newly elected local councillors settle into your new roles, I sincerely hope you will see this as an opportunity to step forward for this vital and exciting role. I have attached some information which explains the role of a Champion in more detail. Please contact my officials if you have any questions: olderpeopleandcarers@gov.wales. If helpful, we can link you with the dedicated Age Friendly officer in your area.

Yours sincerely

Julie Morgan AS/MS
Y Dirprwy Weinidog Gwasanaethau Cymdeithasol
Deputy Minister for Social Services

Canolfan Cyswllt Cyntaf / First Point of Contact Centre:
0300 0604400

Bae Caerdydd • Cardiff Bay
Caerdydd • Cardiff
CF99 1SN

Gohebiaeth.Julie.Morgan@llyw.cymru
Correspondence.Julie.Morgan@gov.wales

Rydym yn croesawu derbyn gohebiaeth yn Gymraeg. Byddwn yn ateb gohebiaeth a dderbynnir yn Gymraeg yn Gymraeg ac ni fydd gohebu yn Gymraeg yn arwain at oedi.

We welcome receiving correspondence in Welsh. Any correspondence received in Welsh will be answered in Welsh and corresponding in Welsh will not lead to a delay in responding.

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Panel Maethu Ceredigion | Ceredigion Fostering Panel

Porth Ceredigion

Ceredigion Fostering Panel Member Description

Ceredigion County Council Fostering Service is seeking expressions of interest for an Independent Fostering Panel Members. We particularly welcome applicants who have been adopted and/or fostered themselves as well as applicants with professional or personal experience of social care, social care, medical and or educational background.

Applicants who are Ceredigion Council Employees will not be considered.

Venue: Fostering Panels are currently held virtually, however there will be a requirement for some face-to-face meetings in one of Ceredigion County Council's offices.

Hours: One panel a month 9.30 – 3.30 on a Thursday (3rd of every month)

Panel Members are "appointed person" who exercises their functions independently. Therefore, they do not have an employee status but are required to have worker status to enable the processing of payment and the necessary PAYE/NIC by Ceredigion County Council, who is liable to operate this system on taxable earnings due to HMRC Off Payroll Working Rules (IR35). Panel members will be required to provide their bank details to enable payment of fees.

Independent Panel Members who hold self-employed business status can undertake this role but will also be subject to HMRC Off Payroll Working Rules (IR35).

It is the appointed Chairs responsibility to deal with any queries or changes in PAYE status via HMRC.

Role Description

1. To read the circulated papers carefully before the meeting, to attend the meeting, to be prepared to raise issues and to contribute to the panel discussion.
2. To take responsibility for participating in the making of a recommendation on each case, drawing on both personal and professional knowledge and experience.
3. To attend at least 75% of meetings of the panel.
4. To be prepared to attend additional panels where possible, if requested.
5. To participate, with other panel members, in advising on policy and procedural matters as required.
6. To address diversity issues and promote anti-discriminatory practice.
7. To safeguard the confidentiality of all panel papers discussions.
8. To participate in panel induction and in panel training, which will be at least one day per year.
9. To participate constructively in the annual review of the panel membership.

10. To raise with the Panel Chair any personal knowledge of anyone being discussed at panel. Be prepared to withdraw from the meeting for a particular item if there is a conflict of interest identified.

Person Specification

Experience and qualifications

- Experience, either professionally or personally or both, of the placement of children in foster families or of children being cared for away from their birth family.
- A social work qualification will be necessary for certain panel members.

Knowledge

- An appreciation of the effect of separation and loss on children.
- Awareness of the richness of different kinds of families and their potential for meeting children's needs
- Some understanding of the purpose and function of the panel and of the agency which the panel is serving, or willingness to learn

Abilities

- Good listening skills and communication skills
- The ability to read, process and analyse large amounts of complex and sometimes distressing information.
- The ability to make an assessment and to form a view, based on the written and verbal information presented to panel, and the confidence to articulate this at panel.
- The ability to use personal and/or professional knowledge and experience to contribute to discussions and decision making in a balanced and informed manner.
- The ability to work cooperatively as part of a multi-disciplinary team
- The ability to attend panel meetings, as required, arriving on time, and to attend at least one training day each year.

Attitudes

- A commitment to keeping children within their own family or community where this is possible and to maintaining contact between children living in foster families and their birth families where this appears to be in the child's best interest.
- A commitment to fostering as a way of meeting a child's needs where this appears to be in the child's best interests.
- A commitment to safeguarding and promoting children's welfare in foster care.
- A valuing of diversity in relation to issues of ethnicity, religion, gender, disability, and sexuality.
- An understanding of, and a commitment to, the need for confidentiality.

A Successful candidate will receive

- a full induction
- a paid fee, £100 per Panel Day (expected to be available from 9 to 5 and fee includes reading time before panel) and mileage payable (up to a 50-mile radius). If required to come in for face-to-face panel.

Please forward your CV along with the name and details of a referee from your most recent employment/agency to:

Corporate Manager – Direct Services
email: Nerys.Lewis2@ceredigion.gov.uk

An enhanced disclosure check with the Disclosure and Barring Service will be undertaken for this role.

Closing Date: 12 June 2022

If your CV highlights you have the experience and skills to undertake this role then you will be invited to interview

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HK/MLW

18 Mai / May 2022

Mr Eifion Evans
Prif Weithredwr
Cyngor Sir Ceredigion
Neuadd Cyngor Ceredigion
Penmorfa
ABERAERON
Ceredigion
SA46 0PA

Annwyl Mr Evans,

CYNYRYCHOLAETH LLYWODRAETH LEOL AR GYRFF ALLANOL

Bob tair blynedd, byddwn yn ysgrifennu at gyrff allanol a gynrychiolir ar Gyngor Cyngor Llyfrau Cymru er mwyn cadarnhau'r gynrychiolaeth.

Eich cynrychiolydd presennol yw:

Y Cyngorydd Lynford Thomas, Talfryn, Ystrad Aeron, Felinfach, LLANBEDR PONT STEFFAN, Ceredigion SA48 7PG.

Gan nad yw'r cynghyrdd uchod bellach wedi'i ethol, dyma wahoddiad i chi enwi aelod etholedig o'r Cyngor Sir i wasanaethu ar y Cyngor. Cynhelir y cyfarfod nesaf ar 25 Gorffennaf.

Dear Mr Evans,

LOCAL AUTHORITY REPRESENTATIVES ON OUTSIDE BODIES

Every three years we are required to write to all outside bodies represented on the Books Council of Wales' Council in order to invite representation.

Your present representative is:

Councillor Lynford Thomas, Talfryn, Ystrad Aeron, Felinfach, LAMPETER, Ceredigion SA48 7PG.

As the person above is no longer elected, this is therefore an invitation for you to nominate an elected representative to serve on the Council. The next meeting is on 25 July.

Yn gywir iawn / *Yours sincerely,*

HELGARD KRAUSE
Prif Weithredwr / *Chief Executive*

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CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 8th July 2022

Title: Recommendations of the Democratic Services Committee in relation to the matters deferred by Council in relation to the Members' Schedule of Remuneration 2022/23

Purpose of the report: To consider the recommendations of the Democratic Services Committee in relation to the matters deferred by Council in relation to the Members' Schedule of Remuneration 2022/23

For: Decision

Cabinet Portfolio and Cabinet Member: Councillor Bryan Davies
Leader of the Council and Cabinet Member for Democratic Services, Policy, Performance and Partnerships

Introduction

The Council is required to produce its Members' Schedule of Remuneration on an annual basis in order to exercise of the powers conferred by the Local Government (Wales) Measure 2011 (the Measure) and as amended by Sections 62 to 67 of the Local Government (Democracy) (Wales) Act 2013; Independent Remuneration Panel for Wales Regulations. In addition, the Schedule must meet the requirements of the Independent Remuneration Panel's Annual Report.

The Members' Schedule of Remuneration for 2022/23 was presented to the Council on 20th May 2022. Council approved the Schedule, save for the following, which it was agreed would be deferred for further consideration by the Democratic Services Committee:

- Paragraph 8; bullet point 6 and 7 of the covering report –
“In line with the Local Government and Elections Act 2021, the Council will be holding hybrid meetings which means that not all Councillors will need to be present in the Council Chamber in order to attend meetings. Those that are not members of the respective Committee or are specifically invited to attend, should attend meetings remotely.

In person attendance at conferences, seminars, external meetings and training events must receive prior authorisation from the Corporate Lead Officer, Democratic Services.”

- Paragraph 15.1 of the Schedule – “Overnight stays will only be permitted where the Authority's business extends to two days or more, or the venue is at such a distance that early morning or late night travel would be

unreasonable. All overnight stays must receive prior authorisation from the Corporate Lead Officer: Democratic Services.”

Democratic Services Committee

The Democratic Services Committee met on 17th June 2022 to consider the matters deferred by the Council on 20th May 2022. The report is attached in Appendix A.

Following discussion, it was agreed to recommend to Council the following amendments, which are noted in bold below:

- Paragraph 8; bullet point 6 and 7 of the covering report:

“In line with the Local Government and Elections Act 2021, the Council will be holding hybrid meetings which means that not all Councillors will need to be present in the Council Chamber in order to attend meetings. Those that are not members of the respective Committee or are specifically invited to attend, **are encouraged to attend meetings remotely.**

In person attendance at conferences, seminars, external meetings and training events **should liaise with the Corporate Lead Officer, Democratic Services in order to ensure that there is provision in the budget and that there is a need to attend in person.**”

- Paragraph 15.1 of the Schedule – No changes were recommended to this paragraph as it has been included in the Members’ Schedule of Remuneration since 2017.
- Schedule 2, Approved duties, first paragraph to be amended as follows, in line with paragraph 8, bullet point 7 of the covering report:

Councillors should liaise with the Corporate Lead Officer: Democratic Services if they intend to claim travelling and expenses costs for in person attendance at conferences, seminars, out of county meetings and training events, to ensure that there is provision in the budget and that there is a need to attend in person.”

Timescales and statutory requirements

There is a statutory requirement to approve the Members’ Schedule of Remuneration by the end of July, to publish it online and to submit it formally to the Independent Remuneration Panel for Wales.

In addition, Members’ Allowance Payments are published online annually and also submitted to the Independent Remuneration Panel for Wales.

Wellbeing of Future Generations:	Has an Integrated Impact Assessment been completed? If, not, please state why	Not required – not a service change.
	Summary:	

Long term: N/A
Integration: N/A
Collaboration: N/A
Involvement: N/A
Prevention: N/A

Recommendation(s): **That Council approves the following amendments to the Members' Schedule of Remuneration 2022/23:**

a) Paragraph 8; bullet point 6 and 7 of the covering report:

"In line with the Local Government and Elections Act 2021, the Council will be holding hybrid meetings which means that not all Councillors will need to be present in the Council Chamber in order to attend meetings. Those that are not members of the respective Committee or are specifically invited to attend, **are encouraged to** attend meetings remotely.

In person attendance at conferences, seminars, external meetings and training events **should liaise with the** Corporate Lead Officer, Democratic Services **in order to ensure that there is provision in the budget and that there is a need to attend in person."**

b) Schedule 2, Approved duties, first paragraph to be amended as follows, in line with paragraph 8, bullet point 7 of the covering report:

Councillors should liaise with the Corporate Lead Officer: Democratic Services if they intend to claim travelling and expenses costs for in person attendance at conferences, seminars, out of county meetings and training events, **to ensure that there is provision in the budget and that there is a need to attend in person."**

Reasons for decision: **To enable the amendments to be made to the Members' Schedule of Remuneration 2022/23 and that the Council meets its statutory duties.**

Overview and Scrutiny: N/A

Considered by the Democratic Services Committee, 17th June 2022

Policy Framework:

- Independent Remuneration Panel for Wales Determinations;
- Council's Constitution.

Corporate Priorities:	N/A
Finance and Procurement implications:	Budget implications for increased Members' travel costs
Legal Implications:	None
Staffing implications:	None
Property / asset implications:	None
Risk(s):	Financial risks; Not meeting the Council's Carbon Management targets
Statutory Powers:	<ul style="list-style-type: none"> • Local Government and Elections Act 2021; • Local Government Wales Measure 2011 and as amended by Sections 62 to 67 of the Local Government (Democracy) (Wales) Act 2013; • The Independent Remuneration Panel for Wales Regulations.
Background Papers:	<ul style="list-style-type: none"> • Report to Democratic Services Committee, 17th June 2022; • Council minutes, 20th May 2022; • Report to Council, 20th May 2022; • The Independent Remuneration Panel for Wales Annual Report dated February 2022.
Appendices:	Appendix A – Report to Democratic Services Committee, 17 th June 2022
Corporate Officer:	Lead Lowri Edwards Corporate Lead Officer: Democratic Services
Reporting Officer:	Lowri Edwards
Date:	17 th June 2022

CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 8th July 2022

Title: Protocols for Attendance at Local Authority Meetings and Electronic Broadcasts of Meetings

Purpose of the report: To consider the draft Protocols for Attendance at Local Authority Meetings and Electronic Broadcasts of Meetings

For: Decision

Cabinet Portfolio and Cabinet Member: Councillor Bryan Davies
Leader of the Council and Cabinet Member for Democratic Services, Policy, Performance and Partnerships

Introduction

The Local Government and Elections (Wales) Act 2021 requires councils to make and publish arrangements in relation to hybrid meetings and the broadcasting of proceedings.

A draft protocol has been prepared (Appendix A) for consideration. It is expected that the protocol be updated as we use the hybrid system and we install phase 2 of the system and as we learn from our experiences.

The draft protocols were considered by the Democratic Services Committee at its meeting on 17 June 2022, and it was recommended for approval by Council.

	Has an Integrated Impact Assessment been completed? If, not, please state why	Not required – not a service change.
Wellbeing of Future Generations:	Summary:	
	Long term:	N/A
	Integration:	N/A
	Collaboration:	N/A
	Involvement:	N/A
	Prevention:	N/A

Recommendation(s): That Council approves the protocols as set out in Appendix A

Reasons for decision: To agree the protocols for publishing on the Council's Website

Overview and Scrutiny:	N/A Considered by the Democratic Services Committee, 17 th June 2022
Policy Framework:	<ul style="list-style-type: none"> Local Government and Elections (Wales) Act 2021
Corporate Priorities:	N/A
Finance and Procurement implications:	Budget implications for increased Members' travel costs
Legal Implications:	None
Staffing implications:	None
Property / asset implications:	None
Risk(s):	Not meeting the requirements of the legislation
Statutory Powers:	<ul style="list-style-type: none"> Local Government and Elections Act 2021;
Background Papers:	
Appendices:	Appendix A
Corporate Lead Officer:	Lowri Edwards Corporate Lead Officer: Democratic Services
Reporting Officer:	Lowri Edwards
Date:	30 th June 2022



Protocols for Attendance at Local Authority Meetings and Electronic Broadcasts of Meetings

May 2022

Fersiwn: Version	Dyddiad: Date	Natur y diweddariad: Nature of update:
V1	05/05/2022	First draft



Content

Section	Information
0.0	Introduction – purpose of the document
1.0	Attendance in Person or Remotely
1.1	Invitation to join the meeting remotely
1.2	Electronic Broadcasting of meetings
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1.4	Filming the meeting
1.5	Confirmation of the speaker
1.6	Quorum
1.7	Member participation
1.8	Voting
1.9	Declarations of interest
1.10	Translation
1.11	Notice of Meetings
1.12	Exclusion of Public and Press
1.13	Terminating the meeting
1.14	Revising or replacing arrangements in relation to Attendance and Electronic Broadcasting of meetings
1.15	Arrangements relating to Joint Committees

Introduction - Purpose of document

The Local Government and Elections (Wales) Act 2021 (LG&EW2021), Section 47 requires principal councils to make and publish arrangements for the purpose of ensuring that from 5 May 2022, that local authority meetings are able to be held by means of any equipment or other facility which enables persons who are not in the same place to attend the meetings, to speak to and be heard by each other, and in the case of meetings to be broadcast (under Section 46 of the regulations), to speak and be heard by each other and to see and be seen by each other.

In addition, the LG&EW2021, Section 46 requires principal councils to make and publish arrangements for the purpose of ensuring that from 5 May 2022-

- (a) a broadcast of proceedings at a meeting to which subsection (2) applies is available electronically so that members of the public not in attendance at the meeting can see and hear the proceedings;*
- (b) the proceedings are broadcast as they take place, subject to any specified exceptions;*
- (c) the broadcast is available electronically for a specified period after the meeting.*

This subsection applies to proceedings at a meeting, or any part of a meeting, which is open to the public of—

- (a) a principal council;*
- (b) any of the following specified bodies—*
 - (i) the executive of a principal council;*
 - (ii) a committee or sub-committee of an executive of a principal council;*
 - (iii) a committee or sub-committee of a principal council;*
 - (iv) a joint committee, or a sub-committee of a joint committee, of two or more principal councils.*

The Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020 which came into force on 22 April 2020 made provision in relation to local authority meetings, as a result of the covid-19 outbreak. The regulations related to participation at meetings held between 22 April 2020 and 1 May 2021. As a result of these regulations, all Ceredigion County Council meetings open to the public were held remotely, and the Council and Cabinet meetings were broadcasted as they took place, and made

available electronically for a specified period after the meeting. These arrangements have continued and will form the basis for the arrangements post 5 May 2022.

In addition to the current arrangements, Ceredigion County Council will also implement hybrid style meetings from 5 May 2022, whereby Members, Officers and the public are able to attend meetings remotely or in person.

This protocol has been created, in line with the LG&EW2021 Act to provide a guide as to the implementation of the Regulations and to outline the process to apply to the public meetings of Ceredigion County Council, and sets out the practical issues that will need to be addressed in relation to protocols for hybrid meetings. It is based on the principle of full or partial remote attendance so long as persons who are not in the same place are able to speak to, and be heard by, other participants, and in the case of meetings that are broadcasted to also see and be seen by each other.

Underpinning this Protocol are the fundamental principles that conduct shall be compliant with the Code of Conduct for Members and that the integrity and security of any confidential information is maintained.

The objective will be to make hybrid meetings as close as possible to the Council's usual meetings practice which will follow normal procedural rules in the Constitution where possible.

1.0 Attending in person or remotely

Members, Officers and members of the public will be able to attend meetings of the Council that are open to the public in person at the Council's Penmorfa Offices, Aberaeron or remotely (wherever possible).

Please note that attendance in person may be subject to limitations on numbers due to space and any regulations that may be in place at that time, such as the 2 metre social distances regulations or guidance. In person meetings may also be suspended at any time should regulations or guidance deem it necessary due to COVID-19.

Priority will be given to Committee Members, Officers presenting or advising on reports, facilitating officers, translators and members of the public addressing the committee.

1.1 Invitation to join the meeting remotely

Councillors

Councillors will be sent an electronic link for each individual meeting. This link must not be shared with any other person.

Members of the public

Members of the public who wish to attend a meeting remotely, should contact Democratic Services at least 1 hour prior to the commencement of the meeting to request a link to the meeting. We cannot guarantee that later requests will be processed, as Officers will be involved in setting up the meetings, or minute taking once the meeting has commenced. Please e-mail your request to: democracy@ceredigion.gov.uk or telephone CLIC on 01545 570881.

The electronic meeting will be open to Members and those that will be addressing the meeting 30 minutes before the start of the meeting. Members are requested to join the meeting at least 15 minutes prior to the time of commencement in order to check that everyone is able to participate. Access to simultaneous translation will be checked prior to the commencement of the meeting.

1.2 Electronic broadcasts of meetings

Meetings of the full Council and Cabinet will be broadcasted as they take place in order that members of the public not in attendance in person or remotely can see and hear the proceedings, subject to the following exceptions:

- consideration of exempt / confidential information (para 1.12)
- the discretion of the Chair to terminate the meeting (para 1.13)

The broadcasting will be available electronically for a period of up to 6 years following the meeting.

1.3 Preparations in advance of the meeting

Committee Members are asked to confirm the following information with the Meeting Facilitator prior to the date of the meeting:

- Attendance / apologies
- Whether they wish to attend in person or remotely
- Declarations of interest
- Any personal matters that they wish to submit
- Non-Committee Members must notify the Chair and facilitator in advance if they are aware in advance that they wish to speak on a specific agenda item

Members of the public address the following committees, (subject to the terms of reference for addressing said committee as published in the Council's Constitution):

- a) Overview and Scrutiny Committees
- b) The Development Control Committee

must contact Democratic Services by mid-day, two days prior to the meeting, confirming the following:

- a) the committee that they will be addressing, and the agenda item
- b) whether they wish to attend in person or remotely
 - (i) if attending remotely, an e-mail address in order for the link to be sent.

1.4 Filming the Meeting

The Chair will remind everyone at the commencement that the proceedings of the meeting that the Council and Cabinet meetings will be filmed for live or subsequent broadcast via the Council's internet site and in the archive record of the meeting. The images and sound recording may also be used for training purposes within the Council.

All Council Members participating in the Council and Cabinet meetings will be seen and heard during said meeting.

For all other meetings that are open to the public, the legislation requires that Members are able to speak to and be heard by each other. However, the hybrid system does allow for those present at the meeting to see and be seen by each other in addition to the requirement to speak to and be heard by each other. Members of the public addressing an Overview and Scrutiny Committee, or Development Control Committee

will be visible and audible to all those attending the meeting during their presentation only, whether in person or remotely, however as these meetings are not broadcast this will not be available to the general public in the broader sense as per the Council and Cabinet meetings.

1.5 Confirmation of the speaker

Normally, the Chair will invite those present to speak by their full name. However, if the speaker has not been introduced, it is recommended that each individual introduce themselves with their full name before speaking, in order that participants and minute takers are in no doubt who is speaking.

1.6 Quorum

The normal quorum requirements for meetings as set out in the Authority's Constitution will also apply to a hybrid meeting.

In the event of any apparent failure of a Member's video, or conferencing connection, the Chair should immediately determine if the meeting is still quorate:

- if it is, then the business of the meeting will continue; or
- if there is no quorum, then the meeting shall adjourn for a period specified by the Chair, expected to be no more than ten or fifteen minutes, to allow the connection to be re-established.
- Should any aspect of a Member's remote participation fail, the Chair may call a short adjournment of up to five minutes or so to determine whether the connection can quickly be re-established. If the connection is not restored within that time, the meeting should continue to deal with the business whilst this happens, providing the meeting remains quorate.
- In the event of connection failure, the remote Member(s) will be deemed to have left the meeting at the point of failure and if the connection cannot be re-established to those Member(s) before the end of the meeting, then the presumption will be that the meeting should continue to deal with the item/s.

- If the connection is successfully re-established, then the remote Member(s) will be deemed to have returned at the point of re-establishment.

If the connection cannot be restored within a reasonable time, the meeting will proceed, but the Member who was disconnected will not be able to vote on the matter under discussion as they would not have heard all the facts.

1.7 Member participation

Members of the relevant committee will be asked in turn for their contribution to an item by the Chairman.

Members should be able to speak to and be heard by each other. Where meetings are broadcasted, Members will also need to be seen and to see each other.

The facilitator will have provided a list to the Chair of non-Committee Members who wish to speak on specific agenda – in the order they were received. If any matters arise during the discussion, non-Committee Members will need to alert the Chairman that they wish to speak, by pressing the ‘Speak’ button on the delegate microphone system if attending in person, and similarly the ‘Speak’ button on screen if attending remotely.

1.8 Voting

Details of how Members voted will not be kept or minuted unless a Recorded Vote is called. Where a Recorded Vote is requested, the Chair will call the names of all Committee Members present, alphabetically, and Members will be required to confirm verbally their vote.

Members need to ensure that they are able to remain on-line throughout debates and during voting in order to maintain the integrity of the decision-making process and to reduce the opportunity for legal challenge of any decision.

1.9 Declaration of interest

Wherever possible, declarations in any item of business must be made in advance of the meeting, and in any case under the “Personal and/or prejudicial Interests” agenda item. Members must declare their interest verbally during the meeting. Members must state the agenda item which their declaration relates to, and stipulate whether their declaration is ‘personal’ or ‘personal and prejudicial’. Members who declare a ‘personal and prejudicial’ interest will leave the Council Chamber (if attending in person), or leave the meeting if attending remotely for the duration of the discussion on said agenda item. Members should also confirm if they have been given dispensation to speak or to speak and vote, as this would allow Members to remain in the meeting.

Where it becomes apparent during the meeting that a Member will need to declare a disclosable interest after the Personal and /or Prejudicial Interest agenda item has passed, he/she must immediately notify the Chair by selecting the ‘Speak’ button and when invited to speak, to verbally declare as above.

1.10 Translation

A translation facility will be provided which can be accessed by selecting the appropriate language via the ‘Interpretation’ button on the screen, or by using the headphones provided if attending in person. The simultaneous translator will turn the translation option on and off as required during the meeting as the committee changes from speaking Welsh to English, therefore individuals attending in person or remotely will not need to change the choice of language once set prior to the commencement of the meeting.

It is recommended that Members using the translation facility allow plenty of time to ensure that they the correct settings prior to the commencement of the meeting.

1.11 Notice of Meetings

Public notice of the time of the meeting will be given by publication on the Council's website at least three clear days before the meeting or, if the meeting is convened at shorter notice, then as soon as reasonably practicable. A monthly schedule of meetings is also published on the Council's Facebook page.

1.12 Exclusion of Public and Press

There are times when council meetings are not open to the public, when confidential, or "exempt" issues (as defined in Schedule 12A of the Local Government Act 1972) are under consideration. Members will be reminded that the item is an exempt report and if they wish to discuss the content of the exempt report, members of the public and press will be asked to leave the Council Chamber if attending in person, or to leave the meeting if attending remotely.

The meeting Facilitator will ensure that there are no members of the public in remote attendance or in person that are able to hear or see the proceedings once the exclusion has been agreed by the meeting. Live streaming of the meeting will be suspended temporarily.

Each Member in remote attendance must ensure that there are no other persons present with them who are not entitled to be present (either hearing or seeing), or to have access to such exempt items, and/or recording of the proceedings. Any Member in remote attendance who failed to disclose that there were in fact persons present who were not so entitled would, in our view be deemed to be in breach of the Members' Code of Conduct.

1.13 Terminating filming of the Meeting

The Chair has the discretion to terminate or suspend filming, if, in his/her opinion continuing to do so would prejudice the proceedings or that continued filming might infringe the rights of any individual.

1.14 Revising or replacing arrangements in relation to Attendance and Electronic Broadcasting of meetings

Any revisions or replacement to the arrangements in relation to Attendance and Electronic Broadcasting of meetings will be published on the Council's website.

1.15 Arrangements relating to Joint Committees

Protocols relating to the arrangements for Attendance and Electronic Broadcasting of Joint Committees will be published separately.

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CEREDIGION COUNTY COUNCIL

Report to: Full Council

Date of meeting: 7/07/2022

Title: Application to Register Land as a Village Green at Erw Goch field adjoining Hafan y Waun, Waunfawr, Aberystwyth (Section 15, Commons Act 2006)

Purpose of the report: To authorise a procedure for determining an application to register land as a Village Green.

For: Decision

**Cabinet Portfolio and Member for Economy and Regeneration
Cabinet Member:**

1. Background

On the 24th February 2021 an application was received by the County Council as Registration Authority to register land at Erw Goch Field, Land, adjoining Hafan y Waun, Waunfawr, Aberystwyth, Ceredigion, SY23 3AY (“the Land”) on the Register of Town or Village Greens (under Section 15 of the Commons Act 2006).

The Land subject to the application is shown in the application in Appendix 1. The application was supported by a statutory declaration and the submission of a bundle of supporting evidence comprising of letters, photographs, emails and social media messages gathered by the Applicant from the local community.

The Land is within the ownership of Ceredigion County Council. The Land also forms part of a planning application for residential development and associated works including public open space/play provision, a new spine road from Cefnesgair to Waunfawr Road, engineering and drainage arrangements, ecological mitigation, landscaping and associated works (planning ref A201067). Decision on the planning application was deferred in order to receive the resolution of the Village Green application in a meeting of the Development Control Committee 14th July 2021.

Independent legal advice was sought by the Council acting as Registration Authority for advice on the applicable process for dealing with the application to register the Land as a Town or Village Green.

In order to avoid potential conflicts of interest, there is a separation of roles within relevant services. This report is prepared and submitted by the Council in its capacity as Registration Authority under the Commons Registration Act 1965 and Commons Act 2006.

The application to register the Land as town or Village Green, when received was deemed not to have been made fully in accordance with the applicable legislation and further details were requested and the application was formally accepted on the 20th May 2021.

A Town or Village Green is land which is subject to the right of local inhabitants to enjoy general recreational activities on it.

Under Section 15 of the Commons Act 2006, successful claims to register land as a Town or Village Green need to show that a significant number of inhabitants of a locality, or neighborhood within a locality, have indulged in lawful sports and pastimes 'as of right' (i.e. without permission, force or secrecy) for at least 20 years, and they continue to do so at the time of the application.

The effect of an application for the registration of land as a Town or Village Green may be that the land is protected. Town or Village Greens registered under the twenty year rule enjoy the same level of protection as ancient or statutory greens. In many cases, applications to register land as a Town or Village Green are made by local residents in an attempt to protect land, e.g. from encroachment or enclosure, or to secure as of right an open space in the village for communal activity.

In accordance with The Commons (Registration of Town or Village Greens) (Interim Arrangements) (Wales) Regulations 2007 the application was allotted a distinguishing number (VG 22).

2. Consultation

Section 5 of the The Commons (Registration of Town or Village Greens) (Interim Arrangements) (Wales) Regulations 2007 outlines the procedure in relation to applications to which section 15(1) of the Commons Act 2006 applies.

On the 23rd June 2021 the Registration Authority sent a notice in form 45 to every person (other than the applicant) believed to be an owner, lessee, tenant or occupier of any part of the land affected by the application.

Notice was published in the Cambrian News (appendix 2) and also affixed to fences/posts and gateposts at entry points onto the land in question.

During the consultation period a request was received from external solicitors acting on behalf of Ceredigion County Council as landowner for an extension of time to respond. Following independent legal advice an extension was agreed and all parties were notified that the closing date for submissions would be the 30th

September 2021.

3. Response to consultation

Submissions in support of the application

In total a further 184 individual submissions were received by the Council as Registration Authority either directly via Clic or from Friends of Erw Goch, a group established to support the application for registration of a Town or Village Green. The submissions included photographs, letters, emails and formal evidence questionnaires from local residents and elected officials.

Submissions opposed to the application

The Council as landowner submitted an objection to the application for registration of the Land as Town or Village Green via external solicitors.

4. Applicants comments on objections

The Commons (Registration of Town or Village Greens) (Interim Arrangements) (Wales) Regulations 2007 states that the Registration Authority must send the applicant a copy of every statement it has received or intends to consider and provide the Applicant a reasonable opportunity of dealing with the matters contained within.

All submissions received by the Registration Authority were sent to the Applicant on the 18th November 2021, 21st November 2021 and the 10th February 2022. An original deadline for response of the 17th January 2022 was extended to the 17th February 2022 on the request of the Applicant.

The Applicant submitted their final comments to the Registration Authority via email on the 16th February 2022.

5. Procedure for Determination

There are no formal procedures in place for determining applications for the registration of Town or Village Greens.

Paragraph 42 of Welsh Government guidance notes (appendix 3) on the completion of an application for the registration of land as a Town or Village Green states:

“A hearing or an inquiry is particularly likely if the Registration Authority or another Authority owns the land, so that the evidence may be tested impartially. The Court of Appeal has ruled that in determining applications where there is a dispute the

Registration Authority should consider convening such a hearing or inquiry”.

In order to consider the merits of the application and the application of law, it is proposed that a Barrister now be appointed to consider the application on behalf of the Council as Registration Authority. This approach was also taken in respect to previous applications to register Village Greens at Silian, Cardigan (Maesglas) and Tal-y-bont (Maes y Deri).

The Barrister will be asked to advise on the merits of the application and subject to that advice, hold a public inquiry or such other formal process as the Barrister advises is appropriate to determine the application and subsequently provide a written report on the findings of the application and the Barrister’s recommendations on whether the Council as Registration Authority should accede or reject the application.

Consideration by an independent assessor provides a fair and even-handed way of assessing the issues and providing a detailed legal view of the evidence.

The Barrister’s findings would be reported back to the Council for final decision on this matter.

Has an Integrated Impact Assessment been completed? If, not, please state why	N/A – this is not a policy or service change
--	--

Wellbeing of Future Generations:

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

Recommendation(s):

- a. that the Council authorises the appointment of a Barrister to act as an independent assessor;
- b. that the Barrister advises on the merits of the application for registration of the Land as Town or Village Green;
- c. subject to the advice provided in (b), that the Barrister hold a Public Inquiry or such other hearing as advised by the Barrister, the findings of which and recommendation will be reported back to the Council for decision on the application to register the Town or Village Green.

Reasons for decision: To enable fair and transparent consideration of the application, bearing in mind that there are no formal provisions in place for the determination of applications for the registration of Town or Village Greens.

Overview and Scrutiny: N/A

Policy Framework: Ceredigion Rights of Way Improvement Plan (2019-2029)

Corporate Priorities: Boosting the Economy
Promoting Environmental and Community Resilience

Finance and Procurement implications: N/A

Legal Implications: Commons Act 2006
The Countryside Access (Local Access Forums) (Wales) Regulations 2001

Staffing implications: N/A

Property / asset implications: N/A

Risk(s): N/A

Corporate Officer: **Lead** CLO Highways & Environmental Services on behalf of Economy & Regeneration Service

Reporting Officer: Eifion Jones

Date: 7/07/2022

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Commons Act 2006: Section 15

Application for the registration of land as a Town or Village Green

Official stamp of registration authority indicating valid date of receipt:

Application number:

Register unit No(s):

VG number allocated at registration:

(CRA to complete only if application is successful)

Applicants are advised to read the 'Guidance Notes for the completion of an Application for the registration of land as a Town or Village Green' and to note the following:

- All applicants should complete questions 1 to 6 and 10 and 11.
- Applicants applying for registration under section 15(1) of the 2006 Act should, in addition, complete questions 7 and 8 as appropriate. Section 15(1) enables any person to apply to register land as a green where the criteria for registration in section 15(2), (3) or (4) apply.
- Applicants applying for the voluntary registration under section 15(8) should, in addition, complete question 9.

1. Registration Authority

Note 1
Insert name of registration authority.

To the

Ceredigion County Council, Canolfan Rheidol,
 Rhodfa Padarn, Aberystwyth, Ceredigion,
 SY23 3UE

Note 2

If there is more than one applicant, list all names. Please use a separate sheet if necessary. State the full title of the organisation if a body corporate or unincorporate.

If question 3 is not completed all correspondence and notices will be sent to the first named applicant.

Note 3

This question should be completed if a solicitor is instructed for the purposes of the application. If so, all correspondence and notices will be sent to the person or firm named here.

2. Name and address of the applicant

Name:

Full postal address:

Telephone number:
(incl. national dialling code)

Fax Number:
(incl. national dialling code)

E-mail address:

3. Name and address of solicitor, if any

Name:

Firm:

Full postal address:

Telephone number:
(incl. national dialling code)

Fax Number:
(incl. national dialling code)

E-mail address:

Note 4

For further advice on the criteria and qualifying dates for registration please see section 4 of the Guidance Notes.

** Section 15(6) enables any period of statutory closure where access to the land is denied to be disregarded in determining the 20 year period.*

4. Basis of application for registration and qualifying criteria

If you are the landowner and are seeking voluntarily to register your land please tick this box and move to question 5.

Application made under **section 15(8)**:

If the application is made under **section 15(1)** of the Act, please tick one of the following boxes to indicate which particular subsection and qualifying criterion applies to the case.

Section 15(2) applies:

Section 15(3) applies:

Section 15(4) applies:

If **section 15(3) or (4)** applies, please indicate the date on which you consider that use as of right ended.

If **section 15(6)*** applies please indicate the period of statutory closure (if any) which needs to be disregarded.

<p>Note 5 <i>The accompanying map must be at a scale of at least 1:2,500 and show the land by distinctive colouring to enable it to be clearly identified.</i></p> <p><i>*Only complete if the land is already registered as common land.</i></p> <p>Note 6 <i>It may be possible to indicate the locality of the green by reference to an administrative area, such as that of a community or town council, electoral ward or other area sufficiently defined by name (such as a village or street). If this is not possible, a map should be provided on which a locality or neighbourhood is marked clearly.</i></p>	<p>5. Description and particulars of the area of land in respect of which application for registration is made</p> <p>Name by which usually known:</p> <div style="border: 1px solid black; padding: 2px;">Erw Goch Field</div> <p>Location:</p> <div style="border: 1px solid black; padding: 2px;">Land adjoining Hafan y Waun, Waunfawr, Aberystwyth, SY23 3AY</div> <p>Shown in colour on the map which is marked and attached to the statutory declaration.</p> <p>Common land register unit number (if relevant) * <input style="width: 100px; height: 15px;" type="text"/></p>
	<p>6. Locality or neighbourhood within a locality in respect of which the application is made</p> <p>Please show the locality or neighbourhood within the locality to which the claimed green relates, either by writing the administrative area or geographical area by name below, or by attaching a map on which the area is clearly marked:</p> <div style="border: 1px solid black; padding: 2px;">Waunfawr & Llanbadarn, Aberystwyth. Electoral Wards Faenor & Padarn</div> <p>Tick here if map attached: <input type="checkbox"/> <input type="checkbox"/></p>

Note 7

Applicants should provide a summary of the case for registration here and enclose a separate full statement and all other evidence including any witness statements in support of the application.

This information is not needed if a landowner is applying to register the land as a green under section 15(8).

7. Justification for application to register the land as a town or village green

The Erw Goch field has been used by local residents for many recreational purposes as of right for many years without permission, force or secrecy.

The football team Waun Wanderers was formed in 1969 and the field was their training ground. The first Waun Shield tournament was also held here, beginning in 1971 and the goal posts still stand to this day.

More recently local residents of the area have used and continue to use the field regularly for activities such as walking, blackberry picking, kite flying, dog walking picnicing. It is also a safe environment for the children of both Cefn Esgair and Erw Goch to play without having to cross busy roads.

In addition, the field has also become a haven for wildlife for naturalists young and old to enjoy.

Evidence of its continued use can be clearly seen by the number of pathways around the perimeter of the field that have been created by walkers / users.

The pathways and entrances to the field (Erw Goch & Cefn Esgair) have been maintained by local residents to ensure ease of access for both communities.

Ample evidence of the above activities are enclosed in the form of witness statements and photographs.

Note 8

Please use a separate sheet if necessary.

Where relevant include reference to title numbers in the register of title held by the Land Registry.

If no one has been identified in this section you should write "none".

This information is not needed if a landowner is applying to register the land as a green under section 15(8).

Note 9

List all such declarations that accompany the application. If none is required, write "none".

This information is not needed if an application is being made to register the land as a green under section 15(1).

Note 10

List all supporting documents and maps accompanying the application. If none, write "none".

Please use a separate sheet if necessary.

8. Name and address of every person whom the applicant believes to be an owner, lessee, tenant or occupier of any part of the land claimed to be a town or village green

Ceredigion County Council,
Canolfan Rheidol,
Rhodfa Padarn,
Llanbadarn Fawr,
Aberystwyth,
Ceredigion,
SY23 3UE

9. Voluntary registration – declarations of consent from ‘relevant leaseholder’, and of the proprietor of any ‘relevant charge’ over the land

None

10. Supporting documentation

1. Map which highlights the Erw Goch field,
2. Pack of evidence (witness statements and photographs from local residents)
3. *Objection letter from Elin Jones. Member of The Senedd for Ceredigion.*

SOLICITOR

Note 11

If there are any other matters which should be brought to the attention of the registration authority (in particular if a person interested in the land is expected to challenge the application for registration).

Full details should be given here or on a separate sheet if necessary.

11. Any other information relating to the application

Those likely to oppose the application are -

Ceredigion County Council are in the process of selling a portion of the field to Wales and West Housing Association and a hybrid planning application has been submitted.

Note 12

The application must be signed by each individual applicant, or by the authorised officer of an applicant which is a body corporate or unincorporate.

Date:

24.2.2021

Signatures:



REMINDER TO APPLICANT

You are advised to keep a copy of the application and all associated documentation. Applicants should be aware that signature of the statutory declaration is a sworn statement of truth in presenting the application and accompanying evidence. The making of a false statement for the purposes of this application may render the maker liable to prosecution.

Data Protection Act 1998

The application and any representations made cannot be treated as confidential. To determine the application it will be necessary for the registration authority to disclose information received from you to others, which may include other local authorities, Government Departments, public bodies, other organisations and members of the public.

Statutory Declaration in Support

To be made by the applicant, or by one of the applicants, or by the applicant's or applicants' solicitor, or, if the applicant is a body corporate or unincorporated, by its solicitor, or by the person who signed the application.

¹ *Insert full name (and address if not given in the application form).*

1. Sian Elin Richards,¹ solemnly and sincerely declare as follows:

² *Delete and adapt as necessary.*

1.² I am ((the person (~~one of the persons~~) who (has) (~~have~~)-signed the foregoing application)) ((~~the solicitor to (the applicant) (~~one of the applicants~~)~~)).

³ *Insert name if applicable.*

2. The facts set out in the application form are to the best of my knowledge and belief fully and truly stated and I am not aware of any other fact which should be brought to the attention of the registration authority as likely to affect its decision on this application, nor of any document relating to the matter other than those (if any) mentioned in Parts 10 and 11 of the application.

3. The map now produced as part of this declaration is the map referred to in Part 5 of the application.

⁴ *Complete only in the case of voluntary registration (strike through if this is not relevant).*

4. ~~I~~ hereby apply under section 15(8) of the Commons Act 2006 to register as a green the land indicated on the map and that is in my ownership. I have provided the following necessary declarations of consent:

- (i) a declaration of ownership of the land;
- (ii) a declaration that all necessary consents from the relevant leaseholder or proprietor of any relevant charge over the land have

Cont/

Continued

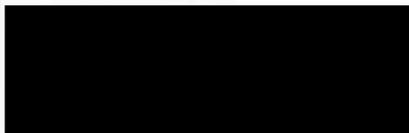
been received and are exhibited with this declaration; or
(iii) where no such consents are required, a declaration to that effect.

And I make this solemn declaration, conscientiously believing the
same to be true, and by virtue of the Statutory Declarations Act 1835.

Declared by the said SIAN)
ELIN RICHARDS)



Signature of Declarant



Before me*

Signature:



Address:

27 Eustacia
Aberystwyth, Ceredigion
SY23 2AR

Qualification:

SOLICITOR

* The statutory declaration must be made before a justice of the peace, practising solicitor, commissioner for oaths or notary public.

Signature of the statutory declaration is a sworn statement of truth in presenting the application and accompanying evidence.

REMINDER TO OFFICER TAKING DECLARATION:

Please initial all alterations and mark any map as an exhibit

Hafan y Waun Field



Map area bounded by: 260312,281296 260712,281696. Produced on 05 May 2021 from the OS National Geographic Database. Reproduction in whole or part is prohibited without the prior permission of Ordnance Survey. © Crown copyright 2021. Supplied by UKPlanningMaps.com a licensed OS partner (100054135). Unique plan reference: p16buk/623460/846882

PREDEIGHON COUNTY COUNCIL
REF: 12 MAY 2021
CANOLFAN

Cyngor Sir Ceredigion

Deddf Tiroedd Comin 2006

Hysbysiad o gais am gofrestru tir yn Faes Tref neu Bentref

I bob perchennog, lesddeiliad, tenant neu feddiannydd ar unrhyw ran o'r tir a ddisgrifir isod, ac at bawb arall a fynno wybod.

Mae cais wedi'i wneud i Gyngor Sir Ceredigion Neuadd Cyngor Ceredigion Penmorfa, Aberaeron, Ceredigion, SA46 OPA gan Sian Richards 3 Cefn Esgair, Llanbadarn Fawr, Aberystwyth, Ceredigion, SY23 3JG, dan adran 15(2) Deddf Tiroedd Comin 2006 ac yn unol â Rheoliadau Tiroedd Comin (Cofrestru Meysydd Tref neu Bentref) (Trefniadau Interim) (Cymru) (Rheoliadau 2007). Mae'r cais yn gofyn am gynnwys yn y gofrestru o feysydd tref a phentref y tir a ddisgrifir fel Cae Erw Goch, tir sy'n ffinio â Hafan y Waun, Waunfawr, Aberystwyth Ceredigion yr honnir ei fod yn gymwys i'w gofrestru'n faes tref neu bentref dan Adran 15(2) y Ddeddf oherwydd fod trigolion yr ardal wedi defnyddio'r tir ar gyfer hamdden am ugain mlynedd.

Gellir archwilio'r cais, sy'n cynnwys cynllun o'r tir y cynigir ei gofrestru yn rhad ac am ddim naill ai trwy ymweld â gwefan y Cyngor <http://www.ceredigion.gov.uk/eich-cyngor/ymgyngoriadau/> neu trwy ofyn am gopi caled trwy ffonio canolfan alwadau'r Cyngor ar 01545 570 881 (yn ystod oriau swyddfa arferol) ar neu cyn y 11fed o Awst 2021.

Os yw'r awdurdod cofrestru wedi'i fodloni fod y tir a ddisgrifir yn Cae Erw Goch, tir sy'n ffinio â Hafan y Waun, Waunfawr, Aberystwyth Ceredigion, yn gymwys i'w gofrestru'n faes tref neu bentref, bydd yn cofrestru'r tir fel y cyfryw.

Dylai unrhyw berson sy'n dymuno gwrthwynebu cofrestru'r tir yn faes tref neu bentref anfon datganiad o'r feithiau y seilir y gwrthwynebiad armynt i Gyngor Sir Ceredigion, Neuadd Cyngor Ceredigion, Penmorfa, Aberaeron, Ceredigion, SA46 OPA ar neu cyn 11fed o Awst 2021. Ni ellir trin unrhyw ddatganiadau, y mae'r cyngor yn cymryd i ystyriaeth wrth wneud penderfyniad ar y cais, fel pe baent yn gyfrinachol ac anfonir copiâu ohonynt at yr ymgeisydd i gael ei sylwadau a gellir eu datgelu i bartïon eraill sydd a buddiant yn hyn o beth.

Dyddiad 23ain Mehefin 2021

Elin Prysor,
Swyddog Arweiniol Corfforaethol - Gwasanaethau Cyfreithiol a Llywodraethu, Cyngor Sir Ceredigion

Ceredigion County Council

Commons Act 2006

Notice of application for registration of land as Town or Village Green

To every reputed owner, lessee, tenant or occupier of any part of the land described below, and to all other whom it may concern

Application has been made to, Ceredigion County Council Neuadd Cyngor Ceredigion, Penmorfa, Aberaeron, Ceredigion, SA46 OPA, by Sian Richards 3 Cefn Esgair, Llanbadarn Fawr, Aberystwyth, Ceredigion, SY23 3JG, under section 15(2) of the Commons Act 2006 and in accordance with the Commons(Registration of Town or Village Greens) (Interim Arrangements) (Wales) (The 2007 Regulations). The application seeks the inclusion in the register of Town and Village Greens of the land described as Erw Goch Field, land adjoining Hafan y Waun, Waunfawr, Aberystwyth Ceredigion, is claimed to have qualified for registration as a town or village green under Section 15(2) of the Act as local inhabitants had used the land for recreation for 20 years.

The application, which includes a plan of the land proposed for registration may be inspected free of charge either by visiting the Council's website <http://www.ceredigion.gov.uk/your-council/consultations/> or by requesting a hard copy by calling the Councils call centre on 01545 570 881 (during normal office hours) on or before the 11th August 2021.

If the registration authority is satisfied that the land described as Erw Goch Field, land adjoining Hafan y Waun, Waunfawr, Aberystwyth Ceredigion, qualifies for registration as a town or village green, it will so register the land.

Any person wishing to object to the registration of the land as a town or village green should send a statement of the facts on which the objection is based to Ceredigion County Council, Neuadd Cyngor Ceredigion, Penmorfa, Aberaeron, Ceredigion, SA46 OPA on or before the 11th August 2021. Any statements that are to be taken into account by the Authority in reaching a decision on the application cannot be treated as confidential and will be copied to the applicant for comment and may be disclosed to other interested parties.

Dated 23rd June 2021

Elin Prysor,
Corporate Lead Officer - Legal and Governance Service,
Ceredigion County Council

Number: WG36284



Welsh Government

Guidance Document

Section 15 of the Commons Act 2006

Guidance notes for the completion of an application for the registration of land as a Town or Village Green

Mae'r ddogfen yma hefyd ar gael yn Gymraeg.

This document is also available in Welsh.

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COMMONS ACT 2006 — SECTION 15

Guidance Notes for the completion of an Application for the Registration of land as a Town or Village Green Introduction

1. These non-statutory guidance notes are designed to help you to complete a form to register land in Wales as a town or village green under section 15(1) or 15(8) of the Commons Act 2006 (“the 2006 Act”).

2. The registration of town or village greens is a complex area of law and the courts have been asked to rule on the law on a number of occasions. We expect they will continue to do so and this guidance is not, and should not be regarded as, definitive. All applicants are strongly advised to seek their own independent legal advice before proceeding with an application.

3. Your application must be made using form 44, as required by The Commons (Registration of Town or Village Greens) (Interim Arrangements) (Wales) Regulations 2007 [SI 2396 (W198)], and which regulations set out the information required in an application. Your application must be submitted to the commons registration authority (“the registration authority”) for your area and, while that authority will be able to advise you on completing the application form and the procedures involved, it will not be able to advise you on the quality of the evidence or the merits of your application.

4. The Planning (Wales) Act 2015 (“the 2015” Act) made a number of significant changes to the law on registering new town and village greens under the 2006 Act. Section 53 of the 2015 Act amended section 15C of the 2006 Act so it applies in relation to Wales and inserted Schedule 1B into the 2006 Act. These provisions, which commenced on 22 October 2018 under The Planning (Wales) Act 2015 (Commencement No.5 and Transitional Provisions) Order 2018, exclude the right to apply for the registration of land in Wales as a town or village green where a trigger event has occurred in relation to the land. The right to apply for registration of the land as a green remains excluded unless a terminating event occurs in relation to the land. Trigger and terminating events are set out in Schedule 1B to the 2006 Act. Applications under Section 15(1) sent before 22 October 2018 are unaffected by the changes.

5. Section 52 of the 2015 Act amended Section 15A of the 2006 Act so it applies in relation to Wales. This, along with Section 15B of the 2006 Act, introduces a new mechanism for the deposit of “landowner statements” and the registers in which information relating to such statements and their accompanying maps will be recorded. These provisions came into force on 22 October 2018. The deposit of such a statement by a landowner with a commons registration authority brings to an end any period during which recreational use “as of right” has taken place on the land to which the statement relates. Such a deposit does not prevent the accrual of any future period of use “as of right”, however, subsequent landowner statements can be deposited to interrupt future periods of such use.

6. The Town and Village Greens (Landowner Statements) (Wales) Regulations 2018, which commenced on 22 October 2018, prescribe a form which can be used by landowners to deposit a “landowner statement” under Section 15A(1) of the 2006 Act.

7. You can find a copy of the legislation mentioned above and the associated explanatory notes at www.legislation.gov.uk.

8. In this guidance we refer to different provisions contained in Section 15. For example, Section 15(1) means subsection (1) of Section 15 (i.e the first part of Section 15 marked with (1)).

Further Guidance

9. This guidance only provides an overview of the legislation and procedures for an application to register a new green.

10. Guidance on Sections 15A and 15B (landowner statements and their registers) and 15C and Schedule 1B of the 2006 Act (exclusion of the right to apply to register land as a town or village green) has been published. It is aimed at Commons Registration Authorities not applicants; however, it provides a detailed explanation of the legislative changes and how they work.

11. The Open Spaces Society is a source of useful information on town and village greens and produces a number of helpful publications on the subject. The Society can be contacted at 25A Bell Street, Henley-on-Thames, Oxon RG9 2BA, tel: 01491 573535, www.oss.org.uk.

Registration authorities

12. You must apply to the registration authority for the area of land which you want to register as a town or village green. This is the county or county borough council. If the land comes under the jurisdiction of more than one registration authority we suggest that you apply to the registration authority within whose area the majority of the land lies. If that is incorrect the registration authority will advise you.

13. In Wales a number of registration authorities have made arrangements for another neighbouring registration authority to deal with applications for registration of greens in its own area. Where this occurs, your registration authority will pass on your application to the other authority.

Who may apply for registration

14. Anyone may apply to register land as a green meeting the criteria in Section 15(1) of the Act, provided the right to apply has not been excluded in relation to the land under section 15C(1). The right to apply for registration of a town or village green is excluded when a trigger event has occurred within the planning system in

relation to the land. However, this exclusion does not apply to an application to register land as a town or village green which is submitted to the relevant Commons Registration Authority before 22 October 2018. The trigger and terminating events are prescribed in Schedule 1B to the 2006 Act. If the right to apply for registration of a green is excluded in relation to the land you wish to register then the registration authority cannot consider any application to register that land unless and until a terminating event which corresponds to the trigger event occurs in relation to that land.

15. Annex B sets out Schedule 1B to the 2006 Act in full and describes the relevant trigger and terminating events.

Note 3. Qualifying criteria for registration (applications under section 15(1) only)

16. Your application must show that use of the land meets the criteria for registration that are set out in one of section 15(2), section 15(3) or section 15(4). These criteria are alternatives, so you will need to see which one of them (if any) applies to your particular circumstances.

17. Whether you apply under section 15(2), 15(3) or 15(4), your application must show that a significant number of local people have indulged in lawful sports or pastimes 'as of right' (i.e. without permission, force or secrecy) on the land for at least 20 years. These requirements reflect the ancient law of custom, where such a pattern of use created a presumption that the local inhabitants had established recreational rights over the land. You should look very carefully at the criteria for registration in the Annex to this guidance.

Significant number of the inhabitants

18. The criteria require that a 'significant number of the inhabitants' have indulged in lawful sports and pastimes on the land. The courts have previously considered the interpretation of this requirement and in the case of *R v Staffordshire County Council ex parte Alfred McAlpine Homes Ltd* [2002] the High Court provided some useful guidance as to what 'a significant number' might mean. The court did not accept that 'significant' in this context would mean a considerable or substantial number but that the number of people using the land had to be sufficient to signify that the land was in general use by the local community.

Period of use

19. Your application will be examined by the registration authority against the criteria in section 15(2), 15(3) or 15(4) as you have indicated on the form.

20. If you apply under section 15(2) the land must have been used 'as of right' for 20 years or more before the application and the use must be continuing at the time you apply.

21. Under section 15(3) you must apply within two years of the end of recreational use 'as of right' for 20 years or more.

22. Under section 15(4), as a temporary arrangement, you must apply within five years of the end of recreational use 'as of right', providing that it ended before 6 September 2007. In this case only, however, there are special arrangements which apply in the case of planning permission affecting the land which was granted before 23 June 2006 and where subsequent construction works were carried out on the land (see below).

Statutory closures

23. In deciding whether there has been 20 years use 'as of right' of the land, you should not take any account of any period of statutory closure of the land (i.e. where access to the land is forbidden because of temporary special restrictions imposed by a local authority or the Government). Examples of this would be where the area of land is closed by order during an outbreak of foot-and-mouth disease. If your application is subject to any period of closure under this provision you will need to state clearly in the application form which period of time is to be disregarded for this purpose.

Permission for use of land

24. In some cases a landowner may grant permission for use of their land after there has already been 20 years use of the land 'as of right'. If that happens then section 15(7) says the grant of permission does not stop continuing use of the land being regarded 'as of right'. There is then no time limit by which you must make an application for registration, unless the landowner takes further steps to challenge use (such as by fencing off the land to prevent access).

25. In other cases where use of the land 'as of right' has ended (such as where the land is fenced off or an injunction is obtained against trespassers) you must seek registration within the time limits in section 15(3) or 15(4), otherwise the land will no longer be eligible for registration. We recommend that you apply to register land as a green as soon as reasonably practicable in all cases. If it becomes clear during the course of the registration authority's investigation of the application that it is necessary for you to rely on different qualifying criteria, then it is Welsh Government's view that the application may be amended to reflect the alternative criteria.

Note 4. Land descriptions and plans

26. You must include a map and description of the land claimed for registration as a town or village green with your application. (Exceptionally, if your application relates to the whole of an area of land already registered as common land, your application need not include a map of the land but you must include the register unit number). You must use an Ordnance Survey map, on a scale of not less than 1:2,500, and you must show the land which you want to register by means of distinctive colouring sufficiently to enable it to be identified by the registration authority (a coloured edging inside the boundary of the land may be the best method). The map must also

be marked as an exhibit to the statutory declaration which accompanies the application (see Note 9 below). Further information about how to obtain Ordnance Survey large scale maps can be found on the internet at www.ordnancesurvey.co.uk or by calling 03456 050505.

Note 5. Locality or neighbourhood within a locality

27. You will need to provide a statement or map to identify the locality or neighbourhood within the locality to which the local use of the claimed green relates. In the House of Lords ruling in *Oxfordshire County Council v Oxford City Council and Robinson* (the *Trap Grounds* case) Lord Hoffman expressed the view that any 'locality or neighbourhood within a locality' need not be wholly within a single locality and concluded that it means 'within a locality or localities'.

28. You may sometimes find it difficult to precisely define the neighbourhood or locality and you will need to consider all of the evidence you have to support your case very carefully. You may not be able to specify the neighbourhood or locality by reference to a recognised administrative area, such as a community or electoral ward, and there may not be an obvious geographical characteristic, such as a geographically self-contained village or a particular street. If that is the case then you should instead include a map showing what you believe to be the neighbourhood or locality.

29. If you are applying to register your land voluntarily as a green it is up to you to decide how to define the locality or neighbourhood.

30. In either case, the Welsh Government's view is that, in relation to any land registered as a green, only the inhabitants of the defined locality or neighbourhood will have the legal right to indulge in sports and pastimes over the green.

Note 6. Grounds of application and evidence

31. If your application is made under section 15(1) of the Act you will need to ensure that **all** of the evidence you have to support the nature and extent of use of the land 'as of right' is provided to the registration authority so that it can consider that evidence to see whether the land qualifies for registration. Witness statements, witness forms of evidence and photographs are likely to be helpful to your case. A sample of an evidence questionnaire to use in support of your claim can be obtained from the Open Spaces Society (see note 13 below).

32. You should set out in your application, as briefly as possible, a summary of the case for registration and provide, on separate paper, a fuller statement of the facts supporting the claim - including information on the nature of the activities that have taken place on the land, an estimate of the number of people undertaking these activities, and how this use has been 'as of right'. The registration authority can ask you to provide further evidence in support of the application if it considers this reasonable.

33. Remember that the registration authority may decide to hold a hearing or inquiry into your application. The purpose of the inquiry will be to establish and test the evidence for and against registration of the land. It may be helpful to your case if people are able to attend the hearing or inquiry to give evidence in person (even if similar evidence has been given in writing). Anybody attending the hearing or inquiry may be questioned about their evidence by the person in charge or by objectors to the application (this is known as cross-examination).

Note 7. Voluntary registration (applications under section 15(8) only)

34. If you are the owner of land you may apply under section 15(8) to register it voluntarily as a green. You cannot do this unless you have first obtained the consent of any lease or charge holder of the land, such as a tenant or a mortgagee. You must provide evidence that any 'relevant leaseholder' and proprietor of any 'relevant charge' over the land consent to the application. These terms are defined in section 15(9) and (10) of the Act (see Annex to these notes). In such cases you will need to consult these people in advance of the application to inform them of your intention to seek voluntary registration. They will need to provide you with a signed document which includes their name and address, a statement of the nature of their relevant interest in the land and their formal consent to the application.

35. You will need to confirm in the statutory declaration that:

- you, the applicant, are the owner of the land and are applying to register the
- land as a green; and

either

- you have obtained and included with the declaration all necessary consents from the relevant leaseholder or proprietor of any relevant charge over the land;

or

- where no such consents are necessary, that no such consents are required.

36. In some cases the registration authority may decide to ask you for further evidence of your ownership before it accepts your application to register the land as a green.

Note 8. Supporting documents

37. You must include with your application the original or (preferably) a copy of every document which might be relevant to the application which is in your possession or control (even if it would not be helpful to your application) or which you can require to be produced. You are recommended not to forward the original of any deed or other private document but should, instead, enclose a copy, preferably endorsed with a certificate signed by a solicitor that it has been examined against the original - in

such a case you should indicate, either on the copy itself or on the application form, who has the original and where it may be inspected. If any related document is believed to exist, but neither the original nor a copy can be produced, this should be mentioned in part 12 of the application where you should describe the missing document and explain why it cannot be produced. Any inquiry or hearing into the application may ask that the original document is produced.

Note 9. Statutory Declaration

38. The statutory declaration must be made before a justice of the peace, practising solicitor, commissioner for oaths or notary public. (You may be asked to pay a fee for this service.) Each map accompanying the application and referred to in the statutory declaration must be marked as an exhibit and signed by the officer taking the declaration (initialling is insufficient). A map is marked by writing on the face in ink an identifying symbol such as the letter 'A'. If there is more than one map a different identifying letter must be used for each. On the back of the map it must state

“this is the exhibit marked ‘A’ referred to in the statutory declaration of (name of declarant) made this (date) before me (signature and qualification)”.

39. You are responsible for telling the truth in presenting the application and accompanying evidence and should be aware that your signature of the statutory declaration is a sworn or affirmed statement of truth to that effect. It is a criminal offence to deliberately provide misleading or untrue evidence and if you do so you may be prosecuted.

Note 10. Action by the registration authority in deciding an application

40. The notes in this section provide some guidance on what will happen to your application after you have sent it to the registration authority.

Where the application is made under section 15(1)

41. The registration authority will give a valid delivery date to your application when you send it to the registration authority. The delivery date may be important because it is the date against which the time limits on applications in section 15(3) and 15(4) apply. The registration authority will formally acknowledge receipt of your application and if a receipt is not received within ten working days you should contact the registration authority. Sometimes the registration authority may decide that the application is incomplete or otherwise unacceptable but consider that it could be put right. If that happens, the registration authority may return the application to you and allow you to amend and resubmit it with the necessary changes.

42. The registration authority will now look carefully at the evidence in your application. It may decide that your application cannot be accepted (because the evidence is clearly insufficient to support the application) and will reject your application without taking any further steps.

41. Otherwise, the registration authority will publicise your application (for example, by sending notice of the application to the landowner and publishing the notice in the local newspaper) and consider it further in the light of any objections received. You will be supplied with copies of all objections which are to be considered and will have a reasonable opportunity of answering them. If you ask to make any significant amendments to your application at this stage, and the registration authority agrees to accept the amendments, it may be necessary for the authority to publicise the case again.

42. The registration authority may decide to inquire into the application. This may take the form of a hearing before an officer of the authority or of a neighbouring authority, or the case may be heard before a committee of the authority. Alternatively, an independent inspector may be asked to conduct a public inquiry. A hearing or inquiry is particularly likely if the registration authority or another local authority owns the land so that the evidence may be tested impartially. The Court of Appeal has ruled that in determining applications where there is a dispute the registration authority should consider convening such a hearing or inquiry.

43. Lord Hoffman also expressed the view in the *Trap Grounds* case that the registration authority has no duty to look for evidence or to help present the applicant's case in the best way. It is entitled to deal with the application and the evidence as presented by the parties. The registration authority will inform you whether the application has been accepted or rejected. If it is accepted the land will be registered as a town or village green and you will be supplied with particulars of the registration. If it is rejected you will be notified of the rejection.

Where the application is made under section 15(8)

44. The registration authority will formally acknowledge receipt of your application. If a receipt is not received within ten working days you should contact the registration authority. If the registration authority is satisfied that your application is properly made the land will be registered as a town or village green and you will be supplied with particulars of the registration. A properly made application cannot be rejected but it may be returned if you appear not to be the owner of the land, if the necessary consents have not been obtained, or the application is otherwise incomplete.

45. Section 24 of the 2006 Act enables the Welsh Ministers to make regulations setting out further or more detailed steps to be taken by applicants and registration authorities in relation to the making and determination of applications for registration. These will not be introduced until a later date, however, when other changes to the registration system for common land and greens are brought into force.

Note 11. Amendment of an application and part registration

46. The House of Lords judgment in the *Trap Grounds* case considered a number of procedural questions about the registration of greens. The House concluded that registration authorities can exercise discretion in accepting amendments to an application form or register only part of the area of land claimed if only that part meets the registration criteria.

Note 12. Repeated and withdrawn applications

47. You may decide to resubmit your application for registration should you consider that you have significant new evidence that supports your case or that new legal criteria or case law have changed the position. In our opinion the registration authority is required to consider a revised application but under common law principles it would be able to summarily reject repeated successive applications if they fall outside of the time limits in section 15 or are substantially the same as previous applications and do not raise any new issues for consideration. Registration authorities can also exercise discretion in allowing applicants to withdraw an application and subsequently resubmit an amended case.

Note 13. Further guidance

48. The Open Spaces Society is a source of useful information on town and village greens and produces a number of helpful publications on the subject including *Getting Greens Registered — a guide to the law and procedure for town and village greens*, and *Our Common Land — the law and history of common land and village greens*. The Greens guide also includes an evidence questionnaire to use in support of a claim for registration. The Society can be contacted at 25A Bell Street, Henley-on-Thames, Oxon RG9 2BA, telephone 01491 573535, website: www.oss.org.uk

Annex A

Guidance Notes for the completion of an Application for the Registration of land as a Town or Village Green

Commons Act 2006 — Text of section 15

15 Registration of greens

(1) Any person may apply to the commons registration authority to register land to which this Part applies as a town or village green in a case where subsection (2), (3) or (4) applies.

(2) This subsection applies where—

- (a) a significant number of the inhabitants of any locality, or of any neighbourhood within a locality, have indulged as of right in lawful sports and pastimes on the land for a period of at least 20 years; and
- (b) they continue to do so at the time of the application.

(3) This subsection applies where—

- (a) a significant number of the inhabitants of any locality, or of any neighbourhood within a locality, indulged as of right in lawful sports and pastimes on the land for a period of at least 20 years;
- (b) they ceased to do so before the time of the application but after the commencement of this section; and
- (c) the application is made within the period of two years beginning with the cessation referred to in paragraph (b).

(4) This subsection applies (subject to subsection (5)) where—

- (a) a significant number of the inhabitants of any locality, or of any neighbourhood within a locality, indulged as of right in lawful sports and pastimes on the land for a period of at least 20 years;
- (b) they ceased to do so before the commencement of this section; and
- (c) the application is made within the period of five years beginning with the cessation referred to in paragraph (b).

(5) Subsection (4) does not apply in relation to any land where—

- (a) planning permission was granted before 23 June 2006 in respect of the land;
- (b) construction works were commenced before that date in accordance with that planning permission on the land or any other land in respect of which the permission was granted; and
- (c) the land—
 - (i) has by reason of any works carried out in accordance with that planning permission become permanently unusable by members of the public for the purposes of lawful sports and pastimes; or
 - (ii) will by reason of any works proposed to be carried out in accordance with that planning permission become permanently unusable by members of the public for those purposes.

(6) In determining the period of 20 years referred to in subsections (2)(a), (3)(a) and (4)(a), there is to be disregarded any period during which access to the land was prohibited to members of the public by reason of any enactment.

(7) For the purposes of subsection (2)(b) in a case where the condition in subsection (2)(a) is satisfied—

- (a) where persons indulge as of right in lawful sports and pastimes immediately before access to the land is prohibited as specified in subsection (6), those persons are to be regarded as continuing so to indulge; and
- (b) where permission is granted in respect of use of the land for the purposes of lawful sports and pastimes, the permission is to be disregarded in determining whether persons continue to indulge in lawful sports and pastimes on the land "as of right".

(8) The owner of any land may apply to the commons registration authority to register the land as a town or village green.

(9) An application under subsection (8) may only be made with the consent of any relevant leaseholder of, and the proprietor of any relevant charge over, the land.

(10) In subsection (9)—

"relevant charge" means—

- (a) in relation to land which is registered in the register of title, a registered charge within the meaning of the Land Registration Act 2002 (c. 9);
- (b) in relation to land which is not so registered—
 - (i) a charge registered under the Land Charges Act 1972 (c. 61); or
 - (ii) a legal mortgage, within the meaning of the Law of Property Act 1925 (c. 20), which is not registered under the Land Charges Act 1972;

"relevant leaseholder" means a leaseholder under a lease for a term of more than seven years from the date on which the lease was granted.

Annex B

Trigger and terminating events as set out in Schedule 1B to the 2006 Act.

<i>Trigger Events</i>	<i>Terminating Events</i>
<p>1. An application for planning permission for development of the land is granted under the 1990 Act, or a direction that planning permission for development of the land is deemed to be granted is given under section 90 of that Act.</p>	<p>(a) Where the planning permission is subject to a condition that the development to which it relates must be begun within a particular period, that period expires without the development having been begun.</p> <p>(b) On the expiry of the period specified in a completion notice, the planning permission ceases to have effect in relation to the land by virtue of section 95(4) of the 1990 Act.</p> <p>(c) An order made by the local planning authority or the Welsh Ministers under section 97 of the 1990 Act revokes the planning permission or modifies it so that it does not apply in relation to the land.</p> <p>(d) The planning permission is quashed by a court.</p>
<p>2. A local development order which grants planning permission for operational development of the land is adopted for the purposes of paragraph 3 of Schedule 4A to the 1990 Act.</p>	<p>(a) The permission granted by the order for operational development of the land ceases to apply by virtue of a condition or limitation specified in the order under section 61C(1) of the 1990 Act.</p> <p>(b) A direction is issued under powers conferred by the order under section 61C(2) of the 1990 Act, with the effect that the grant of permission by the order does not apply to operational development of the land.</p> <p>(c) The order is revised under paragraph 2 of Schedule 4A to the 1990 Act so that it does not grant planning permission for operational development of the land.</p> <p>(d) The order is revoked under section 61A(6) or 61B(8) of the 1990 Act.</p> <p>(e) The order is quashed by a court.</p>

3. An order granting development consent for development of the land is made under section 114 of the 2008 Act.

(a) The order granting development consent ceases to have effect by virtue of section 154(2) of the 2008 Act.

(b) An order made by the Secretary of State under paragraph 2 or 3 of Schedule 6 to the 2008 Act changes the order granting development consent so that it does not apply in relation to the land.

(c) An order made by the Secretary of State under paragraph 3 of Schedule 6 to the 2008 Act revokes the order granting development consent.

(d) The order granting development consent is quashed by a court.

Extract from the Commons Act 2006 Explanatory Notes

Section 15 Registration of greens

87. Section 15 sets out the circumstances in which land may be newly registered as a town or village green. It is derived from, but varies in certain respects from, the definition of a town or village green in section 22(1), (1A) and (1B) of the 1965 Act. (There is no substantive distinction in law between a 'town' and a 'village' green: these terms merely reflect the physical setting of a green.) *Subsection (1)* provides that in qualifying circumstances, any person may apply to the commons registration authority to register land as a green. *Subsections (2), (3) and (4)* set out the three alternative qualifying circumstances.

88. The first case (*subsection (2)*) is where a significant number of the inhabitants of any locality, or of any neighbourhood within a locality, have indulged as of right in lawful sports and pastimes on the land for a period of at least 20 years, and continue to do so at the time of the application. 'As of right' has been defined in case law as meaning openly, without force, and without permission. The reference to "a locality" does not necessarily connote a defined area for administrative purposes, such as a parish, and the phrase "any neighbourhood within a locality" means in effect 'any neighbourhood within one or more administrative areas'.

89. The second case (*subsection (3)*) is where a significant number of such inhabitants indulged as of right in lawful sports and pastimes on the land for a period of at least 20 years which ceased after commencement of section 15, and the application is made within two years of this cessation.

90. The third case (*subsection (4)*) is where a significant number of such inhabitants indulged as of right in lawful sports and pastimes on the land for a period of at least 20 years which ceased before commencement of section 15, and the application is made within five years of this cessation. Land is not covered by this third case (because of *subsection (5)*) if three conditions are all met:

- planning permission was granted in respect of the land before 23 June 2006;
- before that date, construction works were commenced in accordance with the permission on that land, or on any other land covered by the permission; and
- the land either has become, or will become, permanently unusable by the public for lawful sports and pastimes as a result of works carried out in accordance with that planning permission.

91. *Subsections (6) and (7)* amplify how *subsections (2) to (4)* are to work.

Subsection (6) provides that any period during which access to the land was prohibited by reason of any enactment is to be disregarded in the calculation of the 20 year period. *Subsection (7)* makes provision about when use is to be regarded as continuing for the purpose of *subsection (2)(b)*.

92. *Subsection (8)* enables the owner of any land to apply voluntarily for its registration as a green, without having to show that there has first been 20 years' qualifying use of it by local inhabitants. *Subsection (9)* requires the consent to such an application of any 'relevant leaseholder', and of the proprietor of any 'relevant charge' over the land, thereby protecting these parties' interests in the land. Both of these terms are defined in *subsection (10)*.

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CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 8 July 2022

Title: Co-opted Members for Ceredigion County Council's Learning Communities Overview and Scrutiny Committee - representatives of Parent-Governors

Purpose of the report: To ensure appropriate appointments are made to the Learning Communities Overview and Scrutiny Committee

For: Decision

Cabinet Portfolio and Cabinet Member: Councillor Bryan Davies
Leader of the Council
Cabinet Member for Democratic Services, Policy, Performance and Partnerships

In accordance with the Council's Constitution there is a need for two representatives of Parent-Governors currently serving on School Governing Bodies to serve on the Learning Communities Overview and Scrutiny Committee as co-opted members with voting rights. One from the primary sector and one from the secondary sector.

The term of the appointment will last for 5 years from the date of appointment or until the representative ceases to be a parent-governor or resigns from the Committee.

A recruitment exercise took place during May 2022. Appendix A sets out the role description. The two successful candidates were:

- Cathryn A. Charnell-White (primary sector)
- Jonny Huw Greatrex (secondary sector)

	Has an Integrated Impact Assessment been completed? If, not, please state why	Not applicable – this is not a change of policy or service.
Wellbeing of Future Generations:	Summary:	
	Long term:	N/A
	Collaboration:	N/A
	Involvement:	N/A
	Prevention:	N/A
	Integration:	N/A

Recommendation(s): That Council resolves to approve the appointment of the following co-opted members of the Learning Communities Overview and Scrutiny Committee from 7th July 2022, for a term of 5 years from that date:

- Cathryn A. Charnell-White (primary sector)
- Jonny Huw Greatrex (secondary sector).

Reasons for decision: The recommendations are necessary to ensure that the appropriate appointments are in place, in accordance with relevant legislation and the Constitution.

Overview and Scrutiny: N/A

Policy Framework:

Council's Constitution

Corporate Priorities: Supports the Council in delivering its Corporate Priorities:

- Boosting the Economy
- Investing in People's Futures
- Enabling Individual and Family Resilience

Finance and Procurement implications: None

Legal Implications:

Without this decision the Committee will not comply with legislative requirements

Staffing implications: None

Property / asset implications: None

Risk(s): None

Statutory Powers: s499 of the Education Act 1996
Schedule 1 of the Local Government Act 2000

Background Papers: None

Appendices: Appendix A – Role description.

Corporate Lead Officer: Lowri Edwards
Corporate Lead Officer: Democratic Services

Reporting Officer: Lisa Evans
Scrutiny and Standards Officer

Date: 13/6/22



Cyngor Sir
CEREDIGION
County Council

LEARNING COMMUNITIES OVERVIEW AND SCRUTINY COMMITTEE CO-OPTED MEMBERS: PARENT GOVERNORS

ROLE DESCRIPTION

As a general rule, Overview and Scrutiny Co-opted Members should be able to:

- Represent the interests of the population that receive services provided by or commissioned by public service providers; and/or
- Contribute expert knowledge or skills that will lead to a rigorous and objective scrutiny of the issues under review; and/or
- Live or work in the County.

A co-opted member is someone (other than a Councillor) who is a member of the committee and takes full and active part in the work of the committee. As a member of the Learning Communities Overview and Scrutiny Committee you will have voting rights in relation to education matters.

The Learning Communities Overview and Scrutiny Committee deals with education matters, schools and lifelong learning. The Committee:

- contributes to the process of preparing strategies and policies by the Council by considering them prior to their adoption by the Cabinet and the Council
- scrutinises the work and the decisions of the Cabinet in the education field.

Further information relating to Overview and Scrutiny can be accessed at <https://www.ceredigion.gov.uk/English/Your-Council/Councillors-Committees/Overview-and-Scrutiny/Pages/default.aspx>

KEY ROLES

- To ensure the needs, views and experience of service users and citizens are represented in the work of the Learning Communities Overview and Scrutiny Committee as a means to the improvement of local services;
- To act as a non-party political voice for parents in the area; representing to the Council the main education issues which concern parents of pupils in schools maintained by the Council;

- To liaise with the other parent governor representative on the Learning Communities Overview and Scrutiny Committee;
- To bring specialist knowledge and/or skills to the Scrutiny process and/or to bring an element of external challenge by representing the public;
- To take an interest in, attend and contribute to the Committee, Workstreams and Task and Finish Groups;
- Feed back the discussions and decisions of the Committee relating to education to parents (having due regard and respect for confidentiality when required);
- To establish good relations with other members of the Committee and Officers;
- To abide by the relevant sections of the Council's Constitution in relation to the rules and procedures for Overview and Scrutiny Committee proceedings and the Code of Conduct;
- At all times seek to promote awareness, understanding and interest in the work of the Learning Communities Overview and Scrutiny Committee.

KEY ACCOUNTABILITIES

Co-opted Members will be expected to attend a minimum of four committee meetings per year.

The Learning Communities Overview and Scrutiny Committee usually meets 6 times a year at 9.30a.m/10a.m. held remotely via video-conference or at the Council Chamber, Neuadd Cyngor Ceredigion, Penmorfa, Aberaeron on a week-day (the schedule of meetings is available at:

[Ceredigion County Council Browse meetings - Learning Communities Overview and Scrutiny Committee](#)

).

RESPONSIBILITIES

- Attend formal meetings of the Learning Communities Overview and Scrutiny Committee to which you have been appointed;
- Attend additional meetings and evidence gathering sessions such as Workstreams, Task and Finish Groups and site visits;
- Prepare for each meeting by reading the agenda papers and additional information to familiarise yourself with the issue under scrutiny. Prior to the meeting consider the questions you may wish to put to the Cabinet Member, Officers etc.;

- At the meetings you will need to listen carefully, ask questions in a way which is non-judgmental, respect confidentiality and help the Committee to make practical suggestions for improvements in the services;
- Challenge the performance of services from the perspective of local people;
- Contribute to the development of the Learning Communities Overview and Scrutiny Committee;
- Attend any training and development events and other workshops to develop your understanding of the key priorities and initiatives with respect to Learning Services
- Keep abreast of the key issues for those services which are within the remit of the Learning Communities Overview and Scrutiny Committee and bear these in mind when scrutinising services and making recommendations for improvement;
- Contribute to achieving an open, accountable and transparent decision-making process at Ceredigion County Council.

REQUIRED COMPETENCIES

- Be able to contribute to the work of the Learning Communities Overview and Scrutiny Committee as a whole in terms of debate, local knowledge and insight into issues of local concern;
- A keen and genuine interest in achieving improvements in public services for local people;
- The ability to communicate effectively and build good relations with other members and officers;
- A respect for confidentiality;
- The ability to deal with issues of a sensitive nature in a diplomatic manner;
- To respect the views of others and consider issues in a fair and non-judgemental way;
- The ability to problem-solve and look for innovative new ways of working that will achieve improvements in services;
- An interest in local government and in particular education;
- An awareness of the key priorities for the County and the range of agencies involved in providing services to local people (including the private and voluntary sectors).

- The need for a high degree of sensitivity and discretion.
- The requirement to attend Committee meetings, which are usually held in the mornings.

VOTING RIGHTS

The statutory Education Co-optees on the Learning Communities Overview and Scrutiny Committee have voting rights in relation to education matters.

REMUNERATION

A fee as prescribed by Independent Remuneration Panel for Wales will be paid. For 2022/23, the daily fee is £210 (over 4 hours) and £105 for half a day (up to 4 hours). Travelling costs incurred will be reimbursed at 45p per mile.

TERM OF OFFICE

It is anticipated that the period of the appointment would be for a period of 5 years from the date of appointment.

ELIGIBILITY

The following persons are not eligible to stand as parent governor representatives:

- Employees in the education services of Ceredigion County Council;
- Employees of schools maintained by Ceredigion County Council (including teachers, non-teaching and other staff);
- Ceredigion County Council Councillors;
- Existing parent governor representatives in Ceredigion County Council or another authority, if their current term of office would overlap with the term of office of the vacancy.

PROCEDURE

- Before taking up your appointment as a co-optee, you will need to sign up to the Council's Members' Code of Conduct
- [Ethics and Standards Code of - Ceredigion County Council](#)

- You will also need to complete a Register of Interests form
- All co-opted members must abide by the Council's Constitution in terms of rules and procedures for Overview and Scrutiny Committee proceedings:
[The Council's Constitution - Ceredigion County Council](#)
-
- You may need to declare a personal or prejudicial interest in specific agenda items

CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 8 July 2022

Title: DEALING WITH COMPLAINTS REFERRED TO THE ETHICS & STANDARDS COMMITTEE & HEARINGS PROCEDURES

Purpose of the report: To review and update the Ethics and Standard hearings procedures

For: Decision

Cabinet Portfolio and Cabinet Member: Councillor Matthew Vaux
Cabinet Member for Housing, Legal and Governance, People and Organisation and Public Protection

Background

The “Dealing with Complaints referred to the Ethics & Standards Committee & Hearings Procedures” 2010 document sets out the procedure that the Council’s Ethics & Standards Committee will follow where it is required to make decisions about the conduct of Councillors following investigations by the Public Services Ombudsman for Wales or the Council’s Monitoring Officer under Part III of the Local Government Act 2000 and any related regulations.

Current position

The Independent Review of the Ethical Standards Framework in Wales report (para 1.6) recommended that training be undertaken by Standards Committees on how to hold hearings, to ensure openness and fairness to the member complained of, to the complainant and to any witnesses. The report points out that the PSOW accepts the needed for more reference back to Standards Committees when he declines to investigate complaints.

A review of the “Dealing with Complaints referred to the Ethics & Standards Committee & Hearings Procedures” 2010 document has been undertaken to:

- take account of changes in the Regulations (in 2016),
- following a comparison of the procedures in place in other authorities
- to ensure the Council’s current procedures are current, fit for purpose in the event that the Ethics and Standards Committee is required to convene a hearing.

The revised document was presented to the Ethics and Standards Committee on 17th January 2022. It was AGREED to

- (i) accept the amendments;

**Integrated Impact
Assessment
conclusions:**

Sustainable Development: None
Engagement: None

Appendices:

**Dealing with Complaints referred to the Ethics &
Standards Committee & Hearings Procedures
(Appendix A)**

**Corporate Lead
Officer:**

Elin Prysor
Legal & Governance Services (and Monitoring Officer)

Reporting Officer:

Elin Prysor

Date:

13/6/22



ETHICS & STANDARDS COMMITTEE

DEALING WITH COMPLAINTS REFERRED TO THE ETHICS & STANDARDS COMMITTEE & HEARINGS PROCEDURES

Introduction

1. This document sets out the procedure that the Council's Ethics & Standards Committee will follow where it is required to make decisions about the conduct of Councillors following investigations by the Public Services Ombudsman for Wales or the Council's Monitoring Officer under Part III of the Local Government Act 2000 and any related regulations.
2. If there is any conflict between this document and any statutory requirements then those statutory requirements will prevail.
3. **Subject to any express provision in the Regulations, the practice and procedure for exercising its functions under Regulations, shall be for the Ethics and standards Committee to decide.**

Interpretation

4. In this procedure:
 - (a) 'the Act' means the Local Government Act 2000 **Part III**
 - (b) 'the Council' means Ceredigion County Council
 - (c) 'the Code of Conduct' means the Code of Conduct for **M**embers adopted by the Council or the **town**/community councils within the Council's area in 2008 (**and as amended in 2016**), in accordance with Section 51 of the Act.
 - (d) 'the Complainant' means any person who made any allegation which gave rise to the investigation
 - (e) **Co-opted members means persons appointed by the Council to sit as independent or lay members on its Governance and Audit or its Ethics & Standards Committee**
 - (f) the 'Investigating Officer' means the person who conducted an investigation into any alleged breach of the Code of Conduct and produced the investigation report, being either the Ombudsman (or a person acting on his or her behalf) or the Monitoring Officer
 - (g) an 'investigation report' means a report on the outcome of an investigation into any alleged breach of the Code of Conduct produced either by the Ombudsman under **s69, 70 or s71(2)** of the Act or by the Monitoring Officer under the Regulations.
 - (h) 'the Member' means any person who is the subject of an investigation into any alleged breach of the Code of Conduct

- (i) 'the Monitoring Officer' means the officer for the time being appointed by the Council under section 5 of the Local Government and Housing Act 1989
- (j) 'the Ombudsman' means the Public Services Ombudsman for Wales
- (k) 'the Regulations' means the Local Government Investigations (Functions of Monitoring Officers and Standards Committees) (Wales) Regulations 2001/2281 as amended (SI 2016/85),
- (l) 'the Standards Officer' means the officer for the time being appointed by the Council to support the work of the Ethics & Standards Committee
- (m) the 'Advising Officer' means the Monitoring Officer, Deputy Monitoring Officer the Standards Officer or some other suitably qualified person.

Summary of the procedure

- 5) Under **section 69** of the Act, the Ombudsman may investigate any alleged breach of the Code of Conduct by members or co-opted members (or former members or co-opted members) of the Council or a community council in the Council's area.
- 6) Under **section 70(4)** of the Act, where the Ombudsman ceases such an investigation before it is completed:
 - a) they may refer the matters which are the subject of the investigation to the Monitoring Officer.
 - b) The Monitoring Officer will then investigate those matters in accordance with the Regulations before reporting and, if appropriate, making recommendations to the Ethics & Standards Committee. See detailed procedure below in section 17.
- 7) Under **section 71(2)** of the Act, where the Ombudsman decides after investigating that it is appropriate, they will:
 - a) produce a report on the outcome of the investigation and send it to the Monitoring Officer and the Council's Ethics & Standards Committee.
 - b) The Monitoring Officer will then consider the report of the Ombudsman in accordance with the Regulations, before, if appropriate, making recommendations to the Ethics & Standards Committee.
 - c) See detailed procedure below in section 17.
- 8) The Ethics & Standards Committee will then make an initial determination (Reg. 7) either:
 - a) that there is no evidence of any failure to comply with the Code of Conduct, or
 - b) that the Member **must be invited** to make representations, either orally or in writing, **in respect of the findings of the investigation and any allegation they have failed to comply with the Code of Conduct.**
- 9) Where the Member **is invited** to make representations, the Ethics & Standards Committee will convene a hearing to consider any response made by the Member.

Determination of the Ethics and Standards Committee

10) **After considering any representations, the** Ethics & Standards Committee must determine (**Regulation 9(1)**) that:

- (a) there is no evidence of any failure to comply with the Code of Conduct and that therefore no action needs to be taken **in respect of matters which are the subject of the investigation;**
- (b) the Member **or co-opted member (or former member or co-opted member)** has failed to comply with the Code of Conduct but that no action needs to be taken in respect of that failure;
- (c) the Member **or co-opted member (or former member or co-opted member)** has failed to comply with the Code of Conduct and should be censured, or
- (d) the Member **or co-opted member (or former member or co-opted member)** has failed to comply with the Code of Conduct and should be suspended or partially suspended from being a member or co-opted member of his/her authority for a period not exceeding six months.

and take any such action accordingly.

11) Where an appeals tribunal drawn from the Adjudication for Wales makes a recommendation that a different penalty should be imposed (Reg. 12), the Ethics and Standards Committee must also determine whether or not it should uphold its original determination or accept the recommendation.

Investigations by the Monitoring Officer (referrals under section 70(4) of the Act)

12) Where the Ombudsman ceases **their** investigation before it is completed and refers the matters which are the subject of the investigation to the Monitoring Officer under section 70(4) of the Act, the Monitoring Officer must:-

- a) conduct an investigation; and
- b) report, and if appropriate make recommendations to the Council's Ethics & Standards Committee

13) The Monitoring Officer will investigate in accordance with the Regulations and may follow such procedures as **they** consider appropriate in the circumstances of the case.

14) After concluding an investigation, the Monitoring Officer must:

- (a) produce a report on the findings of **their** investigation and, if appropriate, may make recommendations to the Ethics & Standards Committee,
- (b) send a copy of the report to the Member, and
- (c) take reasonable steps to send a copy of the report to the Complainant.

15) The Ethics & Standards Committee will consider the Monitoring Officer's report and any recommendations in accordance with the procedure **set out in section 17 below.**

Investigations by the Ombudsman (referrals under section 71(2) of the Act)

- 16) Where the Ombudsman completes **their** investigation and sends a report to the Monitoring Officer and the Council's Ethics & Standards Committee under section 71(2) of the Act, the Monitoring Officer must:
- a) consider the Ombudsman's report and,
 - b) if appropriate, make recommendations to the Council's Ethics & Standards Committee.
- 17) The Ethics & Standards Committee will consider the Ombudsman's report together with any recommendations made by the Monitoring Officer in accordance with the procedure set out below.

Step 1 - Ethics & Standards Committee – Initial Determination Hearing

18) After the Monitoring Officer has:

- a) produced an investigation report in accordance with **paragraph 14**; or
- b) considered the Ombudsman's investigation report in accordance with **paragraph 16**.

a meeting of the Ethics & Standards Committee **will** be convened as soon as possible.

A copy of the investigation report, together with the Monitoring Officer's recommendations (if any), **will be** sent to each of the members of the Ethics & Standards Committee.

- 19) Notice of the time and place of the meeting will be given in accordance with Part VA of the Local Government Act 1972, as amended by the **Regulations**.
- 20) If the investigation report is produced by the Ombudsman, the Monitoring Officer will advise the Ethics & Standards Committee, **as Advising Officer**.
- 21) If the investigation report is produced by the Monitoring Officer, the Standards Officer or some other suitably qualified person will advise the Ethics & Standards Committee, **as Advising Officer**.
- 22) The business of the Ethics & Standards Committee **Initial Determination** hearing will be limited to:
- a) considering the investigation report
 - b) and the Monitoring Officer's recommendations (if any) and
 - c) to making an initial determination either:-
 - i. that there is no evidence of any failure to comply with the Code of Conduct, or
 - ii. that the Member should be **invited** to make representations, either orally or in writing in respect of the findings of the investigation and any allegation that **they have** failed, or may have failed, to comply with the Code of Conduct.

Step 2 - After the first meeting of the Ethics & Standards Committee

23) Where the Ethics & Standards Committee decides that there is no evidence of any failure to comply with the Code of Conduct, the Standards Officer will accordingly notify the Member, the Complainant and the Ombudsman. See 22(c)(i) above.

24) Where the Ethics & Standards Committee decides that the Member **must be invited** to make representations, the Standards Officer will notify the Member of the Committee's **Initial determination** decision and the procedure which the Committee proposes to adopt to receive and consider any representations that **they** may wish to make. See 22(c)(ii) above and Step 3 below.

Step 3 - Preparing for the hearing to consider the Member's representations

25) (A) The Standards Officer, in consultation with the Chair of the Ethics & Standards Committee, will write to the Member to propose a date for a hearing to consider any representations that the Member may wish to make and to ask the Member **to complete and return a questionnaire** within 14 days, to confirm whether **they**:

- (a) **Intend** to attend the hearing
- (b) want to make representations, whether orally or in writing and if so, to include any written representations in his or her response
- (c) disagree with any of the findings of fact in the investigation report, and if so, which matters **they** disagree with and the reasons for any disagreements;
- (d) **wishes to represent themselves** or be represented at the hearing **by a legal representative** or any other person, in accordance with the Regulations
- (e) wants to give evidence to the Ethics & Standards Committee, either orally or in writing;
- (f) wants to call relevant witnesses to give evidence to the Ethics & Standards Committee, **and if so to identify those witnesses, and confirm if they are witnesses of fact or character**
- (g) wants any part of the meeting to be held in private, **and if so, explain the reasons**
- (h) wants any part of the investigation report or other relevant documents to be withheld from the public, **and if so, explain the reasons**;

25(B) The Investigating Officer will be expected to attend the Hearing to present the report and explain any matters within it (unless the Committee has agreed that this is not necessary).

26) The Standards Officer will notify the Investigating Officer of the proposed hearing date and ask whether **they** will be attending the hearing. **Two alternative dates should be kept in reserve.**

27) The Standards Officer will send a copy of the Member's response under paragraph 25 to the Investigating Officer and will ask **them** to confirm in writing within 7 days whether **they**:

- (a) have any comments on the Member's response
- (b) want to be represented at the hearing;
- (c) want to call relevant witnesses to give evidence to the Ethics & Standards Committee; **and if so to identify those witnesses**
- (d) want any part of the meeting to be held in private; **if so, provide reasons**
- (e) want any part of the investigation report or other relevant documents to be withheld from the public; **if so provide reasons**

28) The Standards Officer will write to the members of the Committee, the Member and the Investigating Officer at least **14 days** before the hearing to:

- (a) confirm the date, time and place for the hearing;
- (b) summarise the allegation(s);
- (c) outline the main facts of the case that are agreed;
- (d) outline the main facts which are not agreed;
- (e) note whether the Member or the Investigating Officer will attend or be represented at the hearing;
- (f) list those witnesses, if any, who will be asked to give evidence;
- (g) enclose the investigation report, any relevant documents, the Member's response and any further response from the Investigating Officer; and
- (h) outline the proposed procedure for the **hearing**.
- (i) **seek confirmation if they intend to attend the hearing**
- (j) **provide evidence upon which they intend to rely**

29) The following information will be sent to the members of the Committee, the Member and the Investigation Officer in advance of the hearing (and any other relevant documents):

- Investigating Officers report
- Member's response
- Any further response from the Investigating Officer
- An outline of main facts agreed /not agreed
- List of witnesses

- Whether the member will be attending the hearing and whether they will be represented
- Procedure for the hearing.

Step 4 - The Hearing Procedure

Principles

30) The Ethics & Standards Committee:

- may, in accordance with the requirements of natural justice, conduct the meeting in the manner it considers most suitable to the clarification of the issues before it and generally to the just handling of the proceedings.
- It must so far as appears to it appropriate seek to avoid inflexibility in its proceedings.
- decide factual evidence on the balance of probabilities.
- consider any criteria established to assist the Committee to ensure consistency in decisions.

31) The Member or the Investigating Officer may be represented or accompanied whether or not legally qualified but if in any particular case the Ethics & Standards Committee is satisfied that there is a good reason, it may refuse to permit a particular person to assist or represent a party at the hearing.

32) The Ethics & Standards Committee may take legal advice from a Council officer appointed for this purpose at any time during the meeting or while they are considering the outcome. The substance of any legal advice given to the Committee will be shared with the Member and the Investigating Officer if they are present.

33) The hearing will be held in public unless the Ethics & Standards Committee is persuaded that there is a good reason to exclude the public.

34) The intention is that all parties to the hearing are able to participate in the full knowledge of the matters under investigation, ensuring that the proceedings are fair, transparent and impartial.

35) The procedure at the meeting shall be as set out below, subject to the Chair making such changes as they think fit in order to ensure a fair and efficient hearing.

Introduction

36) The Chair of the Ethics & Standards Committee will introduce those persons present and will explain the manner and order of proceedings including any physical arrangements.

First stage: Preliminary procedural issues

37)The Ethics & Standards Committee will then resolve any issues or disagreements about how the hearing should continue, which have not been resolved during the pre-hearing **process**. **Including:**

- a) Whether public or press should be excluded from the hearing or parts of it
- b) Any new matters arising since the agenda was prepared
- c) If any new evidence or matter is raised that could have been raised before the hearing, the assumption will be that it will not be allowed unless there is good reason to do so.
- d) whether there is good reason hearing should proceed in absence of any party, reasons offered for any absence and to satisfy itself that all parties were properly notified of the hearing date. Alternatively, to adjourn the hearing.
- e) To make arrangements to dispose of the matter fairly, in the event that the Committee is satisfied that any party (after receiving medical evidence) is unable to attend and is likely to be unable to attend for a long time.
- f) No cross-examination of witnesses will be allowed. Questions must be directed through the Chair.

Second stage: Making findings of fact-

38)The Ethics & Standards Committee will then consider whether or not there are any significant disagreements about the facts contained in the investigation report.

39)If there is a disagreement as to the facts:-

- (a) the Investigating Officer, if present, will be invited to make any necessary representations to support the relevant findings of fact in the investigation report.
- (b) the Investigating Officer may call any necessary supporting witnesses to give evidence, with the Ethics & Standards Committee's permission and the Committee shall give the Member an opportunity to challenge any evidence put forward by any witness called by the Investigating Officer **and question any witness through the Chair**.
- (c) the Member will then be **invited to present their case** and make representations in support his or her version of the facts.
- (d) the Member may call any necessary witnesses to give evidence, with the Ethics & Standards Committee's permission and the Committee shall give the Investigating Officer an opportunity to challenge any evidence put forward by any witness called by the Member.

40)At any time, the Ethics & Standards Committee may question any of the people involved or any of the witnesses **through the Chair**.

41)If the Member disagrees with any relevant fact in the investigation report, without having given prior notice of the disagreement, **they** must give good reasons for

not mentioning it before the hearing. If the Investigating Officer is not present, the Ethics & Standards Committee will consider whether or not it would be in the public interest to continue in his or her absence. After considering the Member's explanation for not raising the issue at an earlier stage, the Committee may then:

- (a) continue with the hearing, relying on the information in the investigation report
- (b) allow the Member to make representations about the issue, and invite the Investigating Officer to respond and call any witnesses, as necessary; or
- (c) postpone the hearing to arrange for appropriate witnesses to be present, or for the Investigating Officer to be present if **they** are not already.
- (d) **The Investigating Officer, followed by the Member, will have an opportunity to sum up.**

- 42) At the conclusion of the representations as to matters of fact, the Ethics & Standards Committee will retire to deliberate in private on the representations **along with the Advising Officer.**
- 43) **The Committee will also consider if it is required to proceed to the third stage. It is a majority decision.**
- 44) **The Ethics & Standards Committee will reconvene as a public meeting and the Chair of the Ethics & Standards Committee will announce their findings of fact. The Member, Investigating Officer and witnesses will be invited back to the meeting.**

Third stage: Deciding whether the Member has failed to comply with the Code

- 45) The Ethics & Standards Committee will then consider whether, based on the facts it has found, the Member has failed to comply with the Code.
- 46) The Ethics & Standards Committee will invite the Investigating Officer to make representations as to whether or not, based on the facts the Committee has found, the Member has failed to comply with the Code of Conduct.
- 47) The Ethics & Standards Committee will invite the Member to respond to the representations of the Investigating Officer and to make representations as to whether or not, based on the facts the Committee has found, **they have** failed to comply with the Code of Conduct.
- 48) The Ethics & Standards Committee may, at any time, question anyone involved on any point they raise in their representations.
- 49) **The Member will be invited to make any final relevant points and offer any mitigation.**
- 50) **The Ethics & Standards Committee will retire to deliberate in private along with the Advising Officer on the representations and decide on the balance of probabilities whether or not the Member has failed to comply with the Code of**

Conduct. This will be a majority decision. The Advising Officer will not take part in any vote.

51) The Ethics & Standards Committee will reconvene as a public meeting and the Chair of the Ethics & Standards Committee will announce the decision whether there is a breach of the Code. This will be a majority decision. The Advising Officer will not take part in any vote.

Fourth stage: Action to be taken

52) If the Ethics & Standards Committee decides that the Member has not failed to comply with the Code of Conduct, it will

- a) formally record that there is no evidence of any failure by the Member to comply with the Code of Conduct and that therefore no action needs to be taken.
- b) The Ethics & Standards Committee can still consider whether to make any recommendation to the Council to avoid similar situations occurring again

53) If the Ethics & Standards Committee decides that the Member has failed to comply with the Code of Conduct it will invite the Member and the Investigating Officer to make representations as to:

- (a) whether or not the Committee should apply a sanction; and
- (b) what form any sanction should take.

54) The Ethics & Standards Committee will retire along with the Advising Officer to deliberate in private on the representations, to consider sanctions.

55) The available Options are that:

- a) no action needs to be taken in respect of the failure to comply with the Code of Conduct,
- b) the Member should be censured or
- c) the Member should be suspended or partially suspended from being a member or co-opted member of his or her authority for a period not exceeding six months.

This will be a majority decision. The Advising Officer will not take part in any vote.

56) The Ethics & Standards Committee will reconvene and the Chair of the Ethics & Standards Committee will announce its decision.

57) After making a decision the Ethics & Standards Committee will instruct the Standards Officer to:

- a) confirm the decision and
- b) the reasons for the decision in writing, and to send a copy of the written decision (including details of the Member's right of appeal) to the Member,

the Complainant and the Ombudsman as soon as reasonably practicable,
and in accordance with the Regulations

Miscellaneous Matters

Failure to make representations / attend the hearing

58) If the Member fails to make representations, the Ethics & Standards Committee may:

- a) unless it is satisfied that there is sufficient reason for such failure, consider the investigation report and make a determination in the Member's absence; or
- b) give the Member a further opportunity to make representations

59) If a party fails to be present or represented at a hearing, the Ethics & Standards Committee may, if it is satisfied that the party was duly notified of the hearing and that there is no good reason for such absence -

- a) hear and decide the matter in the party's absence; or
- b) adjourn the hearing.

Illness or incapacity

60) If the Ethics & Standards Committee is satisfied that any party is unable, through physical or mental sickness or impairment, to attend the hearing and that the party's inability is likely to continue for a long time, the Ethics & Standards Committee may make such arrangements as may appear best suited, in all the circumstances of the case, for disposing fairly of the matter.

Suspension

61) A period of suspension or partial suspension (**suspended from doing part of their Council work**) will commence on the day after:

- a) the expiry of the time allowed to lodge a notice of appeal to an appeals tribunal under the Regulations (i.e. within 21 days of receiving notification of the Ethics & Standards Committee's determination);
- b) receipt of notification of the conclusion of any appeal in accordance with the Regulations;
- c) a further determination by the Ethics & Standards Committee made after receiving a recommendation from an appeals tribunal under the Regulations,

whichever occurs last.

Referral to an Appeals Tribunal

62) Where the Ethics & Standards Committee determines that the Member has failed to comply with the Code of Conduct, the Member may appeal against the determination to an appeals tribunal drawn from the Adjudication Panel for Wales. **Leave to appeal is required in accordance within the Regulations.**

63) An appeals tribunal may:

- a) endorse the decision of the Ethics & Standards Committee,
- b) refer a matter back to it recommending it impose a different penalty,
- c) or overturn the decision.

64) If:

- a) the Ethics & Standards Committee determines that the Member failed to comply with the Code of Conduct;
- b) the Member appeals to an appeals tribunal drawn from the Adjudication Panel for Wales; and
- c) the said tribunal refers the matter back to the Ethics & Standards Committee with a recommendation that a different penalty be imposed,

the Ethics & Standards Committee shall meet as soon as reasonably practicable to consider the recommendation of the appeals tribunal and will determine whether or not it should uphold its original determination or accept the recommendation.

65) After making its determination the Ethics & Standards Committee will instruct the Standards Officer to confirm the decision and the reasons for the decision in writing and to send a copy of the written decision to the Member, the Complainant, the Ombudsman and the president of the Adjudication Panel for Wales as soon as reasonably practicable.

Publication of the Ethics & Standards Committee's report

66) The Ethics & Standards Committee will cause to be produced within 14 days after:

- a) the expiry of the time allowed to lodge a notice of appeal under the Regulations, or
- b) receipt of notification of the conclusion of any appeal in accordance with the Regulations, or
- c) a further determination by the Ethics & Standards Committee made after receiving a recommendation from an appeals tribunal under the Regulations,

whichever occurs last, a report on the outcome of the investigation and send a copy to the Ombudsman, the Monitoring Officer, the Member and take reasonable steps to send a copy to the Complainant.

67) Upon receipt of the report of the Ethics & Standards Committee, the Monitoring Officer shall:

- a) for a period of 21 days publish the report on the Council's website and make copies available for inspection by the public without charge at all reasonable hours at one or more of the Council's offices, where any person shall be entitled to take copies of, or extracts from, the report when made so available,
- b) supply a copy of the report to any person on request if **they** pay such charge as the Council may reasonably require, and

- c) not later than 7 days after the report is received from the Ethics & Standards Committee, give public notice, by advertisement in newspapers circulating in the area and such other ways as appear to him or her to be appropriate, that copies of the report will be available as provided by sub-paragraphs (a) and (b) above, and shall specify the date (being a date not more than seven days after public notice is first given) from which the period of 21 days will begin.

Costs

68) The Ethics & Standards Committee has no power to make an award of any costs or expenses arising from any of its proceedings.

Legislation

Local Government Act 2000-Part III:

<https://www.legislation.gov.uk/ukpga/2000/22/part/III/chapter/III>

Code of Conduct for **M**embers:

Legal & Governance Services/Democratic Services

13/6/22

Cyngor Sir CEREDIGION County Council

REPORT TO:	Council
DATE OF MEETING:	8 July 2022
TITLE:	Governance and Audit Committee Annual Report 2021-22
PURPOSE OF REPORT:	To provide information on the work of the Governance and Audit Committee during 2021-22
FOR:	Information
Cabinet Portfolio and Cabinet Member:	Councillor Matthew Vaux, Cabinet Member for Legal and Governance, Housing, People and Organisation and Public Protection

Background

The Local Government (Wales) Measure 2011, as amended by the Local Government and Elections (Wales) Act 2021, requires each County Council to establish a Governance and Audit Committee. The Measure prescribes the functions of the Governance and Audit Committee.

The CIPFA Practical Guidance for Local Authorities & police (2018 edition) states that it is important that the Governance and Audit Committee is held to account on the extent to which it has fulfilled its purpose. This will include whether the Governance and Committee has:

- fulfilled its agreed terms of reference
- adopted recommended practice
- assessed its own effectiveness
- Assessed training needs
- Assessed the impact of the Governance and Committee on governance, risk and control
- within the Authority

At the Governance and Audit Committee meeting of 14th September 2017 it was agreed that the Governance and Audit Committee would publish an Annual Report providing an assessment on the effectiveness of the Governance and Audit Committee and to provide assurance that issues have been addressed and progressed.

The Governance and Audit Committee Annual Report is used to:

- a) Highlight the work carried out by the Governance and Audit Committee during the year;

- b) Show how the Governance and Audit Committee has made a difference;
- c) Set out the forward work programme for the year ahead and
- d) Provide Self-assessment and assurance.

Current Position

A Report on the draft Annual Report of the Governance and Audit Committee 2021-2022 was presented to the Governance and Audit Committee at its 6th June 2022 Meeting (see Report at: <https://council.ceredigion.gov.uk/documents/s3104/Item%2014%20Annual%20Report%20combined%20s.pdf?LLL=0>).

The Committee agreed to:

- (i) note the content of the draft Governance and Audit Committee Annual Report 2021-22; and
- (ii) approve the draft Governance and Audit Committee Annual Report 2021-22 (subject to also incorporating the attendance record of Committee Members during the year in the report prior to presentation to Council).

The attendance record has now been included under Section 2 (Meetings) of the Annual Report of the Governance and Audit Committee 2021-2022, which is attached at **Appendix 1** and is hereby presented to Council by the 2021-2022 Chair of the Governance and Audit Committee.

If approved by Council, the Annual Report will be subsequently published on the Council's website.

**Has an Integrated Impact Assessment been completed? No
If, not, please state why**

Summary: This report does not represent a change in policy or strategy.

WELLBEING OF FUTURE GENERATIONS:

Long term: N/A

Integration: N/A

Collaboration: N/A

Involvement: N/A

Prevention: N/A

Recommendation(s): That Council is requested to note the contents of the Annual Report of the Governance and Audit Committee 2021-22.

Reasons for decision: To gain assurances that effective arrangements are in place to manage the authorities financial affairs, risk management, internal control and corporate governance arrangements and that the authorities internal and external audit arrangements are adequate.

Overview and Scrutiny: n/a

Policy Framework: Democratic Arrangements

Corporate Priorities: Cross cutting theme to ensure that services are fit for purpose

Finance and Procurement implications: None

Legal Implications: None

Staffing implications: None

Property / asset implications: None

Risk(s): None

Statutory Powers: Local Government (Wales) Measure 2011

Background Papers: None

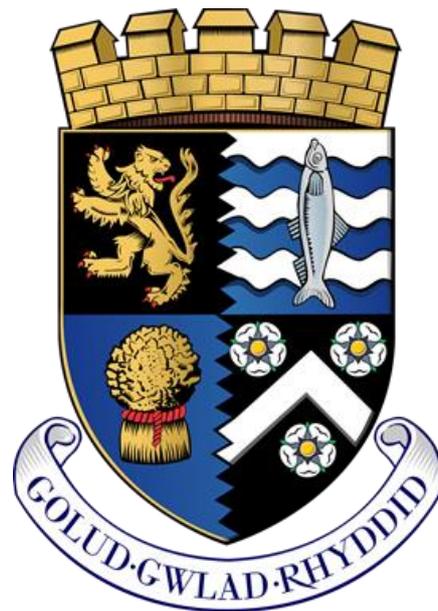
Appendices: **Appendix 1:** Annual Report of the Governance and Audit Committee 2021-22

Contact Name: Elin Prysor

Designation: Corporate Lead Officer: Legal & Governance (& Monitoring Officer)

Date of Report: 7/6/2022

Governance and Audit Committee



Cyngor Sir
CEREDIGION
County Council

Annual Report 2021/22

ANNUAL REPORT OF THE CHAIR OF THE GOVERNANCE AND AUDIT COMMITTEE ON THE ACTIVITY OF THE COMMITTEE FOR THE YEAR 2021/22

1. INTRODUCTION

This is the Annual Report of the Governance and Audit Committee and its objective is to provide a brief summary of the work undertaken during the year, note the work in progress and set out the forward work programme for the coming year.

In addition, the Report will provide an assessment on the effectiveness of the Governance and Audit Committee and provide assurance that issues have been addressed and progressed.

The Governance and Audit Committee ('the Committee') is a small group and, during 2021-22, consisted of seven Members with a politically balanced structure and included one Lay Member.

2. MEETINGS

The Committee scheduled six meetings for the year to fit in with a detailed Forward Work Programme to cover all of the main areas of work required under its terms of reference, held during June, September and November (2021), and January (2 Meetings) and March (2022). The meeting agendas were full of items for consideration, discussion and review, with one of the January 2022 Meetings dedicated to the Audit Wales ('AW') Review of the Planning Service.

It is pleasing to note that the work of the Committee is always well supported by the Chief Executive, Corporate Lead Officer ('CLO') Finance & Procurement, CLO Legal & Governance/Monitoring Officer ('MO'), CLO-Policy, Performance & Public Protection, Corporate Manager Internal Audit ('CMIA') and Governance Officer, as well as AW.

Attendance at Meetings

<u>Meeting</u>	<u>Cllr Elizabeth Evans (Chair)</u>	<u>Cllr Rowland Rees-Evans (Deputy Chair)</u>	<u>Cllr Gareth Davies</u>	<u>Cllr Peter Davies</u>	<u>Cllr Keith Evans</u>	<u>Cllr Matthew Woolfall Jones</u>	<u>Prof Ian Roffe</u>
<u>* P: Present</u>							
<u>A: Apologies</u>							
<u>3/6/21</u>	<u>P</u>	<u>P</u>	<u>P</u>	<u>A</u>	<u>P</u>	<u>A</u>	<u>P</u>
<u>9/9/21</u>	<u>P</u>	<u>P</u>	<u>P</u>	<u>P</u>	<u>P</u>	<u>A</u>	<u>P</u>
<u>25/11/21</u>	<u>P</u>	<u>A</u>	<u>P</u>	<u>P</u>	<u>P</u>	<u>A</u>	<u>P</u>
<u>17/1/22</u>	<u>P</u>	<u>P</u>	<u>A</u>	<u>P</u>	<u>P</u>	<u>A</u>	<u>P</u>
<u>19/1/22</u>	<u>P</u>	<u>P</u>	<u>P</u>	<u>P</u>	<u>P</u>	<u>P</u>	<u>P</u>
<u>10/3/22</u>	<u>P</u>	<u>P</u>	<u>A</u>	<u>A</u>	<u>P</u>	<u>A</u>	<u>P</u>

3. ROLE UNDERTAKEN BY THE COMMITTEE

According to CIPFA's Practical Guidance for Local Authorities' Audit Committees 2018, the purpose of the Governance and Audit Committee is:

- To act as a key component of an authority's governance framework. Its function is to provide an independent and high level resource to support good governance and strong public financial management; and
- To provide to those charged with governance independent assurance on the adequacy of the risk management framework, the internal control environment and the integrity of the financial reporting and governance processes. By overseeing internal and external audit it makes an important contribution to ensuring that effective assurance arrangements are in place.

A summary of the work undertaken by the Committee during the year to achieve this is noted below. Meetings were, due to the Pandemic, all held using a virtual platform. Despite any disruptions due to the Pandemic, the Committee was eager to progress its work, and did so in a timely fashion.

Internal Audit Activity

- The Committee approved the Internal Audit Service's ('IA') Annual Report 2020/21 to include the Corporate Manager-Internal Audit's ('CMIA') annual opinion of assurance on the Council's framework of governance, risk management and internal controls, which fed in to the Annual Governance Statement.
The Committee requested that IA seeks an explanation regarding the communication problem that arose within the Estates Service, which led to the delays in providing information to AW, and that quarterly internal progress reports continue for the forthcoming year, along with the annual report, in order to ascertain the work of the Service at full capacity.
- The above Report was supported by quarterly reports from CMIA to document IA's progress throughout the year.
- The Committee considered the following IA Progress Reports during 2021-22:
 - 2020-21 Quarter 4 (3 June 2021 Meeting);
 - 2021-22 Quarter 1 (9 September 2021 Meeting);
 - 2021-22 Quarter 2 (19 January 2022 Meeting); and
 - 2021-22 Quarter 3 (10 March 2022 Meeting).
- The Committee approved the Annual IA Counter Fraud Report 2020/21, which provided a summary of IA's counter fraud work undertaken during the year.
- The Committee approved the CMIA's IA Strategy and Plan of work for 2022/23.
- An update of the IA Charter (2022-23) was approved by the Committee.
Amendments had been made to take account of counter fraud arrangements that support the National Fraud Initiative ('NFI') exercise, to provide assurance that the introduction of a Governance Officer post in the structure does not affect the CMIA and IA's independence and objectivity, to take account of the change in CMIA on 1 January 2022 and to make reference to the continuing effect of the Pandemic on IA 2021/22 work.

- Following the NFI exercise, the Committee considered IA's NFI self-appraisal, which provided assurance that the Council was fully supportive of the exercise.
- The Committee approved IA's Report on Risk Management, presented to the Committee following IA's Review of the Council's Risk Management Framework and the supporting corporate procedures in place during the 2020/21 financial year. IA reported that only minor actions were identified, one of which was actioned immediately, resulting in high assurance that there is a sound system of controls, governance and risk processes in place.
- On 3 June 2021, the Committee considered an IA Report on the Governance Framework Review 2020/2021 (the Framework supporting the Annual Governance Statement (AGS) for 2020/21) following a Report on the Governance Framework, AGS and Local Code of Corporate Governance being presented to the Committee in February 2021 (Members of the Committee were also involved in its review). AW provided an audit opinion on the AGS based on its consistency with their knowledge and compliance with their knowledge and compliance with legislation. The IA review consisted of an assessment of the procedures in place to compile the Governance Framework, the scoring methodology used, and consideration of the 'evidence' noted in the framework, which complemented AW's work on the AGS and provided assurance that the procedure is robust, focussed and effective.
- On 10 March 2022 the Committee also considered the IA Governance Framework Review 2021/22 and noted the review of the Framework.
- The Committee endorsed the Council's Strategy on Counter Fraud, Bribery, and Corruption (to include Anti-Money Laundering) for presenting to Cabinet and Council.
- The Committee considered an IA Report on the Estates Service regarding steps taken to improve communications between AW and the Service. The CMIA held a meeting with the Corporate Manager Growth & Enterprise on 29 July 2021 and the steps taken were corroborated by the AW Audit Manager, who confirmed that communications had improved.

Regulatory & Inspectorate Reports & Updates

During 2021-22 year the Committee agreed, for clarity and ease of reference, to separate the Regulatory items into 2 separate Reports:

1. *Regulatory & Inspectorate Reports & Updates*; and
2. *Council Responses to Regulatory & Inspectorate Reports*.

1. Regulatory & Inspectorate Reports & Updates considered during the year:

AW Quarterly Updates to GAC

- Quarter 2 Work Programme Timetable 2021-22 (presented at 19 January 2022 Committee Meeting; and
- Quarter 3 Work Programme Timetable 2021-22 (presented at 10 March 2022 Committee Meeting).

Local External Audit (AW) Reports

- Ceredigion County Council Annual Audit Summary 2021;
- Audit Plan 2021-22;

- Letter to Governance and Audit Committee Chair – AW Reports and Recommendations (AW Work Programme and Timetable);
- Project Brief - Assurance and Risk Assessment, Ceredigion County Council; and
- Project Brief – Review of Planning Service, and Review of the Ceredigion County Council Planning Service 2020-21.

AW Review of the Planning Service 2020-21

On 17 January 2022 the Committee considered a Report on AW's Review of the Planning Service April – July 2021. AW presented the Report and the Chair of the Development Control Committee ('DCC') provided feedback from the DCC. The Committee suggested that the DCC points raised be sent to the CLO – Economy and Regeneration to obtain responses from AW then circulated to Members/relevant Officers accordingly.

Other Members of the Committee queried and commented on the content of the report to include issues in relation to the Corporate Strategy, Sustainability and Rurality. It was emphasised that a mechanism to better demonstrate the links to the Corporate Strategy and other key strategic documents in the reports presented to the DCC was required.

The Committee considered the Council's Management Response, as presented by the CLO – Economy and Regeneration and also received a summary of the work of the Task and Finish Group by its Chair. The Chair noted the work of the Task and Finish Group, welcoming the progress made to date and noted that there was clear direction of travel for addressing the report's recommendations.

The Committee noted the content of the AW Review and 10 recommendations provided, noted the Council's Management Response and Action Plan and agreed to receive an update at the March meeting, in order that the new administration in May 2022 be informed of the current position in relation to the recommendations.

National AW Reports/Project Briefs

- Project Brief – Value for Money of Direct Payments (November 2020);
- Project Brief - Poverty in Wales (August 2021);
- Project Brief– Equality Impact Assessments and their use in decision making
- Financial Sustainability Assessment Project 2020-21;
- Project Brief - Springing Forward (2021-22) (including Auditor General Privacy Notice);
- Project Brief - Building social resilience and self-resilience in citizens and communities (August 2021);
- Project Brief - Social enterprises (August 2021);

- National Report - Regenerating Town Centres in Wales (September 2021) and Audit Wales Letter – Auditor General for Wales Review of Town Centre Regeneration.
- Picture of Public Services Report
 - A Picture of Local Government
 - A Picture of Social Care
 - A Picture of Healthcare
 - A Picture of Schools
 - A Picture of Higher and Further Education
- National Report - Care Home Commissioning for Older People Report (December 2021).
- National Report - Joint working between Emergency Services (January 2022).
- Climate Change Decarbonisation Baseline Review including letter from Attorney General for Wales and Call for Evidence (November 2021).

The Committee also considered:

- the Protocol for communications between AW and the Council. The Governance Officer also provides support to the Committee in AW communications and circulates reports, as they are received, to the Committee for their consideration in advance of Committee meetings;
- an (exempt) AW Report on Cyber Resilience, agreed to note the contents, conclusion and recommendation of AW and noted that appropriate software was being tested to enable the use of iPads in a secure environment in the future.
- AW concerns regarding communication and revaluation issues of the Estate Service raised in ISA260 reports, in relation to the Statement of Accounts. Information requested in January had not been forthcoming and at a subsequent meeting with the Chief Executive and AW assurances were provided that this information would be available to complete the audit (an impact on finalising the Statement of Accounts for 2020/21).

The Corporate Manager – Growth and Enterprise reported to the Committee that AW were correct in their comments, and valuations had been carried out last October and November, however, they were currently completing the final assessment of the internal process of these valuations. A few issues were required to be addressed but he was confident on the quality of the valuations and their audit trail, with Officers available in September to address any issues from AW, therefore the key points in the ISA 260 would be addressed confidently.

Members reiterated their concerns on the issue, and agreed that any further concerns or delays should be reported to the Chair by AW. The Committee also agreed that:

- an update be provided at the September 2021 meeting on recruitment, communication and revaluation process of the Service in order that the Committee receive assurance that issues raised in the statement of accounts were addressed;
- that a meeting be arranged between the Chief Executive, Chair and Vice Chair to discuss the process to address those issues; and

- consideration be given for a designated officer contact point between AW and the Service if issues were raised during the forthcoming statement of accounts.

2. Council Responses to Regulatory & Inspectorate Reports considered during the year

As above, the Committee considered the Council's response to AW's Review of the Planning Service on 17 January 2022.

Management Response Forms ('MRFs')

The Committee agreed, to avoid unnecessary duplication, that only MRFs that had not had final responses presented to the Committee should continue to be presented, with a record of all MRFs, including completed MRFs, to continue to be kept internally. The Committee also agreed that MRFs with updates shall also continue to be provided as word documents.

- MRFs considered (2019-20, 2020-21):
 - (Draft) *'Raising our Game' Tackling Fraud in Wales* (30/7/2020);
 - *Review of Public Service Boards* (7/10/19);
 - *Rough Sleeping in Wales – Everyone's Problem; No-one's Responsibility* (23/7/2020);
 - *The 'Front Door' to Adult Social Care* (11/9/19)
 - *Progress in implementing the Violence Against Women, Domestic Abuse and Sexual Violence Act* (21/11/19);
 - *Well-being of Future Generations: An examination of the design and implementation of the Council's Integrated Services Model – Ceredigion County Council* (20/12/19);
 - *The National Fraud Initiative in Wales 2018-20* (13/10/20);
 - *Welsh Community Care Information System* (15/10/20);
 - *Effectiveness of Local Planning Authorities in Wales* (6/6/2019); and
 - (Draft) *Commercialisation in Local Government* (6/10/2020).
- MRFs considered (2021-22):
 - *Regenerating Town Centres* (September 2021);
 - *Financial Sustainability Assessment* (September 2021); and
 - *Audit Wales Review of the Council's Planning Service* (October 2021).

The Committee also considered:

- The Council's response to:
 - *Climate Change Decarbonisation Baseline Review* (call for evidence)
 - *Care Home Commissioning for Older People Report* (National Report) (Verbal response from Service)
- Report on AW's *Financial Sustainability Report 2020-21* and *Report on Financial Sustainability of Local Government - Covid-19 Impact, Recovery and Future Challenges*. This was presented following the outcome of the 2020-21 AW *Financial Sustainability Assessment* of the Council and AW *Report on Financial Sustainability of Local Government*.

AW Compliance work reviewed included:

- *Certification of Grants and Returns 2019-20 – Ceredigion County Council; and*
- *Certificate – Audit of Ceredigion County Council’s Assessment of 2020-21 Performance.*

Care Inspectorate Wales (‘CIW’)

The Committee considered:

- the CIW *Assurance Check 2021* received by the Corporate Lead Officer – Porth Cynnal/Statutory Director of Social Services (dated 2 July 2021) and congratulated the Service on an excellent Report; and
- the a CIW *Inspection Report on Hafan Deg Residential Care Home* and CIW *Report on Yr Hafod Residential Care Home.*

Estyn

The Committee considered an Estyn Letter on the Council’s work in supporting schools during the Covid-19 Pandemic and its subsequent findings, which were also reported to Cabinet and the Learning Communities Overview and Scrutiny Committee. In May 2022 Estyn held a second meeting with every Local Authority and focussed on the Council’s work in response to its National Report’s recommendations. The letter was sent to the Chief Executive in July 2021 outlining the Council’s work in those areas. The Committee congratulated the Service on an excellent Report.

Regulatory Framework Considerations

- The Corporate Risk Register is a regular agenda item and considered at each Meeting. The Committee were informed that:
 - *R003 Corporate Improvement and Performance* overall risk score was increased mainly due to the introduction of the Local Government and Elections (Wales) Act in April 2021. Subsequently the risk score was decreased to reflect the latest situation regarding the re-instatement of Business Planning and the Performance Board quarterly meetings following a period of suspension during 202/21 to respond to the Pandemic.
 - *Risk R004 Business Continuity* score had increased to reflect the risk of ransomware attacks on the Council network and impact this would have on the ability to continue operations and deliver essential services.
 - *Risk R009 Information Management* was expanded to *Information Management and Cyber Security Resilience* to reflect the increasing importance of cyber security with home-based office Staff.
 - *Risk R016 Brexit* score had increased to indicate the most recent concerns over the supply of labour and goods, particularly with reference to the lack of HGV drivers.

The Committee had provided feedback for relevant Officers, and included the need to address the risk associated with the lack of HGV drivers and its impact on services locally and nationally. It was noted that this would be reflected on the register and that the Thriving Communities Overview and Scrutiny Committee was to consider the lack of drivers within the refuse collection service and its impact on the service.

- *Risk R018 Covid-19* decreased to reflect the latest situation regarding risks associated with the Pandemic following the success of the vaccination programme.
- *Risk R019 Climate Change and Coastal Erosion/Flooding* was introduced combining the previous risks of Carbon Management (R012) and Coastal Erosion (R013) into an overarching risk on climate change, to include risks such as increased instances of flooding, drought and storms. Mitigating actions include the development of a Corporate Climate Change Strategy and action plan detailing how the Council will achieve net carbon zero by 2030. Feedback from the Committee had included the need to engage with the public in relation to Climate Change and Coastal Erosion/Flooding due to the possible inclement weather over the winter period, this was required to address the worries of residents on these risks
- *Risk R020 Ash Dieback* was introduced with mitigating actions put in place including the production of an action plan, a steering group and survey of high priority areas to identify Ash tree locations/conditions. Feedback from the Committee had included a need to consider the risk associated with trees with ash dieback, especially with the possible inclement weather during the winter period, which could be incorporated in the programme of work to address the ash dieback on footpaths and Council roads.
- *Risk R021 Phosphates* was introduced. The Council was obliged to regard advice from Natural Resources Wales ('NRW') who recommend planning restrictions due to high levels of phosphates in the Teifi. This would significantly impact the county by preventing building development across 44.6% of Ceredigion, impacting economic growth.

Feedback by the Committee for Officers also included a need to readdress the high risk associated with food safety inspections.

Annual Governance Statement ('AGS')

- The Committee considered a Report on the AGS 2021/22 Progress - Current year Action Plan on 3 June 2021, agreed to note the Progress Report on actions set out in the AGS and that the AGS would be reported quarterly to the Committee in the future.
- On 9 September 2021 the Committee considered and accepted a Report on the AGS 2021-22 Progress & Current year Action Plan. It was noted that a review of the AGS 2021/22 was in progress, with the annual Workshop with Committee Members and appropriate Officers to be held in November/December 2021 in order to prepare a draft AGS for approval. A Member of the Committee also raised the matter of declarations of interest of Chief Officers and agreed to contact the MO regarding the matter.
- The Governance Framework was reviewed at the 30 November 2021 Workshop, in accordance with AW recommendations and the results used to draft the AGS.
- On 19 January 2022 the Committee considered the Governance Framework Document, Draft Local Code of Corporate Governance 2022-23 and Draft AGS

2021-22, which agreed to recommend to Council the approval of the draft AGS and Code.

The Committee also recommended inserting in the AGS, an explanation on the scoring bands, and that a '*corporate memory*' is established for continuity, to ensure that there is a link between recommendations contained in reports, and the Council's policies, self-assessments and frameworks, and that this is reflected in the AGS to ensure tracking and monitoring. It was noted that this would also be addressed within the Governance and Audit Committee Meeting Actions Log.

The Chair also requested that the CLO- Policy, Performance and Public Protection be invited to the next Committee meeting to provide an update on the Council's public engagement processes as concerns were raised that the information collated for these exercises were inadequate.

- The Draft AGS 2021-22 and Local Code of Corporate Governance 2022-23 were approved by Council on 3 March 2022. It was confirmed to Council that:
 - Additional text would be inserted for the evidence, actions and potentially scoring in the GFD and for the corporate governance achievements, actions and outcomes in the draft AGS 2021-2022, to link with the recommendations of Audit Wales in its Planning Service Review. These revised documents would be re-presented to Council once the changes have been made and considered by the Committee.
 - The explanations regarding scoring/bands, as requested by the Committee, had been added to the GFD and draft AGS, alongside an additional minor correction in the draft AGS to reflect that the Local Code of Corporate Governance has been reviewed further to take account of ongoing changes to governance due to the coronavirus pandemic.
- Council noted the contents of the 2021-2022 GFD, approved the draft AGS 2021-22, and the Local Code of Corporate Governance 2022-2023 for publication (a further draft of the AGS, as above, is to be re-presented to the Committee and Council).
- The AGS's Action Plan is considered as a standing agenda item.

* See also reference to AGS below under '*OUTCOMES AND/OR IMPACTS of the Committee's work*'

Financial Reporting

- Following an agreement by the Committee on 12 November 2020 that the Capital Programme would be presented to the Committee on a quarterly basis, with any queries regarding content of the Report to be presented to Officers prior to the meeting, the Committee considered a Report on the Capital Programme Quarter 3 on 3 June 2021. The Committee noted the contents of the Report, subject to a query regarding a £150,000 smartphone spend, which was subsequently clarified by Officers to the Committee as part of the Committee's Meetings Log.
- The Committee reviewed the Council's Annual Statement of Accounts (to 31 March 2021) and Annual Return for Ceredigion Harbour Authority (to 31 March 2021), prior to their presentation to the Council for approval.
- The Committee received AW's annual Audit of Financial Statements Report (ISA260) for 2020-21 and considered issues arising from the Audit. The

Committee agreed to note the contents of the Report, congratulated the Service on the excellent Report and for additional work in distributing Covid-19 grants to businesses/the 3rd sector service, and thanked Officers in the Estates Service on their action in addressing issues raised in previous ISA260 Reports.

- The Committee considered a Report on the Revised Minimum Revenue Provision Policy 2021/22 and agreed to support the Policy, subject to periodic reviews. The Committee also agreed that revenue savings included in the Report (AW having agreed) would be presented to Council on 17 July 2021.

Other Work

- The Committee received a Report on further changes relating to the Committee arising from Local Government and Elections (Wales) Act 2021 ('2021 Act') and its impact on Audit Committees, including proposed changes to the Constitution, the ongoing recruitment process of lay members and the requirement for the Mid Wales Corporate Joint Committee to have a Governance and Audit Sub-Committee.

Committee members were also included on the Shortlisting Selection Panel for the recruitment of Lay Members.

The Committee was also provided with an opportunity to provide comments on the Welsh Government Consultation on guidance supporting the setting up of Corporate Joint Committees under Part 5 of the 2021 Act.

- The Committee considered a Report on Statutory Guidance on the performance and governance of principal Councils under Part 6 of the 2021 Act, including the role and duties of the Committee, and the publication of consultation responses.
- The Committee received a Report on the Council's Response to Welsh Government Consultation Questions on draft General Power of Competence (Commercial Purpose) (Condition) (Wales) Regulations 2021.
- On 9 September 2021 the Committee considered the draft Annual Report of the Chair 2020-21 prior to presentation to Council. The Committee approved the Report subject to including reference that the Committee had been preparing, during 2020-21, to address the new responsibilities of the Committee in relation to governance and provided a proactive role in improving the services provided by the Council, where necessary.
- The Committee considered a verbal update report by the Corporate Manager – Growth and Enterprise on work carried out in relation to Asset Valuations.
- The Committee considered and noted a Report on addressing asset valuation issues arising from the 2019/20 AW Report and subsequent AW input, which confirmed how communications between AW and the Economy and Regeneration Service had been addressed in advance of the review of Asset Valuations work 2020/21.
- The Committee approved a Report on the WLGA Development Framework for Councillors in Wales (April 2021) and Framework Member Role Descriptions and Person Specifications (June 2021).
- The Committee considered the Annual Compliments, Complaints and Freedom of Information Report, presented in order to provide the Committee with an overview of the Compliments, Complaints and Freedom of Information ('FOI') activity (including Environmental Information Regulations ('EIR')) received by

the Council during the previous financial (2020/21), including information about the complaints activity referred to the Public Services Ombudsman for Wales. The Committee noted the Report and agreed that next year it should be presented to the Committee first for consideration prior to other fora (the Committee being required to consider this report, in accordance with its new complaints functions, pursuant to the 2021 Act).

- The Committee approved the introduction of the Committee's Meeting Actions Log for including as a regular Agenda item on the Committee's Forward Work Programme, suggested this type of log be presented at all Overview and Scrutiny Committees and that the title wording of each column be included on each page of the Log. The Actions Log was presented in order for the Committee to gain assurances that effective arrangements are in place to manage the authority's financial affairs, risk management, internal control and corporate governance arrangements.
- The Committee considered a Report on the Committee's Chair and Vice Chair arrangements and agreed that:
 - the Deputy Chair (from 5 May 2022) be appointed from the Lay Persons;
 - at the first Committee Meeting following 5 May 2022, it would be necessary to appoint a Chair and Deputy Chair;
 - Officers were to contact the Lay Persons for expressions of interest in the roles of Chair/Vice Chair;
 - the rotation of the Chair & Deputy Chair takes place every two years;
 - it was noted that the Committee would be without a Chair/Vice Chair from 5 May 2022 to 29 June 2022 (scheduled Committee Meeting date at that time); and
 - a meeting would be arranged as soon as possible following the AGM on the 27 May 2022 to appoint the Chair/Vice Chair.

All Wales Audit Committee Chairs' Network

On 6 September 2021 the Chair attended the All Wales Audit Committee Chairs' Network meeting (held remotely), whose aims are to encourage:

- The sharing of good practice;
- The identification of innovative ways to effectively discharge the formal responsibilities of the Chair's role;
- The opportunity to scope current and future national and regional matters, and potential responses to these challenges;
- A forum to give and seek advice between colleagues who are facing similar challenges; and
- A mentoring or development opportunity for new Chairs.

Both CIPFA and AW offered their support in delivering training, which focussed on:

1. 2021 Act – Performance Duties and Governance and Audit Committees;
2. Complaints Handling in Local Authorities; and
3. Policy into Practice – Delights and Dilemmas.

4. FORWARD WORK PROGRAMME

A Forward Work Programme has been devised, which includes the following standing agenda items:

1. Regulatory & Inspectorate Reports and Update;
2. Council Responses to Regulatory and Inspectorate Reports;
3. Internal Audit Quarterly Progress Reports;
4. AGS Progress Reports;
5. Corporate Risk Register;
6. Forward Work Programme; and
7. Committee Meeting Actions Log.

The Committee noted on 9 September 2021 that the Capital Expenditure Report had been removed from the Forward Work Programme, as agreed by the Chair.

5. OUTCOMES AND/OR IMPACTS of the Committee's work

AGS

* see also above schedule of Committee's involvement with AGS.

The Committee reviewed the 2020/21 AGS prior to including it with the Statement of Accounts in November 2021, to include minor amendments and to reflect that actions previously anticipated to be taken had now been taken. The Committee reviewed the updated AGS on 25 November 2021 and agreed to recommend to Council it approves the amended 2020-21 AGS.

A review of the 2020/21 Governance Framework highlighted the need for:

- The MO to advise Officers further on the need to declare interests in organisations which actually, or may conflict with Council interests including:
 - Contractors;
 - School Governors;
 - Clerks to Town and Community Councils;
 - Members of Town and Community Councils; and
 - School Governors.
- The MO and CLO Democratic Services to continue to undertake review of Members holding directorships, trusteeships, or memberships when appointed onto outside bodies, and committees, the MO to consider member feedback and added value and continue to update Code of Conduct for Officers and Members.
- The MO to advise Officers further on the need to declare:
 - Directorships; and
 - Other employmentIncluding whether conflicting with the Council's interests or not.
- The MO to continue to advise Members further on the need to declare hospitality/gifts.

- The MO to advise Chief Officers further on the need to declare close personal associations with other Officers or Members.

The above matters are being monitored by the Committee as part of the AGS action plan reported to the Committee throughout the year.

- Leadership Group ('LG') to be updated on E-learning with HR reporting to LG (a mandatory E-learning training module on the Well-Being of Future Generations Act 2015 ('WFGA') must be completed by all Staff)
- Continue to review Constitution to reflect legislative changes and according to need.
- Council making preparations to comply with the 2021 Act regarding Audit Committee (terms of reference, remit and composition to be reviewed).
Changes include:
 - change of name to 'Governance and Audit Committee';
 - Membership to be 2/3 Councillors and 1/3 Lay Persons;
 - Committee duty to appoint own Chair and Deputy Chair;
 - Chair must be lay person;
 - Deputy Chair must not be member of Local Authority Executive; and
 - in absence of Chair & Deputy only non-executive Members can chair.
- Size of Committee review in progress.
- Lay member recruitment to be undertaken during 2020/21, taking into account any 2021 Act requirements and termination of term of office of current Lay Member.
- Delegated decision Decisions Register to be published.
- Continued monitoring of the Mandatory e-learning take up of Whistleblowing module. Currently lower than required.
- The Complaints / Compliments policy is to be reviewed during 2020-2021.
- Ethics / Fraud training to be provided.
- The 2021 Act shall have an effect on corporate bodies, including the Council, and preparations for compliance are underway.
- FOI policy and EIR policy both updated. Review of the FOI Publication Scheme is in progress.
- Due to the Covid-19 pandemic, decisions currently need to be made by Gold Command for emergency reasons, therefore it is impossible to consult physically in the community at present for many services, and consequently the scoring has been amended to reflect this.
- Community Engagement Policy is under review and will include provisions for how stakeholders are engaged in future.
- Further work on monitoring feedback is required and the new Equalities and Engagement post will address this.
- Publicise service performance including costs and value for money data.
- Account will be taken of legislative changes e.g. 2021 Act.
- Further work is progressing to link Local Performance measures to all level 1 Business plan Objectives.
- Council preparing for implementation of changes to be introduced by Local Government and Elections (Wales) Act 2021, which include for Council to consult and publish a public participation strategy with the aim of increasing public participation in local democracy, and improving transparency.

Covid-19

The Committee has also monitored and reviewed the Council's work in relation to Covid-19:

- The Committee has monitored the development of the AGS, which has been revised to take into consideration the Covid-19 Pandemic. The AGS includes a dedicated section on the Covid-19 Pandemic and includes reference to:
 - o Temporary delegated powers for the Council's Chief Executive and Leadership Group through the use of Urgent Decisions for decisions relating to the Council's COVID-19 response, in accordance with Council's Constitution.
 - o Records of Urgent Decisions, for urgent decisions being made by the Covid-19 Leadership Group ('Gold Command'), which are published on the Council's Website;
 - o Periodic reviewing of the Urgent Decisions of the Leader;
 - o A Covid-19 Roadmap outlining the services the Council currently provides and service plans;
 - o The Council forming strategies and plans to take into account risks caused by the Pandemic;
 - o Remote meetings between the CMIA and Governance and Audit Committee Chair during the Pandemic; and
 - o The MO reminding members and c-opted independent Members of their obligations regarding declarations of interest for enhanced Covid-19 lockdown grants for businesses.
- The Committee monitors and reviews the Council's Corporate Risk register, and considered that Risk R018 Covid-19 decreased to reflect the latest situation regarding the risks associated with the Pandemic following the success of the vaccination programme.

Coroner Service – Funeral Director Fees

- On 9 September 2021 the Committee considered a Report with Exempt appendices (the Public and Press were excluded during the discussion of Exempt appendices) on the Coroner Service – Funeral Director Fees and agreed that a further Report with the information requested by the Committee would be presented at a future Meeting.
- On 19 January 2022 the Committee also considered a Follow-On Report on the Funeral Director Service, agreed to note the contents and conclusions of the Follow-On Report, and the (exempt) IA Report, and to direct the CLO-Legal and Governance & MO to pursue a response from regulators & relevant bodies on this matter, stipulating that a response be received in the next two weeks.

6. SELF-ASSESSMENT & ASSURANCE

A survey was circulated to Committee Members, responses collated and a subsequent Workshop held on 3 February 2022 in order to formulate a Self-assessment and Evaluation of Effectiveness Review. As it was not possible, in the timescale, for attendees to complete the review at the Workshop, the draft Review was re-circulated to the Committee Members and presented as a draft to the

Committee at its 10 March 2022 Meeting. The Committee agreed with the proposal of the Report that the Review be reconsidered by Committee in order that a final Review may be completed and re-presented to the Committee at its next Meeting.

The CIPFA Practical Guidance for Local Authorities' Audit Committees 2018 sets out guidance on the function and operation of Audit Committees in local authorities. It recognises that an Audit Committee's effectiveness should be judged by the contribution it makes to, and the beneficial impact it has on, the authority's business.

I believe this has been achieved, as the Committee has placed its focus on governance, risk and assurance during the year and has added value by ensuring robust arrangements are in place to support improvements across the Council.

Councillor Elizabeth Evans

Chair – Governance and Audit Committee - 2021/2022

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CEREDIGION COUNTY COUNCIL

Report to: Council

Date of meeting: 8 July 2022

Title: Draft Annual Governance Statement 2021-22

Purpose of the report: Presentation of the Governance Framework Document 2021-22 and approval of the (updated) Draft Annual Governance Statement 2021-22

For: Decision

Cabinet Portfolio and Cabinet Member: Councillor Matthew Vaux, Cabinet Member for Legal and Governance, Housing, People and Organisation and Public Protection

BACKGROUND

A Report was presented to Council at its 3rd March 2022 Meeting on the Governance Framework Document 2021-22, Local Code of Corporate Governance 2022-23 and Annual Governance Statement ('AGS') 2021-22 (see Report at: <https://council.ceredigion.gov.uk/documents/s2743/Report%20-%20Annual%20governance%20statement.pdf?LLL=0>).

Council resolved to:

- a) Note the contents of the 2021-2022 Governance Framework Document;
- b) Approve the Draft AGS 2021-2022; and
- c) Approve the Local Code of Corporate Governance 2022-2023 for publication

In the Report to Council it was confirmed that additional text would be inserted for the evidence, actions and potentially scoring in the Governance Framework Document 2021-22 and for the corporate governance achievements, actions and outcomes in the Draft 2021-2022 AGS to establish a link with the recommendations of Audit Wales in its Report 'Review of the Planning Service – Ceredigion County Council 2020-21', and these revised documents would be re-presented to Council once the changes have been made and considered by the Governance and Audit Committee.

The Local Code of Corporate Governance 2022-23 has now been published on the Council's website.

On 6th June 2022 a Report was presented to the Council's Governance and Audit Committee, in which it was confirmed that a further Member and Officer Workshop was held on 10th March 2022 to consider the additional text, including any proposed re-scoring and associated actions. Following the Workshop, the updated

Governance Framework Document 2021-22 was recirculated to all invited Members and Officers for consideration.

It was considered that a further 3 scorings (A1.1, A1.2 and A3.1) were re-scored from 9/10 to 7/8 in order to reflect that actions requiring completion. Out of the total 94 reviewed behaviours, 88 (rather than 91) total behaviours are now scored at 9/10, 5 are scored at 7/8 (previously, 2 remained at 7/8) and 1 remains at 5/6.

As a result of revised scores, actions were identified for 2022-2023 and included in Section 6 of the updated Draft AGS. Section 3 of the Draft AGS (Corporate Governance Achievements for 2021-22) was also updated to reflect the additional text in the 'evidence' section of the Governance Framework Document 2021-22. A minor error was also corrected at the bottom of the table at Section 5, which now states that any actions not fully completed by the completion date will be carried forward into the 2022- 2023 Action Plan.

(see Report to Governance and Audit Committee at:

<https://council.ceredigion.gov.uk/documents/s3103/Item%2013%20Draft%20AGS%20s.pdf?LLL=0>)

The Governance and Audit Committee agreed to note the contents of the updated Governance Framework Document 2021-22 and recommend that Council endorses the updated Draft AGS 2021-22.

Current Situation

The updated Governance Framework Document 2021-22, as presented to the Governance and Audit Committee, is attached (see **Appendix 1**) and the updated Draft AGS 2021-22, as endorsed by the Governance and Audit Committee, is also attached (at **Appendix 2**) (changes to both documents made since the previous versions were presented to Council on 3rd March 2022 are marked using red 'tracked changes').

Council is hereby requested to note the contents of the 2021-2022 Governance Framework Document (at **Appendix 1**) and approve the (updated) Draft AGS 2021-2022 (at **Appendix 2**).

Should Council approve the (updated) Draft AGS 2021-22, this document shall be considered by Audit Wales prior to being presented again as a final version to the Governance and Audit Committee and Council alongside the Annual Statement of Accounts on 17th November 2022 (to include any further changes recommended by Audit Wales and proposed for insertion).

	Has an Integrated Impact Assessment been completed?	No
	If, not, please state why	No policy change
Wellbeing of Future Generations:	Summary: Corporate Governance Statement sets out how the Authority carries out its functions in a way that demonstrates accountability, transparency, effectiveness, integrity, impartiality and inclusivity.	

Long term:	Corporate Governance is about developing the entity’s capacity, including the capability of its leadership and the individuals within it ensures the long term sustainability of the Council
Integration:	Corporate Governance ensures that risks and performance are managed through robust internal control and strong public financial management.
Collaboration:	Corporate Governance ensures Implementation of good practices in transparency, reporting and audit, to deliver effective accountability
Involvement:	Corporate Governance ensures that outcomes are defined in terms of sustainable economic, social, environmental and cultural benefits
Prevention:	Corporate Governance involves determining the interventions necessary to optimize the achievements of the intended outcomes.
Recommendation(s):	That Council resolves to: <ol style="list-style-type: none"> 1. Note the contents of the updated 2021-2022 Governance Framework Document (Appendix 1) 2. Approve the Draft Annual Governance Statement 2021-2022 (Appendix 2)
Reasons for decision:	To progress the publication of an Annual Governance Statement 2021-22 in accordance with The Accounts and Audit (Wales) Regulations 2014.
Overview and Scrutiny:	Considered by Governance and Audit Committee 19/1/2022 and 6/6/2022
Policy Framework:	None
Corporate Priorities:	Effective Corporate Governance ensures that the Council can deliver on all the Corporate Priorities <ol style="list-style-type: none"> 1. Boosting the Economy 2. Investing in Peoples Future 3. Enabling Individual and Family Resilience 4. Promoting Environmental and Community Resilience

Financial implications: The Council will not fully comply with Requirements
The Council will fail to comply with legislation/regulations

Legal implications:

the

Statutory Powers: Accounts and Audit (Wales) Regulations 2014.

Background Papers: None

Appendices: **Appendix 1** – 2021-22 Governance Framework Document
Appendix 2 – 2021-22 Draft Annual Governance Statement

Corporate Lead Officer: Elin Prysor, CLO Legal & Governance/Monitoring Officer

Date: 8/6/2022

CEREDIGION COUNTY COUNCIL



Governance Framework Review 2021 -2022

Scoring						
Note that each score used throughout this Governance Framework Document is a score out of 10 e.g. a score of 7/8 means a score of between 7 and 8 out of a total 10 marks.						
A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law						
Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.						
Sub-principles	Behaviours	Evidence	Expected	✓/X	Score	Action
A1. Behaving with integrity	Elin Prysor / Lowri Edwards/Steve Johnson/Amanda Roberts / Alex Jenkins A1.1 Ensuring Members and Officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation	<ul style="list-style-type: none"> • <u>Code of Conduct for Members</u> (updated in 2016) available on the Council's website, intranet site (CeriNet) under Councillor Resources, and in the <u>Constitution</u>. • <u>Members Code of Conduct Flowchart</u> (updated in 2016). • Code of Conduct for Officers* (currently being updated) available along with all Corporate policies and strategies via Council website/<u>CeriNet</u>. • Individual sign off with regard to compliance. • Induction and follow-up training on Code of Conduct and ethics provided to all Members. • Ethics/Fraud training provided in collaboration with Council's insurer at Corporate Managers' quarterly workshop 28.5.2021. Slides from presentation are forming a basis for e-learning module for all Staff and Internal Audit ('IA') & Governance Services working with Learning & Development to prepare scenarios for training. Training supported by recent review of Council's Strategy on Counter-Fraud, Corruption & Bribery (to include Anti-Money Laundering). • Follow up Internal Audit of Council's arrangements regarding Ethics also in progress (currently in review). • Day to day advice is provided by the Monitoring Officer ('MO') and Scrutiny Support Officer. • <u>Disciplinary Policy (Nov 2017)</u>. • Personal Development Review. • Register of Members interests, available from the Council's Democratic Services, reviewed by M O. • <u>Declaration of Interest</u> and <u>Hospitality</u> forms for Officers and Members on CeriNet. • Regular reminders and advice is sent by the MO to Staff via internal News update emails. • Monitoring and review by MO of Chief Officers' declarations annually. • MO advises Chief Officers on need to declare close personal associations with other Officers or Members (<u>MO News Email Update of 20.7.2021 on CeriNet</u>) including advising Chief Officers at Leadership Group Meetings. • The Code of Conduct for Officers is in the process of being substantially reviewed. 	Codes of Conduct	✓	97/108	Good overall governance considered compliant and meets best practice. No further action required.
			Individual Sign-off with regard to compliance with the code	✓		MO to continue to advise Members further on the need to declare hospitality/gifts.
			Induction for new Members and Staff on standard of behaviour expected	✓		MO to continue to advise Chief Officers further on the need to declare: <ul style="list-style-type: none"> • close personal associations with other Officers or Members, Ongoing review on Chief Officers business declarations
			Performance appraisals otherwise known as Personal Development Reviews Officer Declaration forms	✓		MO and CLO Democratic Services to continue to review Members holding directorships, trusteeships, or memberships when appointed onto outside bodies, and committees, MO to consider member feedback and added value and continue to update Code of Conduct for Officers and Members Update Dispensations forms for Members Appraisals were halted due to Covid-19 Pandemic but have now recommenced

		<ul style="list-style-type: none"> • Update advice on Council Employees' Declarations and Registration of Interests (News email updates published 16.12.2021 and 20.7.2021 including re Covid-19 Restrictions Business Fund NDR Grants for businesses (News update published 8.1.2021). • MO advising of Officers re declarations of interest is ongoing. Regular reminders through News Updates on CeriNet system and at Leadership Group. Update on Council Employees' Declarations of Interest and Hospitality was published on 20 July 2021 on the Council's CeriNet Site, including links to the relevant forms and Code of Conduct for Local Government Employees, along with a reminder that any queries or requests for advice should be made to the MO. • Chief Officers informed through CeriNet system news update of MO email re declaring interests and Hospitality and reminder to Chief Officers sent. • Review is currently being undertaken of the external bodies that have appointed Members, including added value, and also updating of the Constitution. • Declarations of interest by Members and Officers at meetings, an opportunity to make reference to any close personal contacts/roles etc. • Ongoing review on Chief Officers' business declarations. • Update Dispensations forms for Members completed. • Members required to update Register of Interests in accordance with the Code of Conduct, and in addition, annually, which is opportunity to reference any close personal associates/roles etc. This now includes lay/independent members of the Ethics & Standards Committee and Governance & Audit Committee. Register of Interests booklet published for each Member on Council Website. • Proactive regular advice and reminders sent to Members and Officers as required. • MO to advise Officers further on the need to declare interests in organisations which actually, or may conflict with Council interests including: <ul style="list-style-type: none"> ○ Contractors; ○ School Governors; ○ Clerk to Town and Community councils; ○ Members of Town and Community councils; and ○ School Governors. • MO to advise Officers further on the need to declare: <ul style="list-style-type: none"> ○ Directorships; and ○ Other employment <p>Including whether conflicting with the Council's interests or not. MO sent email message to Officers on 20.7.2021 reminding Officers of requirements of declarations and</p> 			<p>(undertaken in May 2021 and continue to be held virtually).</p> <p>Reviewed Code of Conduct for Officers to be issued once updated & approved.</p> <p>Officers to complete a Mandatory Ethics/Fraud e-training module once completed & approved.</p> <p><u>Planning/Development Management Committee governance actions/documents established, training to be provided and progress to be reviewed during 2022-2023.</u></p>
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		<p>Hospitality and Interests (including regarding Covid-19 Enhanced Lockdown Grants for businesses).</p> <ul style="list-style-type: none"> • Dispensations forms for Members updated (2020). • Professional Qualified Officers and Teachers have to meet their professional body/organisation requirements. • Members complete a HR training module. • Training on standards of behaviour is provided to Managers for Staff. • MO circulates to political group leaders updates/decisions from the Adjudication Panel for Wales, whose role is to determine alleged breaches by elected and co-opted members against their authority's statutory code of conduct. • The Ethics and Standards Committee will have new duties (from May 2022) under the Local Government and Elections (Wales) Act 2021 ('2021 Act'), to include: • Monitoring compliance by leaders of political groups on the Council with their duties under S.52A(1) Local Government Act 2000; • Advising, training or arranging to train leaders of political groups on the Council about matters relating to their duties under S.52A (1) Local Government Act 2000. • <u>The duty to monitor compliance of political group leaders is in relation to standards of conduct, and ensure that this is visible, and consistently demonstrated and evidenced to protect the Council's reputation.</u> • <u>The Terms of Reference of the Development Control Committee (to be renamed 'Development Management Committee') have been revised.</u> • <u>The Operational Procedures document for the Development Control Committee/Development Management Committee has been revised.</u> • <u>The Scheme of Delegations contains criteria for applications, which must be referred to the Development Control Committee/Development Management Committee, and those applications that can be delegated to the Corporate Lead Officer.</u> • <u>A Protocol for Good Practice for Councillors at Development Control Committee/Development Management Committee has been produced and included in the Constitution.</u> 				
	<p>Elin Pryor A1.2 Ensuring Members take the lead in establishing specific standard operating principles or values for the Organisation and its Staff and</p>	<ul style="list-style-type: none"> • A good working relationship exists with the Welsh Government as a key regulator. Regular dialogue is maintained with representatives from Audit Wales. • This vision for the Council has been reviewed and endorsed by Cabinet, and the vision sets out a number of long term Strategic Objectives. 	<p>Standards reflect WG Public Service Values</p>	<p>✓</p>	<p>97/810</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

	<p>that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)</p>	<ul style="list-style-type: none"> • <u>The Corporate Strategy 2017-2022 includes Well-being and Improvement Objectives 20-19-20</u> setting out the Council's priorities and high level objectives with supporting actions on an annual basis. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website. • <u>Code of Conduct for Members (2016).</u> • <u>Register of Members' interests available from the Council's Democratic Services</u> reviewed by MO. • Declarations of interest by Members and Officers at meetings. • Chief Officers' annual Declarations of Interest and continuing obligations to declare interests. • Member annual update of Register of Interests and continuing obligations to declare interests (including lay/independent members of the Ethics & Standards Committee and Governance and Audit Committee). • <u>Regular dialogue with Public Services Ombudsman for Wales ('PSOW'), and other regulators including Estyn, CIW, ICO and IPCO.</u> • <u>The Terms of Reference of the Development Control Committee (to be renamed 'Development Management Committee') have been revised.</u> • <u>The Operational Procedures document for the Development Control Committee/Development Management Committee has been revised.</u> • <u>The Scheme of Delegations contains criteria for applications, which must be referred to the Development Control Committee/Development Management Committee, and those applications that can be delegated to the Corporate Lead Officer.</u> • <u>A Protocol for Good Practice for Councillors at Development Control Committee/Development Management Committee has been produced and included in the Constitution.</u> 	<p>Communicating shared values with Members, Staff, the community and partners</p>	<p>✓</p>		<p><u>Planning/Development Management Committee governance actions/documents established, training to be provided and progress to be reviewed during 2022-2023.</u></p>
	<p>Elin Prysor / Lowri Edwards A1.3 Leading by example and using these standard operating principles or values as a framework for decision making and other actions</p>	<ul style="list-style-type: none"> • <u>Minutes for all committees</u> contain Declarations of Interest-Officers and Members. • <u>The Constitution</u> is subject to regular reviews, with ongoing updates as required, including presenting proposed changes to Cross Party Constitution Working Group, to make recommendations on changes to Constitution to Council. Further revision in 2021 is ongoing, as the Constitution is a live document, to reflect legislative changes and according to need. Council approved amendments on 18.3.21 and 23.9.21. • A comparison exercise will be undertaken of the Current Constitution against the Model Constitution issued by WLGA. 	<p>Leadership values set out by WG are followed</p> <p>Decision making practices</p> <p>Declarations of interest made at meetings</p> <p>Conduct at meetings</p> <p>Shared values guide decision making</p>	<p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p> <p>Leadership Group to be updated on e-learning with HR reporting to Leadership Group.</p>

		<ul style="list-style-type: none"> • Politically Balanced Constitution Cross Party Working Group meets regularly to consider proposals for Constitution updates. Meetings held 15.2.21, 19.4.21, 30.6.21, 10.8.21 and 8.11.21. • <u>MO/Governance Officer report to Council to update delegations and Constitution.</u> • <u>The Council has established a Task and Finish Group (T&F group) to develop actions that will improve the Planning Service including decision making.</u> • <u>The Terms of Reference of the Development Control Committee (to be renamed 'Development Management Committee') have been revised to clearly state its purpose, role and responsibilities, and how it links to Corporate Priorities.</u> • <u>An Operational Procedures document for the Development Control Committee/Development Management Committee has been revised. The Operational Procedures define applications that are strategically important and 'major' planning applications.</u> • <u>The Operational Procedures document addresses the arrangements in respect of local ward members addressing the Committee.</u> • <u>A Protocol for Good Practice for Councillors at Development Control Committee/Development Management Committee has been produced and included in the Constitution.</u> • <u>Development Control Committee/Development Management Committee Scheme of Delegations has been revised to allow it to better focus on more strategically important and major applications.</u> • <u>The Scheme of Delegations contains criteria for applications, which must be referred to the Development Control Committee/Development Management Committee, and those applications that can be delegated to the Corporate Lead Officer.</u> • <u>A 'cooling-off' group has been established within the Development Control Committee/Development Management Committee Operational Procedures in order to review planning applications, which may, if approved, be a significant departure from policy.</u> • • Chief Officer annual Declarations of Interest. • <u>Corporate Strategy (2017-2022) contains the priorities of the Council.</u> • The Well-being and Improvement Objectives build on the priority areas identified in the <u>Corporate Strategy 2017-2022</u> and are reviewed annually These are developed in consultation with the public and Members. Council considered the draft Well-being and Improvement Objectives Annual 	<p>Develop and maintain an effective standards committee</p>	<p>✓</p>		
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		<p>Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website.</p> <ul style="list-style-type: none"> • A mandatory E-learning training module, introduced in September 2017, on the Well-Being of Future Generations Act 2015 ('WFGA') must be completed by all Staff (between September 2017 and November 2021 completed by 2,834 employees, of which 343 through Welsh and 2,491 through English). Between April and November 2021, 242 total employees completed the module, 40 through Welsh, 202 through English (* these figures include leavers). Reminders issued to Staff who not yet completed module and Leadership Groups receive periodic reports. • Members' standards and conduct matters considered by the Council's <u>Ethics and Standards Committee</u>. Public meetings held regularly, and chaired by an independent person-determine dispensations, and consider strategic/policy issues and receive updates from PSOW Casebook & APW cases. • The main duties of the Ethics & Standards Committee are to improve standards of Member conduct and operation of the Code of Conduct for Members. • Committee and Members are advised by the MO. • Ethics and Standards Committee engage actively in the training of Members. • Standards Conference 2018 jointly hosted by Powys & Ceredigion County Council (held on 14 September 2018). A similar conference was to be hosted by North Wales Councils in 2021-postponed due to Covid-19. • Annual Ethics & Standards Committee Report reported to Council in October 2021. • Governance and Audit Committee carry out a benchmarking exercise annually to provide further assurance on the review of the <u>Annual Governance Statement</u> ('AGS') process. • IA review and report on the process annually. Governance & Audit Committee meets regularly to consider governance and external regulator reports. Chaired by non-executive member. • Governance and Audit Committee Annual Report reported to Council on 23.9.2021 and approved. • <u>Covid-19 Governance Structure</u> introduced by the Council, to include temporary delegated powers for the Council's Chief Executive and Leadership Group through use of Urgent Decisions for decisions relating to the Council's COVID-19 response), in accordance with Council's Constitution. The Urgent Decision of the Leader was reviewed regularly, and expired on 31.8.2021. • Gold Command continues under operational procedures pursuant to Civil Contingencies Act 2004 				
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		<ul style="list-style-type: none"> • Gold Command Record of Decisions published on the Council's website). • <u>Record of Decisions</u>, made by the Covid-19 Leadership Group ('Gold Command') published on the Council's Website. 				
	<p>Elin Prysor/Alun Williams A1.4 Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively</p>	<ul style="list-style-type: none"> • Effective '<u>Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)</u>' updated and approved by Council 17.6.21 (minutes confirmed 23.9.21). • Internal Audit Annual Report on Counter Fraud presented to Governance and Audit Committee at year-end. • <u>Register of Members' interests</u> available from the Council's Democratic Services. • Declarations of interest/hospitality for Officers, as required. • MO circulates reminder re interest/hospitality declarations to Staff quarterly. • NFI match highlights Staff who are directors of companies that have dealings with the Council – any non-declarations investigated by IA and reported to MO. • Chief Officer Declarations of interest updated annually. • Politically Restricted Post Register for Officers maintained and <u>Political Restrictions on Local Government Employees Policy</u> available to employees on CeriNet. • Ethics/Fraud training provided in collaboration with Council's insurer at Corporate Managers' quarterly workshop 28.5.2021. Slides from presentation forming a basis for e-learning module for all Staff, and IA & Governance Services working with Learning & Development to prepare scenarios for training. • Training supported by recent review of Council's Strategy on Counter-Fraud, Corruption & Bribery (to include Anti-Money Laundering). • Ethics Audit undertaken during 2019. Follow up Internal Audit of Council's arrangements regarding Ethics also in progress (currently in review). • <u>Whistleblowing Policy</u> available to Employees and Contractors (updated 2018) on CeriNet and is updated as necessary. • MO is the Corporate Lead Officer ('CLO'), and advises Whistle-blowers, as appropriate. • A mandatory E-learning training module on Whistleblowing must be completed by all Staff. The MO keeps a register of referrals and reports 6-monthly to the Overview and Scrutiny Co-ordinating Committee. • All complaints are dealt with in accordance with the corporate procedures which include informal and formal stages and these are communicated to Staff on a regular basis. • The complaints system is monitored by the Corporate Complaints and Freedom of Information Manager. <u>Corporate Complaints Policy</u> has been reviewed, new Policy presented to Corporate Resources Overview & Scrutiny Committee 7.7.21 and to Council 23.9.2021, and Revised Concerns and 	<p>Anti-fraud and corruption policies are working effectively</p> <p>Up-to-date register of interests (Members and Staff)</p> <p>Up-to-date register if gifts and hospitality</p> <p>Whistleblowing policies are in place and protect individuals raising concerns</p> <p>Whistleblowing policy has been made available to members of the public, employees, partners and contractors</p> <p>Complaints policy and examples of responding to complaints about behaviour</p> <p>Changes/improvements, as a result of complaints received and acted upon</p> <p>Members and Officers code of conduct refers to a requirement to declare interests</p> <p>Minutes show declarations of interests were sought and appropriate declarations made</p>	<p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required</p> <ul style="list-style-type: none"> • Delegated Decisions Register to be published. • Continued monitoring of the Mandatory e-learning take up of Whistleblowing module. Currently lower than required. • Whistleblowing Policy to be reviewed.

		<p>Complaints Policy and Procedures 2021, its implementation and publication approved by Council.</p> <ul style="list-style-type: none"> • Improvements are implemented as a result of complaints /recommendations received. • <u>Council Complaints and Freedom of Information Privacy Notice.</u> • Annual Complaints Report considered by the Governance and Audit Committee and Cabinet prior to approval by Council, presented to Council and noted. • Annual Complaints Report includes Lessons Learned from complaints received. • <u>Ethics and Standards Committee</u> and all other committee agendas/minutes contain disclosures of interests. • <u>Minutes for all committees</u> published on the Council's Website. • <u>Cabinet Decision Notices</u> published on the Council's Website. • Preparation for publication of delegated decisions register ongoing. <u>Gold Command Decision Log</u> (a decision register) published regularly, presented to Gold Command (and approved) and thereafter to Overview and Scrutiny Co-ordinating Committee (20.1.2021, 16.6.21 and 1.12.2021) and published on Council's Website. Regarding other delegated decisions, Development Control Committee delegated decisions published for each Development Control Committee. • <u>Register of Contracts</u> published on Council Website. • Council making preparations to comply with 2021 Act regarding Governance and Audit Committee (Report on changes presented to Governance and Audit Committee 24.2.2021 and 3.6.2021 (to include requirement of Mid Wales Corporate Joint Committee to have Governance and Audit Sub-Committee)), with changes regarding recruitment approved by Council 18.3.2021, as follows: <ul style="list-style-type: none"> a) the change of name of the Audit Committee to the Governance and Audit Committee, and additional performance and complaints-handling functions effective from 1 April 2021; b) commencement of the recruitment process for independent lay members to the Governance and Audit Committee; c) the proposals for the Shortlisting Selection Panel; and d) the Role Description and Person Specification. • Necessary changes to Constitution regarding Governance and Audit Committee per 2021 Act approved by Council 23.9.21. Changes made during 2021-2022 include preparations for: <ul style="list-style-type: none"> - terms of reference/remit/composition changes; - change of name to 'Governance and Audit Committee'; - Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act) – recruitment completed, save for Council approval of successful candidates. - Committee duty to appoint own Chair and Deputy Chair; -Chair must be lay person. 				
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		<ul style="list-style-type: none"> -Deputy Chair must not be member of Local Authority Executive; and - in absence of Chair & Deputy only non-executive Members can chair. • <u>The Terms of Reference of the Development Control Committee (to be renamed 'Development Management Committee') have been revised.</u> • <u>The Operational Procedures document for the Development Control Committee/Development Management Committee has been revised.</u> • <u>A Protocol for Good Practice for Councillors at Development Control Committee/Development Management Committee has been produced and included in the Constitution.</u> • <u>Decisions made contrary to officer advice and that do not fulfil the criteria of the checklist being developed for the Development Control Committee/Development Management Committee will be annually reviewed as part of the AMR process and reported to the internal audit procedures.</u> • <u>Report</u> on the size of the Governance and Audit Committee presented to Democratic Services Committee 21.5.2021, which agreed to recommend to Council that the Committee should comprise 6 County Council Members and 3 lay members (9 total). <u>Report</u> on size of Committee presented to Council 17.6.2021 and Council agreed same member composition from 5.5.2022. 				
A2 Demonstrating strong commitment to ethical values	Elin Prysor A2.1 Seeking to establish, monitor and maintain the organisation's ethical standards and performance	<ul style="list-style-type: none"> • <u>Ethics and Standards Committee</u> championing ethical compliance to ensure that public have trust and confidence that Members and Officers work to highest ethical and moral standards. 	Scrutiny of ethical decision making	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Championing ethical compliance at governing body level	✓		
	Elin Prysor A2.2 Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	<ul style="list-style-type: none"> • The <u>Ethics and Standards Committee</u> has been proactive, leading on training sessions and putting procedures in place for dispensation arrangements. The structure has recently been reviewed to improve efficiency and effectiveness. • Officers such as Internal Auditors, sign an annual Code of Ethics affirmation. • Internal Audit Charter approved by <u>Governance & Audit Committee</u> 24 February 2021. • Carmarthen County Council undertook an independent audit of ethics within the Council during 2019. Follow up Internal Audit of Council's arrangements regarding Ethics in progress (currently in review). • Training Needs Analysis Questionnaire has been circulated by Council newsletter to Staff requesting opinion on ethical culture of Council & training module planned in response to feedback. 	Provision of ethical awareness training	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required. All actions have commenced and are on-going

	<p>Geraint Edwards A2.3 Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values</p>	<ul style="list-style-type: none"> Employee Handbook is in the process of being reviewed, is available on <u>CeriNet</u>, sets out the expected Employee <u>behaviour</u> and includes the <u>Code of Conduct for Local Government Employees</u>. Training on equality and diversity and recruitment and selection including equal opportunities is mandatory for all Ceredigion County Council Managers. All Staff must complete an e-learning module on Equality & Diversity. <u>Procurement Strategy 2018-2022</u> was approved by Council 19th June 2018. Procurement training also being rolled out to Staff. Council Recruitment Policy and DBS Policy. 	<p>Appraisal processes take account of values and ethical behaviour</p> <p>Staff appointments policy</p> <p>Procurement policy</p>	<p>✓</p> <p>✓</p> <p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
	<p>Steve Johnson A2.4 Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation</p>	<ul style="list-style-type: none"> <u>Standard Terms and Conditions</u> for all Suppliers of Goods and services include conditions relating to Equality and Diversity and are available on the Council's website. <u>Procurement Strategy 2018-2022</u> In-House software used to retrospectively check for suspected duplicate payments. Council has developed a Modern Slavery Policy (sent to contractors of the Council), Anti-Slavery Annual Statement 2019-2020 and Code of Practice Ethical Employment in Supply Chains. 	<p>Agreed Values in partnership working</p> <p>-Statement of business ethics communicates commitment to ethical values to external suppliers</p> <p>-Ethical values feature in contracts with external service providers</p> <p>Protocols for partnership working</p>	<p>✓</p> <p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
<p>A3. Respecting the rule of law</p>	<p>Elin Prysor A3.1 Ensuring members and Staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations</p>	<ul style="list-style-type: none"> — <u>Council Constitution.</u> <u>Consideration is being given to the Data Protection Principles, and processing of personal information in the context of Council Committees and all Members.</u> <u>Training has been scheduled for all Members (Introduction for Council, including GDPR) following the May 2022 Elections.</u> Statutory powers and legal implications included in every decision making Cabinet report. Legal and Financial advice/implications is provided on all appropriate reports for decision. The MO and Legal Services are available to advise as appropriate. The IA Service is available to advise as appropriate. The MO attends Leadership Group/Cabinet/Council meetings. The MO routinely attends many public meetings, as required, subject to availability. In the absence of the MO, the Deputy MO will attend Cabinet and Council meetings. 	<p>Statutory provisions</p> <p>Statutory guidance is followed</p> <p>Constitution</p>	<p>✓</p> <p>✓</p> <p>✓</p>	<p>97/810</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p> <p><u>Further training to be provided to all Members regarding their responsibilities in relation to Data Protection Principles and privacy notices. Privacy notices for Councillors being developed and to be provided.</u></p>

		<ul style="list-style-type: none"> • <u>Covid-19 Governance Structure</u> introduced by the Council, to include temporary delegated powers for the Council's Chief Executive and Leadership Group through use of Urgent Decisions for decisions relating to the Council's COVID-19 response), in accordance with Council's Constitution. The Urgent Decision of the Leader was reviewed regularly, and expired on 31.8.2021. • Gold Command continues under operational procedures pursuant to Civil Contingencies Act 2004 • Gold Command Record of Decisions published on the Council's website). • <u>Roadmap</u> produced, which outlines the services the Council does and does not provide, and what the Council's plans are, which is reviewed regularly, for Ceredigion giving overview of services provided in light of Covid-19 Pandemic, current guidance and number of cases in Ceredigion. • The 2021 Act shall have an effect on corporate bodies, including the Council, and preparations for compliance are ongoing, including through the Cross-Party Constitution Working Group (Members of each political group in attendance), reports to the Governance and Audit Committee and Council, with a Council Action plan having been prepared and updated regularly, and meetings with relevant Officers and CLOs held, as appropriate. 				
	<p>Elin Prysor / Stephen Johnson/Amanda Roberts / Alex Jenkins A3.2 Creating the conditions to ensure that the statutory Officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements.</p>	<ul style="list-style-type: none"> • Job descriptions & person specifications clearly define the roles and responsibilities required of posts. • Members' Role descriptions set out their respective responsibilities. • Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, published 13 April 2016). • Compliance with CIPFA's Statement on the Role of the Head of Internal Audit in Public Service Organisations (CIPFA, published 9 April 2019) & contribution published in CIPFA's accompanying Putting Principles into Practice document (2019)). • Terms of reference are included in the Constitution. • Reporting to Governance and <u>Audit Committee</u>. • <u>Financial Regulations and Financial Procedure Rules (Document F Constitution)</u>. • <u>Contract Procedure Rules</u> (Document G in the Council's Constitution). • Codes of Conduct (see above). • Compliance with Specific Codes e.g. <u>Internal Auditors' Public Sector Internal Audit Standards</u> ('PSIAS', March 2017) • Members of Governance and Audit Committee updated on fraud including IA annual counter fraud report. 	<p>Job descriptions/specific ations</p> <p>Compliance with CIPF's statement on the role of the Chief Financial Officer in local government (CIPFA 2016)</p> <p>Terms of reference</p> <p>Committee support</p>	<p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

	<ul style="list-style-type: none"> Statutory Officers accountable to the Chief Executive ('CE') and the Council. Regular meetings between CE, S.151 Officer & MO. Corporate Manager – Internal Audit ('CMIA') has free & unfettered access to Members and Officers at all levels, and right of access as per Council's <u>Constitution</u> and Internal Audit Charter. Register of Members' Interests published on the <u>Council Website</u>. 2021 Act received Royal Assent January 2021 and makes changes to the Governance and Audit Committee. GAC Terms of Reference updated according to the new Act. 				
Elin Prysor / Steve Johnson A3.3 Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	<ul style="list-style-type: none"> Chief Officers provide support and advice to Members. Reporting requires financial and legal advice/implications to be included in reports/decisions which are published as appropriate. 	Record of legal advice provided by Officers	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
Elin Prysor A3.4 Dealing with breaches of legal and regulatory provisions effectively	<ul style="list-style-type: none"> The MO has direct access to the CE and reports to Council generally and as part of statutory duty. The MO or a nominated representative attends all Cabinet meetings and Council Meetings. The MO operates an 'open' door policy for Members wishing to receive 'conduct' and 'governance' advice. The MO & S.151 Officer have monthly meetings with the CE. The MO & S.151 Officer are key members of Leadership Group. Items reported to Members for decisions through Cabinet, Council and Committees are subject to legal and financial advice which will be referenced within each report. Statutory powers and legal implications included in every decision making Cabinet report. Legal and Financial advice/implications is provided on all appropriate reports for decision. The MO and Legal Service are available to advise in advance and at meetings. 	MO provisions & 151 Officer provisions	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
		Record of legal advice provided by Officers	✓		
		Statutory provisions	✓		
Elin Prysor / Amanda Roberts / Alex Jenkins A3.5 Ensuring corruption and misuse of power are dealt with effectively	<ul style="list-style-type: none"> Effective '<u>Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)</u>' updated and approved by Council 17 June 2021 (minutes confirmed 23 September 2021). Effective External Audit, Internal investigations. <u>Whistleblowing Policy</u> and Disciplinary Policy. An Officer in the IA team is an accredited Counter Fraud Technician. Officer(s) of the IA team hold a CIPFA Certificate in Investigative Practices ('CCIP'). 	Effective Counter-fraud and corruption policies and procedures	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
		Local test of assurance (where appropriate)	✓		

		<ul style="list-style-type: none"> • Council complies with Audit Wales’s annual <u>National Fraud Initiative</u> requirements, currently co-ordinated by Internal Audit. • IA annual report on Counter Fraud presented to Governance and Audit Committee at year-end. • Monitoring and response to fraud alerts (NAFN, wider networks, peers, etc). • Membership and active participation in professional networks and groups (Tisonline, KHub, etc). • IA offer advice to services on implementation of new systems and processes to ensure effective internal controls maintained. • Nominated Council Officers undertake various fraud training to maintain knowledge and expertise. • Where appropriate, successful prosecutions publicised on Council website (and in local press). • Covid-19 grant payments audited prior to payment (as easier to stop a payment than recover it). • Key financial control audits added to audit plan, to check controls, governance & risks whilst staff working from home. • IA’s annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council. 				
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B. Ensuring openness and comprehensive stakeholder engagement						
Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.						
Sub-principles	Behaviours	Evidence	Expected	✓/X	Score	Action
B1 Openness	Alun Williams B1.1 Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	<ul style="list-style-type: none"> All statutory <u>Annual reports</u> are available on the Council's Website. <u>Freedom of Information Act publication scheme.</u> A host of service areas are available online including <u>council tax self-service and information.</u> The Council's goals and values are set out in the <u>Corporate Strategy 2017-2022.</u> <u>Ceredigion County Council Website.</u> Council and Cabinet meetings are broadcasted. MO and Ethics & Standards generic email addresses created. Regular and timely responses to the press and other enquiries to Management and members as well as comprehensive FOI responses. Review of the FOI Publication scheme in progress. <u>Freedom of Information Policy (March 2018).</u> Corporate Complaints and Freedom of Information Manager in post. <u>Complaints and Freedom of Information Privacy Notice.</u> <u>Environmental Information Regulations Policy (March 2018).</u> 	Annual Report	✓	7/8	Acceptable Minor adjustments may be required FOI policy and EIR policy both updated. Review of the FOI Publication Scheme is in progress.
			FOI publication scheme			
			Online Council Tax information	✓		
			Authorities Goals & Values	✓		
			Authority website	✓		
	Lowri Edwards B1.2 Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided	<ul style="list-style-type: none"> All Council, Cabinet and Committee meetings open to the public and agendas and papers published on the Council website (with the exception of exempt reports). An Overview and Scrutiny <u>Public Engagement Protocol (2018) (Document N Constitution)</u> has been approved by Council and has been used on several occasions Protocol for speaking at the Development Control Committee in place (Part 4 Document I <u>Constitution</u>). Protocol for access by Cabinet Members to Overview and Scrutiny Committee approved by Council (<u>Part 5 Document M2 Constitution</u>). <u>In accordance with the requirements of the LGEW Act 2021, arrangements are being made to enable hybrid meetings to be held from May 2022. New equipment is currently being installed in the Chamber (completion mid-April 2022). The system will allow meetings to be recorded and made available online.</u> 	Record of decision making and supporting materials	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Lowri Edwards B1.3 Providing clear reasoning and evidence for decisions in both		Decision making protocols	✓	9/10	Good overall governance considered compliant and
			Report pro-forma	✓		

	<p>public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear</p>	<ul style="list-style-type: none"> • <u>Integrated Impact Assessment ('IIA') tool and guidance</u> to inform effective decision making have been developed and are being implemented. • Council / Cabinet report template updated to include reference to legal implications, staffing implications, property / asset implications and risks. • <u>Standard templates and guidance</u> for reporting to Council, Cabinet and Overview and Scrutiny Committees are used and all include the IIA results. • Where appropriate, items reported for decisions through Cabinet, Council and Committees are subject to legal and financial advice which will be referenced within each report. • A Protocol is in place for working relationships between Members and Officers (e.g. Officer-Member Protocol). (<u>The Constitution Part 5</u>). • <u>The Protocol of Good Practice has been created in order to support Members of the Development Control Committee (to be renamed Development Management Committee) in ensuring that determination of applications will be based on sound material planning considerations, and not applicants' personal circumstances.</u> • A calendar of <u>dates of meetings</u> including forward work programmes of the Council, Cabinet and Committees are published on the Council's website. • Annual reports, Statements of accounts, Improvement progress reports are all published within timescales and are available on the <u>Council's website</u>. • Organisational Awareness training available as an optional module of the Corporate Manager Programme, which includes information relating to the decision making process, Wellbeing of Future Generations Act, Equalities, Welsh Language and the use of the IIAs. 	Record of professional advice in reaching decisions	✓		meets best practice. No further action required.
			Meeting reports show details of advice given	✓		
			Discussion between members and Officers on the information needs of members to support decision making	✓		
			Agreement on the information that will be provided and timescales	✓		
			Calendar of dates for submitting, publishing and distributing timely reports adhered to.	✓		
Alun Williams	B1.4 Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action	<ul style="list-style-type: none"> • <u>The Engagement and Consultation Checklist</u> assists with decision making around whether or not to undertake a consultation regarding a proposed change and guidance on dissemination of consultation results is available to Officers. • IIA conclusions reported to Council, Cabinet and Overview and Scrutiny. 10 IIAs went to Cabinet over 2021-22 up to 1.12.2021. Committees, which includes consultation. • The Council, in collaboration with partners, has carried out significant engagement to produce the Public Service Board's ('PSB') Well-being Assessment and <u>Local Well-being Plan</u>. 	Well-being strategy (PSB) and statement (LA)	✓	7/8	Acceptable Minor adjustments may be required
			Use of consultation feedback	✓		
			Complaints policy and use of complaints	✓		
			Citizen survey	x		

		<ul style="list-style-type: none"> Well-being objectives for 2020-21 have been set in order to deliver the <u>Corporate Strategy 2017-2022</u>. <u>Corporate Complaints Policy</u> has been reviewed, new <u>Policy presented to Corporate Resources Overview & Scrutiny Committee 7.7.21</u> and to Council <u>23.9.2021</u>, and <u>Revised Concerns and Complaints Policy and Procedures 2021</u>, its implementation and publication approved by Council. <u>Social Services Complaints Policy</u> and Procedure has been reviewed. <u>Consultation Decision making tool (Consultation Tree and flowchart)</u> have been developed and includes the use of feedback. Further consultation includes: <ul style="list-style-type: none"> A new Engagement and Equalities post has been created through the restructure of the Policy and Performance service; and All <u>current consultations</u> are available on the Council website; and <u>Consultations 2020-2021</u>. <u>Consultations</u> are published on <u>Corporate section of Council Website</u>. Due to Covid-19, Council has consulted remotely via video conferences and electronic surveys. <u>Consultations</u> are promoted through Social Media Guidance has been issued on the Ceredigion Council intranet to all Staff to follow with regards to the dissemination of feedback to decision makers. Recent indications are that significant progress is being made in this area by Officers. 				
<p>B2 Engaging comprehensively with institutional stakeholders</p>	<p>Alun Williams / Diana Davies B2.1 Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably</p>	<ul style="list-style-type: none"> <u>PSB Terms of Reference</u> available on the Council Website. PSB Project Groups Terms of Reference available Joint engagement and consultation exercises are held All <u>current consultations</u> are available on the Council Website. Collaborative projects are running with institutional stakeholders with clear governance arrangements in place. Scrutiny arrangements for the PSB have been put in place. The <u>IIA tool and guidance</u> have been approved for implementation. <u>Consultation Decision Tool (Consultation Decision Tree and flowchart)</u> have been developed and are available. 	<p>Communication and engagement strategy</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
	<p>Diana Davies B2.2 Developing formal and informal partnerships to allow for</p>	<ul style="list-style-type: none"> <u>Engagement with Service Users List</u> including stakeholders with whom the authority should engage is in place and <u>Community Engagement Policy</u>. 	<p>Database of stakeholders with whom the authority</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and</p>

	resources to be used more efficiently and outcomes achieved more effectively	<ul style="list-style-type: none"> • <u>Collaboration Standards for New Strategic Projects Guidance and Templates</u> are available. Partnerships Include: <ul style="list-style-type: none"> ○ <u>PSB</u>; ○ <u>West Wales Regional Partnership Board</u>; ○ <u>Community Safety Partnership</u>; ○ <u>Mid and West Wales Safeguarding Board</u>; and ○ <u>Growing Mid Wales</u>. • The formal review of partnerships that sit under the PSB has been completed. The new partnership structure has been operational since June 2018 and the partnerships will be reviewed on a periodic basis. • A review of the <u>Community Safety Partnership</u> was undertaken in 2019 and was subject to scrutiny. 	should engage and for what purpose and a record of an assessment of the effectiveness of any changes			meets best practice. No further action required.
	Alun Williams / Diana Davies B2.3 Ensuring that partnerships are based on: <ul style="list-style-type: none"> • trust • a shared commitment to change • a culture that promotes and accepts challenge among partners and • that the added value of partnership working is explicit 	<ul style="list-style-type: none"> • Advice provided to Members and Officers serving on outside bodies. • Regular reporting of partnership meetings and activity to Cabinet. • Partnerships such as <u>Growing Mid Wales</u> have been established with governance arrangements. • Regular reporting of partnership meetings and activity to Leadership Group and Cabinet. • Scrutiny arrangements in place for the PSB. • Partnership metrics are subject to internal review, where appropriate. • Legal Team is actively involved in drafting and reviewing Terms of Reference for Inter Authority Agreements ('IAAs') and formal committees. • A suite of documents have been developed that relate to strategic collaboration projects that the Authority is considering entering into. The <u>documents</u> include guidance, standards and numerous templates for varying stages of collaboration projects. • Executive Group Self-assessment carried out. • Growing Mid Wales Joint Overview and Scrutiny Committee has been established. 	Well-being strategy	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Partnership protocols	✓		
B3 Engaging stakeholders effectively, including individual citizens and service users	Alun Williams B3.1 Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes	<ul style="list-style-type: none"> • <u>Consultation Decision Tree and flowchart</u> for Staff and Members have been developed. • <u>The Engagement and Consultation Checklist</u> • <u>Community Engagement Policy (11 Jan 2013)</u> • A <u>Community Engagement, Consultations and Partnerships Page</u> has been created on <u>CeriNet</u>, which includes links to Community Engagement Policy, Engagement and Consultation Checklist, <u>Engagement with Service Users</u> and Consultation Decision Making Tool. • Work is underway to prepare a Community Engagement Policy that will meet the requirements of 	Record of public consultations	✓	5/6	Satisfactory, but further action required. Due to the Covid-19 pandemic, decisions have needed to be made by Gold Command for emergency reasons (under the temporary executive function transfer of power in place until 31.8.2021 and for operational procedures
			Partnership framework	✓		
			Public Service Boards Terms of Reference	✓		

		<p>the 2021 Act, which will also include how the Council will encourage participation in decision-making, although final guidance is awaited from Welsh Government regarding this part of the legislation.</p> <ul style="list-style-type: none"> • A new Draft Engagement Policy has been prepared to take into account the latest engagement methodology, including digital engagement. This will be consulted upon and agreed following the Local Government Elections in 2022. • A draft new Engagement Strategy for Ceredigion County Council, 'Talking, Listening and Working Together,' has been prepared. This will be consulted upon and agreed following the Local Government Elections in 2022. • All IIAs for Cabinet are assessed by the Engagement and Equality Officer, including whether effective engagement, involvement and consultation has taken place and informed strategic decision making process. • <u>Public Engagement Tool Kit</u> • <u>Engagement with Service Users List.</u> • All school reorganisation proposals are required to have formally consulted with stakeholders through adhering to the Welsh Government's School Organisation Code. • All <u>current consultations</u> are available on the Council Website. • A monitoring partnership framework that reports on all key decisions made by existing partnerships is reported to Leadership Group. 				<p>under the Civil Contingencies Act 2004 following that date), therefore it has been impossible to consult physically in the community at present for many services, and consequently the scoring has been amended to reflect this.</p> <p>To continue to progress the review of the Community Engagement Policy that will include provisions for how stakeholders are engaged in future.</p>
	<p>Alun Williams / Lowri Edwards B3.2 Ensuring that communication methods are effective and that Members and Officers are clear about their roles with regard to community engagement</p>	<ul style="list-style-type: none"> • <u>The Engagement and Consultation Checklist</u> • <u>Corporate Strategy (2019-2022).</u> • <u>Community Engagement Policy (11 Jan 2013) is under review:</u> a new Draft Engagement Policy has been prepared to take into account the latest engagement methodology, including digital engagement. This will be consulted upon and agreed following the Local Government Elections in 2022. • <u>Public Engagement Tool Kit.</u> • <u>Engagement with Service Users List.</u> • <u>IJA Tool Kit.</u> • <u>Social Media Policy (revised Aug 2018).</u> • <u>Guidelines on Corporate Branding (May 2019).</u> • Minutes of structured engagement meetings and events. 	<p>Evidence of structured stakeholder discussions</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
			<p>Communications strategy</p>	<p>✓</p>		

	<p>B3.3 Alun Williams / Lowri Edwards Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs</p>	<ul style="list-style-type: none"> • <u>Corporate Communications Strategy (2019-2022)</u>. • <u>Overview and Scrutiny Public Engagement Protocol (2016) (Document N Constitution)</u>. • Social media is being used to seek the public's views on matters being considered by Overview and Scrutiny Committees. • <u>IIIA Tool Kit</u>. • Summary reports on consultation and engagement activities are reported back to Members and service users. • Minutes of engagement groups with people with protected characteristics. • Effective Community involvement carried out with the well-being assessment work. • Effective Community involvement carried out with service users from different backgrounds to inform the new Strategic Equality Plan. 	<p>Communications and engagement strategy</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
			<p>Effective community involvement</p>	<p>✓</p>		
	<p>Alun Williams/Lowri Edwards B3.4 Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account</p>	<ul style="list-style-type: none"> • <u>Corporate Communications Strategy (December 2018)</u>. • Summary reports on consultation and engagement activities, which are reported back to Members and service users. • Dissemination of <u>consultation results</u> and reports on completed consultations and engagement exercises are posted on the Council's public <u>consultations</u> webpage in order to provide feedback to the public. • Processes have been introduced to monitor feedback e.g. any consultation/engagement reports are presented to Scrutiny and Cabinet to inform their decision-making. • Feedback from engagement and how people's views have been taken into account is recorded in the IIAs. 	<p>Communications and engagement strategy</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice.</p>
	<p>Alun Williams B3.5 Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity</p>	<ul style="list-style-type: none"> • We have worked in partnership with Local Authorities and Public Services across Mid and West Wales on the review of our Strategic Equality Plans. A joint question set and engagement and consultation framework was produced and as a result, feedback was obtained from people with protected characteristics. 	<p>Processes for dealing with competing demands within the community for example consultation</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
	<p>Diana Davies B3.6 Taking account of the interests of future generations of tax payers and service users</p>	<ul style="list-style-type: none"> • A <u>Well-being assessment</u> (PSB) has been carried out that has informed the development of the PSB's <u>Local Well-being Plan</u>, which was published in March 2018. • Work has commenced on preparing the next assessment of Local Well-Being that will be published in March 2022. • <u>The Well-being and Improvement Objectives</u> are included in the Council's <u>Corporate Strategy 2017-2022</u> and are reviewed each year. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being 	<p>Reports</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
			<p>Well-being assessment</p>	<p>✓</p>		
			<p>Well-being Objectives and statement</p>	<p>✓</p>		

		<p>Objectives for 2022-23 on 21.10.21, which are published on the Council's website.</p> <ul style="list-style-type: none"> • An <u>annual report</u> on progress made against the Council's Well-being objectives and Corporate priorities in published on the Council Website. • UNCRC – United Nations Convention on the Rights of the Child have been adopted by the Council. • Participation Standards have been adopted by Council. 				
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C. Defining outcomes in terms of sustainable economic, social, and environmental benefits						
The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.						
Sub-principles	Behaviours	Evidence	Expected	✓/X	Score	Action
C1 Defining outcomes	Alun Williams C1.1 Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions	<ul style="list-style-type: none"> The Council's <u>Well-being and Improvement Objectives</u> are included in the Council's <u>Corporate Strategy 2017-2022</u> and are reviewed each year and reported in the Well-being and Improvement objectives annual report published on the Ceredigion County Council website. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website. The purpose and the vision of the Council have been determined by Council and is contained in the <u>Corporate Strategy 2017-22</u>. This strategy illustrates how the authority will support and promote the well-being of the citizens of Ceredigion. All Planning arrangements reflect the Golden Thread and make the links to Corporate plans including; <ul style="list-style-type: none"> Business Plans; Strategic Plan; Corporate Performance Management Reporting; and Well-being and Improvement Objectives. 	Well-being statement and objectives	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Vision used as a basis for corporate and service planning	✓		
		Alun Williams / Diana Davies C1.2 Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer	<ul style="list-style-type: none"> The <u>IJA tool and guidance</u> are available and training has been rolled out for Officers and Members. <u>Community and Engagement Policy</u> (11 Jan 2013) is available. A <u>Public Engagement Toolkit 2014</u> has been developed in order to provide a user-friendly resource for Officers when developing and undertaking effective public engagement with their communities, in accordance with the National Principles of Public Engagement. Updates on the budget savings and the work of the Development Group are reported to the Cross Party Transformation and Efficiency Consultative Group. The <u>Corporate Strategy 2017-2022 incorporates the well-being and improvement objectives</u>. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website The draft Well-being and Improvement Objectives Annual report 2020-21 included a review of the Well-being and Improvement Objectives. 	Community engagement and involvement	✓	9/10
			Corporate & service plans	✓		
			Well-being plan (PSB) and well-being statement (LA)	✓		
	Alun Williams C1.3 Delivering defined outcomes on a sustainable	<ul style="list-style-type: none"> <u>Performance</u> information is outlined in the Council's Well-being and Improvement Objectives Annual report. 	Regular reports on progress	✓	9/10	Good overall governance considered compliant and

	basis within the resources that will be available	<ul style="list-style-type: none"> Business Plans are prepared on an annual basis and are monitored quarterly by a Performance Board, which includes Cabinet members and the Chairs and Vice Chairs of the Overview and Scrutiny Committees and Chair of the Governance and Audit Committee. Budget setting subject to detailed scrutiny by the five Overview and Scrutiny Committees. The Medium Term Financial Plan. Quarterly performance arrangements provide a challenge protocol to ensure outcomes are delivered. Business planning process includes resource allocation. Cross-Party Transformation and efficiency Group monitors the budget savings and delivery of services within budgets. 				meets best practice. No further action required.
	Alun Williams C1.4 Identifying and managing risks to the achievement of outcomes	<ul style="list-style-type: none"> Corporate performance management arrangements include quarterly assessment of risks to the achievement of outcomes or service delivery. Risk management includes risk logs for; <ul style="list-style-type: none"> Business Plans (Level 1); and Service Plans (Level 2). 	Performance trends are established and reported upon	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Risk management Protocols	✓		
	Stephen Johnson C1.5 Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available	<ul style="list-style-type: none"> Local performance measures are included in Business and service delivery plans. Capital Plans include; <ul style="list-style-type: none"> Rights of Way; Highways; Annual Budget Plan; and Transformation. The Risk Management Policy and Strategy and the Risk Management Framework was approved by Cabinet on 24 September 2019. Risk Management training to be rolled out to Members and Senior Managers. Risk management e-learning package has been developed for all other Staff and training took place in 2019, with workshop with insurers arranged for senior Managers. Publication of service performance, including costs and value for money data is routinely considered within service reports. 	A agreed set of quality standard measures for each service element are included in service plans	✓	9/10	Good overall governance considered compliant and meets best practice. Managing Service users expectations
			Risk management protocols	✓		
C2 Sustainable economic, social and environmental benefits	Steve Johnson / Elin Prysor C2.1 Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision	<ul style="list-style-type: none"> The appointed Auditor considers the Council's arrangements to secure economy, efficiency and effectiveness. In his letter he has stated that the Council has complied with its responsibilities to the use of its resources. The most recent Audit of the Council's Improvement Plan (2020-2021) was issued in November 2020. The report concluded positively that the Council discharged its duties and has acted in accordance with Welsh Government guidance sufficiently to discharge its duties. 	Capital investment is structured to achieve appropriate life spans and adaptability for future use so that resources are spent on optimising social, economic and environmental wellbeing:	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

		<ul style="list-style-type: none"> • A capital appraisal form is completed for new capital projects, which covers the requirement for the project, and is used to assess value for money and the revenue implications of major projects. • Capital Investment Strategy is contained within the <u>Medium Term Financial Strategy</u>. • The Authority has undertaken the following steps towards the implementation of the Well-being of Future Generations (Wales) Act 2015: <ul style="list-style-type: none"> ○ Prepared well-being objectives and statement; ○ Embedded the Well-being Goals and Sustainable; development principal into the business planning process ○ Developed a new <u>IIA tool and guidance</u>; ○ Established a Well-being of Future Generations Act group and action plan; ○ The Constitution is continually monitored and reviewed; ○ PSB <u>assessment of Local Well-being</u> published in March 2017; ○ Scrutiny arrangements agreed for PSB; ○ Cabinet Reports, to include the Social/economic/ environmental impact assessment; ○ A mandatory e-learning module on the Act has been developed and promoted to all Council Staff; ○ an Equality, community and Welsh language Impact Assessment must be undertaken on all school restructuring proposals as required under the Welsh Government School Organisation Code; and ○ Members have contributed to The Future Generations Officer Scrutiny Framework in relation to the WFGA. 	capital programme capital investment strategy			
			Legislative requirements – Well-being of Future Generations (Wales) Act 2015	✓		
Steve Johnson	C2.2 Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints	<ul style="list-style-type: none"> • Wales procurement policy statement is aligned to the Council's <u>Procurement Strategy 2018-2022</u>. • The <u>IIA tool and guidance</u> is available and used to support decision-making. • All reports and <u>minutes</u> are published in a timely manner and are open for inspection. All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act. • Pre-decision Scrutiny encouraged where possible. • <u>The Medium Term Financial Strategy</u>. • <u>The Corporate Strategy 2017-2022</u>. • The Transformation Programme. 	Application of Wales procurement policy statement	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Corporate plans take account of medium and long-term service plans	✓		
			Discussion between Members and Officers on the information needs of Members to support decision making	✓		

			Record of decision making and supporting materials	✓		
	Alun Williams / Diana Davies. C2.3 Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs	<ul style="list-style-type: none"> Public Services Board <u>Local Well-being Plan</u> was published in May 2018. All reports and <u>minutes</u> are published in a timely manner and are open for inspection. All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act. Advice given by MO. <u>Engagement and Consultation Checklists</u> are available on CeriNet. The Council wide WFGA Group Action Plan. <u>IIA tool and guidance</u>. 	Well-being Plan (PSB)	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Record of decision making and supporting materials	✓		
			Protocols for consultation	✓		
	Alun Williams/Lowri Edwards C2.4 Ensuring fair and equal access to services	<ul style="list-style-type: none"> <u>Strategic Equality Plan 2020-2024</u>. Annual <u>Strategic Equality Plan monitoring report 2020-2021</u> being submitted for approval, and once approved will be published on Council website. <u>Welsh Language Standards</u>. <u>Annual Welsh Language Standards monitoring report</u>. Annual Complaints and Compliments Report 2020/21 presented to Corporate Resources Scrutiny Committee 27.10.21 and approved by <u>Council 9/12/21</u>. A mandatory E-learning training module on Welsh Language Awareness must be completed by all Staff. 	Develop protocols to ensure fair access and that statutory guidance is followed	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

D. Determining the interventions necessary to optimise the achievement of the intended outcomes						
Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.						
Sub-principles	Behaviours	Evidence	Expected	✓/X	Score	Action
D1 Determining interventions	Lowri Edwards / Elin Prysor D1.1 Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided	<ul style="list-style-type: none"> The <u>IJA tool and guidance</u> is available and training has been rolled out for Officers and Members. Corporate project management group has been established to formalise project development and management. Standard reporting templates are used in decision making process. Organisational Awareness training available as an optional module of the Corporate Manager Programme, which includes information relating to the decision making process, Wellbeing of Future Generations, Equalities, Welsh Language and the use of the IIAs, Head of Democratic Services and MO (CLO-Legal & Governance) advise as necessary. Risk Management Policy, Strategy and Framework (approved by Cabinet 24.9.10) with training programme for Members, Senior Management and Managers, published on CeriNet and available to all Members of Staff. Documents amended to reflect additional risks and background information to make informed decisions. Corporate Risk Register reported regularly to Governance and Audit Committee (9.9.2021, 3.6.2021) 	Discussion between Members and Officers on the information needs of Members to support decision making Decision making protocols Option appraisals Agreement of information that will be provided and timescales	✓ ✓ ✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson D1.2 Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts	<ul style="list-style-type: none"> <u>Medium Term Financial Strategy</u> has been regularly updated the current version dated 2021/22 Onwards approved by Council 5.3.2021. <u>Consultation decision tree tool</u> includes a guidance section on dissemination of consultation results. Finance challenge regarding savings on Council Website. 	Financial Strategy	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
D2 Planning interventions	Alun Williams D2.1 Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	<ul style="list-style-type: none"> Corporate Performance Management arrangements include quarterly: <ul style="list-style-type: none"> Corporate Lead Officer Service Report; Performance Board; and Executive Panel meetings. A calendar is used to report deadlines and Board/Executive Panel dates are published with reports. 	Calendar of dates for developing and submitting plans and reports that are adhered to.	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	<p>Alun Williams / Diana Davies/Lowri Edwards D2.2 Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered</p>	<ul style="list-style-type: none"> • <u>Corporate Communications Strategy 2019-2022</u> • The <u>Ceredigion PSB</u> has a <u>Local Well-being Plan</u> that has been developed and delivered jointly with external stakeholders and partners. • <u>An Assessment of Local Well-being</u> has been undertaken by the PSB that has fed the <u>Local Well-being Plan</u> and the <u>Council Well-being Objectives</u> for future years. 	<p>Communication and engagement strategy</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
	<p>Alun Williams D2.3 Considering and monitoring risks facing each partner when working collaboratively including shared risks</p>	<ul style="list-style-type: none"> • All major collaboration projects have established governance and management arrangements including risk management. • All projects considered by Corporate Project Management Panel, which is also attended by IA and is an effective forum for advice/challenge and highlighting risks as Service areas develop projects, including collaboration projects. • The Corporate Project Management Panel helps ensure projects give early consideration to: the Well Being and Future Generations Act; to other guidance; to finance, procurement, governance and legal arrangements; to HR implications; Health & Safety; and Audit. Improve project arrangements prior to reporting to the Development Group and other authorisation processes. • Account will be taken of legislative changes e.g. work is ongoing in relation to implementing legislative changes such as LGEW 2021 Act changes and considering/monitoring risks facing each partner when working collaboratively, including shared risks. Meetings are being held and preparation being carried out, for example, regarding the 2021 Act's requirement for Corporate Joint Committees, including potential and shared risks (a CJC group has been established, with the first meeting held on 19th April 2021, to consider the requirement to establish the Mid Wales CJC in accordance with the 2021 Act). • Appropriate Joint Scrutiny arrangements are in place in relation to the Growing Mid Wales Board. Similarly, the Mid Wales Corporate Joint Committee will have Sub appropriate arrangements in place (Joint Scrutiny, Standards and Governance and Audit Committee)- arrangements in compliance with legislation and its Standing Orders 	<p>Partnerships/collaboration framework</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p> <p>To continue to take into account legislative changes e.g. Local Government and Elections (Wales) Act 2021.</p> <p>To implement legislative changes, such as Local Government and Elections (Wales) Act 2021 changes and consider/monitor risks facing each partner when working collaboratively, including shared risks.</p>
	<p>Russell Hughes-Pickering D2.4 Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances</p>	<ul style="list-style-type: none"> • Corporate Project Management Group has been established to formalise project development and management. • Ensuring Staff with project management skills are available. • This helps ensure projects give early consideration to: the Well Being and Future Generations Act; to other guidance; to finance, procurement, governance and legal arrangements; to HR implications; Health & Safety; and Audit. Improve project arrangements prior to reporting to the Development Group and other authorisation processes. 	<p>Planning protocols</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

		<ul style="list-style-type: none"> Helps identify capital requirements for inclusion in future capital programmes. 				
	Alun Williams D2.5 Establishing appropriate local performance indicators (as well as relevant statutory or other national performance indicators) as part of the planning process in order to identify how the performance of services and projects is to be measured	<ul style="list-style-type: none"> Local performance indicators have been established and approved for each service element and included in the service plan and are reported upon regularly. The Business Planning process for 2021-22 is being implemented with Level 1 Business Plans shared with the Performance and Research Team. Performance measures have been identified within each Level 1 Business Plan that have in turn translate into the reporting Dashboard for each service. These measures have been closely scrutinised and have received final sign-off from senior leadership. Services report against these measures as part of the performance management process for the year. 	Local performance indicators have been established and approved for each service element and included in the service plan and are reported upon regularly	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Alun Williams D2.6 Ensuring capacity exists to generate the information required to review service quality regularly	<ul style="list-style-type: none"> The Corporate Performance Management arrangements include <ul style="list-style-type: none"> Weekly leadership Group meetings; Quarterly reporting of progress against level 1 Business Plans; Quarterly Performance Board meetings; and Quarterly Executive Panel Meetings. 	Reports include detailed performance results and highlight areas where corrective action is necessary	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson D2.7 Preparing budgets in accordance with organisational objectives, strategies and the medium-term financial plan	<ul style="list-style-type: none"> Business Plans include budget and finance information and form part of the quarterly Corporate Performance Management arrangements. Budget Framework. Service Accountancy – Budget monitoring. 	Evidence that budgets, plans and objectives are aligned	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson D2.8 Informing medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	<ul style="list-style-type: none"> <u>Financial Regulations and Financial Procedure Rules (Document F Constitution)</u> along with Budgetary Control Guidance are all up to date. Chief Officer Assurance Statements. The internal controls in place are subject to regular review by Internal Audit, in accordance with the annual risk-based audit plan. <u>Medium-term financial Strategy.</u> <u>Corporate Strategy 2017-2022.</u> Internal Audit Strategy & Plan 2021/2021 approved by Governance & Audit Committee 24 February 2021. 	Budget guidance and protocols MTFS Corporate Plans	✓ ✓ ✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
D3 Optimising achievement of intended outcomes	Steve Johnson D3.1 Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	<ul style="list-style-type: none"> Changes through the corporate savings plan have been through a robust governance process to ensure that all savings all link to the desired outcome. 	Feedback surveys and exit/decommissioning strategies Changes as a result	✓ ✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson D3.2 Ensuring the budgeting process is all-inclusive, taking into account the full	<ul style="list-style-type: none"> <u>Financial Regulations and Financial Procedure Rules (Document F Constitution)</u> along with Budgetary Control 	Budget guidance and protocols	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	cost of operations over the medium and longer term	<p>Guidance are all up to date. Chief Officer Assurance Statements.</p> <ul style="list-style-type: none"> The internal controls in place are subject to regular review by IA, in accordance with the annual risk-based audit plan. Internal Audit Strategy & Plan 2021/22 approved by Governance and Audit Committee 24/2/21. 				
	Steve Johnson D3.3 Ensuring the medium-term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage	<ul style="list-style-type: none"> <u>Medium Term Financial strategy</u> is in place The corporate savings plan has been through a robust governance process to ensure that all savings link to the desired service outcomes. 	Financial Strategy	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			<p>Long term trends are taken into account</p> <p>Can this be evidenced?</p>	✓		
	Steve Johnson D3.4 Ensuring the achievement of 'social value' through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is "the additional benefit to the community...over and above the direct purchasing of goods, services and outcomes"	<ul style="list-style-type: none"> Community Benefits is embedded in our Processes and Policies and has been regularly applied, monitored and reported upon. Well-being of Future Generations (Wales) Act is integrated into our processes. 	Service plans demonstrate consideration of social value	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Achievement of social value is monitored and reported upon	✓		

E. Developing the entity's capacity, including the capability of its leadership and the individuals within it						
Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind set, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.						
Sub-principles	Behaviour	Evidence	Expected	✓/X	Score	Action
E1 Developing the entity's capacity	Geraint Edwards E1.1 Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness	<ul style="list-style-type: none"> Corporate and line management induction is now in place. Corporate induction and Corporate Manager Development plans were introduced in April 2018. Corporate induction sessions are part of these requirements, all new Staff must attend an induction session. Senior Managers present within these face-to-face sessions. CeriNet (the HR intranet and resource to Staff and management) is continually reviewed and improved for effectiveness. Learning & Development is now managed via the Ceri system offering opportunities to all Staff. E-learning modules are being introduced to ensure training and development is cost effective wherever possible. Ongoing annual Personal Performance and Development scheme – Performance Reviews link to Corporate and strategic objectives. The Corporate Performance Management arrangements provide the forum for performance management's needs and thereafter preparing action plans for delivery of corporate improvements in performance review of Staff. These have been further strengthened with the introduction of annual appraisals for all Staff via the Ceri HR system. Induction programme is provided for new Members. Ongoing training is arranged for specific issues e.g. Treasury management. Members attend various events, seminars and conferences (see above). Personal Development Review process in place for Members. 	Regular reviews of activities, outputs and planned outcomes	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Geraint Edwards E1.2 Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently	<ul style="list-style-type: none"> Utilisation of research and benchmarking exercises. The Ceri HR payroll system has ensured that meaningful data on Staff is now available to Managers on a monthly basis in order to monitor costs turnover and absence. 	Utilisation of research and benchmarking exercises	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	Alun Williams / Diana Davies E1.3 Recognising the benefits of partnerships and collaborative working where added value can be achieved	<ul style="list-style-type: none"> Effective operation of partnerships which deliver agreed outcomes. Effective Partnerships have been developed in a number of areas and services including: <ul style="list-style-type: none"> School Improvement; Health & Social care; and Waste. Additional partnerships are included in the strategic Collaboration Projects List. 	Effective operation of partnerships which deliver agreed outcomes	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Geraint Edwards E1.4 Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	<p>A Human Resources Strategy is available on the Intranet. Strategic workforce planning is undertaken utilising the Strategic workforce planning tool kit and is completed by all service areas. The outcomes of this tool kit informed the workforce plan for 2017-2022. The <u>Workforce Plan 2017-2022</u> focuses on 4 key themes:</p> <ol style="list-style-type: none"> Engagement & Opportunity; Flexible & Agile Workforce; Promote a bilingual workforce; and Leadership & Management Development. <ul style="list-style-type: none"> Updates on progress of the workforce plan are reported to scrutiny. 	Workforce Plan	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Organisational development plan	✓		
E2 Developing the capability of the entity's leadership and other individuals	Elin Prysor / Geraint Edwards E2.1 Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained	<ul style="list-style-type: none"> The Leadership and Senior Officer structure has defined these roles, including how they integrate with each other. Joint meeting of senior Managers ensures that roles, responsibilities and accountabilities are clear. Job descriptions clearly define the roles and responsibilities required of posts. <u>The Constitution</u> sets out the roles and responsibilities of Members (<u>Part 3.4 Table 4</u>) and senior Officers (part 2 Article 2) The Strategic Planning Toolkit includes an element of succession planning and talent management. Learning and Development opportunities are offered to those within a Leadership role or who are aspiring leaders. 	Job descriptions	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			CE and leader pairings have considered how best to establish and maintain effective communication	✓		
	Elin Prysor / Steve Johnson E2.2 Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body	<ul style="list-style-type: none"> A Scheme of Delegation (<u>The Constitution Part 3.5</u>) exists and clearly sets out responsibilities for Members and Officers. Protocols are in place for working relationships between Members and Officers (e.g. Officer-Member Protocol). Codes of Conduct for Officers and Members are in place. Member Officer working groups in place and working effectively. <u>Contract Procedure Rules ('CPR') (Part 4 Document G Constitution)</u> and <u>Financial Regulations and accompanying financial procedures (Part 4 Document F Constitution)</u> are reviewed on a regular basis e.g. CPR updated March 2019. 	Scheme of delegation reviewed at least annual in the light of legal and organisational changes	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Standing orders and financial regulations which are reviewed on a regular basis	✓		
	Elin Prysor	<ul style="list-style-type: none"> The Council's <u>Constitution</u> sets out the functions and responsibilities. 	Clear statement of respective roles and	✓	9/10	Good overall governance considered compliant and

	<p>E2.3 Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure, whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by Members and each provides a check and a balance for each other's authority</p>	<ul style="list-style-type: none"> • The Corporate structure of the Council has been established to ensure that the Statutory Officers are able to perform their roles effectively. • The CE is responsible for reviewing this structure, as necessary. • Democratic Services Committee resolved on 15.10.21 to agree the revised set of Member Role Descriptions, designed to be used alongside Welsh member Development (Competency) Framework, of Welsh Local Government Association ('WLGA') Framework Member Role Descriptions and Person Specifications, which includes role description of the Leader (Report for information also been prepared for presenting to Governance and Audit Committee 19.1.21) 	<p>responsibilities and how they will be put into practice</p>			<p>meets best practice. No further action required.</p>
	<p>Elin Prysor/Lowri Edwards/Geraint Edwards E2.4 Developing the capabilities of Members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:</p> <p>ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged –ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis –ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from</p>	<ul style="list-style-type: none"> • Access to courses/information briefings on new legislation. • Provision of opportunities for ongoing skills and refresher training for Officers. • Members Workshops arranged, as necessary. • Personal reviews for Officers. • Provision and ongoing review of opportunities for skills and refresher training for Members (see above), including Personal Development Review Scheme. • Development/training done as part of person specifications for key finance and legal posts (mandatory qualification, job requirements). 	<p>Access to courses/information briefings on new legislation</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

	governance weaknesses both internal and external					
	<p>Lowri Edwards/ Geraint Edwards</p> <p>E2.5 ensuring Members and Staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged</p>	<ul style="list-style-type: none"> The Council aims to achieve the standard level for the Wales Charter for Member Support and Development. Members' role descriptions are in place and updated as and when circumstances change. A process for Member Personal Development Reviews has been developed and the information will be used to develop a Members' Training Plan. Induction and Corporate Manager Development plans are in place. The introduction of <u>CeriNet</u> as a HR intranet and resource to Staff and management has improved effectiveness. Induction information is available along with the Staff handbook and Managers Toolkit. E-learning packages are regularly being developed and rolled out for mandatory and non-mandatory training. Performance Reviews are undertaken by all Staff as part of the Ceri system Performance Management module. The Corporate Performance Management arrangements provide the forum for performance management's needs and thereafter preparing action plans for delivery of corporate improvements in performance review of Staff. Induction programme is provided for new Members and new comprehensive induction programme shall be provided post-election (from May 2022) with additional e-learning modules. Ongoing training is arranged for specific issues. Members attend various events, seminars and conferences (see above). 	<p>Member development strategy</p> <p>Members induction and on-going training and development programme</p> <p>Mentoring and peer support programmes</p> <p>Personal development plans for Members and Officers</p>	<p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
	<p>Lowri Edwards/ Geraint Edwards</p> <p>E2.6 Ensuring Members and Officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis</p>	<ul style="list-style-type: none"> Learning & Development is available to Staff and Members in a range of subjects. All Staff can access learning and development events via <u>Ceri self-service</u>. Managers can also book Staff onto relevant events via Managers Self-service. Ongoing training provided to Members. Scrutiny self-assessment undertaken annually. 	<p>For example, for Members this may include the ability to: scrutinise and challenge</p> <ul style="list-style-type: none"> recognise when outside expert advice is required promote trust work in partnership lead the organisation act as a community leader 	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

			Efficient systems and technology used for effective support	✓		
Geraint Edwards E2.7 Ensuring personal, organisation and system-wide development through shared learning, including lessons learnt from both internal and external governance weaknesses	<ul style="list-style-type: none"> Succession planning is undertaken through discussions and actions within service areas and with partners this cannot always be evidenced. This will be further developed through the Strategic workforce planning toolkit. Ceredigion Manager Programme offers personal development including governance arrangements and organisational knowledge. 		Arrangements for succession planning	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
Alun Williams E2.8 Ensuring that there are structures in place to encourage public participation	<ul style="list-style-type: none"> <u>Engagement with Service Users list.</u> <u>Community Engagement Policy.</u> Scrutiny <u>Public Engagement Protocol (2016) (Document N Constitution)</u> Council continually consults and engages with local residents, customers and other stakeholders within the county to understand their opinions and views when developing new plans and/or strategies. Feedback is always given due consideration before final versions are agreed. Service User focus groups. Survey regarding self-assessment completed by Scrutiny. 		Citizens and residents panel	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Stakeholder forum terms of reference	✓		
			Communication and engagement strategy	✓		
Lowri Edwards E2.9 Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	<ul style="list-style-type: none"> Member development scheme. Member personal development reviews. Attendance records published annually. Members are encouraged and supported to complete Annual Reports, which are published on the Council's website. Chair of Governance and Audit Committee attends All Wales Governance and Audit Committee Chair's Networking Meetings to develop and compare role within Local Authorities. Preparations are being undertaken for (as part of induction programme for Members (from May 2022)) Cabinet Member training, Ethics and Standards Committee (role) training, Political Group Leader Duties training and Governance and Audit Committee (role) training. 		Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Peer Reviews	X		
Geraint Edwards E2.10 Holding Staff to account through regular performance reviews which take account of training or development needs	<ul style="list-style-type: none"> Strategic Workforce planning toolkit includes the identification of training and learning needs for all service areas. Performance Appraisals record training and development needs via the Ceri system. <u>Workforce Plan 2017-2022</u> includes actions for Staff development in key themes. Staff development plans linked to appraisals have been strengthened with the introduction of the Performance Management module in Ceri. 		Training and development Plan	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Staff development Plans linked to appraisals	✓		
			Implementing appropriate human resource policies	✓		

		<ul style="list-style-type: none"> Implementing appropriate Human Resource policies and ensuring that they are working effectively. 	and ensuring that they are working effectively			
	<p>Geraint Edwards/Lowri Edwards E2.11 Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing</p>	<ul style="list-style-type: none"> Human Resources policies. <u>Smoke-Free Workplace Policy.</u> <u>Alcohol and Drug Misuse Policy.</u> The Council has introduced a range of resources and options to enhance the health and well-being of Staff. Health and Well-being Strategy 2021-2026 has been introduced to support the improvement in the workforce health and well-being. The Council has appointed an Employee Health & Wellbeing Officer to coordinate and promote health and wellbeing within the workforce. A <u>Care First employee assistance package</u> has been introduced that offers: <ul style="list-style-type: none"> Counselling service; and Advice on financial, legal, consumer, eldercare, childcare and employment issues. Other support available for Staff includes: <ul style="list-style-type: none"> Cognitive Behaviour Therapy Interactive health and wellbeing programme; Eyecare scheme; Childcare voucher scheme; lechyd Da; and Mindfulness training for Staff and Managers. 	Human Resource Policies	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

F. Managing risks and performance through robust internal control and strong public financial management						
<p>Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.</p> <p>A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery, and accountability.</p> <p>It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.</p>						
Sub-principles	Behaviour	Evidence	Expected	✓/X	Score	Action
F1 Managing risk	Alun Williams F1.1 Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making	<ul style="list-style-type: none"> The Corporate Risk Management Framework was approved by Cabinet on the 24th of September 2019 and continues to be updated. The Corporate Risk Register is considered at all Leadership Group, Corporate Lead Officers, Corporate Performance Management meetings and by the Governance and Audit Committee as a standing item to the Governance and Audit Committee. Risk Management is integral to operational business planning Policy and Strategy setting. Project and transformation Risks are all logged. All Plans included Risk logs including: <ul style="list-style-type: none"> The Medium term Financial Plan; Business Plans (level 1); and Service Plans (level 2). Corporate Risk Management arrangements are audited regularly. The management of risks is included in individual Services service/establishment audit programmes. 'Risks' form the basis of Internal Audit's audit programmes of work, as required by the MKI/Pentana audit management software system Cabinet report template expanded to include risks and implications arising. 	Risk management protocol	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Alun Williams F1.2 Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	<ul style="list-style-type: none"> <u>The Risk Management Policy and Strategy were approved by Cabinet on the 24.9.2019.</u> The Corporate Risk Register is a standing agenda item at each Leadership Group meeting. Updates are reported at each Governance and Audit Committee Meeting to provide ongoing information and assurance that risks continue to be managed. The Committee refers matters to Scrutiny Committees, where appropriate. Corporate Performance requires regular updates for Risk. The Cross party Transformation and Efficiency Group regularly monitors Transformation Risks. Specific Project Risk Monitoring is undertaken. 	Risk management strategy/policy formally approved, adopted, reviewed and updated on a regular basis	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Alun Williams F1.3 Ensuring that responsibilities for	<ul style="list-style-type: none"> All Risks are allocated to a Corporate Lead Officer (Risk Owner). 	Risk management protocol	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	managing individual risks are clearly allocated					
F2 Managing performance	Alun Williams F2.1 Monitoring service delivery effectively including planning, specification, execution and independent post-implementation review	<ul style="list-style-type: none"> Corporate performance management is linked to the Well-being and Improvement Objectives, <u>Corporate Strategy 2017-2022</u> and the PSB's plans. The Council also has many local indicators which helps it determine whether it has achieved the priorities in its <u>Corporate Strategy 2017-2022</u>. Council considered the draft <u>Well-being and Improvement Objective Annual Report 2020-21</u> and approved the Well-being Objectives for 2022-23 on 21.10.21 in October 2020 (The Well-Being & Improvement Objectives Annual Report 2020-2021 was also approved by the Council's Overview and Scrutiny Co-ordinating Committee on the 15.9.21, and Cabinet 5.10.21). Benchmarking information carried out as part of service re-modelling. External & internal assessments by: <ul style="list-style-type: none"> Audit Wales; Estyn; Care Inspectorate Wales ('CSIW'); Investigatory Powers' Commissioner's Office ('IPCO'); and Information Commissioner's Office ('ICO'). Self-Assessment (Governance and Audit Committee) - self-assessment exercise underway for presenting at 10.3.2022 Governance and Audit Committee Meeting. Individual Services carry out self-assessment through a performance matrix. IA undertake an annual self-assessment and have a 5-yearly independent external assessment / peer review as required by the PSIAS. Cost performance (using inputs and outputs). A Corporate Performance Management Panel meets quarterly. All Corporate Lead Officers report to this Panel and the Dates for reporting are published in the report. The Chairs and Vice Chairs of the Overview and Scrutiny Committees attend with the principle that they can identify areas that require inclusion on their respective Forward Work Programmes. 	<p>Performance map showing all key activities have performance measures ✓</p> <p>Benchmarking information ✓</p> <p>Cost performance (using inputs and outputs) ✓</p> <p>Calendar of dates for submitting, publishing and distributing timely reports that are adhered to. ✓</p>	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Alun Williams / Lowri Edwards/Elin Prysor F2.2 Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook	<ul style="list-style-type: none"> Chief Officers provide support and advice to Members. Reporting requires financial and legal advice/implications to be included in reports/decisions, which are published as appropriate. Council / Cabinet report template updated to include reference to legal implications, staffing implications, property/asset implications and risks. Advice provided by Chief Finance Officer. All reports and <u>minutes</u> are published in a timely manner and are open for inspection including. <ul style="list-style-type: none"> Options for recommendations. 	<p>Discussion between Members and Officers on the information needs of Members to support decision making ✓</p> <p>Publication of agendas and minutes of meetings ✓</p>	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

		<ul style="list-style-type: none"> ○ Scrutiny Chairs are invited to take issues back to Cabinet ○ Governance and Audit Committee refer matters to Scrutiny and receive reports back. ● All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act. ● Advice given by the MO. ● Agreement on the information that will be needed and timescales. 	Agreement on the information that will be needed and timescales	✓		
	Lowri Edwards F2.3 Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made, thereby enhancing the organisation's performance and that of any organisation for which it is responsible	<ul style="list-style-type: none"> ● Scrutiny arrangements are in place that is supported and which provide opportunities to challenge decision making and review the provision of services. The scrutiny function aim is to provide added value to the continuous improvement agenda in their role as "critical friend". In addition, Overview and Scrutiny Committees also provide opportunities to undertake pre-decision and policy development work, which is a function of scrutiny, which has developed over recent years. The Council's aim is to scrutinise, where possible, before decisions are made. ● An Overview and Scrutiny <u>Public Engagement Protocol</u> (2016) (<u>Document N Constitution</u>) has been approved by Council and has been used on several occasions. ● Arrangements in place to seek the views of the public which is gathered via social media and shared with Overview and Scrutiny Committees for consideration. ● All agendas and minutes are published on the Council's website. ● <u>Forward Work Programme</u> published on the Council's website. ● Terms of reference are published on the Council's website. ● Training for Members. ● <u>Membership details</u> for all Scrutiny Committees is available on the web. ● The Council's Overview and Scrutiny Co-ordinating Committee will be responsible for taking an overview of the overall effectiveness of the <u>PSB</u>. ● Work undertaken with the <u>Future Generations Office</u> to develop a Scrutiny Framework in relation to the WFGA. ● Governance and Audit Committee. 	The role and responsibility for scrutiny has been established and is clear Agenda and minutes of scrutiny meetings Evidence of improvements as a result of scrutiny Terms of reference Training for Members Membership Public Service boards are subject to effective scrutiny	✓ ✓ ✓ ✓ ✓ ✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Lowri Edwards/Alun Williams F2.4 Providing Members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	<ul style="list-style-type: none"> ● The Council revised its Corporate Performance Management arrangements in 2017 to improve monitoring of its business plans and performance indicators, including National Strategic Indicators ('NSI'), PAM and Local Indicators. These are also linked to the Well-being and Improvement Objectives and the <u>Corporate Strategy 2017-2022</u>. ● A Corporate Performance Management Board meets each quarter, with Chairs of Scrutiny Committees invited to attend. ● Reporting dates are set at beginning of each year. ● Transformation and Risks are all referred to joint Local Government meetings and Panels. ● The Chairs of the Overview and Scrutiny Committees are invited to observe at Cross Party Transformation and Efficiency Consultative Group meetings and also Performance Board meetings. 	Calendar of dates for submitting, publishing and distributing timely reports that are adhered to	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

		<ul style="list-style-type: none"> Scrutiny Committees may request reports at any time. 				
	Steve Johnson F2.5 Ensuring there is consistency between specification stages (such as budgets) and post-implementation reporting (e.g. financial statements)	<ul style="list-style-type: none"> Financial monitoring is regularly undertaken throughout the Council under a devolved accountancy arrangement and formal reporting is made to Cabinet. Monitoring is also incorporated in to the quarterly performance management reports. Financial implications are a requirement for inclusion in all Cabinet Meeting reports. <u>Financial Regulations and Financial Procedure Rules (Document F Constitution)</u> and the <u>Contract Procedure Rules (Document G Constitution)</u> are all up to date. The current <u>Procurement Strategy 2018-2022</u> was approved in 2018. Accounting practices - Codes of Practice are complied with. Prudential Indicators are prepared and reported to Council and monitored throughout the year. Regular budget monitoring takes place throughout the year. IA also reviews controls over income collection and monitoring. Business/Service plans are monitored to ensure delivery outcomes are achieved. 	Financial standards, guidance	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Financial regulations and standing orders	✓		
F3 Robust internal control	Alun Williams / Amanda Roberts / Alex Jenkins F3.1 Aligning the risk management strategy and policies on internal control with achieving objectives	<ul style="list-style-type: none"> Risk Management Policy and Strategy and the Risk Management Framework were approved by Cabinet on 24 September 2019. Updates in relation to Business Continuity and Civil Contingencies arrangements submitted on a regular basis in line with the Corporate Risk Register, Risk CORP04. Business Continuity and Civil Contingencies Group meet monthly. The annual Internal Audit Plan is risk-assessed and takes account of Council aims and objectives, and corporate policies and procedures; to include a review of the Risk Management corporate arrangements, and testing the mitigating controls in place for a sample of risks noted in the Corporate Risk Register Internal Audit Strategy & Annual Plan 2021-2022 approved by Governance and Audit Committee 24 February 2021, & continues to take account of additional risks presented by the pandemic. IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council. Internal audit reports issued to Managers highlight the risks of not implementing any IA recommended actions. A follow-up audit is conducted of action plans issued. If CMIA considers that any fundamental risks have not been addressed by a Manager this is reported to Governance and Audit Committee who has the discretion of requesting that Manager to attend & explain reasoning for non-compliance. The appointed Auditor considers the Council's arrangements to secure economy, efficiency and effectiveness in his letter he has stated that the Council has complied with its responsibilities to the use of its resources. The Council Objectives are aligned to Strategies. 	Risk management strategy	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required
			Audit Plan 2018/19	✓		
			Audit reports	✓		

<p>Alun Williams / Amanda Roberts / Alex Jenkins F3.2 Evaluating and monitoring risk management and internal control on a regular basis</p>	<ul style="list-style-type: none"> • The Council's Risk Management Framework was approved by Cabinet on the 24th September 2019 and the Council continues to form strategies and plans taking into account the risks caused by the Covid-19 pandemic. • Regular meetings of the Emergency and Business Continuity Management Group take place to review Corporate and Service Area Emergency and Business Continuity Arrangements and Plans as well as recommendations arising from past incidents and exercises to evidence risk, identify emerging trends, and document any lessons learnt for follow up. • Risk evaluation always appears on agendas. • Internal Audit Strategy & Annual Plan 2021-2022 approved by Governance and Audit Committee 24 February 2021, & continues to take account of additional risks presented by the pandemic. • IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council. • Regular Quarterly Internal Audit Progress Reports to Governance and Audit Committee for monitoring (e.g. Internal Audit Progress Report for period 1 April 2021 to 30 June 2021 presented to Governance & Audit Committee on 9 September 2021). • Summary of work and audit opinion on assurance provided annually in Internal Audit Annual Report at year-end. IA Annual Report for 2020/21 approved by Governance & Audit Committee 3 June 2021 • Follow-up IA reviews to monitor implementation of required actions. • Internal controls, risk & governance processes are monitored according to the Internal Audit Charter (last version approved by <u>Governance & Audit Committee 24/2/21</u>) & the Annual Internal Audit Strategy and Plan. 	<p>Risk management strategy/policy has been formally approved and adopted and is reviewed and updated on a regular basis</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required</p>
<p>Amanda Roberts / Alex Jenkins F3.3 Ensuring effective counter fraud and anti-corruption arrangements are in place</p>	<ul style="list-style-type: none"> • Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption ('CIPFA', 2014). • Internal Auditors have procedures in place if fraud discovered. • An Officer in the IA team is an accredited Counter Fraud Technician. • Officer(s) of the IA team hold a CIPFA Certificate in Investigative Practices ('CCIP'). • 'Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)' updated and approved by Council 17 June 2021 (minutes confirmed 23 September 2021) has been written with regard to the Code of Practice & updated to ensure all requirements are included. • IA undertakes counter fraud work where required (as well as dealing with the discovery of fraud as considered earlier). • Council complies with Audit Wales's annual National Fraud Initiative requirements, currently co-ordinated by IA. 	<p>Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014)</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required</p>

		<ul style="list-style-type: none"> • IA presents Counter-Fraud Report to Governance and Audit Committee annually (<u>2020/21 Counter-Fraud Report presented to Governance & Audit Committee on 3 June 2021</u>). • Monitoring and response to fraud alerts (NAFN, wider networks, peers, etc); • Membership and active participation in professional networks and groups (Tisonline, KHub, etc); • IA offer advice to services on implementation of new systems and processes to ensure effective internal controls maintained; • Nominated Council Officers undertake various fraud training to maintain knowledge and expertise; • Where appropriate, successful prosecutions publicised on Council website (and in local press) • Covid-19 grant payments audited prior to payment (as easier to stop a payment than recover it); • Key financial control audits added to audit plan, to check controls, governance & risks whilst staff working from home • IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council. 				
	<p>Amanda Roberts / Alex Jenkins F3.4 Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor</p>	<ul style="list-style-type: none"> • <u>AGS 2020/21</u> approved by Council on 25 November 2021 with the Statement of Accounts. The AGS contains the CMIA's annual opinion on assurance. • Up to 31/12/21 the IA function is headed by a CIPFA qualified CMIA, and the CMIA from 1/1/22 onwards is studying to gain an IIA qualification, Both CMIA's have considerable local government experience, and are supported by a team with appropriate knowledge and skills. Regular reporting to Governance and Audit Committee on the activity of IA is undertaken. Robust risk-based forward work programme and business planning is in place. • IA evaluates and improves the effectiveness of risk management, control & governance processes in accordance with PSIAS, which is self-assessed and reported to Governance and Audit Committee annually along with any improvements required. A peer review is undertaken every 5 years (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group – see point G3.2 below). • IA provides an individual assurance to Managers after each audit review – these are then used to provide an overall corporate level of assurance annually, which feeds in to the <u>AGS</u>. • A re-structure of IA was implemented in May 2019, and another in November 2020. The service has been fully resourced since 1 December 2020. • A new CMIA will be in place from 1 January 2022, who has considerable experience in IA, has a 6-week window to 'shadow' the existing CMIA, and is supported by a knowledgeable & skilled Audit Manager (see point G3.2 below). 	<p>Annual Governance Statement</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
			<p>Effective Internal Audit service is resourced and maintained</p>	<p>✓</p>		

		<ul style="list-style-type: none"> Two members of the team are currently pursuing the Institute of Internal Auditors' professional training qualification. 				
	<p>Elin Prysor F3.5 Ensuring a Governance and Audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment that its recommendations are listened to and acted upon</p>	<ul style="list-style-type: none"> Governance and <u>Audit Committee</u> established that sets its own work plan. Committee is chaired by a Member of the opposition group (until May 2022 when Lay Person shall be Chair, per 2021 Act provisions). Ongoing preparation and implementation of changes affecting the Governance and Audit Committee in light of the 2021 Act. The Governance and Audit Committee was informed, in a report on 24.2.2021 Meeting, of the changes to their role regarding self-assessment reports of the Council, and regarding panel performance assessments, as well as the change of name, and changes to the Chair/Vice Chair and composition. The Governance and Audit Committee's Terms of Reference were updated on 6 December 2018. Update report on 2021 Act presented to Governance and Audit Committee 3.6.2021, to include updating Governance and Audit Committee regarding changes to Constitution affecting Committee including: <ul style="list-style-type: none"> Recruitment of lay members and the Mid Wales CJC Governance and Audit Sub-Committee; and Regarding the Committee's functions relating to: <ul style="list-style-type: none"> reviewing and assessing the performance assessment of the Council; considering the Council's draft annual Self-Assessment report; considering any report from the Auditor General and Council's draft response; review of the Council's complaints handling function; and role regarding Panel Performance Assessments (from May 2022). Changes made during 2021-2022 include preparations for: <ul style="list-style-type: none"> terms of reference/remit/composition changes (including recommendations to Council from Cross-Party Constitution Working Group and changes to Constitution approved by Council at its 23.9.2021 Meeting); change of name to 'Governance and Audit Committee'; Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act) – recruitment completed (Council approved appointments 9.12.21); Committee duty to appoint own Chair and Deputy Chair; Chair must be lay person – recruitment completed (Council approved appointments 9.12.21) and Chair/Deputy Chair shall be appointed from Lay Members; 	<p>Governance and Audit Committee complies with best practice – see Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013)</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>
			<p>Terms of reference</p>	<p>✓</p>		
			<p>Membership</p>	<p>✓</p>		
			<p>Training</p>	<p>✓</p>		

		<ul style="list-style-type: none"> -Deputy Chair must not be member of Local Authority Executive; and - In absence of Chair & Deputy only non-executive Members can chair. • Size of Governance and Audit Committee review completed and change of size from May 2022 approved (9). • The Governance and Audit Committee has an effective Lay Member. Membership of Governance and Audit Committee considered in line with 2021 Act: Lay member recruitment completed, taking into account 2021 Act requirements and termination of term of office of current lay member. • Job Direction, Personal specification, and criteria approved by Council 10/12/20. • Governance and Audit Committee self-assessment - self-assessment exercise underway for presenting at 10.3.2022 Governance and Audit Committee Meeting. • Reports and minutes are published on the Council's website. • Governance and Audit Committee Terms of Reference updated. • <u>Membership details</u> for Governance and Audit Committee and all Scrutiny Committees is available on the Council's website. • Regular meetings between CMIA and Chair of Governance and Audit Committee. • Meetings as necessary between MO & Chair of Governance and Audit Committee. • Regular meetings between MO & CMIA. • Regular meetings between MO and CMIA & Audit Wales when necessary. • Regular Meetings between Governance and Audit Committee Members and external regulator Audit Wales (with and without Officers) • Regular training / updates provided to Governance and Audit Committee. • Chair of Governance and Audit Committee attends Welsh Governance and Audit Committee Chair network group to develop and compare role within Local Authorities. 				
F4 Managing data	Arwyn Morris F4.1 Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data,	<ul style="list-style-type: none"> • A New <u>ICT and Digital Strategy for 2018-2022</u> has been approved • All policies are up to date including; (all approved in February 2019). <ul style="list-style-type: none"> ○ <u>Data Protection & GDPR Policy;</u> ○ <u>Information Security Policy;</u> and 	Data management framework and procedures Could we add the dates to the policies please	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	<p>including processes to safeguard personal data.</p>	<ul style="list-style-type: none"> ○ <u>Records Management Policy.</u> ● A mandatory E-learning training module on Information Security must be completed by all Staff. ● A mandatory E-learning training module on Data Protection must be completed by all Staff. ● Designated Data Protection Officer. ● Corporate Lead Officer Customer Contact is the Senior Information Risk Owner ('SIRO') and has attended appropriate training for that role. ● The following responsible Officers are identified: <ul style="list-style-type: none"> ○ IT Security Officer ('ITSO'); and ○ Information and Records Management Officer ('IRMO') ● In addition the following groups/committees consider Information security: <ul style="list-style-type: none"> ○ Corporate Data Protection Group; and ○ Emergency & Business Continuity Meeting. ● External assessments to include compliance with Code of Conduct. ● Regular Internal Audit of data protection Registration requirements. ● Procedures following Audit Wales audit have been implemented. ● <u>Officers are considering the introduction of privacy notices in relation to applications to all Members, including the Development Control Committee/Development Management Committee.</u> ● <u>Training has been scheduled for Members on their obligations under the GDPR as part of the new Member training and a section on said legislation is now included in the protocol for Members in planning.</u> 	<p>Designated data protection officer</p>	<p>✓</p>			
	<p>Arwyn Morris F4.2 Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies</p>	<ul style="list-style-type: none"> ● Ceredigion County Council signed Wales Accord on the Sharing of Personal Information ('WASPI') and therefore uses WASPI framework for Information Sharing Agreements. ● In most cases agreements are forwarded to the Data Protection Officer. ● There is also a public register on <u>WASPI Website.</u> ● Regular external Assessments e.g. Compliance with Code of Conduct. <p>***The Accord is a common set of principles and standards under which partner organisations will share personal information. Organisations who adopt the Accord will show their commitment in meeting the agreed conditions, obligations and requirements within the framework.</p>	<p>Data sharing agreement</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>	
	<p>Arwyn Morris F4.3 Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring</p>	<ul style="list-style-type: none"> ● <u>Records Management Policy.</u> ● <u>Data Protection/GDPR Policy.</u> ● Internal performance monitoring and evidence. ● Cross matching data happens across the different services. ● Performance Indicator values are validated with evidence. ● Retention Schedule –now <u>published</u> on intranet. 	<p>Data protection policies and procedures</p>	<p>✓</p>			
			<p>Data sharing register</p>	<p>✓</p>			
			<p>Data processing agreements</p>	<p>✓</p>			
			<p>Data quality procedures and reports Could we add the dates to the policies please Is there an example of Internal</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>	

			performance monitoring			
			Data validation procedures What data validation is carried out	✓		
F5 Strong public financial management	Steve Johnson F5.1 Ensuring financial management supports both long-term achievement of outcomes and short-term financial and operational performance	<ul style="list-style-type: none"> The current <u>Medium Term Financial Strategy</u> ('MTFS') was established during the 2013-14 year and fundamentally updated and approved by Council on the 24th February 2016. The Current MTFS is that of <u>2018/2019 Onwards</u>, but has now been amended to reflect the 2021/2022 provisional revenue settlement and updated to: <ul style="list-style-type: none"> Reflect the impact of Covid-19 Reflect 'Boosting Ceredigion's Economy – A Strategy for Action 2020-35' Amend the transformation savings plan Project forward cost pressures Reflect data changes, regulations, plans, policies and strategies and is being presented to Cabinet for approval 23,2,2021 for approval to then be presented to Council on 5.2.2021. This now includes a policy framework for setting the budgets annually as well as a three-year plan. The MTFS features as a corporate risk that is updated at least three times a year. The annual budget setting also included a risk assessment. The Council is responding to the proposal in the 2016 Wales Audit Office (now Audit Wales) Annual Improvement Report, and considering the report in light of the MTFS through ensuring that the Council's financial management arrangements are sufficiently robust to meet the significant challenges ahead. A Strategic Plan has been developed and has improved the programme of work necessary to consider service priorities whilst addressing financial constraints. An annual budget project plan/timetable is established to ensure that a balanced budget is approved within the statutory period in accordance with the Councils budget framework. Regular budget reports are taken to Cabinet and Leadership Group throughout the year and operational budgets are monitored on a monthly basis. 	Financial management supports the delivery of services and transformational change as well as securing good stewardship	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson F5.2 Ensuring well-developed financial management is integrated at all levels of planning and control, including management of	<ul style="list-style-type: none"> Budget monitoring is regular throughout the year, within services, to Cabinet and to Member Officer working groups e.g. Development Group and CMG and transformation programme savings to the Cross Party Transformation and Efficiency Consultative Group. Quarterly Executive Panel meetings take place if required with Corporate Lead Officers together with the Leader of the Council, 	Budget monitoring reports	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	financial risks and controls	the CE, Corporate Lead Officer for Finance and Cabinet Member with Finance responsibility.				
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G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability						
Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.						
Sub-principles	Behaviour	Evidence	Expected	✓/X	Score	Action
G1 Implementing good practice in transparency	Lowri Edwards/Arwyn Morris G1.1 Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate	<ul style="list-style-type: none"> Council's Website. Council and Cabinet meetings are broadcasted. Standard templates for Cabinet, Scrutiny and Council. Compliance to the Welsh language Standards. Use of Modern.Gov for publishing agendas and Councillor Information. Council preparing for implementation of changes to be introduced by 2021 Act, which include for Council to consult and publish a public participation strategy with the aim of increasing public participation in local democracy, and improving transparency. Council compliance with The Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020, which allow for remote access for meetings and public access/publishing of documents requirements. Work is underway to prepare a Community Engagement Policy that will meet the requirements of the 2021 Act, which will also include how we will encourage participation in decision-making, although final guidance is awaited from Welsh Government regarding this part of the legislation. Council Roadmap provides up-to-date information for citizens on services being provided due to Covid-19 pandemic, in order to provide clarity for County residents. The Council has been out to tender and awarded the contract for installing equipment in the Council Chamber that will enable hybrid meetings to take place as well as being able to broadcast those meetings. The equipment will be installed over the winter. The Council provides alternative ways for citizens to access information if they don't have access to digital services. The Citizen can telephone the Council's Contact Centre or visit its Libraries where public access to computers are available or free 4G Wi-Fi to allow anyone to use their own device. 	Website	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Council meetings are webcast	✓		
	Lowri Edwards G1.2 Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand	<ul style="list-style-type: none"> Councillors' contact details, attendance records, Committee membership and Declarations of Interests available on the Council's Website. Councillors' annual reports available on the Council's Website. Overview and Scrutiny Annual Report available on the Council's Website. Democratic Services Annual Report available on the Council's Website. 	Councillors annual reports	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Annual report	✓		

G2 Implementing good practices in reporting	Alun Williams G2.1 Reporting at least annually on performance, value for money and the stewardship of its resources	<ul style="list-style-type: none"> The County Council's <u>Well-being and Improvement Objectives Annual Report</u> is published on the Ceredigion County website to inform Ceredigion citizens what activities and actions the Council undertakes in support of its Well-being and Improvement Objectives. This also forms part of the Council's self-assessment. A summary plan is also available in public offices for our citizens. <u>Annual financial statements</u> are published on the Council's Website. 	Formal annual report which includes key points raised by external scrutineers and service users feedback on service delivery	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
			Annual finance statements	✓		
	Alun Williams G2.2 Ensuring Members and senior management own the results	<ul style="list-style-type: none"> Appropriate approvals. Corporate Performance Management arrangements. Ownership of planning and transformation. 	Appropriate approvals	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Elin Prysor G2.3 Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)	<ul style="list-style-type: none"> Council's <u>AGS</u> evidences how it complies with the seven core Governance Framework Principles and sub-principles contained in the Framework and in the Local Code of Corporate Governance, including how it puts in place proper arrangements for the governance of its affairs, facilitates the effective exercise of its functions, and makes arrangements for risk management (the Governance Framework was developed in 2010 and has been revised in accordance with the CIFA/SOLACE Delivering Good Governance in Local Government Framework 2016). In compliance also with Local Government (Wales) Measure 2009 and The Well-being of Future Generations (Wales) Act 2015. Assessment of the framework for corporate governance carried out to ensure compliance e.g. updated to reflect changes necessary because of Covid-19 pandemic. Decision by Council whether <u>AGS</u> approved e.g. updated and approved by Council <u>25 November 2021</u> (with accounts). Council's <u>Local Code of Corporate Governance</u> demonstrates how it has the necessary corporate governance arrangements in place to perform effectively. The Local Code of Governance is a public statement that sets out the way the Council will meet that commitment. 	Annual Governance Statement	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Elin Prysor G2.4 Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate	<ul style="list-style-type: none"> <u>AGS</u> shared with accounts, reviewed and updated with Members and Officers providing a wider engagement process. 	Annual Governance Statement	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
	Steve Johnson G2.5 Ensuring the performance information that accompanies the financial statements is	<ul style="list-style-type: none"> Financial implications are a requirement for inclusion in all Cabinet Meeting reports. <u>Financial Regulations and Financial Procedure Rules (Document F Constitution), Contract Procedure Rules (Document G Constitution)</u> are all up to date. 	Format follows best practice	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.

	prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations	<p>The current Procurement Strategy 2018-2022 was approved in 2018.</p> <ul style="list-style-type: none"> Accounting practices - Codes of Practice are complied with Prudential Indicators are prepared and reported to Council and monitored throughout the year. Regular budget monitoring takes place throughout the year. IA also reviews controls over income collection and monitoring. 				
G3 Assurance and effective accountability	Elin Prysor G3.1 Ensuring that recommendations for corrective action made by external audit are acted upon	<ul style="list-style-type: none"> A good working relationship exists with external regulators, including Audit Wales, Estyn, CIW, Financial Services Authority ('FSA') and Food Standards Agency as key regulators. Audit Wales Protocol documented and procedures in place to ensure all 'Management Response Forms' from each Audit Wales report addressed and that Service responses are presented to Leadership Group, Governance and Audit Committee and Audit Wales. Regarding monitoring of progress of actions/recommendations, Governance Officer is Audit Wales point of contact for outstanding Management Response Forms ('MRFs') for 2019/20 & 2020/21, and ongoing governance-related MRFs/governance matters. Corporate Performance and Improvement Officer is point of contact for performance-related MRFs/performance matters. This system is set out in a Protocol, approved by Leadership Group and presented to Governance and Audit Committee, with updated version (to reflect that the Corporate Performance and Improvement Officer is in post) presented to Governance and Audit Committee 9.9.2021 Meeting. Monthly meetings are also being held with Audit Wales to discuss ongoing work and matters to be presented to the Governance and Audit Committee and regular dialogue is maintained with representatives from Audit Wales. Recommendations from Audit Wales are taken forward in the Corporate Performance Management arrangements. All Audit Wales reports presented to Leadership group and Governance and Audit Committee, which monitors implementation of corrective actions required. Monitoring of progress of Actions process being developed. 	Recommendations have informed positive improvement	✓	9/10	<p>Good overall governance considered compliant and meets best practice.</p> <p>Monitor progress of Actions/recommendations.</p>
	Amanda Roberts / Alex Jenkins G3.2 Ensuring an effective internal audit service with direct access to Members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon	<ul style="list-style-type: none"> Up to 31/12/21 the IA function is headed by a CIPFA qualified CMIA, and the CMIA from 1/1/22 onwards is studying to gain an IIA qualification, Both CMIA's have considerable local government experience, and are supported by a team with appropriate knowledge and skills. Two members of Staff currently studying for the Chartered Institute of Internal Auditors qualification, and two are developing ICT auditing skills. IA Officers undergoing audit qualifications to enhance knowledge, skills and competency. 	<p>Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010) and CIPFA 2019 statement on role of Internal Audit</p> <p>Compliance with PSIAS</p>	✓	✓	9/10

		<ul style="list-style-type: none"> • A re-structure of IA was implemented in May 2019, and another in November 2020. The service has been fully resources since 1 December 2020. • A new CMIA will be in place from 1 January 2022, who has considerable experience in IA, has a 6-week window to 'shadow' the existing CMIA, and is supported by a knowledgeable & skilled Audit Manager. • The role of CMIA has free and unfettered access to the Chair of the Governance & Audit Committee and both meet regularly during the year (and these meetings continue remotely during the Covid-19 pandemic). • Robust risk-based forward work programme and business planning is in place. • Regular reporting to Governance & Audit Committee on the activity of IA is undertaken, i.e. quarterly Internal Audit Progress Reports to Governance & Audit Committee for monitoring progress performance and improvement and summary of work and audit opinion on assurance provided annually in Internal Audit Annual Report at year end. Follow-up reviews undertaken to monitor corrective actions are implemented. • Internal Audit Charter regularly reviewed and approved by Governance & Audit Committee (last version approved by Audit Committee 24/2/21). • CMIA provides annual objective opinion on assurance placed on Council's risk management, control and governance processes, based on the individual assurances given to Managers after each audit review, & feeds into the <u>AGS</u>. • Compliance with PSIAS reported annually to Governance & Audit Committee with resultant improvement plan. Peer review of assessment every five years (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group). • IA's mission is to enhance & protect organisational value by providing risk-based & objective assurance, advice & insight. This is detailed in the internal Audit Charter, which also states IA's right of access (as per the Council's Financial Regulations/<u>Constitution</u>). 				<p>Actions in place to ensure smooth transition in exchange of CMIA role</p> <p>Arrange 5-year peer review with Anglesey</p>
	<p>Amanda Roberts / Alex Jenkins G3.3 Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations</p>	<ul style="list-style-type: none"> • A good working relationship exists with the Welsh Government as key regulator. Regular dialogue is maintained with representatives from Audit Wales. • Recommendations from Audit Wales are taken forward in the Corporate Performance Management arrangements. • The Council is learning and continually works towards improvement. • Five-yearly external assessment of IA is undertaken as required by PSIAS. • The last Internal Audit External Assessment was undertaken in November 2016 by Conwy County Council and was reported to 	<p>Recommendations have informed positive improvement</p>	<p>✓</p>	<p>9/10</p>	<p>Good overall governance considered compliant and meets best practice. No further action required.</p>

		<p>Audit Committee, along with the resultant improvement Plan (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group).</p> <ul style="list-style-type: none"> IA progress, performance & improvement is reported to Audit Committee quarterly. 				
Elin Prysor	G3.4 Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement	<ul style="list-style-type: none"> <u>AGS</u>. Members and Officers carry out a review of the <u>AGS</u> annually. 	Annual governance statement	✓	9/10	Good overall governance considered compliant and meets best practice. No further action required.
Alun Williams / Diana Davies	G3.5 Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met	<ul style="list-style-type: none"> <u>PSB's terms of reference and Well-being Plan</u> Annual report from PSB. The Ceredigion County Council Overview and Scrutiny Co-ordinating Committee is responsible for taking an overview of the overall effectiveness of the Board. Partnership and Accountability agreements are established in collaborative projects. 	<p>Public Service Boards terms of reference and well-being plans</p> <p>Public service boards engage with scrutiny</p>	<p>✓</p> <p>✓</p>	9/10	Good overall governance considered compliant and meets best practice. No further action required.

Annual Governance Statement 2021-22



Approved by Council [x]

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DRAFT

1 EXECUTIVE SUMMARY

Ceredigion County Council ('the Council') is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded, properly accounted for, and used economically, efficiently and effectively.

The Council is also committed to improving the social, economic, environmental and cultural wellbeing of its citizens. This commitment is set out in the Council's Corporate Strategy 2017-2022 and describes how the council will meet the challenges ahead and make the most of opportunities. The Council's vision for this period is that the Council *'delivers value for money sustainable bilingual public services that support a strong economy and healthy environment while promoting well-being in our people and our communities'* and is to be achieved by fulfilling the Corporate Priorities, which are:

1. Boosting the Economy;
2. Investing in People's Future;
3. Enabling Individual and Family Resilience; and
4. Promoting Environmental and Community Resilience.

To be successful the council must have a solid foundation of good governance and sound financial management. The Council's Local Code of Corporate Governance ensures that we are doing the right things, in the right way, in line with our values. The Local Code is supported by a Governance Assurance Framework that sets out what assurances the Council seeks to obtain, and how this will be done.

A copy of the Council's Local Code of Corporate Governance and Annual Governance Statement is available on the Council's website at <https://www.ceredigion.gov.uk/your-council/councillors-committees/annual-governance-statement/>.

The Council also has a duty under the Local Government (Wales) Measure 2009 to arrange to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness. In discharging this overall responsibility, the Council must ensure proper arrangements for the governance of its affairs are in place, facilitating the effective exercise of its functions, and which includes the arrangements for the management of risk. The Local Government and Elections (Wales) Act 2021 is also largely in force and the Council continues to take necessary preparations to ensure compliance of these sections of the Act and compliance with the sections of the Act that are not yet in force.

A Governance Framework was developed in 2010 and has been revised in accordance with the CIFA/SOLACE Delivering Good Governance in Local

Government Framework 2016. The framework is used to review the governance arrangements on an annual basis.

The Well-being of Future Generations (Wales) Act 2015 also introduces new governance arrangements for public services in Wales. Public bodies are required to carry out sustainable development. It places a well-being duty on public bodies to set and publish well-being objectives designed to maximise their contribution to the seven national well-being goals. They are also expected to take all reasonable steps towards achieving their objectives.

Following the review and in accordance with the requirements of the Framework a Local Code of Corporate Governance was initially approved by Council on 29 June 2017 and an updated version was approved by Council on 19 March 2020.

The Local Code of Corporate Governance brings together in one document all the governance and accountability arrangements the Council has in place. The Code is based on best practice guidance set out in the CIPFA/SOLACE Framework Delivering Good Governance in Local Government.

The 2022/23 Code has been reviewed further to take account of ongoing changes to governance due to the coronavirus pandemic.

In addition, following a review by Audit Wales of the Council's Planning Service undertaken during the period April to July 2021 (Report issued October 2021), the Council continues to take steps to address the recommendations issued in the Report, which are referenced in the Corporate Governance Achievements for 2021-22 below.

The Council's Governance Framework is based on the International Framework: Good Governance in the Public Sector (CIPFA/IFAC, 2014) and the following seven principles:

- A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law
- B: Ensuring openness and comprehensive stakeholder engagement
- C: Defining outcomes in terms of sustainable economic, social and environmental benefits.
- D: Determining the interventions necessary to optimise the achievement of the intended outcomes
- E: Developing the entity's capacity, including the capability of its leadership and the individuals within it
- F: Managing the risks and performance through robust internal control and strong public financial management

G: Implementing good practices in transparency reporting, and audit to deliver effective accountability

The Council is required, each year, to produce an Annual Governance Statement ('AGS') (this document), which explains how the Council has complied with the seven core principles and sub-principles contained in its Governance Framework and the Local Code of Corporate Governance, and also meets the requirement of The Accounts and Audit (Wales) Regulations 2014. This AGS gives assurances on compliance for the year ending 31 March 2022 and up to the date of approval of the Statement of Accounts.

The Leader of the Council and Chief Executive both recognise the importance of having a solid foundation of good governance and sound financial management. They pledge their commitment to address the matters highlighted in this AGS, and to further enhance the Council's governance arrangements.

The Leader and Chief Executive confirm they have been advised of the implications of the review by Senior Management and the Audit Committee and are satisfied that the steps outlined in this AGS will address the areas for improvement.

Signed on behalf of **Ceredigion County Council**

Leader of the Council

Chief Executive

Date: xx/xx/xxxx

Date: xx/xx/xxxx

2 Assessment of the effectiveness of key elements of the Governance Framework

The Council is committed to demonstrating that it has the necessary corporate governance arrangements in place to perform effectively.

The Leader of the Council provides clear strategic direction and the Constitution clearly defines the roles of Councillors and Officers. Internal and External Audit, Ethics and Standards Committee and the Audit Committee are committed to ensuring the governance arrangements are effective and robust.

The Council has conducted an annual review of the effectiveness of its governance against the CIPFA/SOLACE Delivering Good Governance Framework (2016). The review involved a member/officer workshop in which the Council's Governance Framework Document was analysed and reviewed, and

included the following Members: the Chair and Vice Chair of the Governance and Audit Committee, and the Chair of Overview and Scrutiny Co-ordinating Committee. In addition, the Monitoring Officer, Corporate Manager - Internal Audit, Audit Manager, Governance Officer, Corporate Lead Officer - Democratic Services, Corporate Manager – Democratic Services, Corporate Lead Officer – People & Organisation and the Corporate Manager – Partnerships, Performance and Public Protection also took part. Following the Workshop, the attendees had a further opportunity to consider the Council's Governance Framework Document and the Corporate Lead Officer Policy, Performance and Public Protection, Corporate Lead Officer Economy & Regeneration, Corporate Manager – Core Finance, Corporate Lead Officer Customer Contact and Governance and Audit Committee Lay Member had an opportunity to consider the Governance Framework Document.

During the workshop each behaviour was introduced and scored against a scoring mechanism, as follows:

- 1/2 Unacceptable Immediate action required
- 3/4 Below satisfactory - urgent Action Required (within 3-6 months)
- 5/6 Satisfactory - Action Required (before end of year 9-12 months)
- 7/8 Acceptable Minor adjustments may be required
- 9/10 Good - overall Governance considered to be good and meets best practice no further action required

Each score used in the Governance Framework Document is a score out of 10 e.g. a score of 7/8 means a score of between 7 and 8 out of a total 10 marks.

The Governance Framework Document was also circulated to other officers, who have governance/management responsibilities within the Council. The review framework is due to be presented to the Governance and Audit Committee in January 2022.

The effectiveness of the governance framework draws on evidence and assurances from:

- Internal and External Audit and Inspection;
- Financial Controls;
- Risk and Performance Management;
- Legal and Ethical Standards;
- Corporate Directors and Other Senior Management, including the S.151 Officer and the Monitoring Officer;
- The Governance and Audit Committee; and
- Overview and Scrutiny Committees.

In addition, the Corporate Manager - Internal Audit undertakes an independent review of the Governance Framework and the method of scoring and evidence, on an annual basis. The review of the 2020/21 Framework was completed in April 2021 and provided 'high' assurance that there was a sound system of scrutiny and robustness in place. This was reported to the Governance and Audit Committee in April 2021. The review of the 2021/22 Framework is still in progress.

The Council has drawn together a Local Code for Corporate Governance which sets out the systems and processes, and cultures and values, by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads the community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.

The system of internal control is a significant part of that code and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Council's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

The Local Code for Corporate Governance is available on the Council's website at <https://www.ceredigion.gov.uk/your-council/councillors-committees/annual-governance-statement/>.

3 Corporate Governance Achievements for 2021-22

The Local Code for Corporate Governance sets out the Local Authority's commitment to the principles of good governance. The following paragraphs outline the Corporate Governance achievements during 2021-22.

A. Behaving with Integrity, demonstrating strong commitment to ethical values and respecting the rule of law:

- Code of Conduct for Members (updated in 2016) available on the Council's website, intranet site (CeriNet) under Councillor Resources, and in the Constitution. Also, Members Code of Conduct Flowchart (updated in 2016).
- Code of Conduct for Officers* (currently in the process of being substantially reviewed) available along with all Corporate policies and strategies via Council website/CeriNet.
- Induction and follow-up training on Code of Conduct and ethics provided to all Members.
- Ethics Audit undertaken during 2019. Follow up Internal Audit of Council's arrangements regarding Ethics also in progress (currently in review).
- Ethics/Fraud training provided in collaboration with Council's insurer at Corporate Managers' quarterly workshop 28.5.2021. Slides from

presentation are forming a basis for e-learning module for all Staff and Internal Audit ('IA') & Governance Services working with Learning & Development to prepare scenarios for training. Training supported by recent review of Council's Strategy on Counter-Fraud, Corruption & Bribery (to include Anti-Money Laundering). Day to day advice is provided by the Monitoring Officer ('MO') and Scrutiny Support Officer.

- Committee and Members advised by MO and proactive regular advice and reminders sent to Members and Officers as required. Legal and Financial advice/implications is provided on all appropriate reports for decision, Chief Officers provide support and advice to Members and reporting requires financial and legal advice/implications to be included in reports/decisions which are published as appropriate. Items reported to Members for decisions through Cabinet, Council and Committees are subject to legal and financial advice which will be referenced within each report. Also, MO operates an 'open' door policy for Members wishing to receive 'conduct' and 'governance' advice.
- Personal Development Review.
- Individual sign off with regard to compliance.
- Register of Members' interests, available from the Council's Democratic Services, reviewed by MO and published on Council website.
- Declaration of Interest and Hospitality forms for Officers and Members on CeriNet.
- MO circulates reminder re interest/hospitality declarations to Staff quarterly.
- Declarations of interest by Members and Officers at meetings and Minutes for all committees contain Declarations of Interest-Officers and Members.
- Regular reminders through News Updates on CeriNet system, monitoring and review of MO of Chief Officers' declarations annually and advising Chief Officers on need to declare close personal associations with other Officers or Members, including advising Chief Officers at Leadership Group. Chief Officers informed through CeriNet system news update of MO email re declaring interests and Hospitality and reminder to Chief Officers sent.
- Chief Officers' annual Declarations of Interest and continuing obligations to declare interests. Ongoing review on Chief Officers' business declarations.
- Update advice on Council Employees' Declarations of Interest and Hospitality published on 16 December 2021 and 20 July 2021 on CeriNet, also re Covid-19 Restrictions Business Fund NDR Grants for businesses (News update published 8.1.2021) and links to the relevant forms and Code of Conduct for Local Government Employees, along with a reminder that any queries or requests for advice should be made to the MO.
- Declarations of interest by Members and Officers at meetings, an opportunity to make reference to any close personal contacts/roles etc. MO to advise Officers further on the need to declare interests in organisations which actually, or may conflict with Council interests including:
 - Contractors;
 - School Governors;
 - Clerk to Town and Community councils;
 - Members of Town and Community councils; and
 - School Governors.
 - MO to advise Officers further on the need to declare:
 - Directorships; and
 - Other employment

Including whether conflicting with the Council's interests or not.

- Members required to update Register of Interests in accordance with the Code of Conduct, and in addition, annually, which is opportunity to reference any close personal associates/roles etc. This now includes lay/independent members of the Ethics & Standards Committee and Governance & Audit Committee. Register of Interests booklet published for each Member on Council Website.
- NFI match highlights Staff who are directors of companies that have dealings with the Council – any non-declarations investigated by IA and reported to MO.
- Review is currently being undertaken of the external bodies that have appointed Members, including added value, and also updating of the Constitution.
- Update Dispensations forms for Members completed (2020).
- Professional Qualified Officers and Teachers have to meet their professional body/organisation requirements.
- Members complete a HR training module.
- Training on standards of behaviour is provided to Managers for Staff.
- Employee Handbook is in the process of being reviewed, is available on CeriNet, sets out the expected Employee behaviour and includes the Code of Conduct for Local Government Employees.
- MO circulates to political group leaders updates/decisions from the Adjudication Panel for Wales, whose role is to determine alleged breaches by elected and co-opted members against their authority's statutory code of conduct.
- The main duties of the Ethics & Standards Committee are to improve standards of Member conduct and operation of the Code of Conduct for Members. The Ethics and Standards Committee will have new duties (from May 2022) under the Local Government and Elections (Wales) Act 2021 ('2021 Act'), to include:
 - Monitoring compliance by leaders of political groups on the Council with their duties under S.52A(1) Local Government Act 2000;
 - Advising, training or arranging to train leaders of political groups on the Council about matters relating to their duties under S.52A (1) Local Government Act 2000.
 - The duty to monitor compliance of political group leaders is in relation to standards of conduct, and ensure that this is visible, and consistently demonstrated and evidenced to protect the Council's reputation.
- Ethics and Standards Committee championing ethical compliance to ensure that public have trust and confidence that Members and Officers work to highest ethical and moral standards.
- The Ethics and Standards Committee has been proactive, leading on training sessions and putting procedures in place for dispensation arrangements. The structure has recently been reviewed to improve efficiency and effectiveness.
- Members' standards and conduct matters considered by the Council's Ethics and Standards Committee. Public meetings held regularly, and chaired by an independent person-determine dispensations, and consider strategic/policy issues and receive updates from Public Service Ombudsman for Wales Casebook & APW cases.

- Annual Ethics & Standards Committee Report reported to Council in October 2021.
- Carmarthen County Council undertook an independent audit of ethics within the Council during 2019. Follow up Internal Audit of Council's arrangements regarding Ethics in progress (currently in review).
- A good working relationship exists with the Welsh Government as a key regulator. Regular dialogue is maintained with representatives from Audit Wales.
- This vision for the Council has been reviewed and endorsed by Cabinet, and the vision sets out a number of long term Strategic Objectives.
- Corporate Strategy (2017-2022) contains the priorities of the Council.
- The Well-being and Improvement Objectives build on the priority areas identified in the Corporate Strategy 2017-2022 and are reviewed annually. These are developed in consultation with the public and Members. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website.
- Regular dialogue with Public Services Ombudsman for Wales, and other regulators including Estyn, CIW, ICO and IPCO.
- Council Constitution, which is subject to regular reviews, with ongoing updates as required, including presenting proposed changes to Politically Balanced Cross Party Constitution Working Group, to make recommendations on changes to Constitution to Council. Further revision in 2021 is ongoing, as the Constitution is a live document, to reflect legislative changes and according to need. Council approved amendments on 18.3.21 and 23.9.21. Constitution Cross Party Working Group meets regularly to consider proposals for Constitution updates. Meetings held 15.2.21, 19.4.21, 30.6.21, 10.8.21 and 8.11.21. MO/Governance Officer report to Council to update delegations and Constitution.
- The Council has established a Task and Finish Group (T&F group) to develop actions that will improve the Planning Service including decision making.
- The Terms of Reference of the Development Control Committee (to be renamed 'Development Management Committee') have been revised to clearly state its purpose, role and responsibilities, and how it links to Corporate Priorities.
- An Operational Procedures document for the Development Control Committee/Development Management Committee has been revised. The Operational Procedures define applications that are strategically important and 'major' planning applications.
- The Operational Procedures document addresses the arrangements in respect of local ward members addressing the Committee.
- A Protocol for Good Practice for Councillors at Development Control Committee/Development Management Committee has been produced and included in the Constitution.
- Development Control Committee/Development Management Committee Scheme of Delegations has been revised to allow it to better focus on more strategically important and major applications.
- The Scheme of Delegations contains criteria for applications, which must be referred to the Development Control Committee/Development Management

Committee, and those applications that can be delegated to the Corporate Lead Officer.

- A 'cooling-off' group has been established within the Development Control Committee/Development Management Committee Operational Procedures in order to review planning applications, which may, if approved, be a significant departure from policy.
- Decisions made contrary to officer advice and that do not fulfil the criteria of the checklist being developed for the Development Control Committee/Development Management Committee will be annually reviewed as part of the AMR process and reported to the internal audit procedures.
- Consideration is being given to the Data Protection Principles and processing of personal information in the context of Council Committees and all Members.
- Training has been scheduled for all Members (Introduction for Council, including GDPR) following the May 2022 Elections.
- A mandatory E-learning training module, introduced in September 2017, on the Well-Being of Future Generations Act 2015 ('WFGA') must be completed by all Staff (between September 2017 and November 2021 completed by 2,834 employees, of which 343 through Welsh and 2,491 through English). Between April and November 2021, 242 total employees completed the module, 40 through Welsh, 202 through English (figures include leavers. Reminders issued to Staff who not yet completed module and Leadership Groups receive periodic reports.
- Standards Conference 2018 jointly hosted by Powys & Ceredigion County Council (held on 14 September 2018). A similar conference was to be hosted by North Wales Councils in 2021-postponed due to Covid.
- Governance and Audit Committee carry out a benchmarking exercise annually to provide further assurance on the review of the AGS process.
- IA review and report on the process annually. Governance & Audit Committee meets regularly to consider governance and external regulator reports. Chaired by non-executive member.
- Governance and Audit Committee Annual Report reported to Council on 23.9.2021 and approved.
- Covid-19 Governance Structure introduced by the Council, to include temporary delegated powers for the Council's Chief Executive and Leadership Group through use of Urgent Decisions for decisions relating to the Council's COVID-19 response), in accordance with Council's Constitution. The Urgent Decision of the Leader was reviewed regularly, and expired on 31.8.2021.
- Gold Command continues under operational procedures pursuant to Civil Contingencies Act 2004
- Gold Command Record of Decisions published on the Council's website). Due to the Covid-19 pandemic, decisions have needed to be made by Gold Command for emergency reasons (under the temporary executive function transfer of power in place until 31.8.2021 and for operational procedures under the Civil Contingencies Act 2004 following that date).
- Roadmap produced, which outlines the services the Council does and does not provide, and what the Council's plans are, which is reviewed regularly, for Ceredigion giving overview of services provided in light of Covid-19 Pandemic, current guidance and number of cases in Ceredigion.

- Effective 'Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)' updated and approved by Council 17.6.21 (minutes confirmed 23.9.21).
- Internal Audit Annual Report on Counter Fraud presented to Governance and Audit Committee at year-end.
- Members of Governance and Audit Committee updated on fraud including Internal Audit annual counter fraud report presented to Governance and Audit Committee at year-end.
- Politically Restricted Post Register for Officers maintained and Political Restrictions on Local Government Employees Policy available to employees on CeriNet.
- Whistleblowing Policy available to Employees and Contractors (updated 2018) on CeriNet and is updated as necessary.
- MO is the Corporate Lead Officer ('CLO'), and advises Whistle-blowers, as appropriate.
- A mandatory E-learning training module on Whistleblowing must be completed by all Staff. MO keeps a register of referrals and reports 6-monthly to the Overview and Scrutiny Co-ordinating Committee. Regarding the take up of the Mandatory e-learning Whistleblowing module, between April and November 2021, 237 Staff completed the Module, 42 through Welsh and 195 through English (*these figures include leavers).
- All complaints are dealt with in accordance with the corporate procedures which include informal and formal stages and these are communicated to Staff on a regular basis.
- The complaints system is monitored by the Corporate Complaints and Freedom of Information Manager. Corporate Complaints Policy has been reviewed, new Policy presented to Corporate Resources Overview & Scrutiny Committee 7.7.21 and to Council 23.9.2021, and Revised Concerns and Complaints Policy and Procedures 2021, its implementation and publication approved by Council.
- Improvements are implemented as a result of complaints /recommendations received.
- Council Complaints and Freedom of Information Privacy Notice.
- Annual Complaints Report, including Lessons Learned from complaints, considered by the Governance and Audit Committee and Cabinet prior to approval by Council, presented to Council and noted.
- Minutes for all committees published on the Council's Website. All Committee agendas/minutes contain disclosures of interests.
- Cabinet Decision Notices published on the Council's Website.
- Statutory powers and legal implications included in every decision making Cabinet report.
- Preparation for publication of delegated decisions register ongoing. Gold Command Decision Log (a decision register) published regularly, presented to Gold Command (and approved) and thereafter to Overview and Scrutiny Co-ordinating Committee (20.1.2021, 16.6.21 and 1.12.2021) and published on Council's Website. Regarding other delegated decisions, Development Control Committee delegated decisions published for each Development Control Committee.
- Register of Contracts published on Council Website.
- The Council is making preparations to comply with the 2021 Act regarding Governance and Audit Committee (Report on changes presented to

Governance and Audit Committee 24.2.2021 and 3.6.2021 (to include requirement of Mid Wales Corporate Joint Committee to have Governance and Audit Sub-Committee)), with changes regarding recruitment approved by Council 18.3.2021, as follows:

- a) the change of name of the Audit Committee to the Governance and Audit Committee, and additional performance and complaints-handling functions effective from 1 April 2021;
 - b) commencement of the recruitment process for independent lay members to the Governance and Audit Committee;
 - c) the proposals for the Shortlisting Selection Panel; and
 - d) the Role Description and Person Specification.
- Necessary changes to Constitution regarding Governance and Audit Committee per 2021 Act approved by Council 23.9.21. Changes made during 2021-2022 include preparations for:
 - terms of reference/remit/composition changes;
 - change of name to 'Governance and Audit Committee';
 - Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act) – recruitment completed, save for Council approval of successful candidates.
 - Committee duty to appoint own Chair and Deputy Chair;
 - Chair must be lay person.
 - Deputy Chair must not be member of Local Authority Executive; and
 - in absence of Chair & Deputy only non-executive Members can chair.
 - Report on the size of the Governance and Audit Committee presented to Democratic Services Committee 21.5.2021, which agreed to recommend to Council that the Committee should comprise 6 County Council Members and 3 lay members (9 total). Report on size of Committee presented to Council 17.6.2021 and Council agreed same member composition from 5.5.2022.
 - Officers such as Internal Auditors, sign an annual Code of Ethics affirmation.
 - Internal Audit Charter approved by Governance & Audit Committee 24 February 2021.
 - Training Needs Analysis Questionnaire has been circulated by Council newsletter to Staff requesting opinion on ethical culture of Council & training module planned in response to feedback.
 - Training on equality and diversity and recruitment and selection including equal opportunities is mandatory for all Ceredigion County Council Managers.
 - Procurement Strategy 2018-2022 approved by Council 19th June 2018 and procurement training also being rolled out to Staff.
 - Council Recruitment Policy and DBS Policy.
 - Standard Terms and Conditions for all Suppliers of Goods and services include conditions relating to Equality and Diversity and are available on the Council's website.
 - In-House software used to retrospectively check for suspected duplicate payments.
 - The Council has developed a Modern Slavery Policy (sent to contractors of the Council), Anti-Slavery Annual Statement 2019-2020 and Code of Practice Ethical Employment in Supply Chains.

- MO and Legal Services are available to advise as appropriate, including in advance and at meetings and the Internal Audit Service is available to advise as appropriate.
- MO attends Leadership Group/Cabinet/Council meetings and routinely attends many public meetings, as required, subject to availability. In the absence of the MO, the Deputy MO will attend Cabinet and Council meetings.
- The 2021 Act shall have an effect on corporate bodies, including the Council, and preparations for compliance are ongoing, including through the Cross-Party Constitution Working Group (Members of each political group in attendance), reports to the Governance and Audit Committee and Council, with a Council Action plan having been prepared and updated regularly, and meetings with relevant Officers and CLOs held, as appropriate.
- Job descriptions & person specifications clearly define the roles and responsibilities required of posts and Members' Role descriptions set out their respective responsibilities.
- Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, published 13 April 2016).
- Compliance with CIPFA's Statement on the Role of the Head of Internal Audit in Public Service Organisations (CIPFA, published 9 April 2019) & contribution published in CIPFA's accompanying Putting Principles into Practice document (2019)).
- Terms of reference are included in the Constitution and Governance and Audit Committee Terms of Reference updated according to 2021 Act.
- Reporting to Governance and Audit Committee.
- Financial Regulations and Financial Procedure Rules (Document F Constitution).
- Contract Procedure Rules (Document G in the Council's Constitution).
- Compliance with Specific Codes e.g. Internal Auditors' Public Sector Internal Audit Standards ('PSIAS', March 2017)
- Statutory Officers accountable to the Chief Executive ('CE') and the Council.
- Regular meetings between CE, S.151 Officer & MO, who has direct access to the CE and reports to Council generally and as part of statutory duty. The MO & S.151 Officer are key members of Leadership Group.
- Corporate Manager – Internal Audit ('CMIA') has free & unfettered access to Members and Officers at all levels, and right of access as per Council's Constitution and Internal Audit Charter.
- Effective External Audit, Internal investigations.
- Disciplinary Policy (Nov 2017).
- An Officer in the IA team is an accredited Counter Fraud Technician and Officer(s) of the IA team hold a CIPFA Certificate in Investigative Practices ('CCIP').
- Council complies with Audit Wales's annual National Fraud Initiative requirements, currently co-ordinated by Internal Audit.
- Monitoring and response to fraud alerts (NAFN, wider networks, peers, etc).
- Membership and active participation in professional networks and groups (Tisonline, KHub, etc).

- IA offer advice to services on implementation of new systems and processes to ensure effective internal controls maintained.
- Nominated Council Officers undertake various fraud training to maintain knowledge and expertise.
- Where appropriate, successful prosecutions publicised on Council website (and in local press).
- Covid-19 grant payments audited prior to payment (as easier to stop a payment than recover it).
- Key financial control audits added to audit plan, to check controls, governance & risks whilst staff working from home.
- IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council.

B. Ensuring openness and comprehensive stakeholder engagement:

- All statutory Annual reports are available on the Council's Website.
- Freedom of Information Act publication scheme, Freedom of Information Policy (March 2018) and Complaints and Freedom of Information Privacy Notice. Regular and timely responses to the press and other enquiries to Management and members as well as comprehensive FOI responses. Review of the FOI Publication scheme in progress.
- Corporate Complaints and Freedom of Information Manager in post.
- A host of service areas are available online including council tax self-service and information.
- The Council's goals and values are set out in the Corporate Strategy 2017-2022. The Well-being and Improvement Objectives are included in the Council's Corporate Strategy 2017-2022 and are reviewed each year. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website.
- Council and Cabinet meetings are broadcasted. All Council, Cabinet and Committee meetings open to the public and agendas and papers published on the Council website (with the exception of exempt reports).
- MO and Ethics & Standards generic email addresses created.
- Environmental Information Regulations Policy (March 2018).
- An Overview and Scrutiny Public Engagement Protocol (2018) (Document N Constitution) has been approved by Council and has been used on several occasions. Also, Public Engagement Tool Kit and Engagement with Service Users List.
- Protocol for speaking at the Development Control Committee (Part 4 Document I Constitution).
- In accordance with the requirements of the LGEW Act 2021, arrangements are being made to enable hybrid meetings to be held from May 2022. New equipment is currently being installed in the Chamber (completion mid-April 2022). The system will allow meetings to be recorded and made available online.
- A Protocol is in place for working relationships between Members and Officers e.g. Officer-Member Protocol) (Part 5 Constitution) and Protocol for access by Cabinet Members to Overview and Scrutiny Committee approved by Council (Part 5 Document M2 Constitution).

- The Protocol of Good Practice has been created in order to support Members of the Development Control Committee (to be renamed Development Management Committee) in ensuring that determination of applications will be based on sound material planning considerations, and not applicants' personal circumstances.
- Integrated Impact Assessment ('IIA') tool and guidance has been approved for implementation.
- IIA tool and guidance to inform effective decision making have been developed and are being implemented with IIA conclusions reported to Council, Cabinet and Overview and Scrutiny. 10 IIAs went to Cabinet over 2021-22 up to 1.12.2021. Committees, which includes consultation.
- Standard templates and guidance for reporting to Council, Cabinet and Overview and Scrutiny Committees are used and all include the IIA results.
- All IIAs for Cabinet are assessed by the Engagement and Equality Officer, including whether effective engagement, involvement and consultation has taken place and informed strategic decision making process.
- Organisational Awareness training available as an optional module of the Corporate Manager Programme, which includes information relating to the decision making process, Wellbeing of Future Generations Act, Equalities, Welsh Language and the use of the IIAs.
- Processes have been introduced to monitor feedback e.g. any consultation/engagement reports are presented to Scrutiny and Cabinet to inform their decision-making.
- Feedback from engagement and how people's views have been taken into account is recorded in the IIAs.
- Council/Cabinet report template updated to include reference to legal implications, staffing implications, property/asset implications and risks.
- Where appropriate, items reported for decisions through Cabinet, Council and Committees are subject to legal and financial advice which will be referenced within each report.
- A calendar of dates of meetings including forward work programmes of the Council, Cabinet and Committees are published on the Council's website.
- Annual reports, Statements of accounts, Improvement progress reports are all published within timescales and are available on the Council's website.
- The Engagement and Consultation Checklist assists with decision making around whether or not to undertake a consultation regarding a proposed change and guidance on dissemination of consultation results is available to Officers.
- A Community Engagement, Consultations and Partnerships Page has been created on CeriNet, which includes links to Community Engagement Policy (11 January 2013), Engagement and Consultation Checklist, Engagement with Service Users and Consultation Decision Making Tool.
- Work is underway to prepare a Community Engagement Policy that will meet the requirements of the 2021 Act, which will also include how the Council will encourage participation in decision-making, although final guidance is awaited from Welsh Government regarding this part of the legislation.
- Participation Standards have been adopted by Council.

- Engagement with Service Users List including stakeholders with whom the authority should engage is in place.
- Summary reports on consultation and engagement activities are reported back to Members and service users.
- Minutes of structured engagement meetings, events and engagement groups with people with protected characteristics.
- A new Draft Engagement Policy has been prepared to take into account the latest engagement methodology, including digital engagement. This will be consulted upon and agreed following the Local Government Elections in 2022.
- A draft new Engagement Strategy for Ceredigion County Council, 'Talking, Listening and Working Together,' has been prepared. This will be consulted upon and agreed following the Local Government Elections in 2022.
- The Council, in collaboration with partners, has carried out significant engagement to produce the Public Service Board's ('PSB') Well-being Assessment and Local Well-being Plan.
- Work has commenced on preparing the next assessment of Local Well-Being that will be published in March 2022.
- Consultations 2020-21.
- Consultations are promoted through Social Media.
- Dissemination of consultation results and reports on completed consultations and engagement exercises are posted on the Council's public consultations webpage in order to provide feedback to the public.
- PSB Terms of Reference available on the Council Website, PSB Project Groups Terms of Reference available and Scrutiny arrangements for the PSB have been put in place.
- A Well-being assessment (PSB) has been carried out that has informed the development of the PSB's Local Well-being Plan, which was published in March 2018.
- Corporate Complaints Policy has been reviewed, new Policy presented to Corporate Resources Overview & Scrutiny Committee 7.7.21 and to Council 23.9.2021, and Revised Concerns and Complaints Policy and Procedures 2021, its implementation and publication approved by Council.
- Social Services Complaints Policy and Procedure has been reviewed.
- Consultation Decision making tool (Consultation Tree and flowchart) for Staff and Members have been developed and includes the use of feedback.
- Further consultation includes:
 - A new Engagement and Equalities post has been created through the restructure of the Policy and Performance service; and
 - All current consultations are available on the Council website.
- Social Media Policy (revised Aug 2018).
- Social media is being used to seek the public's views on matters being considered by Overview and Scrutiny Committees.
- Due to Covid-19, Council has consulted remotely via video conferences and electronic surveys.
- Guidance has been issued on the Ceredigion Council intranet to all Staff to follow with regards to the dissemination of feedback to decision makers. Recent indications are that significant progress is being made in this area by Officers.

- Joint engagement and consultation exercises are held.
- Collaborative projects are running with institutional stakeholders with clear governance arrangements in place.
- Collaboration Standards for New Strategic Projects Guidance and Templates are available.
- Partnerships Include:
 - PSB;
 - West Wales Regional Partnership Board;
 - Community Safety Partnership (reviewed 2019 and subject to Scrutiny);
 - Mid and West Wales Safeguarding Board; and
 - Growing Mid Wales.
- The formal review of partnerships that sit under the PSB has been completed. The new partnership structure has been operational since June 2018 and the partnerships will be reviewed on a periodic basis.
- Regular reporting of partnership meetings and activity to Leadership Group and Cabinet.
- Partnerships such as Growing Mid Wales have been established with governance arrangements. Growing Mid Wales Joint Overview and Scrutiny Committee has been established
- Partnership metrics are subject to internal review, where appropriate.
- A monitoring partnership framework that reports on all key decisions made by existing partnerships is reported to Leadership Group.
- Advice provided to Members and Officers serving on outside bodies.
- Legal Team is actively involved in drafting and reviewing Terms of Reference for Inter Authority Agreements ('IAAs') and formal committees.
- A suite of documents have been developed that relate to strategic collaboration projects that the Authority is considering entering into. The documents include guidance, standards and numerous templates for varying stages of collaboration projects.
- Executive Group Self-assessment carried out.
- All school reorganisation proposals are required to have formally consulted with stakeholders through adhering to the Welsh Government's School Organisation Code.
- Guidelines on Corporate Branding (May 2019).
- Corporate Communications Strategy (2019-2022).
- Effective Community involvement carried out with the well-being assessment work and service users from different backgrounds to inform the new Strategic Equality Plan.
- We have worked in partnership with Local Authorities and Public Services across Mid and West Wales on the review of our Strategic Equality Plans. A joint question set and engagement and consultation framework was produced and as a result, feedback was obtained from people with protected characteristics.
- An annual report on progress made against the Council's Well-being objectives and Corporate priorities in published on the Council Website.
- UNCRC – United Nations Convention on the Rights of the Child have been adopted by the Council.

C. Defining outcomes in terms of sustainable, economic, social and environmental benefits:

- Corporate Strategy 2017-2022
- The Council's Well-being and Improvement Objectives are included in the Council's Corporate Strategy 2017-2022 and are reviewed each year and reported in the Well-being and Improvement objectives annual report published on the Ceredigion County Council website. Council considered the draft Well-being and Improvement Objectives Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21, which are published on the Council's website.
- Performance information is outlined in the Council's Well-being and Improvement Objectives Annual report.
- The purpose and the vision of the Council have been determined by Council and is contained in the Corporate Strategy 2017-22. This strategy illustrates how the authority will support and promote the well-being of the citizens of Ceredigion.
- PSB Local Well-being Plan was published in May 2018.
- The Authority has undertaken the following steps towards the implementation of the Well-being of Future Generations (Wales) Act 2015:
 - o Prepared well-being objectives and statement;
 - o Embedded the Well-being Goals and Sustainable; development principal into the business planning process
 - o Developed a new IIA tool and guidance (training has been rolled out for Officers and Members);
 - o Established a Well-being of Future Generations Act group and action plan;
 - o The Constitution is continually monitored and reviewed;
 - o PSB assessment of Local Well-being published in March 2017;
 - o Scrutiny arrangements agreed for PSB;
 - o Cabinet Reports, to include the Social/economic/ environmental impact assessment;
 - o A mandatory e-learning module on the Act has been developed and promoted to all Council Staff;
 - o an Equality, community and Welsh language Impact Assessment must be undertaken on all school restructuring proposals as required under the Welsh Government School Organisation Code; and
 - o Members have contributed to The Future Generations Officer Scrutiny Framework in relation to the WFGA
- All Planning arrangements reflect the Golden Thread and make the links to Corporate plans including;
 - o Strategic Plan;
 - o Corporate Performance Management Reporting; and
 - o Well-being Improvement Objectives
- Community and Engagement Policy (11 Jan 2013) is available.
- A Public Engagement Toolkit 2014 has been developed in order to provide a user-friendly resource for Officers when developing and undertaking effective public engagement with their communities, in accordance with the National Principles of Public Engagement.
- Updates on the budget savings and the work of the Development Group are reported to the Cross Party Transformation and Efficiency Consultative Group.

- Budget setting subject to detailed scrutiny by the five Overview and Scrutiny Committees.
- Business planning process includes resource allocation and Business Plans are prepared on an annual basis and are monitored quarterly by a Performance Board, which includes Cabinet members and the Chairs and Vice Chairs of the Overview and Scrutiny Committees and Chair of the Governance and Audit Committee.
- Quarterly performance arrangements provide a challenge protocol to ensure outcomes are delivered.
- Corporate performance management arrangements include quarterly assessment of risks to the achievement of outcomes or service delivery.
- Risk management includes risk logs for;
 - o Business Plans (Level 1); and
 - o Service Plans (Level 2).
- Local performance measures are included in Business and service delivery plans.
- Capital Plans include;
 - o Rights of Way;
 - o Highways;
 - o Annual Budget Plan; and
 - o Transformation.
- The Risk Management Policy and Strategy and the Risk Management Framework was approved by Cabinet on 24 September 2019.
- Risk Management training to be rolled out to Members and Senior Managers.
- Risk management e-learning package has been developed for all other Staff and training took place in 2019, with workshop with insurers arranged for senior Managers.
- Publication of service performance, including costs and value for money data is routinely considered within service reports.
- The appointed Auditor considers the Council's arrangements to secure economy, efficiency and effectiveness. In his letter he has stated that the Council has complied with its responsibilities to the use of its resources.
- The most recent Audit of the Council's Improvement Plan (2020-2021) was issued in November 2020. The report concluded positively that the Council discharged its duties and has acted in accordance with Welsh Government guidance sufficiently to discharge its duties.
- A capital appraisal form is completed for new capital projects, which covers the requirement for the project, and is used to assess value for money and the revenue implications of major projects.
- Medium Term Financial Strategy, which also contains Capital Investment Strategy.
- Wales procurement policy statement is aligned to the Council's Procurement Strategy 2018-2022.
- I/A tool and guidance is available and used to support decision-making.
- All reports and minutes are published in a timely manner and are open for inspection. All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act.
- Pre-decision Scrutiny encouraged where possible.
- The Transformation Programme.
- Engagement and Consultation Checklists are available on CeriNet.
- The Council wide WFGA Group Action Plan.

- Strategic Equality Plan 2020-2024, and Annual Strategic Equality Plan monitoring report 2020-2021 being submitted for approval, and once approved will be published on Council website.
- Welsh Language Standards and Annual Welsh Language Standards monitoring report.
- A mandatory E-learning training module on Welsh Language Awareness must be completed by all Staff.
- Annual Complaints and Compliments Report 2020/21 presented to Corporate Resources Scrutiny Committee 27.10.21 and approved by Council 9/12/21.

D. Determining the interventions necessary to optimise the achievement of the intended outcomes:

- The IIA tool and guidance is available and training has been rolled out for Officers and Members.
- Standard reporting templates are used in decision making process.
- Organisational Awareness training available as an optional module of the Corporate Manager Programme, which includes information relating to the decision making process, Wellbeing of Future Generations, Equalities, Welsh Language and the use of the IIAs, Head of Democratic Services and MO (CLO-Legal & Governance) advise as necessary.
- Risk Management Policy, Strategy and Framework (approved by Cabinet 24.9.10) with training programme for Members, Senior Management and Managers, published on CeriNet and available to all Members of Staff.
- Documents amended to reflect additional risks and background information to make informed decisions. Corporate Risk Register reported regularly to Governance and Audit Committee (9.9.2021, 3.6.2021).
- Medium Term Financial Strategy has been regularly updated the current version dated 2021/22 Onwards approved by Council 5.3.2021.
- Consultation decision tree tool includes a guidance section on dissemination of consultation results.
- Finance challenge regarding savings on Council Website.
- Corporate Performance Management arrangements include quarterly:
 - o Corporate Lead Officer Service Report;
 - o Performance Board; and
 - o Executive Panel meetings.
- The Business Planning process for 2021-22 is being implemented with Level 1 Business Plans shared with the Performance and Research Team.
- Performance measures have been identified within each Level 1 Business Plan that have in turn translate into the reporting Dashboard for each service. These measures have been closely scrutinised and have received final sign-off from senior leadership. Services report against these measures as part of the performance management process for the year.
- Business Plans include budget and finance information and form part of the quarterly Corporate Performance Management arrangements.
- A calendar is used to report deadlines and Board/Executive Panel dates are published with reports.
- Corporate Communications Strategy 2019-2022

- The Ceredigion PSB has a Local Well-being Plan that has been developed and delivered jointly with external stakeholders and partners.
- An Assessment of Local Well-being has been undertaken by the PSB that has fed the Local Well-being Plan and the Council Well-being Objectives for future years.
- All major collaboration projects have established governance and management arrangements including risk management.
- All projects considered by Corporate Project Management Panel, which is also attended by IA and is an effective forum for advice/challenge and highlighting risks as Service areas develop projects, including collaboration projects.
- The Corporate Project Management Panel helps ensure projects give early consideration to: the Well Being and Future Generations Act; to other guidance; to finance, procurement, governance and legal arrangements; to HR implications; Health & Safety; and Audit. Improve project arrangements prior to reporting to the Development Group and other authorisation processes.
- Account will be taken of legislative changes e.g. work is ongoing in relation to implementing legislative changes such as LGEW 2021 Act changes and considering/monitoring risks facing each partner when working collaboratively, including shared risks. Meetings are being held and preparation being carried out, for example, regarding the 2021 Act's requirement for Corporate Joint Committees, including potential and shared risks (a CJC group has been established, with the first meeting held on 19th April 2021, to consider the requirement to establish the Mid Wales CJC in accordance with the 2021 Act).
- Corporate Project Management Group has been established to formalise project development and management.
- Ensuring Staff with project management skills are available.
- This helps ensure projects give early consideration to: the Well Being and Future Generations Act; to other guidance; to finance, procurement, governance and legal arrangements; to HR implications; Health & Safety; and Audit. Improve project arrangements prior to reporting to the Development Group and other authorisation processes.
- Helps identify capital requirements for inclusion in future capital programmes.
- Local performance indicators have been established and approved for each service element and included in the service plan and are reported upon regularly.
- Budget Framework.
- Service Accountancy – Budget monitoring.
- Financial Regulations and Financial Procedure Rules (Document F Constitution) along with Budgetary Control Guidance are all up to date. Chief Officer Assurance Statements.
- The internal controls in place are subject to regular review by Internal Audit, in accordance with the annual risk-based audit plan.
- Corporate Strategy 2017-2022.
- Internal Audit Strategy & Plan 2021/2021 approved by Governance & Audit Committee 24 February 2021.
- The corporate savings plan has been through a robust governance process to ensure that all savings link to the desired service outcomes.
- Community Benefits is embedded in our Processes and Policies and has been regularly applied, monitored and reported upon.

- Well-being of Future Generations (Wales) Act is integrated into our processes.

E. Developing the entity's capacity, including the capability of its leadership and the individuals within it:

- Corporate and line management induction is now in place. Corporate induction and Corporate Manager Development plans were introduced in April 2018. Corporate induction sessions are part of these requirements, all new Staff must attend an induction session. Senior Managers present within these face-to-face sessions.
- Induction programme is provided for new Members. Ongoing training is provided for Members and arranged for specific issues e.g. Treasury management, also ongoing review of opportunities for skills and refresher training, including Personal Development Review Scheme (information to be used to develop a Members' Training Plan) and new comprehensive induction programme shall be provided post-election (from May 2022) with additional e-learning modules.
- Member development scheme.
- Preparations are being undertaken for (as part of induction programme for Members (from May 2022)) Cabinet Member training, Ethics and Standards Committee (role) training, Political Group Leader Duties training and Governance and Audit Committee (role) training.
- Development/training done as part of person specifications for key finance and legal posts (mandatory qualification, job requirements).
- Personal reviews for Officers and provision of opportunities for ongoing skills and refresher training for Officers.
- CeriNet (the HR intranet and resource to Staff and management) is continually reviewed and improved for effectiveness. Its introduction has improved effectiveness. Induction information is available along with the Staff handbook and Managers Toolkit.
- Learning & Development is now managed via the Ceri system offering opportunities to all Staff, with opportunities also offered to those within a Leadership Role or who are aspiring leaders. E-learning modules are being introduced to ensure training and development is cost effective wherever possible.
- E-learning packages are regularly being developed and rolled out for mandatory and non-mandatory training.
- Strategic Workforce planning toolkit includes the identification of training and learning needs for all service areas.
- Performance Appraisals record training and development needs via the Ceri system.
- Ongoing annual Personal Performance and Development scheme – Performance Reviews link to Corporate and strategic objectives.
- Personal Development Review process in place for Members.
- The Council aims to achieve the standard level for the Wales Charter for Member Support and Development.
- The Corporate Performance Management arrangements provide the forum for performance management's needs and thereafter preparing action plans for

delivery of corporate improvements in performance review of Staff. These have been further strengthened with the introduction of annual appraisals for all Staff via the Ceri HR system.

- All Staff can access learning and development events via Ceri self-service. Managers can also book Staff onto relevant events via Managers Self-service.
- Staff development plans linked to appraisals have been strengthened with the introduction of the Performance Management module in Ceri.
- Ceredigion Manager Programme offers personal development including governance arrangements and organisational knowledge.
- Workforce Plan 2017-2022 includes actions for Staff development in key themes.
- Members attend various events, seminars and conferences (see above).
- Utilisation of research and benchmarking exercises.
- The Ceri HR payroll system has ensured that meaningful data on Staff is now available to Managers on a monthly basis in order to monitor costs turnover and absence.
- Effective operation of partnerships which deliver agreed outcomes. Effective Partnerships have been developed in a number of areas and services including:
 - School Improvement;
 - Health & Social care; and
 - Waste.
- Additional partnerships are included in the strategic Collaboration Projects List.
- A Human Resources Strategy is available on the Intranet.
- Strategic workforce planning is undertaken utilising the Strategic workforce planning tool kit and is completed by all service areas. The outcomes of this tool kit informed the workforce plan for 2017-2022. The Workforce Plan 2017-2022 focuses on 4 key themes:
 1. Engagement & Opportunity;
 2. Flexible & Agile Workforce;
 3. Promote a bilingual workforce; and
 4. Leadership & Management Development.
- Updates on progress of the workforce plan are reported to scrutiny.
- The Leadership and Senior Officer structure has defined these roles, including how they integrate with each other.
- Succession planning is undertaken through discussions and actions within service areas and with partners this cannot always be evidenced. This will be further developed through the Strategic workforce planning toolkit.
- Joint meeting of senior Managers ensures that roles, responsibilities and accountabilities are clear.
- Job descriptions clearly define the roles and responsibilities required of posts.
- The Constitution sets out the roles and responsibilities of Members (Part 3.4 Table 4) and senior Officers (part 2 Article 2) and a Scheme of Delegation (The Constitution Part 3.5) exists and clearly sets out responsibilities for Members and Officers.
- The Strategic Planning Toolkit includes an element of succession planning and talent management.
- Protocols are in place for working relationships between Members and Officers (e.g. Officer-Member Protocol).
- Codes of Conduct for Officers and Members are in place.

- Member Officer working groups in place and working effectively.
- Contract Procedure Rules ('CPR') (Part 4 Document G Constitution) and Financial Regulations and accompanying financial procedures (Part 4 Document F Constitution) are reviewed on a regular basis e.g. CPR updated March 2019.
- The Corporate structure of the Council has been established to ensure that the Statutory Officers are able to perform their roles effectively.
- The CE is responsible for reviewing this structure, as necessary.
- Democratic Services Committee resolved on 15.10.21 to agree the revised set of Member Role Descriptions, designed to be used alongside Welsh member Development (Competency) Framework, of Welsh Local Government Association ('WLGA') Framework Member Role Descriptions and Person Specifications, which includes role description of the Leader (Report for information also been prepared for presenting to Governance and Audit Committee 19.1.21).
- Access to courses/information briefings on new legislation.
- Members Workshops arranged, as necessary.
- Engagement with Service Users list and Service User focus groups.
- Community Engagement Policy.
- Scrutiny Public Engagement Protocol (2016) (Document N Constitution) Council continually consults and engages with local residents, customers and other stakeholders within the county to understand their opinions and views when developing new plans and/or strategies. Feedback is always given due consideration before final versions are agreed.
- Scrutiny self-assessment undertaken annually including survey.
- Attendance records published annually.
- Members are encouraged and supported to complete Annual Reports, which are published on the Council's website.
- Chair of Governance and Audit Committee attends All Wales Governance and Audit Committee Chair's Networking Meetings to develop and compare role within Local Authorities.
- Implementing appropriate Human Resource policies and ensuring that they are working effectively.
- Smoke-Free Workplace Policy and Alcohol and Drug Misuse Policy.
- The Council has introduced a range of resources and options to enhance the health and well-being of Staff e.g. Health and Well-being Strategy 2021-2026 has been introduced to support the improvement in the workforce health and well-being.
- The Council has appointed an Employee Health & Wellbeing Officer to coordinate and promote health and wellbeing within the workforce.
- A Care First employee assistance package has been introduced that offers:
 - Counselling service; and
 - Advice on financial, legal, consumer, eldercare, childcare and employment issues.
- Other support available for Staff includes:
 - Cognitive Behaviour Therapy Interactive health and wellbeing programme;
 - Eyecare scheme;
 - Childcare voucher scheme;
 - Iechyd Da; and
 - Mindfulness training for Staff and Managers.

F. Managing risks and performance through robust internal control and strong financial management:

- Risk Management Policy and Strategy and the Risk Management Framework were approved by Cabinet on 24 September 2019 and Framework continues to be updated. The Council continues to form strategies and plans taking into account the risks caused by the Covid-19 pandemic
- The Corporate Risk Register is considered at all Leadership Group, Corporate Lead Officers, Corporate Performance Management meetings and by the Governance and Audit Committee as a standing item to the Governance and Audit Committee. Updates are reported at each Governance and Audit Committee Meeting to provide ongoing information and assurance that risks continue to be managed. The Committee refers matters to Scrutiny Committees, where appropriate.
- Risk Management is integral to operational business planning Policy and Strategy setting.
- Project and transformation Risks are all logged. The Cross party Transformation and Efficiency Group regularly monitors Transformation Risks and Transformation and Risks are all referred to joint Local Government meetings and Panels.
- All Plans included Risk logs including:
 - The Medium term Financial Plan;
 - Business Plans (level 1); and
 - Service Plans (level 2).
- Business/Service plans are monitored to ensure delivery outcomes are achieved.
- Corporate Risk Management arrangements are audited regularly and the management of risks is included in individual Services service/establishment audit programmes.
- 'Risks' form the basis of Internal Audit's audit programmes of work, as required by the MKI/Pentana audit management software system. Council / Cabinet report template updated to include reference to legal implications, staffing implications, property/asset implications and risks.
- Corporate Performance requires regular updates for Risk.
- The Council revised its Corporate Performance Management arrangements in 2017 to improve monitoring of its business plans and performance indicators, including National Strategic Indicators ('NSI'), PAM and Local Indicators. These are also linked to the Well-being and Improvement Objectives and the Corporate Strategy 2017-2022.
- A Corporate Performance Management Panel meets quarterly. All Corporate Lead Officers report to this Panel and the Dates for reporting are published in the report. The Chairs and Vice Chairs of the Overview and Scrutiny Committees attend with the principle that they can identify areas that require inclusion on their respective Forward Work Programmes.
- Specific Project Risk Monitoring is undertaken and all Risks are allocated to a Corporate Lead Officer (Risk Owner).
- Council considered the draft Well-being and Improvement Objective Annual Report 2020-21 and approved the Well-being Objectives for 2022-23 on 21.10.21 in October 2020 (The Well-Being & Improvement Objectives Annual

Report 2020-2021 was also approved by the Council's Overview and Scrutiny Co-ordinating Committee on the 15.9.21, and Cabinet 5.10.21).

- Benchmarking information carried out as part of service re-modelling.
- External & internal assessments by:
 - Audit Wales;
 - Estyn;
 - Care Inspectorate Wales ('CSIW'); Investigatory Powers' Commissioner's Office ('IPCO'); and
 - Information Commissioner's Office ('ICO').
- External assessments, to include Code of Conduct.
- Self-assessment (Governance and Audit Committee) - self-assessment exercise underway for presenting at 10.3.2022 Governance and Audit Committee Meeting.
- Individual Services carry out self-assessment through a performance matrix.
- IA undertake an annual self-assessment and have a 5-yearly independent external assessment / peer review as required by the PSIAS.
- Cost performance (using inputs and outputs).
- Chief Officers provide support and advice to Members. Advice also provided by Chief Financial Officer.
- Reporting requires financial and legal advice/implications to be included in reports/decisions, which are published as appropriate.
- All reports and minutes are published in a timely manner and are open for inspection including.
- Options for recommendations.
- Scrutiny Committees may request reports at any time and Scrutiny Chairs are invited to take issues back to Cabinet
- Governance and Audit Committee refer matters to Scrutiny and receive reports back.
- All meetings are held in public, subject to the consideration of exempt information as defined by the 1972 Local Government Act.
- Agreement on the information that will be needed and timescales
- Scrutiny arrangements are in place that is supported and which provide opportunities to challenge decision making and review the provision of services. The scrutiny function aim is to provide added value to the continuous improvement agenda in their role as "critical friend". In addition, Overview and Scrutiny Committees also provide opportunities to undertake pre-decision and policy development work, which is a function of scrutiny, which has developed over recent years. The Council's aim is to scrutinise, where possible, before decisions are made.
- An Overview and Scrutiny Public Engagement Protocol (2016) (Document N Constitution) has been approved by Council and has been used on several occasions.
- Arrangements in place to seek the views of the public which is gathered via social media and shared with Overview and Scrutiny Committees for consideration.
- The Council's Overview and Scrutiny Co-ordinating Committee will be responsible for taking an overview of the overall effectiveness of the PSB.
- Work undertaken with the Future Generations Office to develop a Scrutiny Framework in relation to the WFGA.
- Reports and also all agendas, minutes, Forward Work programme and Terms of Reference are published on the Council's website.

- A Corporate Performance Management Board meets each quarter, with Chairs of Scrutiny Committees invited to attend.
- Reporting dates are set at beginning of each year.
- Budget monitoring is regular throughout the year, within services, to Cabinet and to Member Officer working groups e.g. Development Group and CMG and transformation programme savings to the Cross Party Transformation and Efficiency Consultative Group, which Chairs of Overview and Scrutiny Committees are invited to observe alongside Performance Board meetings.
- Financial monitoring is regularly undertaken throughout the Council under a devolved accountancy arrangement and formal reporting is made to Cabinet. Monitoring is also incorporated in to the quarterly performance management reports.
- Financial implications are a requirement for inclusion in all Cabinet Meeting reports.
- Financial Regulations and Financial Procedure Rules (Document F Constitution) and the Contract Procedure Rules (Document G Constitution) are all up to date. The current Procurement Strategy 2018-2022 was approved in 2018.
- Accounting practices - Codes of Practice are complied with. Prudential Indicators are prepared and reported to Council and monitored throughout the year. Regular budget monitoring takes place throughout the year. IA also reviews controls over income collection and monitoring.
- Updates in relation to Business Continuity and Civil Contingencies arrangements submitted on a regular basis in line with the Corporate Risk Register, Risk CORP04 and Business Continuity and Civil Contingencies Group meet monthly.
- The annual Internal Audit Plan is risk-assessed and takes account of Council aims and objectives, and corporate policies and procedures; to include a review of the Risk Management corporate arrangements, and testing the mitigating controls in place for a sample of risks noted in the Corporate Risk Register.
- Internal Audit Strategy & Annual Plan 2021-2022 approved by Governance and Audit Committee 24 February 2021, & continues to take account of additional risks presented by the pandemic.
- IA's annual audit plan can address any necessary re-prioritisation of work, allowing IA to be reactive to any changes in risk within the Council.
- Internal audit reports issued to Managers highlight the risks of not implementing any IA recommended actions. A follow-up audit is conducted of action plans issued. If CMIA considers that any fundamental risks have not been addressed by a Manager this is reported to Governance and Audit Committee who has the discretion of requesting that Manager to attend & explain reasoning for non-compliance.
- The appointed Auditor considers the Council's arrangements to secure economy, efficiency and effectiveness in his letter he has stated that the Council has complied with its responsibilities to the use of its resources.
- The Council Objectives are aligned to Strategies.
- Regular meetings of the Emergency and Business Continuity Management Group take place to review Corporate and Service Area Emergency and Business Continuity Arrangements and Plans as well as recommendations arising from past incidents and exercises to evidence risk, identify emerging trends, and document any lessons learnt for follow up.

- Risk evaluation always appears on agendas.
- Regular Quarterly Internal Audit Progress Reports to Governance and Audit Committee for monitoring (e.g. Internal Audit Progress Report for period 1 April 2021 to 30 June 2021 presented to Governance & Audit Committee on 9 September 2021).
- Summary of work and audit opinion on assurance provided annually in Internal Audit Annual Report at year-end. IA Annual Report for 2020/21 approved by Governance & Audit Committee 3 June 2021.
- Follow-up IA reviews to monitor implementation of required actions.
- Internal controls, risk & governance processes are monitored according to the Internal Audit Charter (last version approved by Governance & Audit Committee 24/2/21) & the Annual Internal Audit Strategy and Plan.
- Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption ('CIPFA', 2014).
- Internal Auditors have procedures in place if fraud discovered.
- An Officer in the IA team is an accredited Counter Fraud Technician.
- Officer(s) of the IA team hold a CIPFA Certificate in Investigative Practices ('CCIP').
- 'Strategy to Counter Fraud, Corruption and Bribery (to include Anti-Money Laundering)' updated and approved by Council 17 June 2021 (minutes confirmed 23 September 2021) has been written with regard to the Code of Practice & updated to ensure all requirements are included.
- IA undertakes counter fraud work where required (as well as dealing with the discovery of fraud as considered earlier) and presents Counter-Fraud Report to Governance and Audit Committee annually (2020/21 Counter-Fraud Report presented to Governance & Audit Committee on 3 June 2021).
- Council complies with Audit Wales's annual National Fraud Initiative requirements, currently co-ordinated by IA.
- Monitoring and response to fraud alerts (NAFN, wider networks, peers, etc);
- Membership and active participation in professional networks and groups (Tisonline, KHub, etc);
- IA offer advice to services on implementation of new systems and processes to ensure effective internal controls maintained;
- Nominated Council Officers undertake various fraud training to maintain knowledge and expertise;
- Where appropriate, successful prosecutions publicised on Council website (and in local press).
- Covid-19 grant payments audited prior to payment (as easier to stop a payment than recover it);
- Key financial control audits added to audit plan, to check controls, governance & risks whilst staff working from home
- AGS 2020/21 approved by Council on 25 November 2021 with the Statement of Accounts. The AGS contains the CMIA's annual opinion on assurance.
- Up to 31/12/21 the IA function is headed by a CIPFA qualified CMIA, and the CMIA from 1/1/22 onwards is studying to gain an IIA qualification, Both CMIA's have considerable local government experience, and are supported by a team with appropriate knowledge and skills. Regular reporting to Governance and Audit Committee on the activity of IA is undertaken. Robust risk-based forward work programme and business planning is in place.
- IA evaluates and improves the effectiveness of risk management, control & governance processes in accordance with PSIAS, which is self-assessed and

reported to Governance and Audit Committee annually along with any improvements required. A peer review is undertaken every 5 years (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group – see below).

- IA provides an individual assurance to Managers after each audit review – these are then used to provide an overall corporate level of assurance annually, which feeds in to the AGS.
- A re-structure of IA was implemented in May 2019, and another in November 2020. The service has been fully resources since 1 December 2020.
- A new CMIA will be in place from 1 January 2022, who has considerable experience in IA, has a 6-week window to ‘shadow’ the existing CMIA, and is supported by a knowledgeable & skilled Audit Manager (see point G3.2 below).
- Two members of the team are currently pursuing the Institute of Internal Auditors’ professional training qualification.
- Governance and Audit Committee established that sets its own work plan. Committee is chaired by a Member of the opposition group (until May 2022 when Lay Person shall be Chair, per 2021 Act provisions).
- Ongoing preparation and implementation of changes affecting the Governance and Audit Committee in light of the 2021 Act. The Governance and Audit Committee was informed, in a report on 24.2.2021 Meeting, of the changes to their role regarding self-assessment reports of the Council, and regarding panel performance assessments, as well as the change of name, and changes to the Chair/Vice Chair and composition.
- The Governance and Audit Committee’s Terms of Reference were updated on 6 December 2018.
- Update report on 2021 Act presented to Governance and Audit Committee 3.6.2021, to include updating Governance and Audit Committee regarding changes to Constitution affecting Committee including:
 - Recruitment of lay members and the Mid Wales CJC Governance and Audit Sub-Committee; and
 - Regarding the Committee’s functions relating to:
 - reviewing and assessing the performance assessment of the Council;
 - considering the Council’s draft annual Self-Assessment report;
 - considering any report from the Auditor General and Council’s draft response;
 - review of the Council’s complaints handling function; and
 - role regarding Panel Performance Assessments (from May 2022).
- Changes made during 2021-2022 include preparations for:
 - terms of reference/remit/composition changes (including recommendations to Council from Cross-Party Constitution Working Group and changes to Constitution approved by Council at its 23.9.2021 Meeting);
 - change of name to ‘Governance and Audit Committee’;
 - Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act) – –recruitment completed (Council approved appointments 9.12.21);
 - Committee duty to appoint own Chair and Deputy Chair;
 - Chair must be lay person –recruitment completed (Council approved appointments 9.12.21) and Chair/Deputy Chair shall be appointed from Lay Members;

- Deputy Chair must not be member of Local Authority Executive; and
 - In absence of Chair & Deputy only non-executive Members can chair.
 - Size of Governance and Audit Committee review completed and change of size from May 2022 approved (9).
 - The Governance and Audit Committee has an effective Lay Member and Membership of Governance and Audit Committee considered in line with 2021 Act: Lay member recruitment completed, taking into account 2021 Act requirements and termination of term of office of current lay member. Job Direction, Personal specification, and criteria approved by Council 10/12/20.
 - Membership details for Governance and Audit Committee and all Scrutiny Committees is available on the Council's website.
 - Regular meetings between CMIA and Chair of Governance and Audit Committee, advice given by MO and also regular meetings, as necessary between MO and Chair, and MO, CMIA & Audit Wales.
 - Regular Meetings between Governance and Audit Committee Members and external regulator Audit Wales (with and without Officers)
 - Training for Members and regular training/updates provided to Governance and Audit Committee.
 - Chair of Governance and Audit Committee attends Welsh Governance and Audit Committee Chair network group to develop and compare role within Local Authorities.
 - A New ICT and Digital Strategy for 2018-2022 has been approved and all policies are up to date including (all approved in February 2019):
 - Data Protection & GDPR Policy;
 - Information Security Policy; and
 - Records Management Policy.
 - Officers are considering the introduction of privacy notices in relation to applications to the Development Control Committee/Development Management Committee.
 - Training has been scheduled for Members on their obligations under the GDPR as part of the new Member training and a section on said legislation is now included in the protocol for Members in planning.
 - Mandatory E-learning training modules on Data Protection and Information Security must be completed by all Staff.
 - Designated Data Protection Officer.
 - Corporate Lead Officer Customer Contact is the Senior Information Risk Owner ('SIRO') and has attended appropriate training for that role.
 - The following responsible Officers are identified:
 - IT Security Officer ('ITSO'); and
 - Information and Records Management Officer ('IRMO')
 - In addition, Corporate Data Protection Group and Emergency & Business Continuity Meeting consider Information security.
 - Regular Internal Audit of data protection Registration requirements and procedures following Audit Wales audit have been implemented.
 - Ceredigion County Council signed Wales Accord on the Sharing of Personal Information ('WASPI') and therefore uses WASPI framework for Information Sharing Agreements.
- ***The Accord is a common set of principles and standards under which partner organisations will share personal information. Organisations who adopt the Accord will show their commitment in meeting the agreed conditions, obligations and requirements within the framework.

- In most cases agreements are forwarded to the Data Protection Officer.
- There is also a public register on WASPI Website.
- Regular external Assessments e.g. Compliance with Code of Conduct.
- Internal performance monitoring and evidence.
- Cross matching data happens across the different services.
- Performance Indicator values are validated with evidence.
- Retention Schedule –now published on intranet.
- The current Medium Term Financial Strategy ('MTFS') was established during the 2013-14 year and fundamentally updated and approved by Council on the 24th February 2016. The Current MTFS is that of 2018/2019 Onwards, but has now been amended to reflect the 2021/2022 provisional revenue settlement and updated to:
 - Reflect the impact of Covid 19
 - Reflect 'Boosting Ceredigion's Economy – A Strategy for Action 2020-35'
 - Amend the transformation savings plan
 - Project forward cost pressures
 - Reflect data changes, regulations, plans, policies and strategies
 and is being presented to Cabinet for approval 23,2,2021 for approval to then be presented to Council on 5.2.2021.
- This now includes a policy framework for setting the budgets annually as well as a three-year plan. The MTFS features as a corporate risk that is updated at least three times a year. The annual budget setting also included a risk assessment. The Council is responding to the proposal in the 2016 Wales Audit Office (now Audit Wales) Annual Improvement Report, and considering the report in light of the MTFS through ensuring that the Council's financial management arrangements are sufficiently robust to meet the significant challenges ahead.
- A Strategic Plan has been developed and has improved the programme of work necessary to consider service priorities whilst addressing financial constraints.
- An annual budget project plan/timetable is established to ensure that a balanced budget is approved within the statutory period in accordance with the Councils budget framework.
- Regular budget reports are taken to Cabinet and Leadership Group throughout the year and operational budgets are monitored on a monthly basis.
- Quarterly Executive Panel meetings take place if required with Corporate Lead Officers together with the Leader of the Council, the CE, Corporate Lead Officer for Finance and Cabinet Member with Finance responsibility.

G.Implementing Good Practices in transparency, reporting and audit to deliver effective accountability:

- Council's Website.
- Council and Cabinet meetings are broadcasted.
- Standard templates for Cabinet, Scrutiny and Council.
- Compliance to the Welsh language Standards.
- Use of Modern.Gov for publishing agendas and Councillor Information.

- Council preparing for implementation of changes to be introduced by 2021 Act, which include for Council to consult and publish a public participation strategy with the aim of increasing public participation in local democracy, and improving transparency.
- Council compliance with The Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020, which allow for remote access for meetings and public access/publishing of documents requirements.
- Work is underway to prepare a Community Engagement Policy that will meet the requirements of the 2021 Act, which will also include how we will encourage participation in decision-making, although final guidance is awaited from Welsh Government regarding this part of the legislation.
- Council [Roadmap](#) provides up-to-date information for citizens on services being provided due to Covid-19 pandemic, in order to provide clarity for County residents.
- The Council has been out to tender and awarded the contract for installing equipment in the Council Chamber that will enable hybrid meetings to take place as well as being able to broadcast those meetings. The equipment will be installed over the winter.
- The Council provides alternative ways for citizens to access information if they don't have access to digital services. The Citizen can telephone the Council's Contact Centre or visit its Libraries where public access to computers are available or free 4G Wi-Fi to allow anyone to use their own device.
- Councillors' contact details, attendance records, Committee membership and Declarations of Interests available on the [Council's Website](#).
- Councillors' annual reports available on the [Council's Website](#).
- Overview and Scrutiny Annual Report available on the [Council's Website](#).
- [Democratic Services Annual Report](#) available on the [Council's Website](#).
- The County Council's Well-being and Improvement Objectives Annual Report is published on the Ceredigion County website to inform Ceredigion citizens what activities and actions the Council undertakes in support of its Well-being and Improvement Objectives. This also forms part of the Council's self-assessment. A summary plan is also available in public offices for our citizens.
- Annual financial statements are published on the [Council's Website](#).
- Appropriate approvals.
- Corporate Performance Management arrangements.
- Ownership of planning and transformation.
- [AGS](#).
- Council's [AGS](#) evidences how it complies with the seven core Governance Framework Principles and sub-principles contained in the Framework and in the Local Code of Corporate Governance, including how it puts in place proper arrangements for the governance of its affairs, facilitates the effective exercise of its functions, and makes arrangements for risk management (the Governance Framework was developed in 2010 and has been revised in accordance with the CIFA/SOLACE Delivering Good Governance in Local Government Framework 2016). In compliance also with Local Government (Wales) Measure 2009 and The Well-being of Future Generations (Wales) Act 2015.
- Assessment of the framework for corporate governance carried out to ensure compliance e.g. updated to reflect changes necessary because of Covid-19

pandemic. Decision by Council whether AGS approved e.g. updated and approved by Council 25 November 2021 (with accounts).

- Council's Local Code of Corporate Governance demonstrates how it has the necessary corporate governance arrangements in place to perform effectively, and is a public statement that sets out the way the Council will meet that commitment.
- AGS shared with accounts, reviewed and updated with Members and Officers providing a wider engagement process. Members and Officers carry out a review of the AGS annually.
- Financial implications are a requirement for inclusion in all Cabinet Meeting reports. Financial Regulations and Financial Procedure Rules (Document F Constitution), Contract Procedure Rules (Document G Constitution) are all up to date. The current Procurement Strategy 2018-2022 was approved in 2018.
- Accounting practices - Codes of Practice are complied with Prudential Indicators are prepared and reported to Council and monitored throughout the year. Regular budget monitoring takes place throughout the year. IA also reviews controls over income collection and monitoring.
- A good working relationship exists with Welsh Government as key regulator and external regulators, including Audit Wales, Estyn, CIW, Financial Services Authority ('FSA') and Food Standards Agency as key regulators. Regular dialogue is maintained with representatives from Audit Wales.
- Audit Wales Protocol documented and procedures in place to ensure all 'Management Response Forms' from each Audit Wales report addressed and that Service responses are presented to Leadership Group, Governance and Audit Committee and Audit Wales.
- Regarding monitoring of progress of actions/recommendations, Governance Officer is Audit Wales point of contact for outstanding Management Response Forms ('MRFs') for 2019/20 & 2020/21, and ongoing governance-related MRFs/governance matters. Corporate Performance and Improvement Officer is point of contact for performance-related MRFs/performance matters. This system is set out in a Protocol, approved by Leadership Group and presented to Governance and Audit Committee, with updated version (to reflect that the Corporate Performance and Improvement Officer is in post) presented to Governance and Audit Committee 9.9.2021 Meeting.
- Monthly meetings are also being held with Audit Wales to discuss ongoing work and matters to be presented to the Governance and Audit Committee and regular dialogue is maintained with representatives from Audit Wales.
- Recommendations from Audit Wales are taken forward in the Corporate Performance Management arrangements.
- All Audit Wales reports presented to Leadership group and Governance and Audit Committee, which monitors implementation of corrective actions required.
- Monitoring of progress of Actions process being developed.
- Up to 31/12/21 the IA function is headed by a CIPFA qualified CMIA, and the CMIA from 1/1/22 onwards is studying to gain an IIA qualification, Both CMIA's have considerable local government experience, and are supported by a team with appropriate knowledge and skills. Two members of Staff currently studying for the Chartered Institute of Internal Auditors qualification, and two are developing ICT auditing skills.
- IA Officers undergoing audit qualifications to enhance knowledge, skills and competency.

- A re-structure of IA was implemented in May 2019, and another in November 2020. The service has been fully resources since 1 December 2020.
- A new CMIA will be in place from 1 January 2022, who has considerable experience in IA, has a 6-week window to 'shadow' the existing CMIA, and is supported by a knowledgeable & skilled Audit Manager.
- The role of CMIA has free and unfettered access to the Chair of the Governance & Audit Committee and both meet regularly during the year (and these meetings continue remotely during the Covid-19 pandemic).
- Robust risk-based forward work programme and business planning is in place.
- Regular reporting to Governance & Audit Committee on the activity of IA is undertaken, i.e. quarterly Internal Audit Progress Reports to Governance & Audit Committee for monitoring progress performance and improvement and summary of work and audit opinion on assurance provided annually in Internal Audit Annual Report at year end. Follow-up reviews undertaken to monitor corrective actions are implemented.
- Internal Audit Charter regularly reviewed and approved by Governance & Audit Committee (last version approved by Audit Committee 24/2/21).
- CMIA provides annual objective opinion on assurance placed on Council's risk management, control and governance processes, based on the individual assurances given to Managers after each audit review, & feeds into the AGS.
- Compliance with PSIAS reported annually to Governance & Audit Committee with resultant improvement plan. Peer review of assessment every five years (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group).
- IA's mission is to enhance & protect organisational value by providing risk-based & objective assurance, advice & insight. This is detailed in the internal Audit Charter, which also states IA's right of access (as per the Council's Financial Regulations/Constitution).
- Recommendations from Audit Wales are taken forward in the Corporate Performance Management arrangements.
- The Council is learning and continually works towards improvement.
- Five-yearly external assessment of IA is undertaken as required by PSIAS.
- The last Internal Audit External Assessment was undertaken in November 2016 by Conwy County Council and was reported to Audit Committee, along with the resultant improvement Plan (next one due circa March 2022, for which preparations are already in-hand via the Welsh Chief Auditor Group).
- IA progress, performance & improvement is reported to Audit Committee quarterly.
- PSB's terms of reference and Well-being Plan, and annual report from PSB.
- The Ceredigion County Council Overview and Scrutiny Co-ordinating Committee is responsible for taking an overview of the overall effectiveness of the Board.
- Partnership and Accountability agreements are established in collaborative projects.

4 Opinion on the level of assurance that the governance arrangements can provide

The Corporate Manager - Internal Audit (CMIA) prepares an Annual Internal Audit Report at year-end, which is usually presented to the Governance and Audit Committee at its June meeting (presented on 3 June 2021). The report sets out the individual and collective outcomes of the audit reviews undertaken during the year, and provides the overall audit opinion of assurance based on this audit work. The assurance provided also takes into account progress in implementing improvements, consideration of the risk register and assurances provided in reports issued by external regulators. The scope of audit work and how the need to constantly reprioritise to ensure sufficient work is undertaken for the assurance is detailed in the report.

The Annual Report at year-end contains the results of the internal audit annual self-assessment of the service, based on CIPFA's LG Application Note's template. This was subject to an external peer review during 2016-17, and an external assessment is planned to be repeated every five years, as required by the Public Sector Internal Audit Standards (PSIAS) (the next review shall be in 2022). The resultant improvement plans from these assessments are included in the quarterly Progress Reports presented to the Governance and Audit Committee and reviewed annually in the Annual Internal Audit Report.

The Improvement Plans identify improvements made and planned against the recommendations arising from the assessments, along with the results of the service's Quality Assurance Improvement Programme as required by the PSIAS to ensure the Governance and Audit Committee is able to monitor the service's progress.

A Report on the Annual Governance Statement 2021-2022 Progress and Current Year Action Plan was provided to the Governance and Audit Committee on 3 June 2021.

The Internal Audit Progress Report 1/4/2021-30/6/2021 (presented to the Governance and Audit Committee on 9 September 2021) and the Quarter 3 Progress Report (due to be presented to the Governance and Audit Committee on 19 January 2022) include the actions taken to date to achieve the identified proposed improvements.

The Internal Audit staffing structure has been at full complement during the year 2021-2022.

On 24 February 2021, the CMIA also presented to the Governance and Audit Committee the Internal Audit Strategy and Plan for 2021/22. This is designed to ensure a sufficient area of coverage is undertaken to support the annual opinion on the effectiveness of the systems of governance, risk management and internal control across the Council. The Internal Audit Strategy and Plan for 2021/22 summarised the work areas the Internal Audit Section aimed to concentrate their time on during the year, taking account of the situation due to the pandemic.

The service has been provided on a more reactive basis this year, as with the previous year, due to the various risks introduced from necessary changes in the Council's working practices, such as the issuing of one-off grants, set-up of groups to target specific areas of change, more staff working from home, etc. Internal audit work has been assessed on an on-going basis with regular consideration given to the Council's changing needs and priorities. In addition to this reactive work, assurance for 2021/22 is placed on planned reviews either carried forward or undertaken during the year to assess the annual level of assurance for the Council. All actions taken have been consistent with the guidance note issued by the Internal Audit Standards Advisory Board. In addition, more resources have been dedicated to developing the assurance mapping system to provide additional support to the assurance provided at year-end.

The Council has, for example, had an urgent obligation to award various grants to eligible businesses in the County, and due to potential fraudulent claims, Internal Audit has continued to review a sample of applications prior to payment (easier to stop payments than recover after), adding value to the Council's operations due to changing circumstances, as supported by Internal Audit Standards Advisory Board guidance notes.

The CMIA expects to conclude in her 2021/22 Annual Report to be presented to the Governance and Audit Committee based on:

- the number, scope and assurances from internal and external sources during the year to 31 March 2022, and
 - the acceptance of actions by management (where available),
- that the Council has a satisfactory framework of governance, risk management and internal controls in place to manage the achievement of the organisation's objectives during the year.

Due to the on-going effect of the pandemic, it should be noted that, as with the previous year, no schools were reviewed during the year. However, certain checks have been undertaken whilst auditing the EIG and PDG grants.

The Annual Governance Statement will be the subject of review by the Governance and Audit Wales to ensure that it is consistent with their knowledge and with legislation. In addition, the Internal Audit section undertakes an annual independent review of the Annual Governance Framework and the method of scoring and evidence, as noted in Point 2 above.

The Council's Corporate Lead Officer - Customer Contact acts as the Authority's Senior Information Risk Owner and also has responsibility for Data Protection and ICT Security.

The SIRO Forum traditionally included subject matter experts: E.g. Facilities, Data Protection, IT Security, Head of IT, Legal, HR and some departmental representation. This meets every quarter to discuss information risk and information management issues.

The current key roles and scrutiny of Information Assets are as follows:

- An IT Security Officer ('ITSO') who advises on data security and external advisers and consultants are employed from time to time to test and advise on the Authority's security arrangements;
- An Information and Records Management Officer ('IRMO') advises on legal compliance and ensures that policies and procedures are in place and are being adhered to;
- Corporate Data Protection (known internally as Corporate Data Protection / FOI / EIR Group Meeting) meets quarterly and is chaired by the Head of Service Policy (Deputy HOS ICT&CS); and
- Annual Reports as required to the Council's Governance and Audit Committee.

Additionally:

- ITSO is the Vice-chair of Wales National Public Sector Security Forum (CymruWARP) which meets quarterly.
- IRMO Chairs the Information and Records Management Society Wales/Cymru and arranges events across Wales.
- IRMO is part of the WASPI - Mid and West Wales Quality Assurance Panel.

Following the Governance Framework review, overall governance arrangements are considered to be good on the basis that the majority of scores applied were 9/10.

The introduction of the Local Code for Corporate Governance outlining how the Council is committed to the core principles of the CIPFA/SOLACE delivering Good Governance in Local Government Framework provides guidance to all Members and Officers on the governance agenda.

Regular review of the Local Code of Governance will provide a high level of assurance that the governance arrangements are fit for purpose.

Coronavirus Pandemic

Due to the coronavirus pandemic crisis, all Council offices were closed to the public with effect from 23 March 2020.

In light of the national emergency and urgent situation arising as a result of the pandemic, and in order to protect the Council and the public's interests, in circumstances where the decision is deemed urgent such that any delay would seriously prejudice the Council's or the public's interests, the Council Leader granted temporary delegated powers to the Council's Chief Executive and Leadership Group to make decisions relating to the Council's COVID-19 response.

The decision was made in accordance with part 4 of the Council's Constitution.

The Record of Urgent Decision Notice is available on the Council's website on the Council's page for Governance Structure for decision making during COVID-19 (<https://www.ceredigion.gov.uk/resident/coronavirus-covid-19/governance/>). The decision was reviewed and in October 2020, February 2021, March 2021 and May 2021 the Leader approved revised decisions (also available on the Council's website).

During the period Gold Command Meetings have been held in order to discuss the Covid-19 pandemic and how to effectively deal with the situation. Gold Command continues to meet regularly.

The Gold Command forum was set-up immediately to facilitate operations and provide a robust decision-making process from the outset, holding daily virtual meetings.

The Temporary Executive function transfer of powers expired on 31st August 2021. From 1st September 2021 to date, Gold Command has been making operational decisions under the Civil Contingencies Act 2004.

Audit Wales's Covid-19 Recovery Interim Assurance letter of 19 October 2020 to the Council summarised its interim conclusions based on the ongoing monitoring of the adjustment process regarding the ongoing impact of the pandemic. In the Appendix, Audit Wales refers to, as part of the Council's adapting decision-making arrangements, the Decision Log as being planned for publication on the Council's website and for reporting to the next meeting of the Overview and Scrutiny – Co-ordinating Committee. The Governance and Audit Committee noted the contents of this letter at its meeting on 12 November 2020 and a Report by the Corporate Lead officer – Legal and Governance/Monitoring Officer was presented to the Overview and Scrutiny Co-ordinating Committee on 20 January 2020, which noted the contents of the Report and the contents of the Gold Command Covid-19 Leadership Group Meetings per the Decision Log.

The Decision Log was first published on the Council website on 5 November 2020 (for decisions made up to 30 September 2020). Decisions from 1 October 2020 to 30 November 2021 have also now been published and decisions up to the end of December 2021 are in preparation for publishing.

The Council had a clear vision that every single person, business and service could understand and agree upon in order to ensure Ceredigion succeeded in not only reducing predicted deaths through the first peak but more importantly for any future predicted peaks. This has been actioned in three phases to date:

- Phase 1: Preparedness – Closing down of all non-essential services
- Phase 2: Implementation – Delivering services under lockdown conditions
- Phase 3: Adjustment and long term resilience

Phase 3 provides an adjustment phase from the first two phases to a fourth, recovery phase. To enable this to happen, the adjustment phase must consider three main components that will be critical to dealing with COVID-19 whilst at the same time releasing elements of the lockdown safely and in a controlled and structured manner. The three elements are:

Containment + Isolation + Eradication

As lockdown restrictions are gradually eased and the Welsh Government amends its guidance, the Council is looking at how and when it can recommence its services or how they will be delivered differently. This is documented in a 'Roadmap' on the Council's website.

It is hoped that the business sectors and community groups will also contribute to this roadmap so that there is clarity for all residents of Ceredigion.

Following an initial immediate suspension of public meetings, Council meetings have been reintroduced via a virtual platform.

Members of the public are able to attend the remote meetings by e-mailing the Democratic Services for registration details. A full list of remote meetings are available on the Council website. These meetings are also available on the Council's Facebook page to view.

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5 Issues identified for last year (2021-2022)

The following table records the actions that have been taken during 2021-22 to resolve the issues identified in the Annual Governance Statement for 2020-2021:

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
<p>A1.1 Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation</p>	<p>Monitoring Officer to advise Officers further on the need to declare interests in organisations which actually, or may conflict with Council interests including:</p> <ul style="list-style-type: none"> • Contractors; • School Governors; • Clerk to Town and Community councils; • Members of Town and Community councils; and • School Governors. <p>MO and CLO Democratic Services to continue to undertake review of Members holding directorships, trusteeships, or memberships when appointed onto outside bodies, and committees, Monitoring Officer to consider member feedback and added value and continue to update Code of Conduct for Officers and Members.</p> <p>Monitoring Officer to advise Officers further on the need to declare</p>	<p>This is an ongoing duty. The Ethics and Standards Committee will have new duties (from May 2022) under the Local Government and Elections (Wales) Act 2021, to include:</p> <ul style="list-style-type: none"> • Monitoring compliance by leaders of political groups on the Council with their duties under S.52A(1) Local Government Act 2000; • Advising, training or arranging to train leaders of political groups on the Council about matters relating to their duties under S.52A (1) Local Government Act 2000. • At the end of each financial year, make an annual report to the Council in respect of that year per 56B Chapter 1 Part 3 Local Government Act 2000. 	<p>EP/LE</p>	<p>March 2022</p>

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	<ul style="list-style-type: none"> • Directorships; and • Other employment <p>Including Whether conflicting with the Council's interests or not.</p> <p>Monitoring Officer to continue to advise Members further on the need to declare hospitality/gifts.</p> <p>Monitoring Officer to advise Chief Officers further on the need to declare:</p> <ul style="list-style-type: none"> • close personal associations with other Officers or Members, 	<p>The duty to monitor compliance of political group leaders is in relation to standards of conduct, and one way that the Council will ensure Members behave with integrity and lead a culture where acting in the public interest is visible, and consistently demonstrated to protect the Council's reputation.</p> <p>The Monitoring Officer's advising of Officers relating to declarations of interests is an ongoing action, which is undertaken regularly through News Updates via the Cerinet system. Most recently, an Update on Council Employees' Declarations of Interest and Hospitality was published on 20 July 2021 on the Council's CeriNet Site, including links to the relevant forms and Code of Conduct for Local Government Employees, along with a reminder that any queries or requests for advice should be made to the Monitoring Officer.</p> <p>An update on Employees' Declaration and Registration of Interests, including regarding COVID-19</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>Restrictions Business Fund NDR Grants for businesses was published on 8 January 2021 on the Council's CeriNet Site.</p> <p>A review is currently being undertaken of the external bodies that have appointed Members, including added value, and also updating of the Constitution.</p> <p>The Code of Conduct for Local Government Employees, and also the Declarations of Interest and Hospitality for Staff are in the process of being substantially reviewed. Regular meetings have been held and input from the Monitoring Officer, Governance Officer, Corporate Lead Officer – People & Organisation and Data Protection Information & Records Management Officer.</p> <p>A draft Data Protection Impact Assessment has also been sent to the Data Protection Officer for consideration in respect of changes proposed to the Code of Conduct and Declarations, with progress updates</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>provided to the Governance and Audit Committee at its 25.11.2021 Meeting (a further progress update to be provided at its 19.1.2022 Meeting).</p> <p>Following completion of the DPIA process, the draft documents shall be sent to and considered by Leadership Group, Trade Unions and Council.</p> <p>Consideration is also being given as to whether Chief Officer Business Interests should be published on the Council's websites, with Meetings held between the MO, Governance Officer, Data Protection Officer and CLO – People and Organisation.</p>		
A1.3 Leading by example and using these standard operating principles or values as a framework for decision making and other actions	Leadership Group to be updated on e-Learning with HR reporting to Leadership Group (A mandatory E-learning training module on the Well-Being of Future Generations Act 2015 ('WFGA') must be completed by all Staff).	The mandatory e-learning module was introduced in September 2017 and up to November 2021 it has been completed by 2,834 employees. Of these 343 completed the Welsh medium module and 2,491 the English medium module.	GE	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	Continue to review Constitution to reflect legislative changes and according to need.	<p>Between April and November 2021, a total of 242 employees completed the e-learning module, 40 through the medium of Welsh and 202 through the medium of English (figures include leavers). Reminders are issued to staff who have not yet undertaken the module and Leadership Group will receive periodic reports on the completion of mandatory e-learning modules.</p> <p>Reviewing the Constitution to reflect legislative changes and according to need is an ongoing task, as the Constitution is a live document. Proposed amendments to the Constitution were last presented to Council at the 23rd September 2021 Meeting, and prior to this at its 18th March 2021 Meeting. The Council's Cross Party Constitution Working Group are meeting on a regular basis, with meetings held on 15th</p>	EP/HR	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>February 2021, 19th April 2021, 30th June 2021, 10th August 2021 and 8th November 2021, with the next Meeting scheduled for 11th February 2022.</p> <p>Significant amendments to the Constitution have included amendments to comply with the Local Government and Elections (Wales) Act 2021 and work is currently being undertaken to implement changes as recommended by Audit Wales in its 2020-21 Review of Ceredigion County Council's Planning Service (Report issued October 2021).</p> <p>A comparison exercise will be undertaken of the Current Constitution against the Model Constitution issued by WLGA.</p>		
A1.4 Demonstrating, communicating and embedding the standard	Council making preparations to comply with Local Government and Elections (Wales) Act 2021 regarding Audit	Proposed changes to the Constitution to comply with the Local Government and Elections (Wales) Act 2021	EP/AW/HR	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	<p>Committee (terms of reference, remit and composition to be reviewed):</p> <p>Changes include:</p> <ul style="list-style-type: none"> - change of name to 'Governance and Audit Committee; - Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act); - Committee duty to appoint own Chair and Deputy Chair; -Chair must be lay person; -Deputy Chair must not be member of Local Authority Executive; and - in absence of Chair & Deputy only non-executive Members can chair. 	<p>requirements were put to the Council's Cross-Party Constitution Working Group on 19th April 2021, 30th June 2021 and 10th August 2021, which made appropriate recommendations to Council. A Report regarding these proposed changes was presented to Council at its 23rd September 2021 Meeting. Council resolved to agree to the proposed changes.</p> <p>A further Report on changes relating to the Governance and Audit Committee arising from the Local Government and Elections (Wales) Act 2021 was presented to the Council's Governance and Audit Committee at its 3rd June 2021 Meeting, including updates to the Constitution, and to inform on the requirements for the Mid Wales CJC to have a Governance and Audit Sub-Committee.</p> <p>A report on changes under the Local Government and Elections (Wales)</p>		Changes re Governance and Audit Committee and 2021 Act Complete

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>Act 2021 affecting the Committee was also presented to the Committee in the 24th February 2021 Committee meeting, including the recruitment of lay members to the Committee. These changes and proposals regarding recruitment were then presented to, and approved by, Council on 18th March 2021. Council noted the contents of the Report, and relevant implementation dates, and approved:</p> <ul style="list-style-type: none"> a) the change of name of the Audit Committee to the Governance and Audit Committee, and additional performance and complaints-handling functions effective from 1 April 2021; b) commencement of the recruitment process for independent lay members to the Audit Committee; c) the proposals for the Shortlisting Selection Panel; and d) the Role Description and Person Specification. 		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	<ul style="list-style-type: none"> • Delegated Decisions Register to be published. 	<p>A Report on the size of the Governance and Audit Committee was presented to the Democratic Services Committee on 21st May 2021, which agreed to recommend to Council that the Committee should comprise 6 County Council Members and 3 lay members (9 total). A Report on the size of the Committee was then presented to Council on 17th June 2021 and Council agreed that same member composition from 5th May 2022. The recruitment process has now been completed and Council resolved on 9th December 2021 to appoint the three candidates recommended by the Shortlisting Selection Panel.</p> <p>The publication of the delegated decisions register is ongoing. The Gold Command Decision Log, a decision register, has been published</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>and updated quarterly, presented to Gold Command (and approved), and thereafter to the Overview and Scrutiny Co-ordinating Committee (most recently on 1st December 2021 and, prior to this, on 16th June 2021) and published on the Council's website.</p> <p>It was proposed at this Meeting to publish the Decision Log more regularly and the MO/Governance Officer are arranging for its publication more regularly (decisions up to 30th November 2021 published and decisions up to 31 December 2021 to be published shortly (December 2021).</p> <p>The Decision Log for decisions between 1 December 2021 and 31 December 2021 shall then be presented to the Overview and Scrutiny Co-ordinating Committee at its 10th February 2022 Meeting.</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	<ul style="list-style-type: none"> • Continued monitoring of the Mandatory e-learning take up of Whistleblowing module. Currently lower than required. • The Complaints / Compliments policy is to be reviewed during 2020-2021. 	<p>In relation to other delegated decisions, Development Control Committee delegated decisions are published for each Development Control Committee. Any other decisions work is in progress, however in particular work is currently being undertaken to prepare a Tree Preservation Order (TPO) Register.</p> <p>Regarding the take up of the Mandatory e-learning Whistleblowing module, between April and November 2021, 237 Staff completed the Module, 42 through Welsh and 195 through English (*these figures include leavers)</p> <p>The Corporate Complaints Policy review is complete. The new policy was presented to the Corporate Resources Overview and Scrutiny Committee on the 7th of July and was</p>		Complaints / Compliments Policy review complete

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	Ethics / Fraud training to be provided.	<p>presented to Council on the 23rd of September. Council resolved to approve the revised Concerns and Complaints Policy and Procedures 2021.</p> <p>The Ethics / Fraud training module is now complete, which was prepared in collaboration with Zurich (Council's insurer). The training was presented by Anthony Connolly from Zurich on 28th May 2021 at the Corporate Managers' quarterly workshop. The slides from the presentation are to be used as a basis for an e-learning module for all staff. The Internal Audit & Governance Services have prepared draft questions and answers for the e-learning module and have provided these to Learning & Development, who shall use them as a basis for the module.</p> <p>This is also supported by the recent review of the Council's Strategy on</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>Counter-Fraud, Corruption and Bribery (to include Anti-Money Laundering).</p> <p>A follow-up internal audit of the Council's arrangements regarding Ethics is also in progress (currently in review).</p>		
A3.1 Ensuring members and Staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations	<ul style="list-style-type: none"> The Local Government and Elections (Wales) Act 2021 shall have an effect on corporate bodies, including the Council, and preparations for compliance are underway. 	<p>As above, compliance with the Local Government and Elections (Wales) Act 2021 requirements is ongoing, including through the Cross-Party Constitution Working Group (Members of each political group in attendance), reports to the Governance and Audit Committee and Council, with a Council Action plan having been prepared and updated regularly, and meetings with relevant Officers and CLOs held, as appropriate.</p>	EP	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
B1.1 Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	FOI policy and EIR policy both updated. Review of the FOI Publication Scheme is in progress.	A review of the FOI Publication Scheme is scheduled for the coming year.	LE/AW/MNH	March 2022
B3.1 Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes	Due to the Covid-19 pandemic, decisions currently need to be made by Gold Command for emergency reasons, therefore it is impossible to consult physically in the community at present for many services, and consequently the scoring has been amended to reflect this.	<p>A Community Engagement, Consultations and Partnerships Page has been created on the new Ceri Net site. https://cerinet.ceredigion.gov.uk/our-council/community-engagement-consultation-and-partnerships/#</p> <p>This includes links to our current Community Engagement Policy, Engagement and Consultation Checklist, Engagement with Service Users and a Consultation Decision Making Tool.</p>	AW/LE/MS	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	<p>Community Engagement Policy is under review and will include provisions for how stakeholders are engaged in future.</p>	<p>All Integrated Impact Assessments (IIAs) for Cabinet are now assessed by the Engagement and Equality Officer. This includes whether effective engagement, involvement and consultation has taken place and informed our strategic decision making process.</p> <p>A draft new Engagement Strategy for Ceredigion County Council, 'Talking, Listening and Working Together,' has been prepared. This will be consulted upon and agreed following the Local Government Elections in 2022.</p> <p>Work is underway to prepare a Community Engagement Policy that will meet the requirements of the Local Government and Elections (Wales) Act 2021, which will also include how we will encourage participation in decision-making, although guidance is awaited from</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		Welsh Government regarding this part of the legislation.		
B3.4 Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account	Further work on monitoring feedback is required and the new Equalities and Engagement post will address this.	<p>Feedback from engagement and how people's views have been taken into account is recorded in the IIAs.</p> <p>Reports on completed consultations and engagement exercises are posted on our public consultations webpage in order to provide feedback to the public. http://www.ceredigion.gov.uk/your-council/consultations/</p> <p>Any consultation / engagement reports are presented to Scrutiny and Cabinet to inform their decision making.</p>	AW/MS	March 2022
C1.5 Managing service users' expectations effectively with regard to	Publicise service performance including costs and value for money data.	Relevant costs and value for money data is routinely considered within service reports.	AW	March 2022 - Complete

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
determining priorities and making the best use of the resources available		Costs and value for money data in context of managing service users expectations, is not available to or held by the Performance Service.		
D2.3 Considering and monitoring risks facing each partner when working collaboratively including shared risks	Account will be taken of legislative changes e.g. Local Government and Elections (Wales) Act 2021.	<p>As above, work is ongoing in relation to implementing legislative changes, such as Local Government and Elections (Wales) Act 2021 changes and considering/monitoring risks facing each partner when working collaboratively, including shared risks.</p> <p>Meetings are being held and preparation being carried out, for example, regarding the 2021 Act's requirement for Corporate Joint Committees, including potential and shared risks (a CJC group has been established, with the first meeting held on 19th April 2021, to consider the requirement to establish the Mid-</p>	AW/EP	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>Wales CJC in accordance with the 2021 Act).</p> <p>Appropriate Joint Scrutiny arrangements are in place in relation to the Growing Mid Wales Board. Similarly, the Mid Wales Corporate Joint Committee will have Sub appropriate arrangements in place (Joint Scrutiny, Standards and Governance and Audit Committee) - arrangements in compliance with legislation and its Standing Orders.</p>		
<p>D2.5 Establishing appropriate local performance indicators (as well as relevant statutory or other national performance indicators) as part of the planning process in order to identify how the performance of services and projects is to be measured</p>	<p>Further work is progressing to link Local Performance measures to all level 1 Business plan Objectives.</p>	<p>The Business Planning process for 2021-22 is being implemented with Level 1 Business Plans shared with the Performance and Research Team.</p> <p>Performance measures have been identified within each Level 1 Business Plan that will in turn translate into the reporting</p>	<p>AW</p>	<p>March 2022</p>

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		Dashboard for each service. These measures have been scrutinised and have received final sign-off from senior leadership. Services will then report against these measures as part of the performance management process for the year.		
F3.5 Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment that its recommendations are listened to and acted upon	<p>Audit Committee terms of reference, remit and composition to be reviewed in light of Local Government and Elections (Wales) Act 2021. Changes include: - change of name to 'Governance and Audit Committee;</p> <p>-- Membership to be 2/3 Councillors and 1/3 Lay Persons (as defined in Act); - Committee duty to appoint own Chair and Deputy Chair;</p> <p>-Chair must be lay person;</p> <p>-Deputy Chair must not be member of Local Authority Executive; and</p> <p>- in absence of Chair & Deputy only non-executive Members can chair.</p>	<p>As above, work is ongoing in relation to changes affecting the Governance and Audit Committee in light of the Local Government and Elections (Wales) Act 2021. The Governance and Audit Committee was informed, in a report at the 24th February 2021 Meeting, of the changes to their role regarding self-assessment reports of the Council, and regarding panel performance assessments, as well as the change of name, and changes to the Chair/Vice Chair and composition.</p> <p>As above, an update report on the 2021 Act was presented to the</p>	EP/AR/HR	March 2022 - Complete

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
	<p>Size of Audit Committee review in progress.</p> <p>Lay member recruitment to be undertaken during 2020/21, taking into account any Local Government & Elections (Wales) 2020 Act requirements and termination of term of office of current lay member.</p>	<p>Committee in the 3rd June 2021 Meeting, to include updating the Governance and Audit regarding changes to the Constitution affecting the Committee, including:</p> <ul style="list-style-type: none"> - Recruitment of lay members and the Mid-Wales CJC Governance and Audit Sub-Committee; and - Regarding the Committee's functions relating to: <ul style="list-style-type: none"> o reviewing and assessing the performance assessment of the Council; o considering the Council's draft annual Self-Assessment report; o considering any report from the Auditor General and Council's draft response; o review of the Council's complaints handling function; and 		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>o role regarding Panel Performance Assessments (from May 2022).</p> <p>The Council has approved (23rd September 2021 Meeting) amendments to the Governance and Audit Committee's terms of reference, further to recommendations by the Cross-Party Constitution Working Group. The Constitution has been duly updated with terms of reference to reflect the Committee's current duties from the 2021 Act, with future duties of the Committee to be inserted in the terms of reference at the appropriate date.</p>		
G1.1 Writing and communicating reports for the public and other stakeholders in an understandable style	Council preparing for implementation of changes to be introduced by Local Government and Elections (Wales) Act 2021, which include for Council to consult and publish a public	Work is underway to prepare a Community Engagement Policy that will meet the requirements of the Local Government and Elections (Wales) Act 2021, which will also	LE/AM	March 2022 (– Complete by March 2022)

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
appropriate to the intended audience and ensuring that they are easy to access and interrogate	participation strategy with the aim of increasing public participation in local democracy, and improving transparency.	<p>include how we will encourage participation in decision-making, although guidance is awaited from Welsh Government regarding this part of the legislation.</p> <p>The Council has been out to tender and awarded the contract for installing equipment in the Council Chamber that will enable hybrid meetings to take place as well as being able to broadcast those meetings. The equipment will be installed over the winter and the system will be in place by March 2022.</p>		
G3.1 Ensuring that recommendations for corrective action made by external audit are acted upon	Monitoring of progress of Actions/recommendations	'Audit Wales Protocol' documented and procedures in place to ensure all 'Management Response Forms' from each AW report addressed and that service responses are presented to LG, GAC and AW.	EP/AW/SJ	March 2022

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>The Governance Officer is the AW point of contact for outstanding Management Response Forms ('MRFs') for 2019/20 and 2020/21, and ongoing governance-related MRFs/governance matters. The Corporate Performance and Improvement Officer is the AW point of contact for performance-related MRFs and performance matters. This system is set out in a Protocol, which has been approved by Leadership Group and presented to the Governance and Audit Committee. An updated version of the Protocol (to reflect that the Corporate Performance and Improvement Officer is in post) was presented to the Governance and Audit Committee at its 9th September 2021 Meeting.</p> <p>The Governance Officer and Corporate Performance and Improvement Officer have also prepared a spreadsheet for current</p>		

Issue	Action	Outcome / Progress to Date	Lead Officer	Completion Date
		<p>MRFs, as well as historical MRFs (monitored by the Governance Officer) to be presented to the Governance and Audit Committee for monitoring of MRF responses.</p> <p>Monthly meetings are also being held with AW to discuss ongoing work and matters to be presented to the Governance and Audit Committee.</p> <p>These actions are, therefore, ongoing but the appropriate systems/checks have been put in place.</p>		

Note: Any actions not fully completed by the completion date will be carried forward into the ~~2021-2022~~-~~2022-2023~~ Action Plan

6 Agreed action plan for matters to be considered during 2022-2023

Following the implementation and review of the CIPFA/SOLACE Delivering good governance in Local Government Framework (2016) the following issues have been identified for resolution during 2022-2023:

Issue	Action	Outcome	Lead Officer	Completion Date
<p>A1.1 Ensuring Members and Officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation</p>	<p>MO to continue to advise Members further on the need to declare hospitality/gifts.</p> <p>MO to continue to advise Chief Officers further on the need to declare:</p> <ul style="list-style-type: none"> • close personal associations with other Officers or Members, Ongoing review on Chief Officers business declarations <p>MO and CLO Democratic Services to continue to review Members holding directorships, trusteeships, or memberships when appointed onto outside bodies, and committees, MO to consider member feedback and added value and continue to update Code of Conduct for Officers and Members</p>	<p>Further embedding of behaviour with integrity.</p>	<p>EP/LE</p>	<p>March 2023</p>

Issue	Action	Outcome	Lead Officer	Completion Date
	<p>Update Dispensations forms for Members</p> <p>Appraisals were halted due to Covid-19 Pandemic but have now recommenced (undertaken in May 2021 and continue to be held virtually.)</p> <p>Reviewed Code of Conduct for Officers to be issued once updated & approved.</p> <p>Officers to complete a Mandatory Ethics/Fraud e-training module once completed & approved.</p> <p><u>Planning/Development Management Committee governance actions/documents established, training to be provided and progress to be reviewed during 2022-2023.</u></p>			
<p><u>A1.2 Ensuring Members take the lead in establishing specific standard operating principles or values for the Organisation and its Staff and that they are communicated and understood.</u></p>	<p><u>Planning/Development Management Committee governance actions/documents established, training to be provided and progress to be reviewed during 2022-2023.</u></p>	<p><u>Further embedment of Standard Operation Principles and values, including their communication.</u></p>	<p><u>EP/LE</u></p>	<p><u>March 2023</u></p>

Issue	Action	Outcome	Lead Officer	Completion Date
<p><u>These should build on the Seven Principles of Public Life (the Nolan Principles)</u></p>				
<p>A1.3 Leading by example and using these standard operating principles or values as a framework for decision making and other actions</p>	<p>Leadership Group to be updated on e-learning with HR reporting to Leadership Group.</p>	<p>Further embedment of Standard Operating principles and leading by example for effective decision-making.</p>	<p>GE</p>	<p>March 2023</p>
<p>A1.4 Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively</p>	<p>Delegated decision Decisions Register to be published.</p> <p>Continued monitoring of the Mandatory e-learning take up of Whistleblowing module. Currently lower than required.</p> <p>Whistleblowing Policy to be reviewed.</p>	<p>Further embedment of Standard Operating principles and communication through publication of documents.</p> <p>Further embedment of Standard Operating principles and leading by example.</p> <p>Further embedment of Standard Operating principles.</p>	<p>EP/ HR</p>	<p>March 2023</p>

Issue	Action	Outcome	Lead Officer	Completion Date
<u>A3.1 Ensuring members and Staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations</u>	<u>Further training to be provided to all Members regarding their responsibilities in relation to Data Protection Principles and privacy notices. Privacy notices for Councillors being developed and to be provided.</u>	<u>Demonstrating strong commitment to rule of law and adherence to relevant laws and regulations</u>	<u>EP/LE</u>	<u>March 2023</u>
B1.1 Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	Completion of review of the FOI Publication Scheme, which is in progress.	Demonstrating commitment to openness.	LE/AW/MNH	March 2023
B3.1 Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes	Due to the Covid-19 pandemic, decisions have needed to be made by Gold Command for emergency reasons (under the temporary executive function transfer of power in place until 31.8.2021 and for operational procedures under the Civil Contingencies Act 2004 following that date), therefore it has been impossible to consult physically in the community at present for many services, and consequently the scoring has been amended to reflect this.	Improving Community Engagement.	AW	March 2023

Issue	Action	Outcome	Lead Officer	Completion Date
	To continue to progress the review of the Community Engagement Policy that will include provisions for how stakeholders are engaged in future.			
D2.3 Considering and monitoring risks facing each partner when working collaboratively including shared risks	<p>To continue to take into account legislative changes e.g. Local Government and Elections (Wales) Act 2021.</p> <p>To implement legislative changes, such as regarding the Local Government and Elections (Wales) Act 2021 and consider/monitor risks facing each partner when working collaboratively, including shared risks.</p>	Risk management and compliance with legislation to demonstrate commitment to rule of law.	AW/EP	March 2023
G3.1 Ensuring that recommendations for corrective action made by external audit are acted upon	Monitor progress of actions/recommendations.	Assurances and managing risk	EP/AW/SJ	March 2023

7 Conclusion

The annual governance framework review measured progress against the new CIPFA/SOLACE Delivering Good Governance Framework (2016) and overall governance arrangements were found to be acceptable or good.

The Council has made good progress during the year with recorded achievements against each of the seven core principles.

The development of a Local Code of Corporate Governance bringing together all the local codes and documents together in one document provides assurance that there are clear governance arrangements in place. This enabled the Council to react swiftly to the threats presented by the coronavirus pandemic.

The Council has identified a number of minor issues for resolution during 2022/23 and has set these out in an action plan for completion (as above). The actions taken as a direct result of the pandemic will be recorded, as appropriate.

8 Certification of Annual Governance Statement

We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness throughout the 2022/23 year and will monitor their implementation and operation as part of our next annual review. It is acknowledged that the pandemic may hinder some of these steps, which will be addressed and reported accordingly to Council in the 2022/23 AGS.

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Cyngor Sir CEREDIGION County Council

REPORT TO:	Council
DATE OF MEETING:	8 July 2022
TITLE:	Report on Constitution Guide and changes to the Council's Constitution
PURPOSE OF REPORT:	To consider the Constitution Guide, make changes to the Council's Constitution
FOR:	Decision
Cabinet Portfolio and Cabinet Member:	Councillor Matthew Vaux, Cabinet Member for Legal and Governance, Housing, People and Organisation and Public Protection

BACKGROUND:

The Constitution is published on the Council's website, and is a live document. The Monitoring Officer is authorised to make minor amendments to the Constitution, and update as necessary. The current published version of the Council's Constitution is available at:

<https://www.ceredigion.gov.uk/your-council/about-the-council/the-councils-constitution/>

Most recently, changes to the Constitution were approved by Council on 3rd March 2022 (see Report and Meeting Minutes at:

<https://council.ceredigion.gov.uk/ieListDocuments.aspx?CId=149&MId=165&Ver=4&LLL=0>)

Meetings of the Council's Cross Party Constitution Working Group ('the Working Group') have since been held on 15th March 2022 and 20th June 2022.

A) Constitution Guide

Section 45 of the Local Government and Elections (Wales) Act 2021 ('the 2021 Act') places a duty on the Council to:

1. Prepare and keep up to date a Constitution Guide, which explains, in ordinary language, the content of its Constitution;
2. Publish the Constitution Guide electronically (by **5/5/22**) and in such other manner as it considers appropriate;
3. Ensure that copies of the Constitution Guide are available at its principal office for inspection by members of the public at all reasonable hours; and
4. Supply a copy of the Constitution Guide to any person who requests a copy and who pays such reasonable fee as the Council may determine.

(see the 2021 Act at: <https://www.legislation.gov.uk/asc/2021/1>)

A Constitution Guide was prepared based largely on a Model Constitution Guide produced by the Welsh Local Government Association ('WLGA') and draft Welsh Government Statutory Guidance on Constitutions.

The draft Statutory Guidance recommends that preparing the Guide should form part of the Council's strategy on encouraging participation in decision making by the Council prepared under sections 39, 40 and 41 of the 2021 Act.

The draft Statutory Guidance states that Councils should also have regard to:

- their statutory duties in respect of equalities,
- Welsh language and the
- Well-being of Future Generations (Wales) Act 2015 when preparing the Guide.

A Constitution Guide was, therefore, prepared and considered by the Constitution Cross Party Working Group ('CCPWG') at its 3rd March 2022 Meeting.

In order to ensure compliance with the legislative deadline for publication, namely **5/5/22**, it has not been possible to consult before publishing the final Guide.

The Constitution Guide (bilingual) has been published on the Council's website (available at:

<https://www.ceredigion.gov.uk/your-council/about-the-council/the-councils-constitution/>

and attached at **Appendix 1**) as a first version of the document.

Minor amendments have since been made to the Constitution Guide (shown through tracked changes) (see **Appendix 1**) on the front cover page and adding in reference to new Article 16 (see below) (page 26 of the Constitution Guide), which shall be updated to the published document.

Council is requested to approve the Constitution Guide, with the minor amendments

B) Proposed changes to Constitution

Changes to certain sections of the Constitution were proposed to the CCPWG on 3rd March 2022 and 20th June 2022.

These were to align the Constitution with the amendments introduced by the Local Government and Elections (Wales) Act 2021 and through consideration of the changes made to the WLGA Model Constitution.

It was agreed with the CCPWG that some changes require further consideration and presented to Council at a future meeting.

The changes that the CCPWG have agreed to recommend to Council (changes from current version of Constitution marked using tracked changes tool) are as follows:

Contents (Appendix 2)

- Inclusion (for clarity) of list Articles under Part 2;
- Addition of reference to new Article 16 (Corporate Joint Committees – see Part 2 below); and
- Correction of Part 3 Title '*Responsibility for Council Functions*'.

Part 1 – Summary and Explanation (Appendix 3)

- Inclusion of reference to Constitution Guide;
- New reference to Corporate Joint Committees (new Article 16);
- Update to 38 Councillors;
- Reference to new Article 7.8 (Job Sharing);
- Minor amendment from 'he/she' to 'the Leader; and
- Reference to the Council's statutory duty relating to the Welsh Language, Well-being of Future Generations (Wales) Act 2015, equality and socio-economic duty, and duty to encourage local people to participate in making of Council decisions.

Part 2 – Articles of the Constitution (Appendix 4)

- Inclusion of reference to 38 members (as above);
- Including at Article 2.1.2 that a Member of the Council is disqualified from being appointed to any Officer position at the Council while they remain a Member;
- Change of name from '*National Assembly*' to '*Senedd Cymru*';
- Development of Article 3.1.2.4 regarding external auditor;
- Inclusion of new Article 6.6 for Joint Overview and Scrutiny Committees;
- Confirmation at Article 7.5 that the Council's arrangements for multi-location meetings do apply to Cabinet Meetings;
- New Articles 7.7 (assistants to the Cabinet) and 7.8 (Job Sharing);
- Inclusion of reference to Licensing Committee functions at Part 3.3. (Table 3);
- Development of Article 8 to include section on Other Committees;
- Expansion of Article 9.1.7.14 (Ethics & Standards Committee's annual report to Council);
- Inclusion of new Article 9.1.7.15 on Joint Standards Committee – as discussed at the Working Group, this wording has now been amended to reflect that the Mid Wales Corporate Joint Committee has established the Mid Wales Corporate Joint Committee Standards Sub-Committee;
- Inclusion of reference at 9.2.2.1.2 that the Governance and Audit Committee Members are appointed in accordance with political balance rules;
- Change of reference from Executive to Cabinet (for consistency);
- Reference at Article 10.2.5 to Part 7 of the Constitution;
- Inclusion of new Article 12.9 referring to decision-making by Corporate Joint Committees;
- Addition of definitions of Constitution Guide, Corporate Joint Committee, Meetings, Data Protection Legislation, Public Services Board, and Job Sharing (in reference to the definition of Leader); and
- Insertion of new Article 16 (Corporate Joint Committees) – also now on Contents page.
- Article 5.2 amending the title of 'Chairperson' to 'Chair' (and similarly 'Vice-Chairperson' to 'Vice-Chair') in line with terminology used.

Part 3 – Responsibility of Council Functions (Appendix 5)

- Inserting reference to the Leader's duties regarding the Mid Wales Corporate Joint Committee and Public Services Board; and
- Updating Part 3.4 Table 4 – Cabinet Member specific portfolio roles and responsibilities (note that only bodies referenced here are those where appointment is due to status as Cabinet Member).

Part 4 Document D- Cabinet Procedure Rules (Appendix 6)

- Minor amendment from 'him/her' to 'them';
- Updating Section 1.8 regarding the quorum to include reference to job sharing; and
- Updating Section 1.10 regarding voting to include reference to job sharing and assistants to the Cabinet.

Part 4 Document F – Financial Regulations and Accompanying Financial Procedures (Appendix 7)

- Minor correction at p.13 to '*The Accounts and Audit (Wales) Regulations 2014*' and '*Accounts and Audit Wales Regulations 2015 (as amended)*' (at p.43);
- Update at page 36 to '*CIPFA Prudential Code for Capital Finance in Local Authorities (2021 Edition)*';
- Update from Council's '*Group Manager Legal Services*' to '*Corporate Lead Officer – Legal & Governance*';
- Inclusion at p.43 of '*section 112 of the Local Government Finance Act 1988*' (per Model Constitution) and minor grammatical correction; and
- Amendment from '*Data Protection Act*' to '*Data Protection Legislation*'.

Part 4 Document H – Officer Employment Procedure Rules (Appendix 8)

- Including at Section 1.3.1 that an Officer of the Council is disqualified from being a Member of the Council while they remain an Officer (mirror clause to Article 2.1.2 in Part 2 above)

Part 7 – Consultative and Advisory Fora (Appendix 9)

- Addition at Section 7 of Mid Wales Corporate Joint Committee

RECOMMENDATIONS:

That the Council resolves to:

1. Approve the Constitution Guide as amended (at **Appendix 1**);
2. Approve the changes to the Constitution (at **Appendices 2-9**); and
3. Authorise the Monitoring Officer to update the Council's Constitution to reflect the above changes.

REASON FOR RECOMMENDATIONS:

- Adherence to legislation
- Ensuring that the Constitution and Constitution Guide is fit for purpose,

WELLBEING OF FUTURE GENERATIONS:

**Has an Integrated Impact Assessment been completed? No
If, not, please state why**

Summary: *This report does not represent a change in policy or strategy.*

Long term:

To ensure that the Constitution remains updated and fit for purpose for the long term benefit of the Council and citizens of Ceredigion.

Integration:	N/A
Collaboration:	N/A
Involvement:	N/A
Prevention:	To ensure that the Constitution remains updated and fit for purpose.

Overview and Scrutiny: n/a

Policy Framework: Constitution

Corporate Priorities: Cross cutting theme to ensure that services are fit for purpose.

Finance and Procurement implications: None

Legal Implications: Failure to comply with legislative requirements and statutory guidance

Staffing implications: None

Property / asset implications: None

Risk(s): Without these changes the Constitution will not be updated and fit for purpose. Without a Constitution Guide the Council will be in breach of the requirements of the Local Government and Elections (Wales) Act 2021.

Statutory Powers: Local Government and Elections (Wales) Act 2021: <https://www.legislation.gov.uk/asc/2021/1/enacted>

Mid-Wales Corporate Joint Committee Regulations 2021: <https://www.legislation.gov.uk/wsi/2021/342/made>

Corporate Joint Committees (General) (Wales) Regulations 2021: <https://www.legislation.gov.uk/wsi/2021/327/made>

CJC (Amendment to Schedule 6 of Welsh Language (Wales) Measure 2011 Regs 2021: <https://www.legislation.gov.uk/wsi/2021/341/contents/made>

Minister for Housing and Local Government, Welsh Government, 23 February 2021 Written Statement: Laying Statutory Instruments to establish Corporate Joint Committees:

<https://gov.wales/written-statement-laying-statutory-instruments-establish-corporate-joint-committees>

CJC (Transport Functions) (Wales) Regulations 2021

<https://www.legislation.gov.uk/wsi/2021/328/contents/made>

Background Papers:

Report to Council – 3 March 2022 and Meeting Minutes available at:

<https://council.ceredigion.gov.uk/ieListDocuments.aspx?CId=149&MId=165&Ver=4&LLL=0>

Appendices:

Appendix 1 – Constitution Guide with draft minor amendments;

Appendix 2 – Draft Contents

Appendix 3 – Draft Part 1 – Summary and Explanation

Appendix 4 – Draft Part 2 Articles

Appendix 5 – Draft Part 2 Responsibility for Council Functions

Appendix 6 – Draft Part 4 Document D Cabinet Procedure Rules

Appendix 7 – Draft Part 4 Document F Financial Regulations

Appendix 8 – Draft Part 4 Document H Officer Employment Procedure Rules

Appendix 9 – Draft Part 7 Consultative and Advisory Fora

Corporate Lead Officer:

Elin Prysor-Corporate Lead Officer: Legal & Governance Services (& Monitoring Officer)

Reporting Officer:

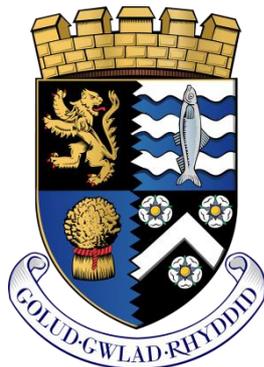
Elin Prysor

Date:

21 June 2022

Ceredigion County Council

Guide to the Constitution



Cyngor Sir
CEREDIGION
County Council

Author and service: Corporate Lead Officer Legal & Governance

Date approved by Council:

Integrated Impact Assessment (Yes/No): Not applicable

Publication date: 5.6.2022

Review date:

Produced pursuant to section 45 of the
Local Government and Elections (Wales) Act 2021

Draft: 5/4/22

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Introduction

The Constitution

The Council is made up of different individuals and bodies who work together to deliver the Council's functions.

The Council's Constitution describes the different people and bodies that make up the Council, their functions, and the procedure rules that govern how those bodies work together to deliver services.

It is intended to: -

- enable the Council to make decisions efficiently and effectively;
- support you to participate in decisions that affect you;
- help Councillors to represent their constituents more effectively; and
- enable you to hold the Council to account.

One of the main aims of the Constitution is to set out clearly what you can expect from the Council, and what you can do if your expectations are not met.

This Constitution Guide will be taken into account in drafting of the Council's Participation Strategy.

This guide

This guide is designed to help you to understand how the Council works to deliver services in your area. It provides an overview of the Council's Constitution and explains key sections of the Constitution in clear and simple language.

It may also be of use to those organisations that work with the Council to deliver services in the Council's area.

The first part of this guide explains why the Constitution is important and how it is reviewed and updated.

It aims to answer questions such as: -

- *Why does the Council have a constitution?*

P. 1

- *How can I get a copy of the constitution?* P.8
- *Who is responsible for keeping the constitution up to date?* P.8

The second part of this guide explains how the Council is structured. It describes the Council's democratic bodies as well as how decisions are made and by whom.

It explains the functions of the Council, its Executive (Cabinet) and its committees, and which body of the Council is responsible for particular policies and decisions.

It aims to answer questions such as: -

- *What does my local Councillor do?* p.13
- *What does the Council do?* p.15
- *What happens at Council meetings?* p.16+15
- *How does the Council make decisions?* p.16
- *How can I find out what the Council decided about an issue that affects me?* p.17
- *What does the Cabinet (Executive) do?* p.19+19
- *How does the Cabinet (Executive) make decisions?* p.20
- *What do the Council's committees do?* p.21
- *Who is responsible for governance, audit and risk management?* p.21
- *Who is responsible for upholding local democracy?* p.21
- *What does the licensing committee do?* p.22
- *What does the development management committee do?* p.22
- *How are decisions scrutinised?* p.23
- *Who is responsible for upholding standards and holding Councillors to account for their conduct?* p.23

The third part of this guide explains the roles and responsibilities of elected members and paid officers of the Council. It describes the jobs they do, and how they work together to deliver the Council's functions and priorities. It also explains the codes of conduct that govern councillors' and officers' conduct and the standards of behaviour that you can expect from them.

It aims to answer questions such as: -

- *What does the Chair do?* p.28
- *What does the Civic Chair do?* p.28
- *What does the Leader do?* p.29
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- *My Councillor is a member of the Cabinet, what does this mean?* p.30
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- *What does the Chief Executive do?* p.31
- *What responsibilities does the Monitoring Officer have?* p.31
- *Who is responsible for ensuring that the Council's democratic policies and procedures are complied with?* p.31
- *How should Councillors behave?* p.33
- *How should Officers behave?* p.36
- *Are there any special requirements when Councillors of Officers decide planning applications?* p.36
- *How can I complain about the behaviour of a Councillor?* p.37
- *How do I report concerns about the conduct of a paid Officer of the Council?* p.37

The fourth part of this guide provides a summary of the key policies and procedures that govern how the Council carries out certain functions.

It aims to answer questions such as: -

- *Where can I find the Council's key plans and strategies?* p.38
- *How is the Council's policy framework decided?* p.38
- *How does the Council set its budget?* p.39
- *Can decisions be taken that do not comply with the budget or policy framework?* p.39

- *Can money be moved from one budget head to another once the budget has been adopted?* p.40
- *What other policies and procedures govern how the Council manages its budget?* p.40
- *Are there any restrictions on how the Council buys in goods and services?* p.40
- *How does the Council enter into contracts and agreements?* p.41

The final part of this guide explains how you can engage with, and get involved in, your Council and local democracy. It explains how your councillors are elected, how you can contact your councillor, raise questions and speak at meetings, and how you can use petitions to raise issues that are important to you with the Council.

It aims to answer questions such as: -

- *How can I find out when an issue I am concerned about will be decided?* p.42
- *Can I ask a committee or body of the Council to look into a particular issue?* p.42
- *Can I attend meetings of the Council?* p.43
- *Can I attend other meetings?* p.44
- *Can I speak at a meeting?* p.44
- *Can I ask a question at a meeting?* p.44
- *How can I find out what the Council decided?* p.44
- *Can I view the Council's accounts to understand how my council tax is spent?* p.45

Signposts to the most relevant sections of the Constitution and to additional resources available on the Council's website are provided throughout this guide to enable you to read more on a particular topic if you wish.

There is also a detailed index on the last page of this guide to allow you to quickly look up specific topics and issues of interest to you.

If there is anything in this guide which is unclear, or anything is missing, please let us know so we can improve it.

You can get in touch by emailing the Monitoring Officer:

MonitoringOfficer@ceredigion.gov.uk

Part 1 The Constitution

The Constitution governs the way in which the Council, Councillors and Officers working at the Council work together to deliver the Council's functions. It ensures that everyone at the Council acts lawfully, fairly and appropriately and that the Council's functions are performed properly and effectively.

 Part 1 of the Constitution explains the purpose of the constitution.

You can obtain a copy of the Constitution from the Council's offices and view it on the Council's website: www.ceredigion.gov.uk

A copy of the Constitution must also be provided to each Councillor when they are elected to the Council.

 You can access the Council's Constitution on the Council's website: www.ceredigion.gov.uk

 Article 14 of the Constitution explains where, when and how the Constitution must be published.

The Monitoring Officer is responsible for maintaining and reviewing the Constitution. The Monitoring Officer is also responsible for deciding how the Constitution should be understood and applied.

You can read more about the Monitoring Officer's role in Part 4 of this guide.

The Full Council is responsible for agreeing the Constitution. Once the Constitution has been agreed, it can only be changed by the Full Council. Usually, changes to the constitution are recommended to the Full Council by the Monitoring Officer.

In some circumstances, the Monitoring Officer may make changes to the Constitution. For example, where there is a change in the law that affects the constitution, or where a minor change is needed to clarify a provision in the constitution that is unclear.

 Article 14 of the Constitution explain how the constitution is agreed and how it can be changed.

The Constitution also governs how meetings of the Council and its committees should be conducted. The person chairing a meeting will be responsible for ensuring that the Constitution is followed during that meeting.



Key words and phrases are defined and explained in Article 15 of the Constitution.

In the Constitution, the Council acknowledges the need to have regard to its statutory duty in relation to the Welsh Language, the Well-being of Future Generations (Wales), equality and socio-economic duty (see Part 1 and Articles 3 and 12 in Part 2).

Part 2 The Council's democratic structures

The Council is made up of Councillors who are elected every five years to represent people living in different parts of the Council's area (referred to in the Constitution as 'electoral divisions', but commonly known as 'wards').

Councillors are responsible for everyone living in the Council's area, but they have a special duty to people living in their ward.



Part 2 of the Constitution provides an overview of how individual Councillors work together as the Council.

All Councillors meet together regularly as the (Full) Council. The Council is responsible for setting the Council's budget, policy priorities and overall policy framework.

At the start of every new administrative year, the Council will elect one Councillor as its Chair. The Chair is responsible for chairing meetings of the Council and ensuring that decisions are taken properly and in accordance with the rules. The Council's Chair is also the Civic Chair, who is responsible for carrying out certain ceremonial functions.

You can read more about these roles in Part 3 of this guide.

Individual Councillors may also be appointed to the Cabinet by the Leader. Members of the Cabinet are responsible for specific policy areas, commonly referred to as portfolios. Where responsibility for a particular work area or function is given to a member of the Cabinet, it is described in the Constitution as being delegated to that person.

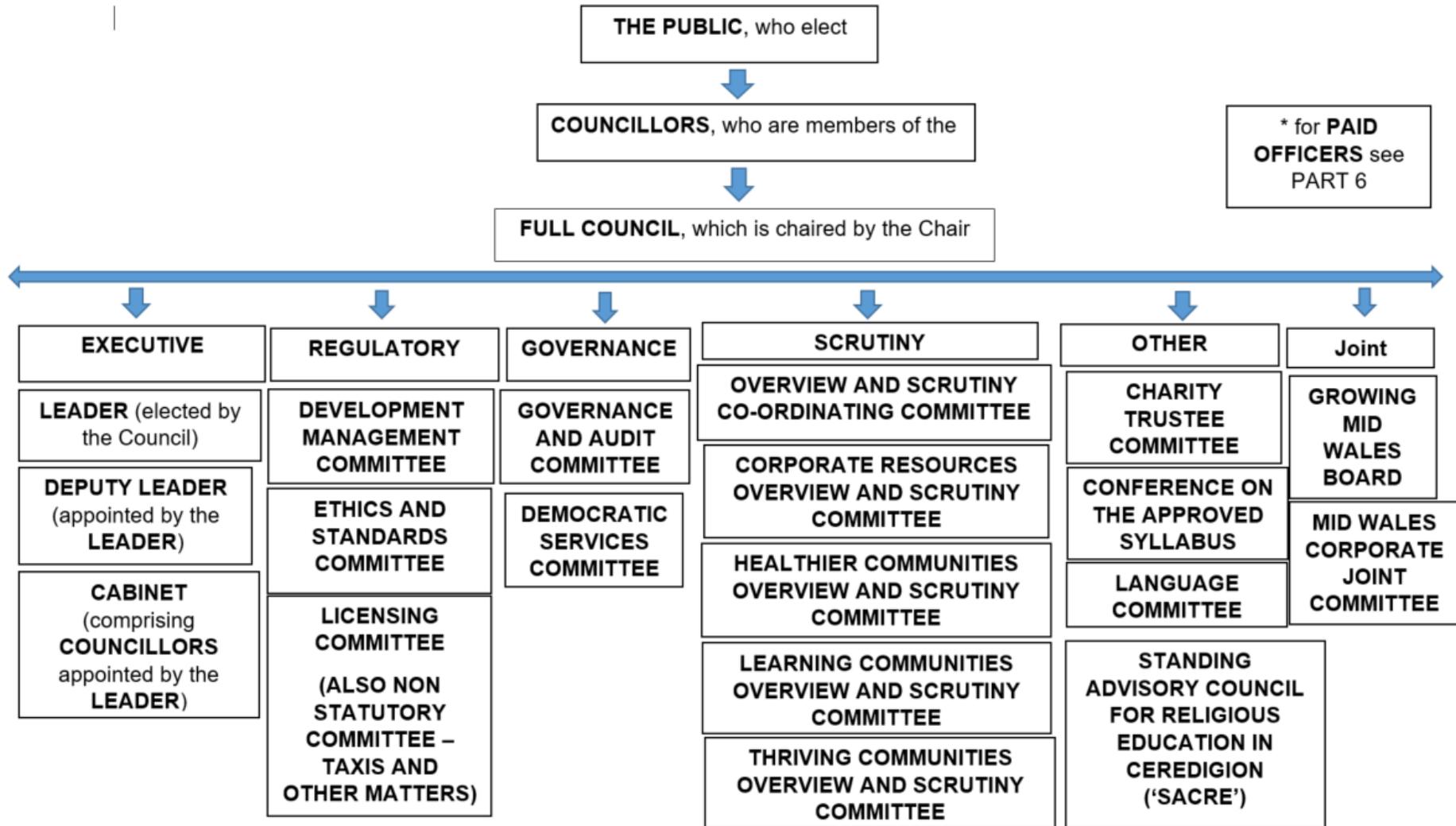
The Cabinet meets regularly to take collective decisions on those aspects of the Council's work which the Cabinet is responsible for.

Some of the Council's functions are carried out by committees. Committees are small groups of Councillors that meet together to carry out certain of the Council's regulatory and scrutiny functions.

The Council may engage such paid Staff (referred to as Officers) as it considers necessary. The Cabinet, Council and committees may delegate functions to officers. Further information on delegations can be found in the officers' scheme of delegations in Part 3.5

You can read more about all of these structures in the following sections of this Part of the guide.

DEMOCRATIC ROLES



Part 6 Management Structure chart

CHIEF EXECUTIVE: EIFION EVANS											
CORPORATE DIRECTOR : BARRY REES						CORPORATE DIRECTOR: JAMES STARBUCK					
<ul style="list-style-type: none"> To ensure the development, implementation and evaluation of corporate strategic priorities and objectives which deliver high quality, safe, efficient and effective services to the residents of Ceredigion To work strategically and creatively to achieve the highest possible standards of performance in Council services 						<ul style="list-style-type: none"> To be Corporate Director and provide strategic leadership within the Council ensuring that all services comply with, and support, the Council's strategic objectives and standards. To deputise for the Chief Executive when required To provide leadership, guidance and performance management of up to six Corporate Lead Officers 					
CORPORATE LEAD OFFICERS (6)						CORPORATE LEAD OFFICERS (6)					
<ul style="list-style-type: none"> To be Corporate Lead Officer and lead advisor to the Council for all matters relating to their specific functions as listed below To provide a key link with Corporate Directors and work with other Corporate Lead Officers in ensuring that strategic and corporate objectives are effectively co-ordinated and implemented across all service areas 						<ul style="list-style-type: none"> Whilst Corporate Lead Officers have specific responsibility for the management and leadership of a portfolio of service areas, they have an overriding corporate responsibility to ensure that all service activities and actions comply with and support Council strategic objectives and standards To work creatively and strategically to achieve the highest possible standards of performance in Ceredigion County Council services 					
SCHOOLS AND CULTURE	LEGAL & GOVERNANCE	FINANCE & PROCUREMENT	POLICY, PERFORMANCE & PUBLIC PROTECTION	ECONOMY & REGENERATION	HIGHWAYS & ENVIRONMENTAL SERVICES	PORTH CYNNAL - SPECIALIST THROUGH AGE SERVICES	PORTH GOFAL TARGETED INTERVENTION	PORTH CYMORTH CYNNAR	PEOPLE & ORGANISATION	CUSTOMER CONTACT	DEMOCRATIC SERVICES
Meinir Ebbsworth	Elin Prysor	Stephen Johnson	Alun Williams	Russell Hughes-Pickering	Rhodri Llwyd	Sian Howys	Donna Pritchard	Elen James	Geraint Edwards	Arwyn Morris	Lowri Edwards
*Chief Education Officer	*Monitoring Officer	*Chief Finance Officer (s151 Officer)				*Statutory Director of Social Services *Responsible Individual	Deputy Director of Social Services			*SIRO *Proper Officer for Civil Registration	*Head of Democratic Services
<ul style="list-style-type: none"> School Improvement Additional Learning Needs Pupil well-being School Admissions Infrastructure & Resources Culture Catering 	<ul style="list-style-type: none"> Legal Governance Internal Audit Coroners 	<ul style="list-style-type: none"> Procurement and Payments Core Finance (Deputy 151) Service Finance Revenues & Financial Assessment 	<ul style="list-style-type: none"> Strategic Partnerships, Engagement & Equalities Complaints, Compliments & FOI Public Protection Corporate Performance & Research Refugee resettlement Civil contingencies & Business continuity 	<ul style="list-style-type: none"> Growth and Enterprise Planning Property 	<ul style="list-style-type: none"> Highways Maintenance Highways Development Local Environment Services Transport Services 	<ul style="list-style-type: none"> Specialist through age services including Safeguarding Mental Health Planned care Substance misuse Extended Support Services Quality Assurance & Independent Review 	<ul style="list-style-type: none"> Porth Ceredigion Intake & Triage Team Targeted intervention services Fostering Services Residential and Day care services Housing Services Integrated community equipment stores Emergency Duty Team 	<ul style="list-style-type: none"> Lifelong Learning & Skills Leisure & Wellbeing Youth Support Services Early Help Services Support and Intervention Services Behaviour Support Services 	<ul style="list-style-type: none"> HR Advice & Admin Pay and Benefits & Systems Learning & Development Health & Safety Employee engagement & wellbeing 	<ul style="list-style-type: none"> ICT Customer Contact Archives & Info Management Library Services Civil Registration 	<ul style="list-style-type: none"> Democratic Services Welsh Language Standards & Translation Communication Electoral Services Corporate Service Support
* denotes Statutory Roles											

Councillors

Councillors are elected by the people living in a particular ward to represent them on the Council. However, Councillors are also accountable to the wider community and must act in the best interests of everyone living in the Council's area.

If you want to raise an issue with the Council and are not sure who to contact, you may wish to contact your Councillor to ask for help.



You can find out who your local Councillor is and their contact details on the Council's website: www.ceredigion.gov.uk

All Councillors are members of the Council, and they may also be members of one or more of the Council's Members bodies (such as the Cabinet or a committee). Where Councillors act as a member of a particular Council body, they are referred to in the Constitution as 'Members'.



This is explained more fully in the list of definitions in Art 2 Part 3 of the Constitution.

Councillors have certain rights that are set out in the Constitution, which enable them to raise issues and make representations on your behalf.

For example, Councillors may: -

- see information which they need in order to fulfil their role as a member of the Council;
- attend any meeting of the Council, its committees or the Cabinet;
- speak at any meeting of any Council body which they are a member of;
- with the permission of the Chair, speak at any meeting of any Council body (even if they are not a member of that body);
- talk to the Leader, or members of the Cabinet or Senior Council officers about any aspect of Council business; and
- raise service issues or complaints.



Councillors' rights to information are set out in Part 5 Doc K of the Constitution. See also Article 2.3.3 (in Part 2) of the Constitution and Part 4 Document B Access to Information Procedure Rules (in particular Rule 17), and Part 4 Document E Overview and Scrutiny Procedure Rules (in particular Rule 14).

 Councillors' rights to participate in Council proceedings are set out in Article 2, Parts 4 Doc A D and E, Part 4 Doc I and Part 5 Doc N of the Constitution.

Councillors may also raise questions at meetings of the Council and the Council's committees and sub-committees, submit motions to the Council and call-in Cabinet decisions.

 The rules surrounding how these rights are exercised are set out in sections Part 4 Doc. A, D & E. Also Part 5 Doc M/M2of the Constitution.

You can read more about the role of elected Councillors and the qualities that make a good Councillor in the role description here:

WLGA: Framework Member Role Descriptions & Person Specifications :

<https://www.wlga.wales/SharedFiles/Download.aspx?pageid=62&mid=665&fileid=346>

Council



Part 4 Document A of the Constitution governs the Full Council.

What does the Council do?

The law requires that certain important decisions are taken by all Councillors meeting together as the Council. These are referred to in the Constitution as functions of the Full Council. The Council may decide that other non-executive functions should be carried out by the Council too. These are referred to in the Constitution as local choice functions because the Council has a choice about which person or body should carry them out.



Part 3 (3.1-3.4) of the Constitution explains the different types of functions that are carried out by the Council and which part of the Council is responsible for carrying them out.

The Council is responsible for, amongst other things: -

- agreeing the Constitution, and any changes to the Constitution;
- setting the Council's budget;
- developing the Council's Corporate Strategy (which explains how the Council will deliver its legal duties in areas such as health and social care, children and young people and community safety);
- agreeing key plans and strategies (referred to in the Constitution as the 'policy framework');
- reviewing and reporting on the Council's performance;
- electing the Leader and the Chair; and
- appointing the Chief Executive and other Chief Officers.



All of the functions of the Council are listed in Part 3 (Part 3.3 (Table 4) and Art 4 of the Constitution.

Meetings of the Council are chaired by the Chair. They are responsible for ensuring that meetings are conducted in accordance with the Constitution and that decisions are made properly, fairly and lawfully.

You can read more about the role of the Chair in Part 3 of this guide.

What happens at meetings of the Council?

The Council will meet at the start of each financial year to elect Councillors to particular positions on the Council, to appoint Councillors to outside bodies and to establish committees and working groups to carry out the Council's business during the year. This is known as the annual meeting.

 The timing of the annual meeting and the issues to be decided at that meeting are described in the council procedure rules in Part 4 Doc. A of the Constitution.

At the annual meeting, the Council will also decide how often all Councillors should meet together as the Full Council. These regular meetings of the Full Meetings are known as ordinary meetings.

 Ordinary meetings are carried out in accordance with the Council Procedure Rules in Part 4 Doc. A of the Constitution.

In some circumstances, it may be necessary for the Council to meet before its next scheduled meeting to discuss an issue that is particularly urgent or important. This is known as an extraordinary or special meetings of the Council.

 The process by which an extraordinary meeting may be called and the issues that may be discussed there are set out in Part 4 Doc. A of the Constitution.

The Head of Democratic Services is responsible for deciding when and where meetings of the Council will be held. They must notify Councillors of this by issuing them with a summons.

The Head of Democratic Services is also responsible for ensuring that the public are told about meetings of the Full Council, by publishing a notice in advance of each meeting. The notice must include certain information such as the date and time of the meeting, where it will be held and how you can access the meeting remotely using video conferencing.

You can read more about participating in meetings of the Council in part 4 of this guide.

 Part 4 Doc B of the Constitution govern meeting arrangements and notice requirements.

The Council broadcasts Council and Cabinet Meetings, which are open to the public.

How does the Council make decisions?

Meetings of the Council are carried out in accordance with an agreed set of rules that are designed to ensure that debates are conducted fairly and efficiently, and

that every Councillor has the ability to raise questions and to make comments on the public's behalf.

 The rules of debate are set out in Part 4 Doc. A of the Constitution.

Decisions are made by Councillors casting votes for or against a particular decision (referred to in the Constitution as a motion). Councillors may also propose amendments (changes) to a particular motion, which must then be voted on.

Usually, votes will be conducted by a show of hands, with Councillors asked to raise their hand to indicate whether they vote for or against a particular motion, or whether they wish to abstain (i.e. to vote neither for nor against the motion).

Decisions will usually require a simple majority of those present voting for a particular motion or decision. In other words, more Councillors must vote for a motion than against it. Where a vote is tied once all Councillors have voted, the Chair will have a second, casting vote.

Councillors may request a recorded vote on a particular issue. In a recorded vote, the Councillors voting for and against a particular motion, and those abstaining, will be written down and recorded in the minutes of the meeting. Councillors may also request that their individual vote on a particular motion is recorded in the minutes.

 The Council's voting arrangements are set out in Part 4 Doc. A of the Constitution.

Does every Councillor need to be present before a decision can be taken?

Not every Councillor needs to vote on every decision. In fact, in some circumstances it may not be appropriate for a Councillor to vote on a particular issue (for example, where they have a personal and prejudicial interest in a decision). You can read more about this in part three of this guide.

However, in order for the Council to make a lawful decision a minimum number of Councillors must be present at a meeting. The minimum number of Councillors that must be present at a meeting is referred to in the Constitution as the quorum for that meeting.

 Part 4 Doc. A of the Constitution sets out the minimum number of Councillors that must be present so the Full Council can make a decision.

Are meetings recorded?

A record of each meeting will be kept in the form of minutes. The minutes will contain a record of the motions/proposals that were put to the meeting, and the decisions that were taken. They will also record who was present at the meeting.

The minutes of a meeting of the Council will be agreed by the next meeting of the Council and published on the Council's website in accordance with the Council's access to information procedure rules.

If you want to find out what the Council decided about a particular issue, you can read the minutes of the meeting where that issue was discussed.



Information on minutes can be found in Part 4 Doc A of the Constitution.



The access to information procedure rules can be found in Part 4 Doc. B of the Constitution.



Minutes of meetings are available on the Council's website:
www.ceredigion.gov.uk

The Cabinet

The Cabinet is made up of the Leader and individual Councillors appointed to the Cabinet by the Leader.

 Part 1 para 4 and Art. 7 of the Constitution explain the composition of the Cabinet and how Councillors are appointed to the Cabinet.

The role of Leader and any role on the Cabinet may be carried out by two or more Councillors on a job-share basis.

What does the Cabinet do?

The Leader is responsible for carrying out the Council's executive functions. However, in practice the Leader cannot personally carry out every one of these functions, so the Leader delegates responsibility for certain functions to the Cabinet, to members of the Cabinet, to Officers of the Council or to another bodies.

Each year, the Leader decides which functions to delegate to whom. This is known as the Council's scheme of delegation.

In order to protect the Council and the public's interests in circumstances where decisions are deemed urgent, such that any delay would seriously prejudice the Council's or the public's interests, in the absence or unavailability of the Leader or Deputy Leader, the Leader may delegate the power and responsibility of exercising Executive functions, including making decisions and undertaking relevant actions, to the Chief Executive (and/or Corporate Director/Leadership Group).

 Part 1, Part 2, Part 4 Doc A, Part 4 Doc D, Part 5 3 (3.4 Table 4) of the Constitution explain how functions are delegated by the Leader.

 The Council's scheme of delegation can be found in Part 3 of the Constitution.

Meetings of the Cabinet

The Leader will decide when the Cabinet will meet, and for how long. They will also chair meetings of the Cabinet.

The Constitution prescribes certain matters that must be considered at every meeting of the Cabinet. Additionally, the Leader, members of the Cabinet

(Executive) and certain Chief Officers may require that an item of business is added to the meeting agenda.

Meetings of the Cabinet are carried out in accordance with the rules of procedure and debate set down in the Constitution.

 The rules of procedure and debate of the Cabinet are set out in Part 4 Doc. B of the Constitution.

 Part 4 Doc B of the Constitution governs how meetings of the Cabinet are conducted.

How does the Cabinet make decisions?

The Cabinet is obliged to consult with individual Councillors and with certain committees before it makes a decision on matters that are not urgent.

 These consultation requirements are explained in Part 4 Doc B of the Constitution.

The Cabinet must keep a record of every decision it makes, including every decision made by an individual member of the Cabinet and the Cabinet's committees.

 Part 4 Doc B of the Constitution sets down the requirements for the Cabinet record of decisions.

 You can read the minutes of meetings of the Cabinet on the Council's website: www.ceredigion.gov.uk

Why does the Council have committees and what do they do?

The law requires the Council to establish committees for the purpose of carrying out certain legal functions of the Council.

The Council may also decide to establish other committees and working groups for the purpose of assisting the Council to conduct its business efficiently and effectively.

What do the Council's regulatory committees do?

Governance and Audit Committee

The Governance and Audit Committee advises the Full Council, the Cabinet and their respective committees and members on matters relating to good governance, financial oversight, risk management and complaints.

The Governance and Audit Committee monitors the effectiveness of the Council's rules and procedures for ensuring that the Council acts lawfully, responsibly and that it is accountable to the public (referred to in the Constitution as the Council's governance systems and internal controls). The committee is also responsible for ensuring that the Council's decisions and finances are audited in accordance with agreed procedures.

The Governance and Audit Committee comprises a mixture of Councillors and lay members (who are not members of the Council). Councillors are appointed to the Committee in accordance with the political balance rules (which ensure that the political make-up of the committee reflects the political make-up of the Council).

 Art. 9 of the Constitution explains the Council's arrangements for the Governance and Audit Committee.

 The scheme of delegation in Part 3 (Part 3.3 Table 3) of the Constitution explains the functions of the Governance and Audit Committee.

Democratic Services Committee

The Council is responsible for appointing the Head of Democratic Services, and the Democratic Services Committee is responsible for keeping under review the provision of resources to the Head of Democratic Services and supporting non-executive members of the Council.

The Democratic Services Committee is made up of Councillors, though there are limits to the number of Cabinet members who can sit on the Democratic Services Committee. Councillors are appointed to the Committee in accordance with the

political balance rules (which ensure that the political make-up of the committee reflects the political make-up of the Council).

 Part 3 (Part 3.3 Table 3) of the Constitution explains the Council's arrangements for the Democratic Services Committee.

 The scheme of delegation of the Constitution Part 3 (Part 3.3 Table 3 of the Constitution explains the functions of the Democratic Services Committee).

Licensing Committee

The Council is responsible for deciding whether to grant licences for a wide range of different businesses, services and activities in its area. The Council's licensing functions are delegated to the Council's Licensing Committee.

The Council will appoint individual Councillors to the Licensing Committee and agree terms of reference for, and the delegation of powers to, the Licensing Committee to enable it to discharge those functions.

 You can read more about the Council's Licensing Committee in Art 8 and Part 3 (3.3 Table 3) of the Constitution.

 You can also read more about the Council's licensing functions on the Council's website: www/ceredigion.gov.uk

Development Management Committee

The Council is responsible for operating the planning system in its area. This involves preparing local development plans and local planning policies (which govern development in the Council's area) and managing development (by granting or refusing permission for new development).

The Council will appoint individual Councillors to the Development Management Committee and agree terms of reference for, and the delegation of powers to, the Planning Committee to enable it to discharge those functions.

 You can read more about the Council's Development Management Committee in Art. 8, Part 4 Doc I and Part 5 Doc Q of the Constitution.

 You can also read more about the Council's planning functions on the Council's website: www/ceredigion.gov.uk

What do the Council's scrutiny committees do?

Overview and Scrutiny Committees

The Overview and Scrutiny Committees are responsible for holding the Cabinet and other bodies of the Council to account.

The Overview and Scrutiny Committees can: -

- review and scrutinise decisions made by the Cabinet and other parts of the Council;
- make reports and recommendations to the Council or to the Cabinet; and
- make proposals regarding changes to the Council's policies and procedures.

 The functions of the Overview and Scrutiny Committees are set out in Art 6 of the Constitution.

Members of the Overview and Scrutiny Committees must be told about meetings of other Council bodies. They have special rights to see Council documents.

The Overview and Scrutiny Committees may also require any member of the Cabinet or any senior paid officer of the Council to attend a meeting of the committee to explain a decision that they have taken or their performance.

 The Overview and Scrutiny Committees' rights and powers are described in Art 6 of the Constitution.

 The rules around membership of the Overview and Scrutiny Committees, the conduct of committee meetings and the carrying out of the functions of the committee are set out in Art 6, Part 4 Doc E and Part 5 Doc M/M2 of the Constitution.

Ethics and Standards Committee

The Ethics and Standards Committee is responsible for promoting high standards of conduct by Councillors, including by advising and training Councillors on the councillor code of conduct and advising the Council on changes to that code.

 The functions of the Ethics and Standards Committee are set out in Art 9 and Part 3 (3.3 Table 3) of the Constitution.

The Ethics & Standards Committee is also responsible for investigating alleged breaches of the councillor code of conduct and censuring members who are found to have failed to comply with that code.



The procedure for dealing with allegations made against Councillors is available by contacting the Public Services Ombudsman for Wales or the Council's website:www.ceredigion.gov.uk

The Ethics and Standards Committee comprises a mixture of Councillors and independent members (who cannot be members or paid officers of the Council or related to members or paid officers of the Council).

Councillors are appointed to the Committee in accordance with the political balance rules (which ensure that the political make-up of the committee reflects the political make-up of the Council).



You can read more about the Ethics and Standards Committee in Art 9 and Part 3 (3.3 Table 3) of the Constitution.

What are joint committees?

The Council may carry out some of its functions jointly with one or more other local authorities in Wales, and with other public bodies. The Council may decide to do this where, for example, the Council considers that it could better promote the economic, social or environmental wellbeing of people living in its area by coordinating its activities with other local authorities, bodies or people.

The Council can establish a joint committee with other local authorities, bodies or people and delegate decisions and functions to that joint committee. By allowing decisions to be taken by a joint committee, the Council can ensure that decisions can be coordinated between all authorities and bodies represented on the committee.

The Cabinet may also establish joint arrangements with one or more local authorities in Wales for the purpose of jointly exercising executive functions together with those authorities.



Art 10 of the Constitution governs the circumstances in which the Council or Cabinet may enter into joint arrangements with other authorities and bodies.

The Council and the Cabinet may also delegate or contract out particular functions to another local authority or to another body or organisation.



Art 10 of the Constitution explain the Council's delegations and contracting out arrangements.

The Mid Wales Corporate Joint Committee

The Mid Wales Corporate Joint Committee is a type of joint committee.

However, unlike other joint committees (which are created by Councils deciding to work together), the Mid Wales Corporate Joint Committee was created by the Welsh Ministers.

The Mid Wales Corporate Joint Committee is responsible for the following functions:

- developing a regional transport plan;
- strategic development plan;
- economic well-being;

The Council must work together with other members of the Mid Wales Corporate Joint Committee when it performs these functions.

Corporate joint committees are established through regulations made by the Welsh Ministers. Consequently, many of the rules and standards that apply to corporate joint committees are set down in regulations, rather than in the Constitution.



You can read more about the Mid Wales Corporate Joint Committee arrangements in [Part 2 \(Article 16\) and](#) Part 7 of the Constitution.

You can read the regulations that govern the Mid Wales Corporate Joint Committee online:

- <https://www.legislation.gov.uk/wsi/2021/327/contents> (The Corporate Joint Committees (General) (Wales) Regulations 2021)
- <https://www.legislation.gov.uk/wsi/2021/1349/contents/made> (The Corporate Joint Committees (General) (No.2) (Wales) Regulations 2021)
- <https://www.legislation.gov.uk/wsi/2021/342/contents> (The Mid Wales Corporate Joint Committee Regulations 2021)



You can read more about statutory joint committees generally in guidance published by the Welsh Government: <https://gov.wales/corporate-joint-committee-statutory-guidance-summary>

Part 3 Roles and responsibilities

What roles do Councillors perform?

In Art 2 of the Constitution you can find information about the roles that Councillors may perform on the Council.

These include: -

- Leader and Deputy Leader;
- Chair and Vice Chair;
- Member of the Cabinet;
- Assistant to Cabinet-if applicable;
- Elected Member (Councillor);
- Chair and / or member of the Democratic Services Committee;
- Chair and / or member of the Governance and Audit Committee;
- Chair and / or member of the Overview and Scrutiny Committee;
- Chair and / or member of the Ethics and Standards Committee;
- Chair and / or member of a regulatory committee;
- Leader of the Opposition and Deputy Leader of the Opposition; and
- Member Champion.

In Art 11 of the Constitution you will find information about the roles played by senior paid officials of the Council, including the Chief Executive, the Monitoring Officer, the Chief Finance Officer and the Head of Democratic Services.

This part of the guide provides more information about these important roles.

Chair and Vice Chair

The Chair and Vice Chair are elected by the Council every year.

-  The procedures that govern the election of the Chair and the Vice Chair and their resignation or dismissal are set out in Art 5 of the Constitution.

The Chair is responsible for: -

- promoting and upholding the Constitution;
- presiding over meetings of the Full Council;
- ensuring that meetings of the Full Council are quorate and conducted in accordance with the Council's procedure rules; and
- ensuring that decisions are taken in accordance with the Constitution.

The Chair is also the civic leader of the Council. They are responsible for promoting the interests and reputation of the Council and for carrying out civic, community and ceremonial activities.

The Vice Chair performs the Chair's functions in their absence.

-  You can read more about the role and functions of the Chair and the Vice Chair in Art 5 of the Constitution.

-  The role description for the Chair can be found in Art 5 of the Constitution.

-  The role description for the Vice Chair can be found in Art 5 of the Constitution.

The person specification for the Chair can be found within the WLGA: Framework Member Role Descriptions & Person Specifications:

-  <https://www.wlga.wales/SharedFiles/Download.aspx?pageid=62&mid=665&fileid=346>

The Vice Chair performs the Chair's functions in their absence.

Civic Chair and Civic Vice Chair

The Civic Chair is the civic leader of the Council. They are responsible for promoting the interests and reputation of the Council and for encouraging public involvement in the Council's activities.

The Civic Chair undertakes civic, community and ceremonial activities on behalf of the Council and is responsible for fostering community identity and pride.

The Civic Vice Chair performs the Civic Chair's functions in their absence. The Council's Chair holds the Civic Chair role.

Leader and Deputy Leader

The Leader is elected by the Council every year.

The Deputy Leader is appointed by the Leader to exercise the Leader's functions in their absence.



The arrangements governing the election of the Leader and the appointment of the Deputy Leader are set out in Article 4 (Part 2), Part 3 (3.4 Table 4 of the Constitution).

The Leader is responsible for appointing Councillors to the Cabinet and for allocating specific policy areas and responsibilities (portfolios) to members of the Cabinet, recommending the allocation of specific policy areas and responsibilities (portfolios) to members of the Cabinet for agreement by the Council.

The Leader is also responsible for preparing a scheme describing which functions are to be carried out by which members of the Cabinet (this is referred to in the Constitution as the Cabinet scheme of delegation)(Part 4 Doc D).



See Part 3 (3.4 Table 4) of the Constitution for more information.

The Leader also chairs meetings of the Cabinet.

The Leader will act as the Council member of the Mid Wales Corporate Joint Committee and the Council's representative on the Ceredigion Public Services Board.



See Part 7 of the Constitution for more information.

 The role and responsibilities for the Leader can be found in Part 3 (3.4 Table 4) of the Constitution.

 The role and responsibilities for the Deputy Leader can be found in Part 3 (3.4 Table 4) of the Constitution.

The person specification for the Leader can be found within the WLGA: Framework Member Role Descriptions & Person Specifications :

 <https://www.wlga.wales/SharedFiles/Download.aspx?pageid=62&mid=665&fileid=346>

Member of the Cabinet

Members of the Cabinet are responsible for: -

- taking decisions regarding issues that fall within their area of responsibility;
- playing an active role in Cabinet meetings and decision making;
- contributing to the development of the Council's forward work programme and to policies and procedures in their area of responsibility;
- providing political leadership to the Council's paid officers on matters they are responsible for;
- reporting to the Council, the Leader, the Cabinet and others on the performance of services which they are responsible for; and
- participating in the Council's scrutiny processes and procedures, including by explaining decisions they have made and the performance of functions within their area to the Overview and Scrutiny Committee.

 You can read more about members of the Cabinet in Part 3 (3.3 Table 4) of the Constitution.

 The role and responsibilities for members of the Cabinet] can be found in Part 3 (3.3 Table 4) of the Constitution.

The person specification for members of the Cabinet can be found within the WLGA: Framework Member Role Descriptions & Person Specifications :

 <https://www.wlga.wales/SharedFiles/Download.aspx?pageid=62&mid=665&fileid=346>

Assistants to the Executive

The Council does not currently have any assistants to the Executive (Cabinet).

If in place, assistants to the Executive support members of the Cabinet by taking on certain tasks and responsibilities on their behalf. They may attend meetings, prepare reports, review papers and draft comments for the member they support.

Assistants to the Executive are not members of the Cabinet and cannot vote at Cabinet Meetings or Cabinet Committee Meetings. However, they are entitled to attend and to speak at meetings of the Cabinet and its committees.

What roles do paid Officers of the Council perform?

The elected members of the Council are supported by paid Officers of the Council, who are accountable to the Council and responsible for delivering services to the public in accordance with the policies and procedures agreed by the Council, the Cabinet and their committees and bodies.

The **Chief Executive** has overall corporate and operational responsibility for the work of the Council and for all paid officers of the Council.



The Chief Executive's role and responsibilities are described in Art 11 and Part 3 (3.5 Doc B & C) of the Constitution.

The **Monitoring Officer** is responsible for ensuring lawfulness and fairness in the Council's decision making, maintaining and upholding the Constitution, receiving reports of alleged breaches of the Council's duties and obligations and conducting investigations into such allegations.



The Monitoring Officer's role and responsibilities are described in section Art 11 and Part 3 (3.5 Doc B & D) of the Constitution.

The **Head of Democratic Services** is responsible for advising the Council, its committees and individual Councillors, on the proper discharge of the Council's democratic functions and responsibilities.



The Head of Democratic Services' role and responsibilities are described in Art 11 and Part 3 (3.5 Doc B & E) of the Constitution.

The **Chief Finance Officer** is responsible for ensuring that the Council makes lawful and financially prudent decisions. They are also responsible for the administration

of the Council's financial affairs and providing advice to Councillors on the Council's budgetary and other financial procedures.

 The Chief Finance Officer's role and responsibilities are described in s Art 11 and Part 3 (3.5 Doc B & L) of the Constitution.

The Council also employs a number of other Chief Officers, including: -

- Corporate Directors
- Corporate Lead Officer - Schools & Culture (also Chief Education Officer)
- Corporate Lead Officer - Legal & Governance (also Monitoring Officer)
- Corporate Lead Officer - Finance & Procurement (also Chief Finance Officer / S151 Officer)
- Corporate Lead Officer - Policy, Performance & Public Protection
- Corporate Lead Officer - Economy & Regeneration
- Corporate Lead Officer - Highways & Environmental Services
- Corporate Lead Officer - Porth Cynnal - Specialist Through Age Services (also Director of Social Services)
- Corporate Lead Officer - Porth Gofal Targeted Intervention
- Corporate Lead Officer - Porth Cymorth Cynnar
- Corporate Lead Officer - People & Organisation
- Corporate Lead Officer - Customer Contact
- Corporate Lead Officer - Democratic Services (also Head of Democratic Services)

Chief Officers are each accountable to the Council for the financial management and administration of those services and activities allocated to them in accordance with the Council's policies.

 The roles and responsibilities of Chief Officers are described in Art 11 and Part 3 (3.5) of the Constitution.

 The processes by which officers are recruited, appointed, disciplined and dismissed are set out in Part 4 Doc H of the Constitution.

How should Councillors and Officers behave?

Councillors should comply with the Members' Code of Conduct

Councillors are expected to uphold the highest standards of personal and professional conduct. Those standards are described in the Code of Conduct for Members.

The Code of Conduct for Members is intended to help and guide Councillors in maintaining appropriate standards of conduct when serving their community. In turn, it provides reassurance to the public and helps build their trust in, and respect for, their local representatives.

The Code of Conduct for Members is based upon the 7 Principles of Public Life, which were first set out in the 1995 Nolan Report on Standards in Public Life. Three additional principles were added in the local government principles in Wales.

The Code of Conduct for Members is consistent with, and provides for the practical application of, these principles.

➤ **Selflessness**

Members must act solely in the public interest. They must never use their position as members to improperly confer an advantage on themselves or to improperly confer an advantage or disadvantage on others.

➤ **Honesty**

Members must declare any private interests relevant to their public duties and take steps to resolve any conflict in a way that protects the public interest.

➤ **Integrity and propriety**

Members must not put themselves in a position where their integrity is called into question by any financial or other obligation to individuals or organisations that might seek to influence them in the performance of their duties. Members must on all occasions avoid the appearance of such behaviour.

➤ **Duty to uphold the law**

Members must act to uphold the law and act on all occasions in accordance with the trust that the public has placed in them.

➤ **Stewardship**

In discharging their duties and responsibilities members must ensure that their authority's resources are used both lawfully and prudently.

➤ **Objectivity in decision-making**

In carrying out their responsibilities including making appointments, awarding contracts, or recommending individuals for rewards and benefits, members must make decisions on merit. Whilst members must have regard to the professional advice of officers and may properly take account of the views of others, including their political groups, it is their responsibility to decide what view to take and, if appropriate, how to vote on any issue.

➤ **Equality and respect**

Members must carry out their duties and responsibilities with due regard to the need to promote equality of opportunity for all people, regardless of their gender, race, disability, sex, sexual orientation, marital status, age or religion, and show respect and consideration for others.

➤ **Openness**

Members must be as open as possible about all their actions and those of their authority. They must seek to ensure that disclosure of information is restricted only in accordance with the law.

➤ **Accountability**

Members are accountable to the electorate and the public generally for their actions and for the way they carry out their responsibilities as a member. They must be prepared to submit themselves to such scrutiny as is appropriate to their responsibilities.

➤ **Leadership**

Members must promote and support these principles by leadership and example so as to promote public confidence in their role and in the authority. They must respect the impartiality and integrity of the authority's statutory officers and its other employees.



You can read the Code of Conduct for Members in full in Part 5 Doc J of the Constitution.

Councillors are expected to ensure that they understand their obligations under the Code and act in a way which shows that they are committed to meeting the high

standards of conduct that are expected of them. Councillors are provided with training when they are first appointed, and on a regular basis, to support them to comply with the Code of Conduct for Members.

Special requirements for Councillors who are members of the Council's Development Management Committee

Planning affects people's private and financial interests in land and property and the environment in which communities live, work and play.

The Council's Development Management Committee is responsible for balancing the needs and interests of individuals and the community to make decisions that are open, fair and transparent and decided using sound judgment and for justifiable reasons.

For these reasons, members of the Council's Development Management Committee are expected to abide by an additional Member's Protocol of Good Practice in Planning.

The Member's Protocol of Good Practice in Planning and the Development Management Committee Operational Procedures explain, amongst other things: -

- the role of officers in providing impartial and professional advice to members of the committee;
- the factors that should be taken into account when deciding an application for planning permission and the factors that should not be taken into account;
- The legal duties which members of the committee must have regard to, such as the Socio Economic Duty, The Well Being of Future Generations Act 2015 and National and Local Planning policies
- the action members should take if they have a personal interest in a matter being determined by the committee (e.g. where an application relates to a property which they own); and
- how applications for development proposed by, or to be carried out by, the Council should be decided.

You can read the Protocol for Good Practice in Planning matters for Members Dealing with Planning Matters in Part 5 Doc Q of the Constitution.



You can read the Development Management Committee Operational Procedures in Part 4 Doc I of the Constitution.

Officers should comply with the Council's Code of Conduct for Local Government Employees

Paid Officers of the Council are responsible for serving the Council by providing advice to Councillors, implementing the Council's policies, and delivering services to the local community. In performing their duties, they must act with integrity, honesty, impartiality and objectivity.

The public is entitled to expect the highest standards of conduct from all those who work for the Council. The Code of Conduct for Local Government Employees outlines the rules and conditions of service which apply to the Council's Employees. It is designed to provide clear guidance to assist them in their day to day work and to allow the public to understand what they can expect when they interact with a Council Employee.



You can read the Code of Conduct for Officers in full in Part 5 Doc L of the Constitution.

How should Councillors and Officers work together?

Councillors and Officers have different roles, responsibilities and accountabilities, but it is imperative that they work effectively together to perform the Council's functions and to deliver services to residents living in the Council's area.

The Protocol on Member/Officer Relations is designed to clarify the respective roles and responsibilities of Councillors and Officers and to guide them in their dealings with one another. It explains what Councillors and Officers can reasonably expect from one another and how they should work together to achieve their common purpose.

Councillors are entitled to express political views and to support the policies of the party or group to which they belong. Conversely, Officers are expected to carry out the Council's business in a politically impartial way and many are restricted from engaging in political activity. The protocol therefore explains how Officers can support the policy deliberations by political groupings, while remaining politically neutral.



You can read the Protocol on Member/Officer Relations in full in Part 5 Doc K of the Constitution.

How can I complain about a Councillor?

If you wish to complain about a Councillor, then you should contact either the Council's Monitoring Officer or the Public Services Ombudsman for Wales.



The Council's complaints process provides more information about how to complain. It is available on the Council's website: www.ceredigion.gov.uk and you can contact the Council's Complaints Team by emailing complaints@ceredigion.gov.uk



You can find the Monitoring Officer's contact details on the Council's website: www.ceredigion.gov.uk



You can find out more about how to complain to the Public Services Ombudsman for Wales on their website
<<https://www.ombudsman.wales/how-to-complain/>>

How can I complain about an Officer?

If you wish to complain about a paid Officer of the Council, you should write to the Council's corporate complaints service: www.ceredigion.gov.uk

Part 4 Policies and procedures

The Council's key plans and strategies (the policy framework)

Where can I find the Council's key plans and strategies?

The Council is responsible for setting the Council's key plans and strategies, which together form the Council's policy framework.

 The plans and strategies which form the Council's policy framework are listed in Art 4 of the Constitution.

 Individual plans and strategies are published on the Council's website, including the Council's Corporate Strategy (see <https://www.ceredigion.gov.uk/your-council/strategies-plans-policies/strategies/>).

Additionally, the Council's Corporate Strategy brings together the Council's plans and strategies for: communities; children and young people; health social care and wellbeing; and community safety.

 The Council's single integrated plan is published on the Council's website [www. Ceredigion.gov.uk](http://www.Ceredigion.gov.uk)

How is the Council's policy framework decided?

The Cabinet is responsible for consulting with relevant stakeholders, considering any reports or recommendations made by the Council's scrutiny committees and working with the Council's Chief Officers to develop a draft policy framework.

Once the Cabinet has developed a draft policy framework, it will be considered by a meeting of the Council.

The Council may decide to adopt the policy framework, make changes to it, refer it back to the Cabinet so that further work can be done on it, or substitute its own policy framework for the draft prepared by the Cabinet.

If the Council decides to adopt the policy framework then it shall take effect immediately. If the Council amends the policy framework then the Leader has an

opportunity to object to the amendments and to reconvene the Council to reconsider the policy framework.

Once adopted, the Cabinet, their committees, individual Councillors and the Council's paid officers are bound to act in accordance with the policy framework.



The process by which the Council adopts a policy framework is described in Part 4 Doc C of the Constitution.

Budget setting and financial management

How does the Council set its budget?

The Council is responsible for agreeing the Council's budget, and for agreeing changes to the Council's budget once it has been formally adopted.

The Council's budget is in two parts: -

- the Revenue Budget provides for day to day operating costs and expenditure like staff salaries, rent, and the ongoing costs of providing services.
- the Capital Programme provides for one-off costs like a major road improvement scheme, or the purchase or construction of a new car park.

The Cabinet, in consultation with the Chief Finance Officer, is responsible for developing initial proposals for the Council's budget and consulting over these.

Once this consultation has been completed, the Cabinet is responsible for preparing a final budget proposal for consideration by the Council.

The Council may adopt the budget without making any changes, amend the budget, or ask the Cabinet to reconsider it before adopting it.



The process by which the Full Council adopts its budget is described in Part 4 Doc C of the Constitution.

Decisions outside the budget or policy framework

Can decisions be taken that do not comply with the budget or policy framework?

The Council may decide to make changes to the policy framework.

Other bodies and individuals may only take decisions that do not comply with the policy framework in a limited number of exceptional circumstances, which are set

out in the Constitution (see Part 4 Doc C). For example, where an urgent decision must be taken to safeguard the Council's interests.

However, the Council's Overview and Scrutiny Committees may decide to refer such decisions to the Council for further consideration (this is referred to in the Constitution as calling-in the decision).

-  The Council's arrangements for urgent decisions which do not comply with the policy framework are set out in Part 4 Doc C of the Constitution.
-  Part 4 Doc C of the Constitution describes the limited circumstances in which bodies or individuals other than the Council may make changes to the policy framework.
-  The Overview and Scrutiny Committees' powers are described in Part 4 Doc C of the Constitution.

Can money be moved from one budget head to another once the budget has been adopted?

During the year the Cabinet and Chief Officers may need to transfer budgets from one service area to another to reflect changed service needs or priorities in order to deliver the Council's policy framework within the financial limits set by the Council.

-  The mechanism by which the Cabinet and Chief Officers may move money between budget heads is set out in Part 4 Doc F of the Constitution.

What other policies and procedures govern how the Council manages its budget?

The Council is bound by a number of different financial rules and procedures that govern how the Council's spending is planned, committed, reviewed and audited.

-  The Council's detailed financial procedure rules are set out in Part 4 Doc F of the Constitution.

Are there any restrictions on how the Council buys in goods and services?

The Council can enter into contracts to purchase goods and services in much the same way as any other person or organisation. However, the Council must comply with the contract procedure rules in the Constitution when it does so.

The purpose of the contract procedure rules are to ensure that the Council complies with relevant legal requirements, and secures the most economically advantageous (best value) goods and services for taxpayers.

If you regularly sell goods or services to the Council then you may wish to familiarise with these rules and procedures.



The Council's contract procedure rules are set out in Part 4 Doc G of the Constitution.

How does the Council enter into contracts and agreements?

The rules and procedures that govern how agreements, contracts and deeds are authorised and executed on behalf of the Council are set out in Article 13 and Part 4 Doc G of the Constitution (see also Parts 3.5C, D and E and Part 4 Doc F).

Part 5 How can I get involved?

How can I find out when meetings of the Council and its committees and bodies are taking place?

The Council publishes notices of meetings of the Council and its committees.

-  You can find out more about notice requirements in Part 4 Doc B of the Constitution.
-  The Council publishes notices of meetings, and a programme of upcoming meetings, on its website: www.ceredigion.gov.uk

How can I find out what will be discussed at a particular meeting?

The Council will publish agendas for meetings, together with any background papers and reports in advance of the meeting taking place.

Hard copies of agendas and background papers and reports will also be available at the meeting for those members of the public who wish to attend in person.

-  You can find out more about the information that is made publicly available in advance of a Council meeting in Part 4 Doc B of the Constitution.
-  The Council publishes meetings agendas and supporting documents and reports on its website: www.ceredigion.gov.uk

How can I find out when an issue I am concerned about will be decided?

The Council publishes a forward work programme, which sets out what decisions will be taken by the Council, the Cabinet and what issues the Overview and Scrutiny Committees will be considering, and when these matters will be discussed.

-  You can find out more about the Council's forward work programme on the Council meetings page of the Constitution (<https://council.ceredigion.gov.uk/ieListMeetings.aspx?Committeeld=149&LLL=0>).

Can I ask a committee or body of the Council to look into a particular issue?

You can suggest issues for the Scrutiny Committees to consider (see Part 5 Document N of the Constitution for further information). You can also submit petitions to the

Council, using the Council's petition scheme/protocol. The Council is obliged by law to operate a petition scheme, which sets out: -

- how a petition can be submitted to the Council;
- how and when the Council will acknowledge receipt of a petition;
- the steps the Council will take in response to a petition; and
- how and when the Council will make available its response to a petition to the person who submitted the petition and to the public.



You can read more about submitting a petition to the Council in Part 5 Doc O of the Constitution.



The Council publishes details of its petition scheme on its website www.ceredigion.gov.uk

Can I attend meetings of the Council?

Yes, members of the public can come to meetings of the Council so long as they are being held in public.

Meetings of the Council are also broadcast live (currently on the Council's Facebook page) so you can watch them in real time remotely if you wish to do so.

The public must be excluded from meetings when confidential information would otherwise be disclosed. Confidential information means information given to the Council by a Government Department on terms which forbid its public disclosure or information which cannot be publicly disclosed by Court Order.

The Council may also exclude the public from a meeting, or part of a meeting, where exempt information would be disclosed. Exempt information includes information that relates to a particular individual or their financial or business affairs, information that is legally privileged or information relating to the prevention, investigation or prosecution of a crime, or other information specified in the Constitution.

If you interrupt a meeting of the Council, then you are likely to be warned by the Chair about causing a disturbance. If you continue to disturb the meeting, then you may be removed.



The rules around excluding the public from meetings are set out in sections Part 4 Doc B of the Constitution.

 The Council's broadcasting of meetings of the Council are set out in Part 4 Doc A of the Constitution.

 The rules around disturbance by members of the public are set out in section Part 4 Doc A of the Constitution.

Can I attend other meetings?

Yes, members of the public can come to any meeting which the Council has resolved should be held in public.

 Your right to attend meetings of the Council's Cabinet, the Council's committees and other bodies are described in Art 8 (see also Part 4 Doc B) of the Constitution.

Can I speak at a meeting?

Members of the public can speak at any meeting which the Council has resolved should include participation by members of the public.

These include:

Overview and Scrutiny Public Engagement Protocol (see Part 4 Document N)

Development Management Committee (see Part 4 Document I)

Representations can also be made in specific circumstances, such as objectors to planning applications at Development Management Committee or Overview and Scrutiny Committees (see Part 4 Doc I and Part 5 Doc N of the Constitution).

 Contact information for the Head of Democratic Services are published on the Council's website: www.ceredigion.gov.uk

How can I find out what the Council decided?

The Council publishes the agenda, reports and the minutes of meetings once they have been agreed. These papers are available for inspection by the public for a minimum of six years from the date of the meeting. The background papers are available to the public for at least four years.

The Council also has arrangements in place for publishing written records of decisions taken by the Cabinet and the Council's committees and other bodies.

 You can read about the Council's arrangements for publishing minutes of meetings in Part 4 Doc B of the Constitution.

-  You can read about the Council's arrangements for publishing a written record of decisions taken by the Cabinet [, the Council's committees and individual members of the Cabinet in Part 4 Doc B of the Constitution.
-  You can read meeting minutes, reports and agendas on the Council's website www.ceredigion.gov.uk

Can I view the Council's accounts to understand how my council tax is spent?

Yes. The Council is required to publish its accounts and to make them available for inspection by the public. You may raise questions of concerns about the Council's accounts with the Council or with the Council's external auditor.

-  You can find out more about how to view the Council's accounts in Article 3of the Constitution. The Statements of Accounts are available on the Council's website at: <https://www.ceredigion.gov.uk/your-council/budgets-finance/statement-of-accounts/>

Ceredigion County Council Constitution



Ceredigion County Council

Constitution

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PART 1
SUMMARY AND EXPLANATION

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1. THE COUNCIL'S CONSTITUTION

The **Ceredigion County Council** has agreed a Constitution which sets out how the Council operates, how decisions are made and the procedures which are followed to ensure that these are efficient, transparent and accountable to local people. Some of these processes are required by the law, while others are a matter for the Council to choose.

The Constitution is divided into 15 Articles (Part 2) which set out the basic rules governing the Council's business. More detailed procedures and codes of practice are provided in separate rules and protocols at the end of the document.

[You may find it helpful to read this Constitution in conjunction with the Constitution Guide, which is available on the Council's website at: https://www.ceredigion.gov.uk/your-council/about-the-council/the-councils-constitution/.](https://www.ceredigion.gov.uk/your-council/about-the-council/the-councils-constitution/)

2. WHAT'S IN THE CONSTITUTION

Part 2: The Articles

Article 1 (Part 2) of the Constitution commits the Council to make effective arrangements to carry out its duties and responsibilities. Articles 2 –15 explain the rights of citizens and how the key parts of the Council operate. These are:

- Members of the Council (Article 2).
- Citizens and the Council (Article 3).
- The Council meeting (Article 4).
- Chairing the Council (Article 5).
- Overview and Scrutiny of decisions (Article 6).
- Cabinet (Article 7).
- Regulatory Committees (Article 8).
- The Ethics and Standards Committee (Article 9).
- Joint arrangements (Article 10).
- Officers (Article 11).
- Decision-making (Article 12).
- Finance, contracts and legal matters (Article 13).
- Review and revision of the Constitution (Article 14).
- Suspension, interpretation and publication of the Constitution (Article 15).
- [Corporate Joint Committees \(Article 16\).](#)

Part 3: Responsibility for Council Functions

Part 3 is concerned with responsibility for the various Council Functions i.e. who does what. This section includes 4 detailed tables, which set out:

- (Part 3.1) The Responsibility for Council Functions – Table 1;
- (Part 3.2) - The Responsibility for Local Choice Functions - Table 2;
- (Part 3.3) The Committees of the Council - Table 3; and
- (Part 3.4) The Responsibility for Cabinet Functions - Table 4

At Part 3.5 the Scheme of Delegation to Officers is set out (Delegations A-N – to be widely interpreted) The scheme delegates certain functions of the Council and Cabinet to officers and sets out the conditions for any decisions made by use of the delegations, with General Conditions for Delegation to Officers set out in Delegation A, to be read in conjunction with Part 3.1.

Part 4: Rules of Procedure

Part 4 of the Constitution details rules surrounding the Council's various procedures, which relate to Council proceedings, its structure and decision making. These are needed for clarity, transparency, adherence to legislation and to ensure the smooth running of the Council, and include:

- (Document A) – Council Procedure Rules;
- (Document B) – Access to Information Procedure Rules;
- (Document C) – Budget and Policy Framework Procedure Rules;
- (Document D) – Cabinet Procedure Rules;
- (Document E) Overview and Scrutiny Procedure Rules;
- (Document F) Financial Regulations and Accompanying Financial Procedures;
- (Document G) Contract Procedure Rules;
- (Document H) Officer Employment Procedure Rules;
- (Document I) Development Management Committee Operational procedures

Part 5: Codes and Protocols

Part 5 includes the Council's codes of conduct, which together create an ethical framework with standards of conduct that are expected to be adhered to. Part 5 also sets out the Council's Protocols, which are a system/procedure of rules to be followed in certain situations. The various Codes and Protocols in this section include:

- (Document J) Code of Conduct for Members;

- (Document K) Protocol on Member/Officer Relations;
- (Document L) Code of Conduct for Local Government Employees;
- (Document M) Overview and Scrutiny Protocol;
- (Document M2) Protocol for Access by Cabinet Members to Overview and Scrutiny Committees;
- (Document N) Overview and Scrutiny Public Engagement Protocol;
- (Document O) Petitions Protocol;
- (Document P) Social Services Protocol; and
- (Document Q) Member's Protocol of Good Practice in Planning

Part 6: Management Structure

Part 6 (Management Structure) is a single document, the Council's Organisational Chart. It is a handy visual aid showing the Council's Chief Executive, Corporate Directors, Corporate Lead Officers, including their Statutory Roles and main areas of responsibility.

Part 7: Consultative and Advisory Fora

Part 7 details the consultative and advisory fora (statutory and non-statutory) established, the Internal Policy Development/Monitoring Groups, the Partnerships within Ceredigion County, Regional Partnerships/Fora/Consortia/Joint Committees and Member Champions.

3. HOW THE COUNCIL OPERATES

The Council is composed of ~~42~~³⁸ Councillors elected every five years. Councillors are democratically accountable to residents of their electoral division. The overriding duty of Councillors is to the whole community, but they have a special duty to their constituents, including those who did not vote for them.

Councillors have to agree to follow the Code of Conduct for Members to ensure high standards in the way they undertake their duties. The Ethics and Standards Committee trains and advises them on the Code of Conduct.

All Councillors meet together as the Council. Meetings of the Council are open to the public. Here, Councillors decide the Council's overall policies and set the budget each year. The Council is responsible for electing the Leader, notes the appointment of Cabinet Members by the Leader ([see also Article 7.8 \(Job Sharing\) in Part 2 below](#)) and appoints Members to Committees.

The Council's Code of Good Governance is available on the Council's web-site.

4. HOW DECISIONS ARE MADE

Cabinet is the part of the Council which is responsible for taking most of the day-to-day executive decisions. The Cabinet comprises the Leader of the Council and at least six, but no more than nine other Councillors whom ~~he/she~~^{the Leader} appoints ([subject to Article 7.8 \(Job Sharing\) in Part 2 below](#)).

The business to be considered by Cabinet, Overview and Scrutiny Committees and the Council as a whole is published in the forward work programme. Meetings of the Cabinet, Overview and Scrutiny Committees, the Council and other Committees are open for the public to attend except where exempt or confidential matters are being discussed, as defined by the law.

Cabinet has to make decisions which are in line with the Council's overall policies and budget. If it wishes to make a decision which is outside the budget or policy framework, this must be referred to the Council as a whole to decide.

The Council also has a call-in procedure, whereby a decision made by Cabinet, an individual member of Cabinet or a Committee of the Cabinet or under joint arrangements, may be referred by Members to the relevant Overview and Scrutiny Committee in certain circumstances (see the Call-In Procedure in Part 4 Document E of the Constitution).

In making decisions and setting policies and strategies, the Council will take into account the principles and objectives of the **Well-being & Future Generations Act 2015**, and in particular:

the five ways of working:

long term, prevention, collaboration, integration and involvement.

The Council will also take into account the seven well-being goals:

Prosperous, Globally responsible, Resilient, Healthier, a more equal Wales, a Wales of cohesive communities and a Wales of vibrant culture and a thriving Welsh language.

When making decisions of a strategic nature about how to exercise its functions, the Council will have due regard to the desirability of exercising them in a way that is designed to reduce the inequalities of outcome which result from socio-economic disadvantage, as set out in the Equality Act 2010.

When making decisions, the Council will also have due regard to its Anti-Slavery Policy and Anti-Slavery Annual Statement, which is signed by the Council's Anti-Slavery and Ethical Employment Champion, approved by the Council and published on the Council's website (www.ceredigion.gov.uk). The Anti-Slavery Policy covers the 12 commitments of the Welsh Government's Code of Practice on Ethical Employment in Supply Chains and refers to safeguarding processes and responsibilities of the Council under the Modern Slavery Act 2015.

The Council acknowledges the need to have regard to its statutory duty in relation to the Welsh Language, the Well-being of Future Generations (Wales) Act 2015, equality and socio-economic duty.

The Monitoring Officer has the authority to make changes to the Constitution that are needed to ensure it complies with legislation (the law) and minor matters.

The Council also has an established Cross-Party Constitution Working Group, which meets regularly to discuss changes to the Constitution and makes proposals to Council regarding these changes. The Monitoring Officer will confirm any minor changes made to the Constitution to the Cross-Party Constitution Working Group (see also Article 14 – Review and Revision of the Constitution and Part 7).

Certain decisions, which form parts of the Constitution, such as the Responsibility of Cabinet Functions (i.e. which members of the Cabinet, Committees of the Cabinet, officers or joint arrangements are responsible for the exercise of particular Cabinet function) are approved by the Leader and subsequently recorded in the Constitution without need for reference to a Council Meeting for approval.

5. OVERVIEW AND SCRUTINY

There is one Co-ordinating Committee and four Overview and Scrutiny Committees therefore five in total which support the work of Cabinet and the Council as a whole. They look into matters of local significance. They have a remit to scrutinise the budget, policies and service delivery that can lead to reports and recommendations to the Cabinet and the Council. Overview and Scrutiny Committees also monitor the decisions of Cabinet. They can 'call-in' a decision which has been made by Cabinet but not yet implemented. This enables them to consider whether the decision is appropriate. They may recommend that Cabinet reconsider the decision. They may also be consulted by Cabinet or the Council on forthcoming decisions and the development of policy. They must also exercise their powers and responsibilities in relation to the Public Service Board pursuant to the Well-being of Future Generations (Wales) Act 2015.

6. REGULATORY AND OTHER COMMITTEES

There are two 'Regulatory Committees' comprising of:

- the Development Management Committee which determines planning applications and notes information regarding planning decisions and
- the Licensing Committee which determines licensing, taxi and sex establishment applications, renewals, and reviews

There is also:

- a Governance and Audit Committee which provides corporate focus on the issues arising from governance risk management, internal control and reporting. The Terms of Reference are set out at Part 3.3 Table 3 and
- the Ethics and Standards Committee which deals with Code of Conduct and standards and dispensations issues for the County Council and Town and Community Councils.

7. THE COUNCIL'S STAFF

The Council has officers working for the Paid Service to give advice, implement decisions and manage the day-to-day delivery of its services. The Paid Service, is led by the Chief Executive (formerly known as the Head of Paid Service)

Some officers have a specific (statutory) duty to ensure that the Council acts within the law and uses its resources wisely.

A protocol on member/officer relations governs the relationships between officers and Members of the Council.

8. CITIZENS' RIGHTS

Citizens have a number of rights in their dealings with the Council. These are set out in more detail in Article 3 (Part 2). Some of these are legal rights, whilst others depend on the Council's own processes. There are various local advice agencies and local legal practices who can advise on individuals' legal rights.

Where members of the public use specific Council services, for example as a parent of a school pupil or as a Council tenant, they have additional rights. These are not covered in this Constitution.

Citizens have the right to:

- 8.1 vote at local elections if they are registered;
- 8.2 contact their local Councillor about any matters of concern to them;
- 8.3 obtain access to the published Constitution in accordance with Article 15 paragraph 15.3.2;
- 8.4 attend meetings of the Cabinet, the Council and its Committees except where exempt or, confidential matters are being discussed;
- 8.5 petition to request a referendum on a mayoral form of Cabinet;
- 8.6 find out, what business is to be considered by the Cabinet, the Council and its Committees and Overview and Scrutiny Committees;
- 8.7 see reports and background papers considered by the Cabinet, the Council and its Committees and the record of any decisions made by the Cabinet, the Council and its Committees except where they contain exempt information with copies being obtainable by members of the public at a reasonable cost;
- 8.8 complain to the Council about the Council's handling of any matter through the Corporate Complaints Procedure which is available at all Council offices and on request
- 8.9 complain to the Ombudsman if they think they have suffered injustice because the Council has not followed its procedures properly. However, they are encouraged only to do this after using the Council's own complaints process;
- 8.10 complain to the Ombudsman if they have evidence which they think shows that a Councillor or Co-opted Member of the Council has not followed the Members' Code of Conduct; and
- 8.11 inspect the Council's accounts and make their views known to the external auditor.

The Council also consults (from time to time and at least once in each financial year) the following about the extent to which it is meeting its performance requirements:

- Local people;
- Other persons carrying on a business in Ceredigion;
- Council Staff; and
- Every trade union which is recognised (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992 (c.52)) by the Council.

The Council must encourage local people to participate in the making of decisions by the Council, and does welcomes participation by its citizens in its work. For further information on your rights as a citizen, please contact the Council’s Proper Officer at Neuadd Cyngor Ceredigion, Penmorfa, Aberaeron, SA46 0PA.

A Statement of the rights of members of the public to inspect agendas and reports is available from the Council’s Proper Officer.

9. Glossary of Service Terms

A glossary of helpful terms used within the Constitution is included below:

Term in Constitution	Meaning
CONTEST	<p>The UK’s unifying Strategy for Countering Terrorism with four ‘P’ work strands:</p> <ol style="list-style-type: none"> 1. Prevent: to stop people becoming terrorists/supporting terrorism; 2. Pursue: to stop terrorist attacks; 3. Protect: to strengthen protection against a terrorist attack; and 4. Prepare: to mitigate the impact of a terrorist attack.
Ceredigion CONTEST Board	<p>A multi-agency CONTEST Board, which considers local requirements and implications relating to the 4 Ps, but specifically focusses on local response to the Prevent requirement. The</p>

	CONTEST Board also receives reports from the Channel Panel.
Channel	A local authority statutory function under Section 36 of the Counter-Terrorism and Security Act 2015 ('CTSA') to provide support for people vulnerable to being drawn into terrorism.
Channel Panel	A local strategic multi-agency partnership board overseeing Channel activity. The Channel Panel reports to the Ceredigion CONTEST Board (see above) and Regional Safeguarding Board (CYSUR).
Porth Cymorth Cynnar	The Council's Wellbeing and Learning Service, formerly known as Lifelong Learning, which provides support and intervention services, behaviour, youth and early help services. The Service also provides support in lifelong learning & skills, leisure & wellbeing.
Porth Cynnal Specialist Through Age Services	The Council Service, which formerly encompassed Children's Services and Adult Services. The Service now provides care and support services for complex and ongoing needs.
Porth Gofal Targeted Intervention	The Council Service, formerly known as Porth Ceredigion and, prior to this, Adult Services. The Service provides triage, targeted interventions, housing and direct services.

PART 2

ARTICLES OF THE CONSTITUTION

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ARTICLE 1 – THE CONSTITUTION

1.1 POWERS OF THE COUNCIL

The Council will exercise all its powers and duties in accordance with the law and this Constitution.

1.2 THE CONSTITUTION

This Constitution, and all its appendices, is the Constitution of the Ceredigion County Council.

1.3 PURPOSE OF THE CONSTITUTION

The purpose of the Constitution is to:

- 1.3.1 enable the Council to provide clear leadership to the community in partnership with citizens, businesses and other organisations;
- 1.3.2 provide a framework for good governance;
- 1.3.3 support the active involvement of citizens in the process of local authority decision-making;
- 1.3.4 help Councillors represent their constituents more effectively;
- 1.3.5 enable decisions to be taken efficiently and effectively;
- 1.3.6 create a powerful and effective means of holding decision-makers to public account;
- 1.3.7 ensure that no one will review or scrutinise a decision in which they were directly involved;
- 1.3.8 ensure that those responsible for decision-making are clearly identifiable to local people and that they explain the reasons for decisions; and
- 1.3.9 provide a means of improving the delivery of services to the community.

1.4 INTERPRETATION AND REVIEW OF THE CONSTITUTION

Where the Constitution permits the Council to choose between different courses of action, the Council will always choose that option which it thinks is closest to the purposes stated above.

The Council will monitor and evaluate the operation of the Constitution as set out in Article 14.

ARTICLE 2– MEMBERS OF THE COUNCIL

2.1 COMPOSITION AND ELIGIBILITY

2.1.1 Composition.

The Council will comprise ~~42~~38 members, otherwise called Councillors who are elected by the voters of each electoral division in accordance with a scheme drawn up by the Boundary Commission in Wales and approved by ~~the National Assembly~~Senedd Cymru.

2.1.2 Eligibility

Only registered voters of the County Council or those living or working in the area will be eligible to hold the office of Councillor (in accordance with the provisions of the Local Government Act 1972). A Member of the Council is disqualified from being appointed to any Officer position at the Council while they remain a Member.

2.2 ELECTION AND TERMS OF COUNCILLORS

The ordinary election of Councillors will normally be held on the first Thursday in May once every five years. The terms of office of Councillors will start on the fourth day after being elected and will end on the fourth day after the date of the next ordinary election.

2.3 ROLES AND FUNCTIONS OF ALL COUNCILLORS

2.3.1 Key roles. All Councillors will:

- 2.3.1.1 collectively be the ultimate policy-makers and carry out a number of strategic and corporate management functions;
- 2.3.1.2 represent their communities and bring their views into the Council's decision-making process, i.e. become the advocate of and for their communities;
- 2.3.1.3 deal with individual casework and act as an advocate for constituents in resolving particular concerns or grievances;
- 2.3.1.4 balance different interests identified within the electoral division and represent the electoral division as a whole;
- 2.3.1.5 contribute to the continual improvement of Council services;
- 2.3.1.6 be involved in decision-making;
- 2.3.1.7 be available to represent the Council on other bodies; and
- 2.3.1.8 maintain the highest standards of conduct and ethics.

2.3.2 Rights and duties

- 2.3.2.1 Councillors will have such rights of access to such documents, information, land and buildings of the Council as are necessary for the proper discharge of their functions and in accordance with the law and this Constitution.
- 2.3.2.2 Councillors will not make public, information which is confidential or exempt without the consent of the Council, or divulge information given in confidence to anyone other than a Councillor or officer entitled to know it.
- 2.3.2.3 For these purposes, "confidential" and "exempt" information are defined in the Access to Information Rules in Part 4 of this Constitution.
- 2.3.2.4 Councillors are entitled to serve on School Governing Bodies.

2.4 CONDUCT

Councillors will at all times observe the Members' Code of Conduct and the Protocol on Member/Officer Relations set out in Part 5 of this Constitution.

In the event that consideration is to be given to the grant of an indemnity to an individual member, who is subject to misconduct proceedings under the Local Government Act 2000, the Council has resolved to introduce a cap of £20,000 on the level of indemnity granted to members.

2.5 SALARIES

Councillors will be entitled to receive salaries in accordance with the Schedule of Member Remuneration which is available on the Council website <http://www.ceredigion.gov.uk/English/Your-Council/Councillors-Committees/Members-Allowances/Pages/default.aspx>

The Schedule is produced annually, in exercise of powers conferred by the Local Government (Wales) Measure 2011, as amended by the Local Government Democracy Wales Act 2013. Account is also taken of the Independent Review Panel Regulations, and relevant determinations.

ARTICLE 3 – CITIZENS AND THE COUNCIL

3.1 CITIZENS RIGHTS

Citizens have the following rights. Their rights to information and to participate are explained in more detail in the Access to Information Rules in Part 4 of this Constitution:

3.1.1 **Voting and petitions.** Citizens on the electoral roll for the area have the right to sign a petition to request a referendum for an elected mayoral form of Cabinet and the right to vote in any such referendum.

3.1.2 **Information.** Citizens have the right to:

3.1.2.1 attend meetings of the Council, the Cabinet and Committees except where exempt or confidential information is likely to be disclosed, and the meeting is therefore held in private;

3.1.2.2 find out from the forward work programme what decisions will be taken by the Cabinet or Council and which issues the Overview and Scrutiny Committees will be considering, and when these matters will be discussed;

3.1.2.3 see reports and background papers, and any records of decisions made by the Council, the Cabinet and Committees unless exempted from discussion for any legal reason; and

3.1.2.4 inspect the Council's accounts and make their views known to the external auditor (sections 29 and 30 Public Audit (Wales) Act 2004). Under the Accounts and Audit (Wales) Regulations 2014, the accounts will be available for public inspection for twenty (20) working days after the date appointed by the auditor.

3.1.3 **Complaints.** Citizens have the right to complain:

3.1.3.1 to the Council itself under its Corporate Complaints Procedure;

3.1.3.2 to the Ombudsman about any injustice they have suffered as a result of maladministration, but they are encouraged to use the Council's own Corporate Complaints Procedure first;

3.1.3.3 to the Ombudsman where they believe a Member or Co-opted Member of the Council has breached the Member's Code of Conduct.

3.1.3.4 To the Social Services Complaints Officer where appropriate.

3.1.4 Welsh Language

Under the Council's Welsh Standards, citizens have the right to receive Council services of the same standard in Welsh and English.

3.1.5 The Rights of the Child

3.1.5.1 The Council has adopted the United Nations Convention on The Rights Of The Child ("the UNCRC") when exercising its functions. This means that the Council will consider how any decision it will make relates to the rights and obligations in the UNCRC.

3.1.5.2 All children will be supported and encouraged to learn Welsh and use the language and customs of their families, whether these are shared by the majority of people in the country or not.

3.2 CITIZENS' RESPONSIBILITIES

Citizens must not be violent, abusive or threatening to Councillors or officers and must not wilfully harm things owned by the Council, Councillors or officers.

ARTICLE 4 – THE FULL COUNCIL

4.1 THE FOLLOWING PLANS AND STRATEGIES ARE:

4.1.1 Required by the Local Authority Executive Arrangements (Functions and Responsibilities) (Wales) Regulations 2007 (as amended) to be adopted by the Council, namely:

- Ceredigion Local Well- being Plan*
- Local Transport Plan (Regional Transport Plan)
- Local Development Plan
- Welsh Language Standards
- Youth Justice Plan
- Housing Strategy
- Rights of Way Improvement Plan

4.1.2 The Monitoring Officer in accordance with the Forward Work Programme will recommend from time to time the plans and strategies which should be adopted by the Council.

Statutory policies and policies relating to Council functions will be adopted by Council. Other policies will be approved by Cabinet.

Strategies will be adopted by Council. Policies and Strategies can be found on the Ceredigion County Council Website.

4.2 PARTNERSHIP STRATEGIES AND PLANS

The Ceredigion Local Well-being Plan marked with an asterisk in 4.1.1 above is prepared by the Public Service Board of which the Council is a statutory partner.

4.3 BUDGET

The budget includes the allocation of financial resources to different services and projects, proposed contingency funds, the Council tax base, setting the Council tax and decisions relating to the control of the Council's borrowing requirement, the control of its capital expenditure and the setting of virement limits. The Council will adopt the Treasury Management Policy Statement, the Capital Programme and the Revenue Budget.

4.4 FUNCTIONS OF THE FULL COUNCIL

Only the Council will exercise the following functions:

- 4.4.1 adopting and making major changes to the Constitution with changes to reflect legislative structural and minor matters to be effected by the Monitoring Officer;
- 4.4.2 approving or adopting the policy framework and the budget, and setting the Council Tax;
- 4.4.3 subject to the Urgency Procedure contained in the Access to Information Procedure Rules in Part 4 of this Constitution, making decisions about any matter in the discharge of a Cabinet function which is covered by the policy framework or the budget where the decision maker is minded to make it in a manner which would be contrary to the policy framework or contrary to/ or not wholly in accordance with the budget;
- 4.4.4 agreeing and/or amending the terms of reference for Committees, deciding on their composition and making appointments to them;
- 4.4.5 appointing the Leader;
- 4.4.6 noting the appointment of Cabinet Members by the Leader;
- 4.4.7 appointing representatives to outside bodies unless the appointment is a Cabinet function or has been delegated by the Council;
- 4.4.8 adopting a Schedule of Member Remuneration under Article 2.5;
- 4.4.9 adopting or revising a Code of Conduct for Members of the Council;
- 4.4.10 all the non-Cabinet functions set out in Table 1 in Part 3 of this Constitution which the Council decides should be undertaken by itself rather than a Committee, namely:
 - 4.4.10.1 making, amending, revoking, re-enacting or adopting bylaws;
 - 4.4.10.2 promoting or opposing the making of local legislation or personal bills;
 - 4.4.10.3 the approval of the Council's statement of accounts, income and expenditure and balance sheet or record of receipts and payments (as the case may be);
 - 4.4.10.4 making standing orders and standing orders as to contracts;
 - 4.4.10.5 the consideration of adverse reports from the Public Services Ombudsman for Wales with recommended compensation over the level of £1,000 or from the Children's Commissioner, the Care and Social Services'

- Inspectorate the Older People's Commissioner for Wales,
the Welsh Language Commissioner or Audit Wales;
- 4.4.10.6 functions relating to sea fisheries;
 - 4.4.10.7 changing the name of the County;
 - 4.4.10.8 changing the name of a community;
 - 4.4.10.9 conferring the title of honorary alderman or to admit to be an honorary freeman;
 - 4.4.10.10 petition for a charter to confer County borough status;
 - 4.4.10.11 appointing an electoral registration officer;
 - 4.4.10.12 the dissolution of Community Councils;
 - 4.4.10.13 making of orders to group Community Councils and for dissolving groups and separating Community Councils from groups;
 - 4.4.10.14 appointing a returning officer for local government elections;
 - 4.4.10.15 submitting proposals to the Secretary of State for an order under section 10 (pilot schemes for local elections in England and Wales) of the Representation of the People Act 2000;
 - 4.4.10.16 functions relating to local government pensions and the firemen's pension scheme.
 - 4.4.10.17 Consideration of Cabinet decisions called in, following recommendation by the relevant Scrutiny Committee, limited to circumstances the Call-In procedures (part 6).
- 4.4.11 appointing the Chief Executive, Corporate Directors and Corporate Lead Officers;
 - 4.4.12 Appointing statutory officers, including Section 151 Officer, Monitoring Officer, Director of Social Services, Chief Education Officer, and Head of Democratic Services;
 - 4.4.13 Determining the level, and any change in the level, of the remuneration of Chief Officers;
 - 4.4.14 all local choice functions set out in Part 3 of this Constitution which the Council decides should be undertaken by itself rather than Cabinet;
 - 4.4.15 all other matters which, by law, must be reserved to Council.

4.5 COUNCIL MEETINGS

There are four types of Council meeting:

4.5.1 the First Annual Meeting

4.5.2 the Annual meeting;

4.5.3 Ordinary meetings;

4.5.4 Special meetings.

and they will be conducted in accordance with the Council Procedure Rules in Part 4 of this Constitution.

4.6 RESPONSIBILITY FOR FUNCTIONS

The Council will maintain the tables in Part 3 of this Constitution setting out the responsibilities for the Council's functions which are not the responsibility of the Cabinet.

Plans and strategies which the Council has adopted as a matter of local choice can be found on the Council's website at www.ceredigion.gov.uk and CeriNet Home Page.

ARTICLE 5 – CHAIRING THE COUNCIL

5.1 ROLE AND FUNCTION OF THE CHAIRPERSON OF THE COUNCIL

The Chairperson of Council and in his/her absence, the Vice-Chairperson will have the following roles and functions:

The Chairperson will be elected by the Council annually at the annual meeting.

The Chairperson will have the following responsibilities:

- 5.1.1 to uphold and promote the purposes of the Constitution, and to interpret the Constitution when necessary;
- 5.1.2 to preside over meetings of the Council so that its business can be carried out efficiently and with regard to the rights of Councillors and the interests of the community;
- 5.1.3 to ensure that the Council meeting is a forum for the debate of matters of concern to the local community and the place at which members who are not on the Cabinet are able to hold the Cabinet and Committee chairmen to account;
- 5.1.4 to promote public involvement in the Council's activities;
- 5.1.5 to be the conscience of the Council; and
- 5.1.6 to attend such civic and ceremonial functions as they and the Council determine appropriate.

5.2 CHAIRPERSONSHIP OF COMMITTEES

The Chairperson and Vice-Chairperson of the Council shall not serve concurrently as Chairperson or Vice-Chairperson of any Committee of the Council.

Chairpersons and Vice-Chairpersons of Committees shall serve for a term of two municipal years and may hold one Chairperson and one Vice-Chairperson post concurrently and may not seek re-election for the succeeding term in relation to the relevant committee/s of which they hold Chairpersonship Chair status.

ARTICLE 6 – OVERVIEW AND SCRUTINY COMMITTEES

6.1 TERMS OF REFERENCE

The Council will appoint the Overview and Scrutiny Committees set out in the left hand column of the table below to discharge the functions conferred by Section 21 of the Local Government Act 2000 in relation to the matters set out in the right hand column of the same table.

Committee	Scope
Co-ordinating Committee (10 Members)	Transformation of services, collaboration, partnership working. Ceredigion Public Service Board, Ceredigion Local Well-being Plan, Corporate Strategy & Well-being Objectives Safeguarding, communication, equalities and crime and disorder matters
Corporate Resources (13 Members)	Corporate Services (to include human resources, customer services, ICT, treasury management and legal services), Inclusion/Equal Opportunities, Civil Contingencies, Business Continuity, Estates Management and Civil Registration.
Healthier Communities (13 Members)	Social Services, Integrated Care Services, Housing services, Leisure and Recreation Facilities, Environmental Health, Public Protection and Licencing.
Learning Communities (13 Members)	Lifelong Learning, Children and Young People, Schools, Training, Youth Services and Cultural Services.
Thriving Communities (17 Members)	Economic Development, Regeneration, Tourism, Marketing, Stronger Communities, European Grant Aid, Business Support, Capital Programme, Transport and Highways Infrastructure, Town and Country Planning and Sustainability, Coast and Countryside and Waste and other Municipal Services

6.2 GENERAL ROLE

Within their scope and terms of reference, Overview and Scrutiny Committees will:

- 6.2.1 review and/or scrutinise decisions made or actions taken in connection with the discharge of any of the Council's functions;
- 6.2.2 make reports and/or recommendations to the full Council and/or the Cabinet and/or any joint committee in connection with the discharge of any functions;
- 6.2.3 consider any matter affecting the area or its inhabitants; and
- 6.2.4 exercise the right to call-in, for reconsideration, decisions made but not yet implemented by the Cabinet.
- 6.2.5 The role of the Overview and Scrutiny Co-ordinating Committees be extended :
 - (a) To review or scrutinise decisions made, or other actions taken by the Public Services Board ("the P.S.B"), in the exercise of its functions;
 - (b) To review and scrutinise the PSB's governance arrangements;
 - (c) To make reports or recommendations to the PSB with respect to the PSB's functions or governance arrangements;
 - (d) To consider such matters relating to the PSB as the Welsh ministers may refer to it and to report to the Welsh ministers accordingly;
 - (e) To carry out such other functions in relation to the PSB as are imposed on it by the Well-being of Future Generations (Wales) Act 2015.
 - (f) To report/make recommendations to the appropriate fora (including Cabinet, the PSB and relevant sub-groups).

6.3 SPECIFIC FUNCTIONS

6.3.1 **Policy development and review.** Overview and Scrutiny Committees may:

- 6.3.1.1 assist the Council and the Cabinet in the development of its budget and policy framework by in-depth analysis of policy issues;
- 6.3.1.2 conduct research, community and other consultation in the analysis of policy issues and possible options;

- 6.3.1.3 consider and implement mechanisms to encourage and enhance community participation in the development of policy options;
 - 6.3.1.4 question members of the Cabinet and/or Committees and chief officers about their views on issues and proposals affecting the area or any matter under consideration; and
 - 6.3.1.5 liaise with other external organisations operating in the area, whether national, regional or local, to ensure that the interests of local people are enhanced by collaborative working.
- 6.3.2 **Scrutiny.** Overview and Scrutiny Committees are expected to:
- 6.3.2.1 review and scrutinise the decisions made by and performance of the Cabinet and/or Committees and Council officers both in relation to individual decisions and over time;
 - 6.3.2.2 review and scrutinise the performance of the Council in relation to its policy objectives, performance targets and/or particular service areas;
 - 6.3.2.3 question members of the Cabinet and/or Committees and appropriate officers about their decisions and performance, whether generally in comparison with business plans and targets over a period of time, or in relation to particular decisions, initiatives or projects;
 - 6.3.2.4 make recommendations to the Cabinet and/or appropriate Committee and by way of, and in accordance with good practice to inform Council decision making arising from the outcome of the e scrutiny process;
 - 6.3.2.5 review and scrutinise the performance of other public bodies in the area and invite reports from them by requesting them to address the Overview and Scrutiny Committee and local people about their activities and performance;
 - 6.3.2.6 question and gather evidence from any person (with their consent).
- 6.3.3 **Finance.** Overview and Scrutiny Committees may exercise overall responsibility for the finances made available to them.
- 6.3.4 **Annual report.** Overview and Scrutiny Committees must report annually to full Council on the work undertaken by each of the Committees and make recommendations for future work programmes and amended working methods if appropriate.
- 6.3.5 **Work Programme.** Overview and Scrutiny Committees must exercise overall responsibility for the work programme.

6.4 PROCEEDINGS OF OVERVIEW AND SCRUTINY COMMITTEES

Overview and Scrutiny Committees will conduct their proceedings in accordance with the Overview and Scrutiny Procedure Rules set out in Part 4 of this Constitution. The Leader of the Council and Cabinet Members are to attend meetings of the appropriate Overview and Scrutiny Committees as an approved duty under Section 174 Local Government Act 1972 as they are automatically required to attend a meeting of an overview or scrutiny committee by the relevant Chairperson.

Full details of the Overview and Scrutiny Protocol can be found in Part 5.

6.5. PUBLIC ENGAGEMENT PROTOCOL

The Council has endorsed the Overview and Scrutiny Public Engagement Protocol, full details of which can be found in Part 5.

6.6 JOINT OVERVIEW AND SCRUTINY COMMITTEES

[A Mid Wales Corporate Joint Committee Joint Overview and Scrutiny Committee has been established \(see Article 16 below\).](#)

ARTICLE 7 – CABINET

7.1 ROLE

Cabinet will carry out all of the Council's functions which are not the responsibility of any other part of the Council, whether by law or under this Constitution.

7.2 FORM AND COMPOSITION

The Cabinet will, subject to Article 7.8 below (Job Sharing), consist of the Leader together with at least 6, but not more than 9, Councillors appointed to a Cabinet by the Leader, the appointments to be reported to Council at its next meeting for information purposes.

7.3 LEADER

The Leader will be a Councillor elected to the position of Leader by the Council.

Two or more Councillors may be elected to share the position of Leader by the Council (see Article 7.8 below (Job Sharing)).

The Leader will hold office until:

- 7.3.1 they resign from the office; or
- 7.3.2 they are suspended from being a Councillor under Part III of the Local Government Act 2000 (although they may resume office at the end of the period of suspension); or
- 7.3.3 they are no longer a Councillor; or
- 7.3.4 they are removed from office by resolution of the Council passed by at least 75% of members present at the meeting; or
- 7.3.5 they are removed from office by resolution of the Council in the event of a change in political control of the Council.

7.4 OTHER CABINET MEMBERS

Other Cabinet members shall hold office until:

- 7.4.1 they resign from office; or
- 7.4.2 they are suspended from being Councillors under Part III of the Local Government Act 2000 (although they may resume office at the end of the period of suspension); or
- 7.4.3 they are no longer Councillors; or
- 7.4.4 they are removed from office by the Leader who must give written notice of any removal to the Proper Officer. The removal will take effect two working days after receipt of the notice by the Proper Officer; or

- 7.4.5 they are removed from office, either individually or collectively, by resolution of the Council in the event of a change in political control of the Council.

7.5 PROCEEDINGS OF THE CABINET

Proceedings of the Cabinet shall take place in accordance with the Cabinet Procedure Rules set out in Part 4 of this Constitution. The Council's arrangements for multi-location meetings do apply to meetings of the Cabinet.

7.6 RESPONSIBILITY FOR FUNCTIONS

The Leader will maintain a list in Part 3 of this Constitution which will be reported to the next available Council meeting for information setting out which individual members of the Cabinet, Committees of the Cabinet, officers or joint arrangements are responsible for the exercise of particular Cabinet functions.

7.7 ASSISTANTS TO THE CABINET

7.7.1 Other Councillors may, from time to time, be designated by the Leader as Assistants to the Cabinet. Such Councillors will not be:

- (a) a Member of the Cabinet; or
- (b) The Chairman or Vice-Chairman of the Council

7.7.2 Assistants to the Cabinet will not participate in Cabinet Decision making, but may work closely with a Cabinet Member. They will not be a Member of any Overview and Scrutiny Committees relating to the specific responsibilities of the Cabinet Member they are assisting or any other areas to which they are assigned.

7.7.3 An Assistant to the Cabinet may support the Cabinet Member through the delegation of tasks as agreed for their area of responsibility, including attending/chairing meetings; speaking/opening events; reading and commenting on papers; meeting Officers; agreeing press releases/comments and carrying out interviews; representing the Council on appropriate groups. Assistants to the Cabinet will not, however, have delegated powers and will not be entitled to vote at Cabinet Meetings or Cabinet Committee Meetings nor deputise for the Cabinet Member when the Cabinet Member is called to appear at the Overview and Scrutiny Committee.

7.7.4 Assistants to the Cabinet are entitled to attend, and speak at, any meeting of the Cabinet or a Committee of the Cabinet.

7.8 JOB SHARING

7.8.1 Any election or appointment to the Cabinet (including the Leader) may include the election of two or more Councillors to share office.

7.8.2 Where two or more Members have been elected or appointed to share the same office on the Cabinet the maximum number of Members of the Cabinet, including the Leader(s), will be:

7.8.2.1 9, where at least two of the Members have been elected or appointed to share office; or

7.8.2.2 10, where at least three of the Members have been elected or appointed to share office.

7.8.3 The Members of Cabinet who share the same office will have one vote between them in respect of any matter on which they have a right to vote because they are a Member of the Cabinet.

7.8.4 Where any meeting is attended by more than one of the Members who share the same office and those members are attending in their capacity as a member of the Cabinet, they together count only as one person for the purpose of determining whether the meeting is quorate.

ARTICLE 8 – REGULATORY COMMITTEES

REGULATORY COMMITTEES

8.1 The Council will appoint the Committee set out in the left hand column of Part 3.3 (Table 3) of this Constitution to discharge the functions described in column 3 of that table. Their terms of reference are also set out in column 2 of that Table.

8.2 **Development Management Committee**

8.2.1 Role, purpose and responsibilities

The Development Management Committee's role, purpose and responsibilities are set out in the Terms of Reference of the Development Control Committee (see Part 3.3 (Table 3), Part 3.1 Table 1 (Part A) and items 3 and 4, Part I in Part 3.1 Table 1 of this Constitution).

The Development Management Committee's Terms of reference and functions of Part 3.3 (Table 3) are set out below, as follows:

- 1. Functions relating to town and country planning and development control as specified in Part A of Part 3.1 Table 1 above ('Functions relating to town and country planning and development control'), together with functions under items 3 and 4 of Part I of Table 1 ('Miscellaneous functions').*
- 2. To carry out the Authority's statutory planning functions in relation to the determination of applications and allied issues relating to development and the regulation of uses and activities.*
- 3. To consider and determine applications, so as to advance and contribute to the Council's Corporate Strategy and Priorities through thorough consideration of major developments county-wide.*
- 4. To make planning decisions based on sound material planning considerations, and not personal circumstances, opinions or feelings.*
- 5. To take into account the sustainable development principle in determining planning applications.*
- 6. The power to act, all the powers and duties of the Authority relating to the consideration of planning, listed building and conservation area applications, notification schemes, tree preservation orders, the control of development and the enforcement of such control, and other consultation schemes where appropriate.*
- 7. To receive reports from time to time from the Chief Executive or Corporate Lead Officer for Economy and Regeneration and other Officers on the exercise of any functions relating to the control of development which may have been delegated to them.*

8. *To deal with all applications:*
 - a. *made by the Council as landowner;*
 - b. *relating to major developments;*
 - c. *made by a Member or close personal associates; or*
 - d. *made by;*
 - I. *Chief Officers (Chief Executive, Corporate Directors and Corporate Lead Officers);*
 - II. *All staff employed by the Planning Service(s) including development management and Forward Planning; and*
 - III. *Any other Staff closely linked to the planning services or a particular planning application*
or by their close personal associates.
9. *To prioritise making sound planning judgements in line with all relevant national and local planning policy that advances the corporate strategies and priorities of the Council unless there are other material considerations.*
10. *To determine applications in accordance with the Local Development Plan, the central tenants of the Well-being of Future Generations (Wales) Act 2015, and to deliver the Council's Corporate Priorities:*
 - *Corporate Priority 1 – Boosting the Economy;*
 - *Corporate Priority 2 – Investing in People's Future;*
 - *Corporate Priority 3 – Enabling individual and Family Resilience; and*
 - *Corporate Priority 4 – Promoting Environmental and Community Resilience.*

8.2.2 Proceedings of the Committee

Proceedings of the Development Management Committee shall take place in accordance with the Development Management Committee Operational Procedures set out in Part 4 Document I of this Constitution.

8.2.3 Member's Protocol of Good Practice in Planning

The Member's Protocol of Good Practice in Planning (see Part 5 Document Q of this Constitution) sets out the way in which the Authority will expect Members to deal with planning applications and related matters relevant to the Development Management Committee (and respective standards of conduct).

8.3 Licensing Committee

[See Part 3.3 \(Table 3\) \(Committees of the Council\) of this Constitution for functions of the Licensing Committee.](#)

8.3.1 Simple Majority

Unless this Constitution provides otherwise, any matter decided by the Committee will be decided by a simple majority of those Committee

members voting and present in the meeting at the time the recommendation or proposal was made.

8.3.2 Chairperson's Casting Vote

If there are equal numbers of votes for and against, the Chairperson will have a second or casting vote. There will be no restriction on how the Chairperson chooses to exercise a casting vote.

OTHER COMMITTEES

8.4 The Council will appoint such other Committees as it considers appropriate to the exercise of its functions.

8.5 Any Committee appointed by the Council may at any time appoint additional Sub-Committees and panels throughout the year. The terms of reference and delegation of powers to them shall be explicit and within the appointed Committee's terms of reference.

ARTICLE 9 – THE ETHICS AND STANDARDS COMMITTEE AND GOVERNANCE AND AUDIT COMMITTEE

9.1 ETHICS AND STANDARDS COMMITTEE

The Council has an Ethics and Standards Committee in accordance with the Standards Committee (Wales) Regulations 2001 as amended (“the Regulations”).

9.1.1 COMPOSITION OF ETHICS AND STANDARDS COMMITTEE

9.1.1.1 Membership of Ethics and Standards Committee

The Ethics and Standards Committee is composed of nine members. Its membership comprises:

- 9.1.1.1.1** Five ‘independent’ members, who are not Councillors or Officers or the spouse of a Councillor or an officer of this Council or any other relevant authority as defined by the Regulations, appointed in accordance with the procedure set out in the Regulations;
- 9.1.1.1.2** Two County Councillors (other than the Leader of the Council and any member of the Cabinet);
- 9.1.1.1.3** Two members of Town and Community Councils wholly or mainly in the Council’s area (‘Community Committee members’).

9.1.2 Term of Office for Ethics and Standards Committee

- 9.1.2.1** Independent members are appointed for a term of not less than four nor more than six years. They may be re-appointed for one further consecutive term not exceeding four years.
- 9.1.2.2** Members of the Council who are members of the Ethics and Standards Committee have a term of office until the next ordinary local government election following their appointment. They may be reappointed for one further consecutive term.
- 9.1.2.3** A Community Committee member has a term of office until the next ordinary local government election following their appointment. They may be reappointed for one further consecutive term.

9.1.3 Quorum - A meeting of the Ethics and Standards Committee is only quorate when:

- 9.1.3.1** at least three members are present; and

9.1.3.2 at least half the members present (including the Chairperson) are Independent Members

9.1.4 Voting - Independent Members and Community Committee members are entitled to vote at meetings

9.1.4.1 Majority

Unless this Constitution provides otherwise, any matter will be decided by a simple majority of those Committee members voting and present in the meeting at the time the recommendation or proposal was made.

9.1.4.2 Chairperson's Casting Vote

If there are equal numbers of votes for and against, the Chairperson will have a second or casting vote. There will be no restriction on how the Chairperson chooses to exercise a casting vote.

9.1.5 Community Committee Members - A Community Committee member does not take part in the proceedings of the Ethics and Standards Committee when any matter relating to their Community Council is being considered;

9.1.6 Chairing the Ethics and Standards Committee

9.1.6.1 An Independent Member must chair the Ethics and Standards Committee.

9.1.6.2 The Chairperson is elected by the members of the Ethics and Standards Committee for whichever is the shorter of the following periods:-

9.1.6.2.1 a period of not less than four nor more than six years; or

9.1.6.2.2 until the term of office of that person as an independent member of the Ethics and Standards Committee comes to an end.

9.1.6.3 The election of a Chairperson is the first item of business for the Ethics and Standards Committee at its first meeting and thereafter at the end of the period of office of the incumbent Chairperson.

9.1.6.4 If the Chairperson is absent from a meeting of the Ethics and Standards Committee then the Vice-Chairperson of the Committee, if present, shall preside.

9.1.6.5 If both the Chairperson and the Vice-Chairperson of the Ethics and Standards Committee are absent from a meeting of that Committee,

such independent member of the Ethics and Standards Committee as the members of the Committee present shall choose shall preside.

9.1.7 ROLE AND FUNCTION OF ETHICS AND STANDARDS COMMITTEE

The Ethics and Standards Committee has the following roles and functions:

- 9.1.7.1** promoting and maintaining high standards of conduct by Councillors, Co-opted Members and church and parent governor representatives;
- 9.1.7.2** assisting the Councillors, Co-opted Members and church and parent governor representatives to observe the Members' Code of Conduct;
- 9.1.7.3** advising the Council on the adoption or revision of the Members' Code of Conduct;
- 9.1.7.4** monitoring the operation of the Members' Code of Conduct;
- 9.1.7.5** advising, training or arranging to train Councillors, co-opted members and church and parent governor representatives on matters relating to the Members' Code of Conduct;
- 9.1.7.6** granting dispensations to Councillors, Co-opted Members and church and parent governor representatives from requirements relating to interests set out in the Members' Code of Conduct; (81(4) & (5) LGA 2000 and the Standards Committees (Grant of Dispensation)(Wales) Regulations 2001 (2001/2279)
- 9.1.7.7** dealing with any reports from a case tribunal or interim case tribunal, and any report from the Monitoring Officer on any matter referred to that officer by the Public Services Ombudsman for Wales; (section 73(1) LGA 2000 and the Local Government Investigations (Functions of Monitoring Officers and Standards Committees)(Wales) Regulations 2001))(2001 2281)
- 9.1.7.8** the exercise of 9.1.7.1 to 9.1.7.7 above in relation to the Community Councils wholly or mainly in its area and the members of those Community Councils;(Section 56(1) LGA 2000)
- 9.1.7.9** to appoint an appeals panel of three, with a majority of independent members, one of whom would act as Chairperson, with regard to complaints made by members of the public under the Council's complaints procedure.
- 9.1.7.10** Developing and applying any local resolution protocols.
- 9.1.7.11** Working with Political Group Leaders to promote and maintain high standards of conduct by the Group members.
- 9.1.7.12** Monitoring compliance by Leaders of Political Groups with their duty to:
 - 9.1.7.12.1** take reasonable steps to promote and maintain high standards of conduct by members of the Group; and

9.1.7.12.2 co-operate with the Council's Ethics and Standards Committee (and any sub-committee of the Committee) in exercise of the Ethics and Standards Committee's functions.

9.1.7.13 Advising, training or arranging to train leaders of political groups on the Council about matters relating to their duties under 9.1.7.12.1 and 9.1.7.12.2 above.

9.1.7.14 Making an annual report to the Council- as soon as possible after the end of each financial year.

9.1.7.14.1 The annual report must include:-

9.1.7.14.2a a description of how the Ethics and Standards Committee has discharged its functions;

9.1.7.14.3a a summary of any reports and recommendations that were referred to the Ethics and Standards Committee under Chapter 3 of Part 3 of the Local Government Act 2000;

9.1.7.14.4a a summary of the actions that the Ethics and Standards Committee has taken following consideration of the reports and recommendations referred to in 9.1.7.14.3 above;

9.1.7.14.5a a summary of any notices that were given to the Ethics and Standards Committee under Chapter 4 of Part 4 of the Local Government Act 2000;

9.1.7.14.6 the Ethics and Standards Committee's assessment of the extent to which leaders of political groups on the Council have complied with their duties to promote and maintain high standards of conduct by members of their group and to cooperate with the Ethics and Standards Committee in the exercise of the Ethics and Standards Committee's functions; and

9.1.7.13-19.1.7.14.7 any recommendations which the Ethics and Standards Committee considers it appropriate to make to the Council about any matter which falls within the Committee's functions.-

9.1.7.15 Joint Standards Committee

The Mid Wales Corporate Joint Committee has established a Mid Wales Corporate Joint Committee Standards Sub-Committee (see Article 16).

9.2 GOVERNANCE AND AUDIT COMMITTEE

The Council has a Governance and Audit Committee in accordance with the Local Government (Wales) Measure 2011 (as amended), the Accounts and Audit Regulations (Wales) 2014 and the Accounts and Audit (Wales) (Amendment) Regulations 2018.

9.2.1 ROLE AND FUNCTION OF GOVERNANCE AND AUDIT COMMITTEE

The Governance and Audit Committee has the following roles and functions, which are expanded upon in the Terms of Reference of the Governance and Audit Committee of Part 3.3 (Table 3):

- 9.2.1.1** To provide an independent and high-level focus on the Council's audit, assurance and reporting arrangements;
- 9.2.1.2** To independently review and advise the Council and Cabinet, and their respective Committees and Officers, on matters regarding good governance, financial oversight, risk management control, complaints procedures/handling and internal control in the delivery of the Council's services and functions;
- 9.2.1.3** To ensure the Council's systems of governance and internal control are effective, including arrangements for ensuring value for money, supporting standards and ethics and for managing the authority's exposure to the risks of fraud and corruption, and to ensure that the Council's internal audit services operates in accordance with agreed procedures;
- 9.2.1.4** To review, scrutinise and issue reports and recommendations in relation to the Council's financial affairs;
- 9.2.1.5** To review, scrutinise and issues reports and recommendations on the appropriateness of the Council's risk management, internal control and corporate governance arrangements;
- 9.2.1.6** To oversee the Council's internal and external audit arrangements and the Council's relationship with other regulators, including supporting the effective relationships between external and internal audit, reviewing the external auditor's opinion and reports to members, and monitoring management action in response to the issues raised by external audit;
- 9.2.1.7** To oversee the Council's financial reporting and review its financial statements;
- 9.2.1.8** To review and assess the Council's draft annual Self-Assessment report and make any necessary recommendations to Council for changes to:
 - 9.2.1.8.1** the conclusions; or
 - 9.2.1.8.2** to anything included in the report relating to what actions the Council intends to take, or any actions it has already taken, with a view to increasing the extent to which the Council will meet the performance requirements in the financial year following the financial year to which the report relates

- 9.2.1.9** To consider the Panel Performance Assessment Report, review the Council's draft response to the report of the Panel and make any necessary recommendations for changes to the statements made in the draft response.
- 9.2.1.10** To consider any Auditor General Report following a special inspection of the Council, review the Council's draft response to the Auditor General Report and make any necessary recommendations for changes to the statements made in the Council's draft response relating to what action, if any, the Council intends to take in response to the Auditor General's recommendations; and
- 9.2.1.11** To adhere to accountability arrangements, including reporting on the arrangements and performance of the Governance and Audit Committee, and publish an annual report on the Committee's work.

9.2.2 COMPOSITION OF GOVERNANCE AND AUDIT COMMITTEE

9.2.2.1 Membership of Governance and Audit Committee

The Governance and Audit Committee membership is composed of:

9.2.2.1.1 A one-third membership total of 'lay persons'. For the purpose of the membership of the Governance and Audit Committee, a lay person is defined as a person who is not a member or officer of any local authority, who has not at any time in the period of twelve months ending with the date of that person's appointment been a member or an officer of any local authority, and who is not the spouse or civil partner of any member or officer of any local authority, as defined in the Local Government and Elections (Wales) Act 2021 and the Local Government (Wales) Measure 2011 (as amended) and any associated legislation; and

9.2.2.1.2 The remaining membership is composed of County Councillors. The Council shall appoint Members to the Governance and Audit Committee in accordance with the political balance rules.

9.2.2.2 Chairing the Governance and Audit Committee

The Governance and Audit Committee chooses its Chair and Deputy Chair and:

9.2.2.2.1 The Chair of the Governance and Audit Committee shall be a lay person.

9.2.2.2.2 The Deputy Chair of the Governance and Audit Committee shall not be a member of the Council's executive or an assistant to its executive.

9.2.2.2.3 Meetings of the Governance and Audit Committee shall be chaired by its Chair or, in the absence of the Chair, by its Deputy Chair. If both the said Chair and Deputy Chair are absent, the Governance and Audit Committee may appoint a member of the Committee who is not a member of ~~the Council's executive~~Cabinet, or an assistant to ~~its executive~~Cabinet, to chair the meeting.

9.2.3 Quorum

A meeting of the Governance and Audit Committee is only quorate when at least three members are present.

9.2.4 Voting

9.2.4.1 Majority

Unless this Constitution provides otherwise, any matter will be decided by a simple majority of those Committee members voting and present in the meeting at the time the recommendation or proposal was made.

9.1.4.2 Chairperson's Casting Vote

If there are equal numbers of votes for and against, the Chairperson will have a second or casting vote. There will be no restriction on how the Chairperson chooses to exercise a casting vote.

ARTICLE 10 – JOINT ARRANGEMENTS

10.1 ARRANGEMENTS TO PROMOTE WELL BEING

The Council or the Cabinet, in order to promote the economic, social or environmental well-being of its area, may:

10.1.1 enter into arrangements or agreements with any person or body;

10.1.2 co-operate with, or facilitate or co-ordinate the activities of, any person or body; and

10.1.3 exercise on behalf of that person or body any functions of that person or body.

10.2 JOINT ARRANGEMENTS

10.2.1 The Council may establish joint arrangements with one or more local authorities and/or Health Boards and/or their Executives to exercise functions which are not Executive functions in any of the participating authorities, or to advise the Council. Such arrangements may involve the appointment of Joint Committees, or Regional Health Partnership Boards with these local authorities and/or Health Boards.

10.2.2 The Cabinet may establish joint arrangements with one or more local authorities to exercise functions which are Executive functions. Such arrangements may involve the appointment of Joint Committees, or Regional Health Partnership Boards with these other local authorities and/or Health Boards.

10.2.3 Except as set out below, the Cabinet may only appoint Cabinet members to a Joint Committee and those members need not reflect the political composition of the local Council as a whole.

10.2.4 The Cabinet may appoint members to a Joint Committee from outside the Cabinet where the Joint Committee has functions for only part of the area of the Council, and that area is smaller than two-fifths of the Council by area or population. In such cases, the Cabinet may appoint to the Joint Committee any Councillor who is a member for an electoral division which is wholly or partly contained within the area. The political balance requirements do not apply to such appointments.

10.2.5 Details of any joint arrangements including any delegations to Joint Committees will be found in the Council's scheme of delegations in Part 3 of this Constitution (and Section 4 of Part 7 of this Constitution in relation to the Mid Wales Corporate Joint Committee). There is also information in Part 7 of this Constitution regarding consultative and

advisory fora (statutory and non-statutory), internal policy development/monitoring groups, partnerships within Ceredigion and regional partnerships/fora/consortia/joint committees.

10.3 ACCESS TO INFORMATION

10.3.1 The Access to Information Rules in Part 4, Document B of this Constitution apply.

10.4 DELEGATION TO AND FROM OTHER LOCAL AUTHORITIES

10.4.1 The Council may delegate non-executive functions to another local authority or, in certain circumstances, the executive of another local authority.

10.4.2 The Cabinet may delegate executive functions to another local authority or the executive of another local authority in certain circumstances.

10.4.3 The decision whether or not to accept such a delegation from another local authority shall be reserved to the Council meeting.

10.5 CONTRACTING OUT

The Council or Executive may arrange for the Council to contract out to another body or organisation functions which may be exercised by an officer. Contracting out to another local authority can be arranged under Section 101 of the Local Government Act 1972 and Section 2 of Part 1 Local Government Act 2000. Special statutory provisions permit joint arrangements with Health Bodies, but otherwise there may be a need for an order under Section 70 of the Deregulation and Contracting Out Act 1994, unless the contracting arrangements provide that the contractor acts as the Council's agent under usual contracting principles (and provided there is no delegation of the Authority's discretionary decision-making).

ARTICLE 11– OFFICERS

11.1 MANAGEMENT STRUCTURE

11.1.1 The Organisational Chart can be found at Part 6 of this document and also on the Council website

11.1.2 General. The full Council may engage such staff (referred to as officers) as it considers necessary to carry out its functions.

11.1.3 Chief Officers. The full Council will engage persons for the following posts, who are designated Chief Officers and Deputy Chief Officers as defined in Paragraph 3 ~~po~~of Part 2 of Schedule 3 of the Local Authorities (Standing Orders) (Wales) Regulations 2006, as amended.

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
Chief Executive		<ul style="list-style-type: none"> • Acting Returning Officer for Parliamentary Elections • Counting Officer for European Elections • Counting Officer for Referenda • Electoral Registration Officer • If appointed by the Lord Chancellor, to act as Secretary to the Lord Chancellor's Advisory Committee on Magistrates for Ceredigion. • Overall corporate management and operational responsibility (including overall management responsibility for all officers); • Representing the Council on partnership and external bodies (as required by statute or the Council); and • Returning Officer for Local Government Elections including Community Councils and National Assembly for Wales <u>Senedd Cymru</u> Elections • Service to the whole Council, on a politically neutral basis. • The provision of professional and impartial advice to all parties in the decision-making process - the Leader and Cabinet, Overview and Scrutiny Committees, the full Council and other Committees; • To act as Joint Clerk to the Lord Lieutenancy for their activities in Ceredigion. <ul style="list-style-type: none"> • To be Proper Officer for the Coroner Service. • Together with the Proper Officer responsibility for a system of record keeping for all the Council's decisions (Executive or otherwise); • Police Area Returning Officer

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
Corporate Directors		<p>Working with the Chief Executive and the wider Senior Leadership Team provide strategic leadership across Ceredigion - promoting the County as a place to live, work, invest and visit.</p> <p>Lead on the strategic health and wellbeing agenda; providing strategic direction to a partnership-led approach to the delivery of children and adults support services and safeguards those who are vulnerable, throughout Ceredigion.</p> <p>Principal Accountabilities</p> <p>1. Strategic Leadership</p> <p>Lead the strategic direction of the various functions; ensuring Ceredigion is a place that supports and values its citizens,</p> <p>safeguards those who are vulnerable and provides appropriate care and protection.</p> <p>affording them maximum opportunity to reach academic and skills development to contribute to the economic and social growth of the County.</p> <p>2. Thematic Performance</p> <p>Monitoring Council wide performance of services, within the role's span of control.</p> <p>Assess performance against plans to ensure the services are delivered effectively and efficiently and to the highest standards; including financial, performance, risk, people and change management.</p> <p>Lead and motivate management and staff to develop a climate of high performance and customer/community focus.</p>

		<p>Deliver performance improvements by driving modernisation and managing change, ensuring read through to corporate objectives.</p> <p>Facilitate change and transformation programmes across the Council, supporting senior managers in delivering excellent services through the provision of pragmatic and effective advice.</p> <p>3. Political Engagement</p> <p>Lead political and democratic engagement in relation to the relevant thematic areas; establishing and maintaining procedure around democratic services and scrutiny.</p> <p>Develop strong working relationships with elected members; providing high level advice and support to maintain and improve Council performance.</p> <p>4. Stakeholder Engagement</p> <p>Engage local partners from the public, private and community sectors in the delivery of Corporate priorities; forging a broad network of contacts across the public and private sector to develop Ceredigion as a place to live, work, invest and visit.</p> <p>5. Communication</p> <p>Communicate the vision and values of the organisation to a broad range of stakeholders; building support among them in order to deliver better public services.</p>
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Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	<p>Corporate Lead Officer Schools and Culture</p> <p>*Chief Education Officer</p>	<ul style="list-style-type: none"> • School Improvement, including use of statutory notices within mainstream schools and pupil referral units. • Curriculum Support • Assessment, pupil progress and accountability measures • Leadership in schools • Post 16 provision in schools • Early years Education in non-maintained settings • Childcare provision • School Improvement Services including advisory service • Governing Body support • Welsh in Education Strategic Plan • Canolfannau Iaith • English/Welsh as an additional language • Additional Learning Needs including pre-school • Inclusion and well-being School exclusion appeals • Monitoring of elective home education • Pupil admissions • Pupil voice • Child Performance Licences • School attendance • School modernisation Programme • Infrastructure and Resources • Catering Service • Music Service • Theatre Felin Fach • Cered • Museum

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Porth Cymorth Cynnar	<ul style="list-style-type: none"> • Behaviour Services (Through Age) • HCT (Work Based Learning) • Dysgu Bro (Adult Community Learning) • Post 14 Learning and Skills • Alternative Curriculum • Leisure • Active Young people • NERS • Disability Sport • Youth Services • NEETs • Post 16 Services (Cam Nesa' Project) • Work Experience (Extended) • Workways+ • Communities for Work+ • Flying Start • Pathfinder Project • Play • Carers • Team Around the Family • Tim Teulu • Penparcau Family Centre • Families First • Youth Justice Prevention Service • Day/Evening opportunities • Porth y Gymuned • Community Connectors • Channel (Channel Chair)

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Finance & Procurement * Section 151 Officer	Core Finance (Deputy 151) <ul style="list-style-type: none"> • Medium Term Financial Planning • Statement of Accounts • Capital Programme • Financial Information Systems • Insurances • Sundry Debtors • Community Grants • Taxation • Treasury Management & Income Accounting • Care Home charging Service Finance <ul style="list-style-type: none"> • Financial Management • Accountancy • Budget setting and control • Final Accounts • Grant claims • Financial Management support to Schools • External funding Revenues & Financial Assessment <ul style="list-style-type: none"> • Council Tax Billing, Collection and Recovery • NNDR Billing, Collection and Recovery • Discretionary rates and Hardship relief • Council Tax Support • Housing Benefits • Financial Assessments • Revenues systems • Discretionary Housing Payments • Free School Meals & Pupil Access Grant Procurement and Payments <ul style="list-style-type: none"> • Ordering • Quotations and tenders • Payments • Procurement advice and control • Commissioning of service contracts • Proceeds of Crime Act 2002

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Democratic Services *Head of Democratic Services	<ul style="list-style-type: none"> • Cabinet Support • Democratic Services • Deputy Electoral Registration Officer • Deputy Acting Returning Officer for Parliamentary Elections • Deputy Returning Officer for Local Government Elections including Community Councils and National Assembly for Wales <u>Senedd Cymru</u> Elections • Police Area Deputy Local Returning Officer • Member Support • Scrutiny Support • Translation Services • Communication and Engagement • Electoral Services • Corporate Services Support • Welsh Language Standards

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer People & Organisation	<ul style="list-style-type: none"> • Authorised and Authorising Officer: Regulation of Investigating Powers Act 2000 • Human resources (HR) Advice and Administration • Payroll and Benefits • HR Systems • Organisational Development • Corporate Learning and Development • Corporate Health and Safety. • Staff engagement and well-being • Employee Equality

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	<p>Corporate Lead Officer Porth Cynnal Specialist Through Age Services</p> <p>* Statutory Director of Social Services</p> <p>*Responsible Individual</p>	<ul style="list-style-type: none"> • Adoption • Disabled Children and Adults • Care leavers • Looked After Children • Adults Planned Care Services • Safeguarding Service Children and Adults to include Independent Reviewing Service • Children in Need of Care and Support • Substance Misuse Service • Contracts Monitoring.(Social Care) & Quality Assurance • Regional Partnerships arrangements (Social Services and Well-being Act 2014) • Authorised and Authorising Officer: Regulation of Investigatory Powers Act 2000 • Mental Well-being Services • Agency Decision Maker - Children

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	<p>Corporate Lead Officer</p> <p>Porth Gofal Targeted Intervention Services</p> <p>Deputy Statutory Director of Social Services</p>	<ul style="list-style-type: none"> • Porth Gofal Intake & Triage • Integrated Community Equipment Stores • Targeted Intervention Services Adults and Children • Assessment of Care and Support needs Adults and Children • Direct Services (In-House Residential Care/Home Care/Equipment) • Domicilliary Care Co-ordination • Porth Gofal • Fostering Services • Housing • Common Housing Register • Homelessness and Housing Options • Disabled Facilities Grants • Home Energy Efficiency • Housing Standards (HMO's, Landlord Accreditation and Letting Agencies) • Emergency Out of Hours Services

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	<p data-bbox="528 264 762 474">Corporate Lead Officer Policy, Performance & Public Protection</p> <p data-bbox="528 555 751 730">*Proper Officer – Public Health Control of Disease Act 1984</p>	<ul data-bbox="826 264 1437 1594" style="list-style-type: none"> • Civil Contingency/Business Continuity and Local Resilience Forum • Strategic Partnerships, including Public Service Board and Community Safety. • Engagement and Equalities • Policy, Risk Management and Community Cohesion • Freedom of Information, Corporate Complaints, Compliments and Improvements • Business Planning and Improvement • Corporate Performance and Research • Licensing • Public Protection Services • Animal Health • Food Safety and Food Standards • Trading Standards) • Health & Safety (Regulatory) • Environmental Control • Statutory Nuisance • Dyfed Area Planning Board (Substance Misuse) • Public Health • Senior Authorising Officer for Proceeds of Crime Act 2002 • Authorised and Authorising Officer: Regulation of Investigatory Powers Act 2000 • Public Health Funerals • Private burials • Filthy and verminous premises • Drainage • Private Water Supplies • Air Quality • Refugee Re-settlement

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Highways and Environmental Services	<ul style="list-style-type: none"> • Central Wales Infrastructure Collaboration /North and Mid Wales Trunk Road Agent • Climate Change • Design Services (Highways) • Flooding and Coastal • Highways/Bridges • Operational Delivery in the areas of Highways, & Waste • Public Transport • Regional Transport Collaboration (TraCC) • Road Safety • Traffic Management • Civil parking Enforcement • Transport (to include Corporate Passenger Transport Unit) • Transport Planning (Local and Regional) • Waste • Highways Maintenance • Local Environment Services • Highways Development • Transport Services

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Economy & Regeneration	<ul style="list-style-type: none"> • Economic Development • Economic and Community Regeneration; • Funding and Grants; • Business Grants; • Food Centre Wales • Farmers Market & Markets • Planning Policy • Growing Mid Wales Partnership • Regional Engagement • Regional Planning • Tourism and marketing: • Tourist Information Centres; Wildlife, Coast and Countryside • Footpaths, bridleways and byways • Proper Officer – s78 Building Act 1984 (dangerous buildings) • Development Control (Planning) • Town & Country Planning • Conservation • Planning Enforcement & Building Control • Estates/ Development • Property Services • Asset Management • Project Management • All Buildings & Buildings Maintenance • Civil Enforcement

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Customer Contact *SIRO *Proper Officer for Civil Registration	<ul style="list-style-type: none"> • Archives & Modern Records • Corporate & Education ICT Support & Development • Customer Information Centres • Customer Contact / Community Well-being • Data Protection inc GDPR • ICT • CLIC, inc Family info support Services • DEWIS • Civil Registration • Public Access Requests • Information Management • Library Services • Reprographics Unit • Senior Information Risk Owner

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer Legal & Governance Services *Monitoring Officer	<ul style="list-style-type: none"> • Head of Legal Services / Chief legal Officer Coroner Service • Internal Audit • External Audit & Regulators • Welsh Audit Office Relationship • Corporate Governance • Constitution • Access to Informations • Deputy Electoral Registration Officer • Ethics and Standards • Monitoring Officer • Notices of Motion • Code of conduct & PSOW Referrals/Investigations • Senior Responsible Officer: Regulation of Investigating Powers Act 2000

11.1.4 Statutory Posts.

The Council will designate the following statutory posts as shown:

Post	Designation
Chief Executive	Chief Executive
Corporate Lead Officer Finance & Procurement	Chief Finance Officer Section 151 Officer
Corporate Lead Officer Legal & Governance Services	Monitoring Officer
Corporate Lead Officer Democratic Services *	Head of Democratic Services
Corporate Lead Officer Schools & Culture	Chief Education Officer
Corporate Lead Officer Porth Cynnal Specialist Through Age Services	Statutory Director Of Social Services

*Designated by the Democratic Services Committee.

Such posts will have the functions described in Article 11.2–11.8 below.

11.1.5 Structure. The Chief Executive will determine and publicise a description of the overall departmental structure of the Council showing the management structure and deployment of officers. This is set out at Part 7 of this Constitution.

11.2 FUNCTIONS OF THE CHIEF EXECUTIVE

~~4.1.4~~11.2.1 **Discharge of functions by the Council.** The Chief Executive will report to full Council on the manner in which the discharge of the Council's functions is co-ordinated, the number and grade of officers required for the discharge of functions, organisation of officers and the appointment and proper management of officers.

~~4.1.2~~11.2.2 **Restrictions on functions.** The Chief Executive may not be the Monitoring Officer but may hold the post of Chief Finance Officer if a qualified accountant.

11.3 FUNCTIONS OF THE MONITORING OFFICER

~~4.1.3~~11.3.1 **Maintaining the Constitution.** The Monitoring Officer will maintain an up-to-date version of the Constitution and will ensure that it is widely available for consultation by members, staff and the public.

~~4.1.4~~11.3.2 **Ensuring lawfulness and fairness of decision-making.** After consulting with the Chief Executive and Chief Finance Officer, the Monitoring Officer will report to the full Council or to Cabinet in relation to a Cabinet function if they consider that any proposal, decision or omission would give rise to unlawfulness or if any decision or omission has given rise to maladministration. Such a report will have the effect of stopping the proposal or decision being implemented until the report has been considered.

~~4.1.5~~11.3.3 **Supporting the Ethics and Standards Committee.** The Monitoring Officer and Deputy Monitoring Officer will contribute to the promotion and maintenance of high standards of conduct through provision of support to the Ethics and Standards Committee.

~~4.1.6~~11.3.4 **Receiving reports.** The Monitoring Officer will receive and act on reports made by the Ombudsman and decisions of the case tribunals or interim case tribunals.

~~4.1.7~~11.3.5 **Conducting investigations.** The Monitoring Officer will conduct investigations into matters referred to him/her by the Ombudsman and make reports or recommendations in respect of them to the Ethics and Standards Committee

~~4.1.8~~11.3.6 **Proper Officer for access to information.** The Monitoring Officer will ensure that Executive decisions, together with the reasons for those decisions and relevant officer reports

and background papers are made publicly available as soon as possible

~~4.1.9~~11.3.7 **Advising whether decisions of Cabinet** are within the budget and policy framework. The Monitoring Officer will advise whether decisions of Cabinet are in accordance with the budget and policy framework.

~~4.1.10~~11.3.8 **Providing advice.** The Monitoring Officer will, in conjunction with the Chief Finance Officer, provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues to all Councillors and relevant officers.

~~4.1.11~~11.3.9 **Restrictions on functions.** The Chief Executive may not be the Monitoring Officer or the Head of Democratic Services but may hold the post of Chief Finance Officer if a qualified accountant. The Head of Democratic Services may not be the Chief Finance Officer.

11.4 **FUNCTIONS OF THE CHIEF FINANCE OFFICER/SECTION 151 OFFICER**

11.4.1 **Ensuring lawfulness and financial prudence of decision-making.**

After consulting with the Chief Executive and the Monitoring Officer, the Chief Finance Officer will report to the full Council or to the Cabinet in relation to a Cabinet function and the Council's external auditor if they consider that any proposal, decision or course of action will involve incurring unlawful expenditure, or is unlawful and is likely to cause a loss or deficiency or if the Council is about to enter an item of account unlawfully.

11.4.2 **Administration of financial affairs.** The Chief Finance Officer will have responsibility for the administration of the financial affairs of the Council.

11.4.3 **Contributing to corporate management.** The Chief Finance Officer will contribute to the corporate management of the Council, in particular through the provision of professional financial advice.

11.4.4 **Providing advice.** The Chief Finance Officer will, in conjunction with the Monitoring Officer, provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues to all Councillors and will support and advise Councillors and officers in their respective roles. Give financial information. The Chief Finance Officer will provide financial information to the media, members of the public and the community as appropriate.

11.5 FUNCTIONS OF THE HEAD OF DEMOCRATIC SERVICES

11.5.1 to provide support and advice:

- to the Council in relation to its meetings
- to committees of the Council and the members of those committees
- to any Joint Committee which the Council is responsible for organising and the members of that Joint Committee
- in relation to the functions of the Council's Overview and Scrutiny Committees, to members of the Council, members of the Cabinet and officers
- to each member of the Council in carrying out the role of member of the Council
- to promote the role of the Council's Overview and Scrutiny Committees
- to make reports and recommendations in respect of the number and grades of staff required to discharge democratic services functions and the appointment, organisation and proper management of those staff
- any other functions prescribed by the Welsh Ministers.

11.6 FUNCTIONS OF THE CHIEF EDUCATION OFFICER

11.6.1 To undertake the statutory duties required of a Chief Education Officer as outlined in section 532 of the 1996 Education Act

11.7 FUNCTIONS OF THE STATUTORY DIRECTOR OF SOCIAL SERVICES

11.7.1 The Functions of the Statutory Director of Social Services are set out in Part 4 Document P

11.8 DUTY TO PROVIDE SUFFICIENT RESOURCES TO THE STATUTORY OFFICERS

11.8.1 The Council will provide the Monitoring Officer, Chief Finance Officer /Section 151 Officer, statutory Director of Social Services, Chief Education Officer and Head of Democratic Services with such officers, accommodation and other resources as are in their opinion sufficient to allow their duties to be performed.

11.9 CONDUCT

Officers will comply with the Officers' Code of Conduct and the Protocol on Officer/Member Relations set out in Part 5 of this Constitution.

11.10 EMPLOYMENT

The recruitment, selection and dismissal of officers will comply with the Officer Employment Rules set out in Part 4 of this Constitution.

ARTICLE 12 – DECISION-MAKING

12.1 RESPONSIBILITY FOR DECISION-MAKING

The Council will issue and keep up to date a record of what part of the Council or individual has responsibility for particular types of decisions or decisions relating to particular areas or functions. This record is set out in Part 3 of this Constitution.

12.2 PRINCIPLES OF DECISION-MAKING

All decisions of the Council will be made in accordance with the following principles:

- 12.2.1 Proportionality (i.e. any action taken must be proportionate to the aim being pursued);
- 12.2.2 due consultation and the taking of professional advice from officers;
- 12.2.3 respect for equality and human rights;
- 12.2.4 a presumption in favour of openness; and
- 12.2.5 clarity of aims and desired outcomes.
- 12.2.6 Proper recording of reasons for the decision, any personal and prejudicial interests declared as well as any dispensations to speak granted by the Council's Ethics and Standards Committee
- 12.2.7 Taking all reasonable steps and/or having due regard to:
 - 12.2.7.1 meeting the principles and goals set out in the Well-Being of Future Generations (Wales) Act 2015, in carrying out its functions;
 - 12.2.7.2 the desirability of reducing inequalities of outcome which result from socio-economic disadvantage (pursuant to the Equality Act 2010); and
 - 12.2.7.3 the Council's Anti-Slavery Policy and Anti-Slavery Annual Statement (pursuant to the Modern Slavery Act 2015).

12.3 DECISIONS RESERVED TO FULL COUNCIL

Decisions relating to the functions listed in Article 4.1 will be made by the full Council and not delegated.

12.4 DECISION-MAKING BY THE FULL COUNCIL

Subject to Article 12.8 and to Part 3.5 in relation to urgent action, the Council meeting will follow the Council Procedures Rules and other relevant Procedures set out in Part 4 of this Constitution when considering any matter.

12.5 DECISION-MAKING BY THE CABINET

Subject to Article 12.8, the Cabinet will follow the Cabinet Procedures Rules and other relevant procedures set out in Part 4 of this Constitution when considering any matter.

12.6 DECISION-MAKING BY OVERVIEW AND SCRUTINY COMMITTEES

Overview and Scrutiny Committees will follow the Overview and Scrutiny Procedures Rules and other relevant procedures set out in Part 4 of this Constitution when considering any matter.

12.7 DECISION-MAKING BY OTHER COMMITTEES AND SUB-COMMITTEES ESTABLISHED BY THE COUNCIL

Subject to Article 12.8, other Council Committees and Sub-Committees will follow those parts of the Council Procedures Rules and other relevant procedures set out in Part 4 of this Constitution as apply to them.

12.8 DECISION-MAKING BY COUNCIL BODIES ACTING AS TRIBUNALS

The Council, a Councillor or an officer/s acting as a tribunal or in a quasi judicial manner or determining/considering (other than for the purposes of giving advice) the civil rights and obligations or the criminal responsibility of any person will follow a proper procedure which accords with the requirements of natural justice and the right to a fair trial contained in Article 6 of the European Convention on Human Rights.

12.9 DECISION-MAKING BY CORPORATE JOINT COMMITTEES

The Mid Wales Corporate Joint Committee (also see Article 16) may make decisions in accordance with applicable relevant legislation.

ARTICLE 13 – FINANCE, CONTRACTS AND LEGAL MATTERS

13.1 FINANCIAL MANAGEMENT

The management of the Council's financial affairs will be conducted in accordance with the financial rules set out in Part 4 of this Constitution.

13.2 CONTRACTS

Every contract made by the Council will comply with the Contract Procedure Rules set out in Part 4 of this Constitution.

13.3 LEGAL PROCEEDINGS

Corporate Lead Officer Legal & Governance Services is authorised to institute, defend or participate in any legal proceedings in any case where such action is necessary to give effect to decisions of the Council or in any case where the Corporate Lead Officer Legal & Governance Services considers that such action is necessary to protect the Council's interests.

13.4 AUTHENTICATION OF DOCUMENTS

Where any document is necessary to any legal procedure or proceedings on behalf of the Council, it will be signed by the Corporate Lead Officer Legal & Governance Services, and/or other person authorised by the Council unless any enactment otherwise authorises or requires.

All contracts shall be administered in accordance with the Contract Procedure Rules.

13.5 COMMON SEAL OF THE COUNCIL

The Common Seal of the Council will be kept in a safe place in the custody of the Corporate Lead Officer Legal & Governance Services. A decision of the Council, or of any part of it, will be sufficient authority for sealing any document necessary to give effect to the decision. The Common Seal will be affixed to those documents which in the opinion of the Corporate Lead Officer Legal & Governance Services, the Corporate Lead Officer for Democratic Services, the Monitoring Officer or the Chief Executive should be sealed. The affixing of the Common Seal will be attested by the Corporate Lead Officer Legal & Governance Services, the Corporate Lead Officer Democratic Services, the Monitoring Officer or the Chief Executive or some other person authorised by the Council.

ARTICLE 14 – REVIEW AND REVISION OF THE CONSTITUTION

14.1 DUTY TO MONITOR AND REVIEW THE CONSTITUTION

The Monitoring Officer and the Corporate Lead Officer Democratic Services will monitor and review the operation of the Constitution to ensure that the aims and principles of the Constitution are given full effect and to make any minor amendments to the Constitution as required.

14.2 A key role for the Monitoring Officer and the Corporate Lead Officer Democratic Services is to be aware of the strengths and weaknesses of the Constitution adopted by the Council. The Monitoring Officer will effect any minor changes and to make recommendations for ways in which it could be amended in order better to achieve the purposes set out in Article 1. In undertaking this task the Monitoring Officer may:

- 14.2.1 observe meetings of different parts of the member and officer structure;
- 14.2.2 undertake an audit trail of a sample of decisions;
- 14.2.3 record and analyse issues raised with them by members, officers, the public and other relevant stakeholders;
- 14.2.4 compare practices in this Council with those in other comparable authorities, or national examples of good practice.

14.3 CHANGES TO THE CONSTITUTION

Changes to reflect legislative, structural and minor matters

- 14.3.1 Changes (other than minor matters) to the constitution will be approved by the Council after consideration of the proposal by the Monitoring Officer, in consultation with the Council's Cross-Party Constitution Working Group, as necessary (see Section 2 Part 7).
- 14.3.2 Where change from a Leader and Cabinet form of Executive to a Mayoral Form of Executive or Vice Versa is proposed, the Council must take reasonable steps to consult with local electors and other interested persons in the area.

14.4 MAINTAINING THE CONSTITUTION

The Monitoring Officer and Corporate Lead Officer Democratic Services will maintain an up-to-date version of the Constitution and will ensure that it is widely available for reference and inspection by Members, staff and the public. A copy of the Council Constitution will be published on the Council's Website.

ARTICLE 15 – SUSPENSION, INTERPRETATION AND PUBLICATION OF THE CONSTITUTION

15.1 SUSPENSION OF THE CONSTITUTION

This Article ensures that the articles of the Constitution may not be suspended. This provides certainty and stability to the fundamental aspects of the Council's governance.

It does however provide for Rules of Procedure to be suspended provided this is to achieve an effect consistent with the purposes of the Constitution set out in Article 1.

15.1.1 The Articles of this Constitution may not be suspended. The Council Procedure Rules specified below may be suspended in whole or in part by the full Council to the extent permitted within those Rules and the law.

15.1.2 A motion to suspend any rules will not be moved without notice unless at least one half of the whole number of Councillors are present. The extent and duration of suspension will be proportionate to the result to be achieved, taking account of the purposes of the Constitution set out in Article 1.

15.1.3 Any Council Procedure Rules save for those which are defined as mandatory in the Local Authorities (Standing Orders) Regulations 1993 may be suspended in accordance with Article 15.1.

15.2 INTERPRETATION

15.2.1 Where the Constitution permits the Council to choose between different courses of action, the Council will always choose that option which it thinks is closest to the purpose stated in Article 1.

15.2.2 The ruling of the Chairperson of Council as to the construction or application of this Constitution or as to any proceedings of the Council shall not be challenged at any meeting of the Council. Such interpretation will have regard to the purposes of this Constitution contained in Article 1 and any guidance or advice of the Monitoring Officer.

15.2.3 The following words, phrases and terms shall have the meanings ascribed to them unless the context requires or it is otherwise provided at law.

Word, phrase or term	Meaning
Access to Information Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Article	An Article of this Constitution
Budget and Policy Framework Procedure Rules	The rules so titled as set out in Part 4 of the Constitution
Call in	The referral of an executive decision in accordance with the Overview and Scrutiny Procedure Rules
Cabinet	The Council's Cabinet as defined in section 11 of the Local Government Act 2000
Cabinet Decision	A decision made for the purpose of discharging an Executive Function
Cabinet Members	The Leader and Deputy Leader of the Council and any Councillor appointed by the Leader of the Council pursuant to section 11 (3) (b) of the Local Government Act 2000 and notified by the Leader to the County Council
Cabinet Portfolio	An area of County Council activity allocated by the Leader of the Council to a Cabinet Member and notified by the Leader to the Council
Cabinet Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Chairperson	The person elected as the Chair of a Committee or appointed as the Chair of a sub-committee or in his or her absence the Vice Chair/Deputy Chair of such committee or sub-committee where one has been elected or appointed or the person presiding at the meeting of a committee or sub-committee
Chief Executive	The person designated as such by the Council under Section 54 of the Local Government and Elections (Wales) Act 2021
Chief Officer	A person designated as such by the Council
Clear Days	The number of days between the day when the document is first made available for inspection or dispatched to Councillors and the date of the meeting to which it relates but includes any intervening date when the document is available for public inspection
Committee	A committee or sub-committee of the Council

Word, phrase or term	Meaning
Committee Meeting Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Confidential information	Confidential information as defined by section 100A(3) of the Local Government Act 1972 as more particularly set out in Paragraph 10.4 of Document B in Part 4 of this Constitution (Access to Information Procedure Rules)
Constitution	This constitution, as amended
<u>Constitution Guide</u>	<u>A document, which explains, in ordinary language, the content of this Constitution, published by the Council in accordance with Section 37 of the Local Government Act 2000.</u>
Contract Procedure Rules	The Contract Standing Orders and Procurement Rules set out in Part 4 of the Constitution
<u>Corporate Joint Committee</u>	<u>A corporate body, established via regulation, comprising specified principal councils in Wales, for the purpose of enabling strategic planning and delivery at a regional scale. See Article 16 for details of the Corporate Joint Committee that the Council is a member of.</u>
Council	Ceredigion County Council acting by any means which they may lawfully adopt
Council Meeting	The Council meeting together in accordance with Schedule 12 of the Local Government Act 1972
Council Procedure Rules	The rules set out in Part 4 of the Constitution
Councillor	A member of the Council
County	County of Ceredigion
<u>Data Protection Legislation</u>	<u>The Data Protection Act 2018 and UK General Data Protection Regulation (UK GDPR)</u>
Employee	An employee of the Council
Employment Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Executive Function	A function of the Council which is determined to be an executive function in accordance with section 13 of the Local Government Act 2000

Word, phrase or term	Meaning
Exempt information	Information of a nature described in Schedule 12A of the Local Government Act 1972 as amended more particularly set out in Article 10.4 of Document B in Part 4 of this Constitution (Access to Information Procedure Rules)
Financial Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Forward Plan	The agreed plan of business for Cabinet, to be published on a quarterly basis, setting out all the business to be undertaken by Cabinet for a 12 month period
Leader	Cabinet leader as defined in section 48 of the Local Government Act 2000 <u>Reference to 'Leader' in this Constitution includes reference to each Leader appointed as such in accordance with the Job Sharing provisions at Article 7.8 of this Constitution.</u>
Majority Group	a political group to which belong either – (a) more than half of the members of the Council; or (b) exactly half of the number of members of the Council, including the Chair
Meeting	A meeting of the Council or a committee as the case may be, <u>to include meetings held in person, fully remotely or in a hybrid arrangement (a 'multi-location meeting'), as per section 47 of the Local Government and Elections (Wales) Act 2021 and in accordance with the Council's Protocol for Attendance at Local Authority Meetings and Electronic Broadcasts of Meetings. Reference to attendance at such meetings may include remote attendance, as applicable.</u>
Member	Unless otherwise stated means a member of the committee or body to which the rule or requirement applies
Members Code of Conduct	The Code of Conduct adopted by the Council in accordance with section 51 of the Local Government Act 2000
Monitoring Officer	The officer of the Council designated by the Council under section 5 of the Local Government and Housing Act 1989

Word, phrase or term	Meaning
Number of members	In relation to the Council, the number of persons who may act at the time in question as members of the Council, and in relation to a committee, the number of persons who may act at the time in question as voting members of that body
Ombudsman	Public Service Ombudsman for Wales
Overview and Committees	Those committees of the Council appointed in accordance with Article 6
Policy Framework	The plans and strategies referred to in Article 4 paragraph 4.1 of the Constitution
Political Group	a political group as defined in the Local Government (Committees and Political Groups) Regulations 1990 as amended by the (Amendment) Regulations of 1991 and 1993
Proper Officer	For all purposes (excluding Civil Registration and where otherwise specified) the Head of Democratic Services and in absence the Monitoring Officer will be deemed to be the Proper Officer
<u>Public Services Board</u>	<u>The public services board established for the Council's local authority area under Part 4 of the Well-being of Future Generations (Wales) Act 2015</u>
Regulatory committee	Any committee with statutory recognised regulatory functions, for example, Governance and Audit Committee, Licensing Committee, Development Management Committee.
Schedule of Member Remuneration	The scheme referred to in Part 6 of the Constitution
Scrutiny Procedure Rules	The rules so titled set out in Part 4 of the Constitution
Statutory Officer	(For the purpose of this Constitution, the Chief Executive, the Monitoring Officer / Proper Officer, the Chief Finance Officer (Section 151), the Head of Democratic Services.
Corporate Director	A person designated as such by the Council
The Cabinet	The Council's Cabinet as defined in section 11 of the Local Government Act 2000

Word, phrase or term	Meaning
The Deputy Leader	a member selected to deputise for the Leader of the Council
The Local Councillor(s)	means the Councillor(s) for any electoral area(s) to which a Council matter under consideration relates
The 1972 Act	The Local Government Act 1972
The 1989 Act	The Local Government and Housing Act 1989
The 2000 Act	The Local Government Act 2000
Working Day	Means any day on which the main offices of the Council are open for usual business and for the avoidance of doubt the phrase 'clear working days' shall exclude the day when notice is given or documents are made available for inspection or is dispatched to Councillors as the case may be and the date of the meeting or event to which it relates
Writing	A requirement that something shall be submitted in writing will be satisfied by the submission by email to an address designated by the Proper Officer for that purpose provided that it is transmitted by the Councillor concerned from the Councillor's email address and in such circumstances will be deemed to have been signed by the Councillor concerned
Any reference in any Council Procedure Rule to a numbered paragraph is, unless the context otherwise requires, a reference to the paragraph of that Council Procedure Rule bearing that number.	

15.2.4 Reference to any statute or statutory provision includes a reference to:

15.2.4.1 that statute or statutory provision as from time to time amended, extended, re-enacted or consolidated; and

15.2.4.2 all statutory instruments or orders made pursuant to it.

15.2.5 Words denoting the singular number only shall include the plural and vice versa.

15.2.6 Words denoting any gender include all genders.

15.2.7 The headings in this document are inserted for convenience only and shall not affect the construction or interpretation of this Constitution.

- 15.2.8 References to a designated employee of the Council includes (except where the law prescribes that the function, action or the like must be taken by that person alone) a person duly authorised to act for or on behalf of that person provided that the employee designated for the purposes of the Constitution shall remain responsible to the Council.
- 15.2.9 References to a post or designation shall be deemed to include a reference to the employee for the time-being performing those functions where the post or designation name is altered or the functions are reallocated and where there is a reference to a generic title (e.g. Corporate Director, Corporate Lead Officer) such reference will be deemed to include other posts whatever their designation or name but being within the same tier of management or responsibility.

15.3 PUBLICATION OF CONSTITUTION

- 15.3.1 The Monitoring Officer ensure that each member of the Council will have access to an electronic or printed copy of this Constitution upon delivery to him/her of that individual's declaration of acceptance of office on the member first being elected to the Council.
- 15.3.2 The Monitoring Officer will ensure that copies are available for inspection at Council offices, and other appropriate locations and is published on the Council's website, and can be purchased by members of the local press and the public on payment of a charge representing no more than the cost of providing the copy.

ARTICLE 16 – CORPORATE JOINT COMMITTEES

16.1 The Council is a member of the following Corporate Joint Committees:

(a) The Mid Wales Corporate Joint Committee ('the Mid Wales CJC') pursuant to

(i) The Mid Wales Corporate Joint Committee Regulations 2021

(ii) The Corporate Joint Committee (General) (Wales) Regulations 2021; and

(iii) The Corporate Joint Committees (General) (Wales) Regulations 2022.

(b) The Mid Wales Corporate Joint Committee has established the following Sub-Committees:

(i) The Joint Overview and Scrutiny Committee;

(ii) The Joint Governance and Audit Committee; and

(iii) The Joint Standards Committee

PART 3
RESPONSIBILITY FOR COUNCIL
FUNCTIONS

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Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS

A. Functions relating to town and country planning and development control			
Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
1. Power to determine applications for planning permission.	Sections 70(1)(a) and (b) and 72 of the Town and Country Planning Act 1990.	Development Management Committee	Corporate Lead Officer Economy & Regeneration,
2. Power to determine applications to develop land without compliance with conditions previously attached.	Section 73 of the Town and Country Planning Act 1990.		
3. Power to grant planning permission for development already carried out.	Section 73A of the Town and Country Planning Act 1990.		
4. Power to decline to determine application for planning permission.	Section 70A of the Town and Country Planning Act 1990.		
5. Duties relating to the making of determinations of planning applications.	Sections 69, 76 and 92 of the Town and Country Planning Act 1990 and Articles 8, 10 to 13, 15 to 22 and 25 and 26 of the Town and Country Planning (General Development Procedure) Order 1995 (S.I. 1995/419) and directions made there under.		
6. Power to determine applications for planning permission made by a local authority, alone or jointly with another person	Section 316 of the Town and Country Planning Act 1990 and the Town Country Planning General Regulations 1992 (S.I. 1992/1492).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

A. Functions relating to town and country planning and development control

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
7. Power to make determinations, give approvals and agree certain other matters relating to the exercise of permitted development rights.	Parts 6, 7, 11, 17, 19, 20, 21 to 24, 30 and 31 of Schedule 2 to the Town and Country Planning (General Permitted Development) Order 1995 (S.I. 1995/418).	Development Management Committee	Corporate Lead Officer Economy & Regeneration,
8. Power to enter into planning obligation, regulating development or use of land.	Section 106 of the Town and Country Planning Act 1990.		
9. Power to issue a certificate of existing or proposed lawful use or development.	Sections 191(4) and 192(2) of the Town and Country Planning Act 1990.		
10. Power to serve a completion notice	Section 94(2) of the Town and Country Planning Act 1990.		
11. Power to grant consent for the display of advertisements.	Section 220 of the Town and Country Planning Act 1990 and the Town and Country Planning (Control of Advertisements) Regulations 1992.		
12. Power to authorise entry onto land.	Section 196A of the Town and Country Planning Act 1990.		
13. Power to require the discontinuance of a use of land.	Section 102 of the Town and Country Planning Act 1990.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

A. Functions relating to town and country planning and development control

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
14. Power to serve a planning contravention notice, breach of condition notice or stop notice.	Sections 171C, 187A and 183(1) of the Town and Country Planning Act 1990.	Development Management Committee	Corporate Lead Officer Economy & Regeneration,
15. Power to issue an enforcement notice.	Section 172 of the Town and Country Planning Act 1990.		
16. Power to apply for an injunction restraining a breach of planning control.	Section 187B of the Town and Country Planning Act 1990.		
17. Power to determine applications for hazardous substances consent, and related powers.	Sections 9(1) and 10 of the Planning (Hazardous Substances) Act 1990 (c. 10).		
18. Duty to determine conditions to which old mining permissions, relevant planning permissions relating to dormant sites or active Phase I or II sites, or mineral permissions relating to mining sites, as the case may be, are to be subject.	Paragraph 2(6)(a) of Schedule 2 to the Planning and Compensation Act 1991, paragraph 9(6) of Schedule 13 to the Environment Act 1995 (c. 25) and paragraph 6(5) of Schedule 14 to that Act.		
19. Power to require proper maintenance of land.	Section 215(1) of the Town and Country Planning Act 1990.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

A. Functions relating to town and country planning and development control

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
20. Power to determine applications for listed building consent, and related powers.	Sections 16(1) and (2), 17 and 33(1) of the Planning (Listed Buildings and Conservation Areas) Act 1990 (c. 9).	Development Management Committee	Corporate Lead Officer Economy & Regeneration,
21. Power to determine applications for conservation area consent.	Section 16(1) of the Planning (Listed Buildings and Conservation Areas) Act 1990, as applied by section 74(3) of that Act.		
22. Duties relating to applications for listed building consent and conservation area consent.	Section 13(1) of the Planning (Listed Buildings and Conservation Areas) Act 1990 and regulations 3 to 13 of the Planning (Listed Buildings and Conservation Areas) Regulations 1990 and paragraph 127 of the Welsh Office circular 61/96: Planning and the Historic Environment: Historic Buildings and Conservation Areas.		
23. Power to serve a building preservation notice, and related powers.	Sections 3(1) and 4(1) of the Planning (Listed Buildings and Conservation Areas) Act 1990.		
24. Power to issue a listed building enforcement notice.	Section 38 of the Planning (Listed Buildings and Conservation Areas) Act 1990.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

A. Functions relating to town and country planning and development control

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
25. Powers to acquire a listed building in need of repair and to serve a repairs notice.	Sections 47 and 48 of the Planning (Listed Buildings and Conservation Areas) Act 1990.	Development Management Committee	Corporate Lead Officer Economy & Regeneration,
26. Power to apply for an injunction in relation to a listed building.	Section 44A of the Planning (Listed Buildings and Conservation Areas) Act 1990.		
27. Power to execute urgent works.	Section 54 of the Planning (Listed Buildings and Buildings in Conservation Areas) Act 1990.		
28. Power related to mineral working.	Schedule 9 of the Town and Country Planning Act 1990.		
29. Power related to footpaths and bridleways.	Section 257 of the Town and Country Planning Act 1990.		
30. Power as to certification of appropriate alternative development.	Section 17 of the Land Compensation Act 1961 (c. 33).		
31. Duties in relation to purchase notices.	Sections 137-144 of the Town and Country Planning Act 1990.		
32. Powers related to blight notices.	Sections 149-171 of the Town and Country Planning Act 1990.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule)

<p>1. Power to issue licences authorising the use of land as a caravan site (“site licences”).</p>	<p>Section 3(3) of the Caravan Sites and Control of Development Act 1960 (c. 62).</p>	<p>Council</p>	<p>Corporate Lead Officer Policy, Performance and Public Protection,</p>
<p>2. Power to license the use of moveable dwellings and camping sites.</p>	<p>Section 269(1) of the Public Health Act 1936 (c. 49).</p>		
<p>3. Power to license hackney carriages and private hire vehicles.</p>	<p>(a) as to hackney carriages, the Town Police Clauses Act 1847 (10 & 11 Vict. c. 89), as extended by section 171 of the Public Health Act 1875 (38 & 39 Vict. c. 55), and section 15 of the Transport Act 1985 (c. 67); and sections 47, 57, 58, 60 and 79 of the Local Government (Miscellaneous Provisions) Act 1976 (c. 57); (b) as to private hire vehicles, sections 48, 57, 58, 60 and 79 of the Local Government (Miscellaneous Provisions) Act 1976.</p>		
<p>4. Power to license drivers of hackney carriages and private hire vehicles.</p>	<p>Sections 51, 53, 54, 59, 61 and 79 of the Local Government (Miscellaneous Provisions) Act 1976.</p>		
<p>5. Power to license operators of hackney carriages and private hire vehicles.</p>	<p>Sections 55 to 58, 62 and 79 of the Local Government (Miscellaneous Provisions) Act 1976.</p>		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
6. Power to register pool promoters.	Schedule 2 to the Betting, Gaming and Lotteries Act 1963 (c. 2).	Council	Corporate Lead Officer Policy, Performance and Public Protection,
7. Power to grant track betting licences.	Schedule 3 to the Betting, Gaming and Lotteries Act 1963.		
8. Power to license inter-track betting schemes.	Schedule 5ZA to the Betting, Gaming and Lotteries Act 1963.		
9. Power to grant permits in respect of premises with amusement machines.	Schedule 9 to the Gaming Act 1968 (c. 65).		
10. Power to register societies wishing to promote lotteries.	Schedule 1 to the Lotteries and Amusements Act 1976 (c. 32).		
11. Power to grant permits in respect of premises where amusements with prizes are provided.	Schedule 3 to the Lotteries and Amusements Act 1976.		
12. Power to issue entertainments licences.	Section 12 of the Children and Young Persons Act 1933 (c. 12)		
13. Power to license sex shops and sex cinemas.	The Local Government (Miscellaneous Provisions) Act 1982, section 2 and Schedule 3.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd			
B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd			
Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
14. Power to license performances of hypnotism.	The Hypnotism Act 1952 (c. 46).	Council	Corporate Lead Officer Policy, Performance and Public Protection,
15. Power to register	Sections 13 to 17 of the Local		
(Cont'd) premises for acupuncture, tattooing, ear-piercing and electrolysis. Power to issue permits / permission.	(Cont'd) Government (Miscellaneous Provisions) Act 1982.		
16. Power to license pleasure boats and pleasure vessels.	Section 94 of the Public Health Acts Amendment Act 1907 (c. 53).		
17. Power to license market and street trading.	Part III of and Schedule 4 to, the Local Government (Miscellaneous Provisions) Act 1982.	Delegated to Corporate Lead Officer Economy & Regeneration,	
18. Duty to keep list of persons entitled to sell non-medicinal poisons.	Sections 3(1) (b) (ii), 5, 6 and 11 of the Poisons Act 1972 (c. 66).	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection,
19. Power to license dealers in game and the killing and selling of game.	Sections 5, 6, 17, 18 and 21 to 23 of the Game Act 1831 (c. 32); sections 2 to 16 of the Game Licences Act 1860 (c. 90), section 4 of the Customs and Inland Revenue Act 1883 (c. 10), section 27 of the Local Government Act 1894 (c. 73), and section 213 of the Local Government Act 1972 (c. 70).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
20. Power of register and license premises for the preparation of food.	Section 19 of the Food Safety Act 1990 (c. 16).	Licensing Committee	Corporate Lead Officer Policy, Performance, and Public Protection,
21. Power to license scrap yards.	Section 1 of the Scrap Metal Dealers Act 1964 (c. 69).		
22. Power to issue, amend or replace safety certificates (whether general or special) for sports grounds.	The Safety of Sports Grounds Act 1975 (c. 52).		
23. Power to issue, cancel, amend or replace safety certificates for regulated stands at sports grounds.	Part III of the Fire Safety and Safety of Places of Sport Act 1987 (c. 27).		
24. Duty to promote fire safety	Section 6 of the Fire and Rescue Services Act 2004 (c. 21)		
25. Power to license premises for the breeding of dogs.	Section 1 of the Breeding of Dogs Act 1973 (c. 60) and section 1 of the Breeding and Sale of Dogs (Welfare) Act 1999 (c. 11).		
26. Power to license pet shops and other establishments	Section 1 of the Pet Animals Act 1951 (c. 35); section 1 of the Animal Boarding Establishments		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
(Cont'd) where animals are bred or kept for the purposes of carrying on a business.	(Cont'd) Act 1963 (c. 43); the Riding Establishments Acts 1964 and 1970 (1964 c. 70 and 1970 c. 70); section 1 of the Breeding of Dogs Act 1973 (c. 60), and sections 1 and 8 of the Breeding and Sale of Dogs (Welfare) Act 1999.	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection.
27. Power to register animal trainers and exhibitors.	Section 1 of the Performing Animals (Regulation) Act 1925 (c. 38).		
28. Power to license zoos.	Section 1 of the Zoo Licensing Act 1981 (c. 37)		
29. Power to license dangerous wild animals.	Section 1 of the Dangerous Wild Animals Act 1976 (c. 38).		
30. Power to enforce regulations in relation to animal by-products	Regulation 49 of the Animal By-products (Wales) Regulations 2006 (S.I 1292 (W.127))		
31. Power to license the employment of children.	Part II of the Children and Young Persons Act 1933 (c. 12), byelaws made under that Part, and Part II of the Children and Young Persons Act 1963 (c. 37).	Corporate Lead Officer Schools and Culture; Corporate Lead Officer Legal & Governance Services	

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
32. Power to approve premises for the solemnisation of marriages and the registration of civil partnerships.	Section 46A of the Marriage Act 1949 (c. 76), section 6A of the Civil Partnership Act 2004 (c. 33) and the Marriages and Civil Partnerships (Approved Premises) Regulations 2005 (S. I. 2005/3168).	Proper Officer for Civil Registrations (Corporate Lead Officer Customer Contact)	
33. Power to register common land or town or village greens, except where the power is exercisable solely for the purpose of giving effect to— 33(a) an exchange of lands effected by an order under section 19(3) of, or paragraph 6(4) of Schedule 3 to, the Acquisition of Land Act 1981 (c. 67) or 3(b) an order under section 147 of the Inclosure Act 1845 (c. 8 & 9 Vict. c. 118).	Regulation 6 of the Commons Registration (New Land) Regulations 1969 (S.I. 1969/1843).	Development Management Committee	Corporate Lead Officer Economy & Regeneration,
34. Power to register variation of rights of common.	Regulation 29 of the Commons Registration (General) Regulations 1966 (S.I. 1966/1471).	Development Management Committee	Corporate Lead Officer Economy & Regeneration
35. Power to issue a permit to conduct charitable collections.	Section 68 of the Charities Act 1992.	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection.
36. Power to grant consent for the operation of a loudspeaker.	Schedule 2 to the Noise and Statutory Nuisance Act 1993 (c. 40).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

B. Licensing and registration functions (in so far as not covered by any other paragraph of this Schedule) Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
37. Power to grant a street works licence.	Section 50 of the New Roads and Street Works Act 1991 (c. 22).	Corporate Lead Officer Highways & Environmental Services,	
38. Duty to register the movement of pigs.	Regulations 21(3) and (4) of the Pigs (Records Identification and Movement) (Wales) Order 2004 (S.I 2004/996 (W.104).	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection.
39. Power to enforce regulations in relation to the movement of pigs.	Regulation 27(1) of the Pigs (Records, Identification and Movement (Wales) Order 2004/996 (W.104).		
40. Power to issue a licence to move cattle from a market.	Article 5(2) of the Cattle Identification Regulations 1998 (S.I. 1998/871).		
41. Power to sanction use of parts of buildings for storage of celluloid.	Section 1 of the Celluloid and Cinematograph Film Act 1922 (c. 35).		
42. Duty to enforce and execute Regulations (EC) No. 852/2004 and 853/2004 in relation to food business operators as further specified in regulation 5 of the Food (Hygiene) (Wales) Regulations 2006.	Regulation 5 of the Food (Hygiene) (Wales) Regulations 2006.	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection.
43. Functions in respect of establishing a Licensing Committee.	Section 6 of the Licensing Act 2003 (c. 17).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

C. Functions relating to health and safety at work

<p>Functions under any of the “relevant statutory provisions” within the meaning of Part I (health, safety and welfare in connection with work, and control of dangerous substances) of the Health and Safety at Work etc. Act 1974, to the extent that those functions are discharged otherwise than in the authority’s capacity as an employer</p>	<p>Part I of the Health and Safety at Work etc. Act 1974 (c. 37).</p>	<p>Delegated to the Corporate Lead Officer Policy, Performance and Public Protection.</p>
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Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

D. Functions relating to elections

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
1. Duty to appoint an electoral registration officer.	Section 8(2A) of the Representation of the People Act 1983 (c. 2).	Council	Save for the functions delegated to the Chief Executive
2. Power to assign officers in relation to requisitions of the registration officer.	Section 52(4) of the Representation of the People Act 1983.		
3. Power to dissolve community councils.	Section 28 of the Local Government Act 1972.		
4. Power to make orders for grouping communities.	Section 29 of the Local Government Act 1972.		
5. Power to make orders for dissolving groups and separating community councils from groups.	Section 29A of the Local Government Act 1972.		
6. Duty to appoint returning officer for local government elections.	Section 35 of the Representation of the People Act 1983.		
7. Duty to provide assistance at European Parliamentary elections.	Section 6(7) and (8) of the European Parliamentary Elections Act 2002.		
8. Duty to divide constituency into polling districts.	Section 18 of the Representation of the People Act 1983.		
9. Power to divide electoral divisions into polling districts at local government elections.	Section 31 of the Representation of the People Act 1983.		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd			
D. Functions relating to elections			
Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
10. Powers in respect of holding of elections.	Section 39(4) of the Representation of the People Act 1983.	Council	Save for the functions delegated to the Chief Executive
11. Power to pay expenses properly incurred by electoral registration officers.	Section 54 of the Representation of the People Act 1983.		
12. Power to fill vacancies in the event of insufficient nominations.	Section 21 of the Representation of the People Act 1985.		
13. Duty to declare vacancy in office in certain cases.	Section 86 of the Local Government Act 1972.		
14. Duty to give public notice of a casual vacancy.	Section 87 of the Local Government Act 1972.		
15. Power to make temporary appointments to community councils.	Section 91 of the Local Government Act 1972.		
16. Power to determine fees and conditions for supply of copies of, or extracts from, elections documents.	Rule 48(3) of the Local Elections (Principal Areas) Rules 1986 (S.I.1986/2214) and rule 48(3) of the Local Elections (Parishes and Communities) Rules 1986 (S.I. 1986/2215).		
17. Power to submit proposals to the Secretary of State for an order under section 10 (pilot schemes for local elections in England and Wales) of the Representation of the People Act 2000.	Section 10 of the Representation of the People Act 2000 (c. 2).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd		
E. Functions relating to name and status of areas and individuals		
1. Power to change the name of a county or county borough.	Section 74 of the Local Government Act 1972.	Council
2. Power to change the name of a community.	Section 76 of the Local Government Act 1972.	
3. Power to confer title of honorary alderman or to admit to be an honorary freeman.	Section 249 of the Local Government Act 1972.	
4. Power to petition for a charter to confer county borough status.	Section 245A of the Local Government Act 1972.	
F. Power to make, amend, revoke or re-enact byelaws	Any provision of any enactment (including a local Act), whenever passed, and section 14 of the Interpretation Act 1978 (c. 300).	
G. Power to promote or oppose private Bills.	.Sections 52 and 53 Of the Local Government (Democracy) (Wales) Act 2013	
H. Functions relating to pensions etc.		
1. Functions relating to local government pensions, etc.	Regulations under section 7, 12 or 24 of the Superannuation Act 1972 (c. 11).	Council
2. Functions relating to pensions, allowances and gratuities.	Regulations under section 18 (3A) of the Local Government and Housing Act 1989 (c. 42).	
3. Functions under existing pension schemes as respects persons employed by the fire and rescue authorities pursuant to section 1 of the Fire and Rescue Service Act 2004	Sections 34 and 36 of the Fire and Rescue Services Act 2004.	

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

I. Miscellaneous functions

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
1. Duty to approve authority's statement of accounts, income and expenditure and balance sheet or record of receipts and payments (as the case may be).	The Accounts and Audit (Wales) Regulations 2005.	Council	
2. Functions relating to sea fisheries.	Sections 1, 2, 10 and 19 of the Sea Fisheries Regulation Act 1966 (c. 38).		
3. Powers relating to the preservation of trees.	Sections 197 to 214D of the Town and Country Planning Act 1990 and the Town and Country Planning (Trees) Regulations 1999 (S.I. 1999/1892).	Development Management Committee	Corporate Lead Officer Economy & Regeneration,
4. Powers relating to the protection of important hedgerows.	The Hedgerows Regulations 1997 (S.I. 1997/1160).		
5. Power to make standing orders.	Section 106 of, and paragraph 42 of Schedule 12 to, the Local Government Act 1972	Council	
6. Appointment and dismissal of staff	Section 112 of the Local Government Act 1972 and sections 7 and 8 of the Local Government and Housing Act 1989.	Council	Delegated to Chief Executive and all Officers nominated by the Chief Executive subject to the Officer Employment Rules

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

I. Miscellaneous functions Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
7. Power to make standing orders as to contracts.	Section 135 of the Local Government Act 1972.	Council	
8. Power to consider reports from the Public Services Ombudsman for Wales.	Section 19 of the Public Services Ombudsman (Wales) Act 2005 (c. 10).	Council	Monitoring Officer
9. Power to make an order identifying a place as a designated public place for the purposes of police powers in relation to alcohol consumption.	Section 13(2) of the Criminal Justice and Police Act 2001 (c. 16).	Council	
10. Powers in respect of registration of motor salvage operators.	Part 1 of the Vehicles (Crime) Act 2001 (c. 3).	Licensing Committee	Corporate Lead Officer Policy, Performance and Public Protection.
11. Power to appoint officers for particular purposes (appointment of "proper officers").	Section 270(3) of the Local Government Act 1972 (c. 42).	Council	
12. Duty to designate an officer as the head of the authority's paid service, and to provide staff, etc.	Section 4(1) of the Local Government and Housing Act 1989 (c. 42)		
13. Duty to designate an officer as the monitoring officer and to provide staff, etc.	Section 5(1) of the Local Government and Housing Act 1989.		
14. Duty to determine affordable borrowing limit.	Section 3 of the Local Government Act 2003 (c. 22).		

Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd

I. Miscellaneous functions Cont'd

Function	Provision of Act or Statutory Instrument	Delegated to	Further delegated to
15. Approval of annual investment strategy in accordance with guidance.	Section 15 of the Local Government Act 2003.	Council	
16. Duty to make arrangements for proper administration of financial affairs	Section 151 of the Local Government Act 1972 (c. 11).	Council	Section 151 Officer
17. Power to make or revoke an order designating a locality as an alcohol disorder zones	Section 16 of the Violent Crime Reduction Act 2006 (now repealed)		
18. Functions relating to Family Absence of Local Authority Members	The Family Absence for Members of Local Authorities (Wales) Regulations 2013		

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS

Function	Decision-making body	Membership	Delegation of functions
1. Any function under a local Act other than a function specified or referred to in Schedule 1.	Cabinet	All Cabinet Members	None
2. The determination of an appeal against any decision made by or on behalf of the authority.	Council	All Members of the Council	Save for the functions delegated to the Appeals Panel
3. Functions in relation to the revision of decisions made in connection with claims for housing benefit or council tax benefit and for appeals against such decisions under section 68 of and Schedule 7 to the Child Support, Pensions and Social Security Act 2000	Cabinet	All Cabinet Members	
4. The making of arrangements in relation to appeals against the exclusion of pupils in maintained schools under section 52 of the Education Act 2002.	Cabinet	All Cabinet Members	Corporate Lead Officer Schools and Culture; Corporate Lead Officer Legal & Governance Services;
5. The making of arrangements pursuant to section 94(1), (1A) and (4) of, and Schedule 24 to, the School Standards and Framework Act 1998 (admission appeals).			
6. The making of arrangements pursuant to section 95(2) of the School Standards and Framework Act 1998 (children to whom section 87 applies: appeals by governing bodies).			
7. The making of arrangements under section 20 (questions on police matters at council meetings) of the Police Act 1996 for enabling questions to be put on the discharge of the functions of a police authority.	Council	All Members of the Council	

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
8. The making of appointments under paragraphs 2 to 4 (appointment of members by relevant councils) of Schedule 2 (police authorities established under section 3) to the Police Act 1996.	Council	All Members of the Council	Joint Committee appointed under Paragraph 2(2) of Schedule 2 to the Police Act 1996
9. The conducting of best value reviews in accordance with the provisions of any order for the time being having effect under section 5 (best value reviews) of the Local Government Act 1999 or action under the Wales Improvement Measure as appropriate.	Cabinet	All Cabinet Members	Cabinet Members, Corporate Directors and Corporate Lead Officers
10. Any function relating to contaminated land.	Council	All Members of the Council	Corporate Lead Officer Policy, Performance and Public Protection, Corporate Lead Officer Highways and Environmental Services
11. The discharge of any function relating to the control of pollution or to the Declaration of an Air Quality Management Area	Council	All Members of the Council	Corporate Lead Officer Policy, Performance and Public Protection.
12. The service of an abatement notice in respect of a statutory nuisance.	Cabinet	All Cabinet Members	Corporate Lead Officer Policy Performance and Public Protection.
13. The passing of a resolution that Schedule 2 to the Noise and Statutory Nuisance Act 1993 should apply in the authority's area.	Council	All Members of the Council	
14. The inspection of the authority's area to detect any statutory nuisance.	Cabinet	All Cabinet Members	Corporate Lead Officer Policy, Performance and Public Protection, Corporate Lead Officer Highways and Environmental Services
15. The investigation of any complaint as to the existence of a statutory nuisance.			

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
16. The obtaining of information under section 330 of the Town and Country Planning Act 1990 as to interests in land.	Cabinet	All Cabinet Members	Corporate Lead Officer Policy, Performance and Public Protection, Corporate Lead Officer Highways and Environmental Services
17. The obtaining of particulars of persons interested in land under section 16 of the Local Government (Miscellaneous Provisions) Act 1976	Cabinet	All Cabinet Members	All Corporate Directors and Corporate Lead Officers
18. Any of the following functions in respect of highways -			
(a) the making of agreements for the execution of highways works.	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services,
(b) The functions contained in the following provisions of Part III of the Highways Act 1980 (Creation of Highways) –			
(i) Section 25 – creation of footpath, bridleway or restricted byway by agreement;	Cabinet	All Cabinet Members	Corporate Lead Officer Economy & Regeneration, Corporate Lead Officer Highways & Environmental Services
(ii) Section 26 – compulsory powers for creation of footpaths, bridleways or restricted byways;	Council	All Members of the Council	Corporate Lead Officer Economy & Regeneration

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
(c) The functions contained in the following provisions of Part V111 of the Highways Act 1980 (stopping up and diversion of highways etc.) -			
(i) Section 116 – power of magistrates' court to authorise stopping up or diversion of highway;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(ii) Section 117 – application for order under section 116 on behalf of another person;			
(iii) Section 118 – stopping up of footpaths, bridleways and restricted byways;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(iv) Section 118ZA – application for a public path extinguishment order;			
(v) Section 118A – stopping up of footpaths, bridleways and restricted byways crossing railways;			

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
(vi) Section 118B – stopping up of certain highways for purposes of crime prevention etc.;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(vii) Section 118C – application by proprietor of school for special extinguishment order;			
(viii) Section 119 – diversion of footpaths, bridleways and restricted byways;			
(ix) Section 119ZA – application for a public path diversion order;			
(x) Section 119A – diversion of footpaths, bridleways and restricted byways crossing railways;			
(xi) Section 119B – diversion of certain highways for purposes of crime prevention etc.;			

**Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS
(Cont'd)**

Function	Decision-making body	Membership	Delegation of functions
(xii) Section 119C – application by proprietor of school for special diversion order;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(xiii) Section 119D – diversion of certain highways for protection of sites of special scientific interest;			
(xiv) Section 120 – exercise of powers of making public path extinguishment and diversion orders;			
(xv) Section 121B – register of applications;			
(d) the functions contained in the following provisions of Part IX of the Highways Act 1980 (lawful and unlawful interference with highways and streets)-			
(i) Section 130 – protection of public rights;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(ii) Sections 139 – control of builders' skips;	Cabinet		

**Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS
(Cont'd)**

Function	Decision-making body	Membership	Delegation of functions
(iii) Section 140 – removal of builders' skips;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(iv) Section 140A(7) – builders' skips: charges for occupation of the highway;			
(v) Section 142 – licence to plant trees, shrubs etc. in a highway;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services
(vi) Section 147 – power to authorise erection of stiles etc. on footpath or bridleway;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration and Corporate Lead Officer Porth Gofal Targeted Intervention Services
(vii) Section 147ZA – agreements relating to improvements for benefit of persons with mobility problems;			
(viii) Section 149 – removal of things so deposited on highways as to be a nuisance etc.;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Policy Performance and Public Protection

**Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS
(Cont'd)**

Function	Decision-making body	Membership	Delegation of functions
(ix) Section 169 – control of scaffolding on highways;	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services and Corporate Lead Officer Economy & Regeneration
(x) Section 171 – control of deposit of building materials and making of excavations in streets			
(xi) Section 171A and regulations made under that section – works under s169 or s171: charge for occupation of the highway;			
(xii) Section 172 – hoardings to be set up during building etc.;			
(xiii) Section 173 – hoardings to be securely erected;			
(xiv) Section 178 – restriction on placing of rails, beams etc. over highways;			
(xv) Section 179 – control of construction of cellars etc. under street;			
(xvi) Section 180 – control of openings into cellars etc. under streets, and pavement lights and ventilators			

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
(e) exercising functions under section 35 of the Wildlife and Countryside Act 1982 (limestone pavement orders); and (f) exercising functions under section 53 of the Wildlife and Countryside Act 1981 (duty to keep definitive map and statement under continuous review)	Cabinet	All Cabinet Members	Corporate Lead Officer Economy & Regeneration
19. The appointment of any individual (a) to any office other than an office in which he is employed by the authority; (b) to anybody other than — (i) the authority; (ii) a joint committee of two or more authorities; or (c) to any committee or sub-committee of such a body, and the revocation of any such appointment.	Council in relation to Council-related functions Cabinet in relation to Cabinet-related functions	All Members of the Council or Cabinet where appropriate	None
20. Power to make payments or provide other benefits in cases of maladministration etc.	Council	All Members of the Council	Monitoring officer in relation to payments of £1,000 or below
21. The discharge of any function by an authority acting as a harbour authority.	Cabinet	All Cabinet Members	Corporate Lead Officer Highways & Environmental Services

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)			
Function	Decision-making body	Membership	Delegation of functions
22. Functions in respect of the calculation of council tax base in accordance with any of the following— (a) the determination of an item for T in section 33(1) and 44(1) of the Local Government Finance Act 1992; (b) the determination of an amount for item TP in sections 34(3), 45(3) 48(3) and 48(4) of the Local Government Finance Act 1992; (c) the determination of an amount required for determining an amount for the item mentioned in paragraph (a) or (b) above.	Cabinet	All Cabinet Members	None
23. Licensing functions in accordance with Part 2 of the Licensing Act 2003 except section 6.	Council	All Members of the Council	Licensing Committee
24a. Functions in respect of gambling under the following provisions of the Gambling Act 2005 – (i) Section 29 – licensing authority information; (ii) Section 30 – other exchange of information;	Council	All Members of the Council	Corporate Lead Officer Policy Performance and Public Protection

Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)

Function	Decision-making body	Membership	Delegation of functions
(iii) Section 284 – removal of exemption; (iv) Section 304 – authorised persons; (v) Section 346 – prosecutions by licensing authority; (vi) Section 350 – exchange of information; (vii) Part 5 of Schedule 11 – registration with local authority			
24b. Functions in respect of gambling under the following provisions of the Gambling Act 2005 – (i) Section 166 – resolution not to issue casino licences; (ii) Section 349 – three-year licensing policy;	Council	All Members of the Council	
24c. Functions in respect of gambling under the following provisions of the Gambling Act 2005 – (i) Section 212 and regulations made under that section – fees;	Cabinet	All Members of Cabinet	
25a. Functions in respect of approval by a local authority under section 51 or a determination by a Local Authority under section 53 of the School Standards and Organisation (Wales) Act 2013 (i) Section 41 proposals to establish mainstream schools (ii) Section 43: proposals to discontinue mainstream schools (iii) Section 44: proposals to	Council	All Members of the Council	

<p>a) establish a new community special school</p> <p>b) to discontinue such a school</p>			
<p>25b. Functions in respect of approval by a local authority under section 51 or a determination by a Local Authority under section 53 of the School Standards and Organisation (Wales) Act 2013</p> <p>(ii) Section 42 proposals to alter mainstream schools</p> <p>(iii) Section 44-proposals to make a regulated alteration to a community special school</p> <p>(iv) Section 45 proposals to change a school category</p>	Cabinet	All Cabinet Members	
<p>25c. Functions in respect of approval of the Council's Welsh in education strategic plan for submission to the Welsh Ministers for approval, for publication and implementation by the Council under sections 84 and 85 of the School Standards and Organisation (Wales) Act 2013</p> <p>(i) S.84 Preparation of Welsh in education strategic plans;</p> <p>(ii) S.85 Approval, publication and implementation of Welsh in education strategic plans</p>	Cabinet	All Cabinet Members	

Part 3.3 (Table 3) COMMITTEES OF THE COUNCIL

Committee	Functions	Delegation of Functions
<p>Development Management Committee</p> <p>(15 Members (may include Cabinet Members))</p>	<p>Development Management Committee – Terms of Reference</p> <ol style="list-style-type: none"> 1. Functions relating to town and country planning and development control as specified in Part A of Part 3.1 Table 1 above ('Functions relating to town and country planning and development control'), together with functions under items 3 and 4 of Part I of Table 1 ('Miscellaneous functions'). 2. To carry out the Authority's statutory planning functions in relation to the determination of applications and allied issues relating to development and the regulation of uses and activities. 3. To consider and determine applications, so as to advance and contribute to the Council's Corporate Strategy and Priorities through thorough consideration of major developments county-wide. 4. To make planning decisions based on sound material planning considerations, and not personal circumstances, opinions or feelings. 5. To take into account the sustainable development principle in determining planning applications. 6. The power to act, all the powers and duties of the Authority relating to the consideration of planning, listed building and conservation area applications, notification schemes, tree preservation orders, the control of development and the enforcement of such control, and other consultation schemes where appropriate. 7. To receive reports from time to time from the Chief Executive or Corporate Lead Officer for Economy and Regeneration and other Officers on the exercise of any functions relating to the control of development which may have been delegated to them. 	<p>See Part 3.1 Table 1(Part A) above ('Functions relating to town and country planning and development control')</p>

	<p>8. To deal with all applications:</p> <ul style="list-style-type: none"> a. made by the Council as landowner; b. relating to major developments; c. made by a Member or close personal associates; or d. made by <ul style="list-style-type: none"> I. Chief Officers (Chief Executive, Corporate Directors and Corporate Lead Officers); II. All staff employed by the Planning Service(s) including development management and Forward Planning; and III. Any other Staff closely linked to the planning services or a particular planning application <p>or by their close personal associates.</p> <p>9. To prioritise making sound planning judgements in line with all relevant national and local planning policy that advances the corporate strategies and priorities of the Council unless there are other material considerations.</p> <p>10. To determine applications in accordance with the Local Development Plan, the central tenants of the Well-being of Future Generations (Wales) Act 2015, and to deliver the Council's Corporate Priorities:</p> <ul style="list-style-type: none"> o Corporate Priority 1 – Boosting the Economy; o Corporate Priority 2 – Investing in People's Future; o Corporate Priority 3 – Enabling individual and Family Resilience; and o Corporate Priority 4 – Promoting Environmental and Community Resilience. 	
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Committee	Functions	Delegation of Functions
<p>Licensing Committee (11 Members)</p>	<p>Licensing and Registration Functions as specified in Part B of Table 1 above, together with functions under item 10 of Part I of Table 1.</p> <p>Licensing Functions and Functions in respect of Gambling as specified in Table 2 above, Functions 23 & 24).</p> <p>To recommend to the Council additions and/or amendments to policy in relation to the functions of the Committee.</p> <p>To determine suspension/revocation of personal licences pursuant to s132 of the Licensing Act 2003</p> <p>To determine contentious applications for the initial granting or renewal of licences to drive a hackney carriage or a private hire vehicle.</p> <p>To determine contentious applications for the initial grant or renewal of operators licences.</p> <p>To determine contentious applications and requests for licence reviews under the Licensing Act 2003 and the Gambling Act 2005. To determine applications for permits for house to house and street collections. To suspend, vary, revoke or refuse house to house, street collections, drivers, operators and vehicle licences.</p> <p>To determine contentious applications under the Motor Salvage Operators’ Registration Scheme.</p> <p>To hear representations and determine relevant applications under the Scrap Metal Dealers Act 2013 as appropriate.</p> <p>Licensing Sub Committee to determine applications for the grant of 3 or more gaming machines on alcohol licensed premises, or applications which are subject to objection</p>	<p>See Table 1 (Parts B and I) and Table 2 above.</p>

Committee	Functions	Delegation of Functions
Ethics and Standards Committee (9 Members: 2 County Councillors, 2 Town and Community Members and 5 Independent Members)	As set out in Article 9 of Part 2 to the Constitution	None

Committee	Functions	Delegation of Functions
<p>Governance and Audit Committee</p> <p>(3 Lay Persons and 6 County Councillors - 1/3 Lay Person composition)</p>	<p>Governance and Audit Committee – Terms of Reference 2018 <u>Statement of Purpose</u></p> <ol style="list-style-type: none"> 1 The Governance and Audit Committee is a key component of the Council’s corporate governance framework. It provides an independent and high-level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards. 2 The purpose of the Governance and Audit Committee is to provide independent assurance to full Council and management of the adequacy of the risk management framework and the internal control environment. It provides an independent review of the Council’s governance, risk management and control frameworks and oversees the financial reporting and annual governance processes. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place. <p><u>Governance Risk and Control</u></p> <ol style="list-style-type: none"> 3 To maintain an overview of the Council’s Constitution in respect of: Contract Procedure Rules, Finance Regulations and Code of Conduct. 4 To review the Council's corporate governance arrangements against the governance framework, including the ethical framework and consider the local code of governance. 5 To review the Annual Governance Statement prior to approval and consider whether it properly reflects the risk environment and supporting assurances, taking into account internal audit's opinion on the overall adequacy and effectiveness of the Council's framework of governance, risk management and control. 6 To consider the Council's arrangements to secure value for money and review 	<p>None</p>

	<p>assurances and assessments on the effectiveness of these arrangements.</p> <p>7 To consider the Council's framework of assurance and ensure that it adequately addresses the risks and priorities of the Council.</p> <p>8 To monitor the effective development and operation of risk management in the Council.</p> <p>9 To monitor progress in addressing risk-related issues reported to the Committee.</p> <p>10 To consider reports on the effectiveness of internal controls and the implementation of agreed actions.</p> <p>11 To review the assessment of fraud risks and potential harm to the Council from fraud and corruption.</p> <p>12 To monitor the counter-fraud strategy, actions and resources.</p> <p>13 To review the governance and assurance arrangements for significant partnerships or collaborations, where applicable.</p> <p>14 To consider the Corporate Risk Register.</p> <p>15 To consider the Council's Annual Improvement Report.</p> <p>16 To review and assess the performance assessment of the Council.</p> <p>17 To review and assess the Council's draft annual Self-Assessment Report and make any necessary recommendations to Council for changes to:</p> <p>(a) the conclusions; or</p> <p>(b) anything included in the report relating to what actions the Council intends to take, or actions it has already taken, with a view to increasing the extent to which the Council will meet the performance requirements in the financial year following the financial year to which the report relates.</p> <p>18 To consider the Panel Performance Assessment Report, review the Council's draft response to the report of the Panel, and make necessary recommendations for changes to the statements made in the draft response.</p> <p>19 To consider any Auditor General Report following a special inspection of the Council, review and assess the Council's draft response to any Auditor General</p>	
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	<p>Report and make any recommendations for changes to the statements made in the Council’s draft response relating to what action, if any, the Council intends to take in response to the Auditor General’s recommendations.</p> <p><u>Internal Audit</u></p> <p>20 To approve the Internal Audit Charter.</p> <p>21 To consider proposals made in relation to the appointment of any external providers of internal audit services.</p> <p>22 To approve the risk-based Internal Audit Plan, including Internal Audit’s resource requirements, the approach to using other sources of assurance and any work required to place reliance upon those other sources.</p> <p>23 To approve significant interim changes to the risk-based Internal Audit Plan and resource requirements.</p> <p>24 To make appropriate enquiries of both management and the Head of Internal Audit (“Chief Internal Auditor”) to determine if there are any inappropriate scope or resource limitations.</p> <p>25 To consider reports from the Head of Internal Audit on internal audit’s performance during the year, including the performance of any external providers of internal audit services. These will include:</p> <ul style="list-style-type: none"> a. Updates on the work of Internal Audit including key findings, issues of concern and action in hand as a result of internal audit work. b. Regular reports on the results of the Quality Assurance and Improvement Programme. c. Reports on instances where the internal audit function does not conform to the Public Sector Internal Audit Standards and Local Government Application Note, considering whether the non-conformance is significant enough 	
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	<p>that it must be included in the Annual Governance Statement.</p> <p>26 To consider the Head of Internal Audit's annual report regarding:</p> <ul style="list-style-type: none"> d. The statement of the level of conformance with the Public Sector Internal Audit Standards and Local Government Application Note and the results of the Quality Assurance and Improvement Programme that support the statement - these will indicate the reliability of the conclusions of internal audit. e. The opinion on the overall adequacy and effectiveness of the Council's framework of governance, risk management and control together with the summary of the work supporting the opinion - these will assist the committee in reviewing the Annual Governance Statement. <p>27 To consider summaries of specific Internal Audit reports as requested.</p> <p>28 To receive reports outlining the action taken where the head of internal audit has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions.</p> <p>29 To contribute to the Quality Assurance and Improvement Programme and in particular, to the external quality assessment of internal audit that takes place at least once every five years.</p> <p>30 To consider a report on the effectiveness of Internal Audit to support the Annual Governance Statement, where required to do so by the Accounts and Audit (Wales) Regulations 2014</p> <p>31 To support effective communication with the head of audit.</p> <p>32 To commission work from Internal Audit</p> <p><u>External Audit & Regulators</u></p> <p>33 To consider the external auditor's annual letter, relevant reports and the report to those charged with governance.</p>	
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	<p>34 To consider specific reports as agreed with the external auditor.</p> <p>35 To comment on the scope and depth of external audit work and to ensure it gives value for money.</p> <p>36 To commission work from external audit.</p> <p>37 To advise and recommend on the effectiveness of relationships between external and internal audit and other inspection agencies or relevant bodies.</p> <p>38 To consider reports from external regulators (including but not exclusive to: WAO, PSOW, GRO, CSIW, Estyn).</p> <p>39 Consider any Report received from the Auditor General, and the Council's draft response.</p> <p><u>Financial Reporting</u></p> <p>40 To review the annual statement of accounts and related reports. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.</p> <p>41 To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.</p> <p><u>Accountability Arrangements</u></p> <p>42 To report to those charged with governance on the Audit Committee's findings, conclusions and recommendations concerning the adequacy and effectiveness of their governance, risk management and internal control frameworks, financial reporting arrangements, and internal and external audit functions.</p> <p>43 To report to full Council on the Audit Committee's performance in relation to the terms of reference and the effectiveness of the Committee in meeting its purpose.</p>	
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	<p>44 To publish an annual report on the work of the Committee.</p> <p><u>Performance Reporting</u></p> <p>45 To consider reports on compliments, complaints and Freedom of Information activity.</p> <p>46 To review and assess the Council's ability to handle complaints effectively.</p> <p>47 To make reports and recommendations in relation to the Council's ability to handle complaints effectively.</p>	
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Committee	Functions	Delegation of Functions
Democratic Services Committee (6 members)	<p>To carry out the local authority's function of designating the Head of Democratic Services (HDS).</p> <p>Keep under review the provision of staff, accommodation and other resources made available to the HDS, in order to ensure that it is adequate for the responsibilities of the post.</p> <p>Make reports, at least annually, to the full council in relation to these matters.</p> <p>To consider, and make recommendations to the Council, concerning the timing of meetings.</p> <p>To oversee the training and development of Members.</p>	None
Appeals Panel (3 Members out of a pool of 7 members)	To determine appeals by members of staff in accordance with the Council's policies and procedures save for those referred to in Part 4 Document H.	
Short-listing Committee (7 Members)	To produce a shortlist of qualified applicants for Chief Executive, Corporate Director and Corporate Lead Officer Posts, to include interviewing of such applicants if needs be, for recommending to Council.	

Committee	Functions	Delegation of Functions
<p>Language Committee (7 Members)</p>	<p>To provide direction for the promotion and facilitation of the Welsh Language in Ceredigion. The Committee may require any member or officer of the Council to attend before it to answer questions and may invite other persons to attend meetings of the Committee.</p> <p>The committee is responsible for fulfilling the following functions:</p> <ul style="list-style-type: none"> • To set strategic direction in response to the Language Standards set by the Welsh Language Commissioner, • Monitor progress with the implementation of the Welsh Language Standards • Agree an annual report on progress with the Welsh Language Standards to the Welsh Language Commissioner • Play an active role in the development of other key areas of work relating to the Welsh Language - Welsh Language in Education Strategy; 'More than Just Words' Strategic Framework, Local Development Plan • To receive progress reports on the work of Cered (Menter Iaith Ceredigion) and Theatr Felinfach • To offer recommendations to promote and increase the use of the Welsh language in all aspects of the Council's work • To review the implementation of the Ceredigion Language Strategy, paying attention to the Council's work and any partnership work or joint working • Receiving information / consultations on matters relating to the Welsh Language as required and respond as appropriate. <ul style="list-style-type: none"> • Make recommendations to Cabinet and/or Council as appropriate 	None

Committee	Functions	Delegation of Functions
Trustee Charity Committee (10 members: 5 voting and 5 non-voting)	<p>To act as trustee in respect of all property assets held by the Council on charitable trusts.</p> <p>To make decisions in relation to charitable assets in the best interests of the charity.</p> <p>To receive reports on charitable issues and to ensure the requirements of the Charity Commission and charity law are adhered to in so far as they relate to the charitable assets held by the Council on trust.</p>	
Overview and Scrutiny Committees	<p>See Article 6 above</p>	

Part 3.4 (Table 4) RESPONSIBILITY FOR CABINET FUNCTIONS

Cabinet functions comprise all the functions of the Council, with the exception of;

- 3.4.1 Council functions set out in Table 1 above;
- 3.4.2 Those local choice functions allocated to the Council set out in Table 2 above;
- 3.4.3 Functions that cannot be the sole responsibility of the Cabinet as set out in Article 4 of Part 2 of the Constitution;
- 3.4.4 Potential decisions that conflict with;
 - the Council's budget or borrowing plans;
 - Financial Regulations or financial standing orders;
 - the Council's overall strategy or policy framework.

and in such cases the Cabinet must pass the decision to the Council for final determination.

- 3.4.5 Article 7.1 of the Constitution provides that all of the Council's functions which are not the responsibility of any other part of the Council whether by law or under the Constitution will be carried out by Cabinet. This section sets out:
 - the role of Cabinet Members within their respective portfolios,
 - the allocation of service responsibilities to individual Cabinet Members, and
 - those Cabinet Functions which have been delegated to individual Cabinet Members.

Portfolio	Roles, Service Responsibilities and Functions
<p>Leader of the Council</p>	<p>Roles and responsibilities of the Leader</p> <p>a) To provide political leadership to the Council, including:</p> <ul style="list-style-type: none"> • being the principal spokesperson for the Council • providing strong, clear leadership in the development and co-ordination of policies, strategies, plans and service delivery • to recommend to Council the appointment of Member Champions <p>b) Appointing the Cabinet, including:</p> <ul style="list-style-type: none"> • choosing the number of Councillors to serve on the Cabinet and their respective portfolios • designating a Deputy Leader • determining the executive functions delegated to the Cabinet, committees of the Cabinet, individual Cabinet Members, Officers and those undertaken via joint arrangements <p>c) To provide community leadership, including;</p> <ul style="list-style-type: none"> • acting as a leader of the local community by demonstrating and promoting the Council's Vision, aims and objectives • providing leadership to local strategic partnerships in the pursuit of common aims and priorities, including the Ceredigion Public Service Board <p>d) Representing the Council on external organisations, including:</p> <ul style="list-style-type: none"> • representing the Council on the WLGA (including the Co-ordinating Committee) and LGA • representing the Council on the following local, regional and national organisations: <ul style="list-style-type: none"> - Central and South West Wales WLGA Regional Partnership Board - Joint Council for Wales • <u>acting as the Council member of the Mid Wales Corporate Joint Committee. Where the Leader is unable to discharge their functions in respect</u>

of the Mid Wales Corporate Joint Committee, the Council shall appoint another member of the Cabinet to discharge those functions on behalf of the Council.

- Acting as one of the Council's Representatives on the Ceredigion Public Services Board.
 - The Leader shall be one of the Council's two representatives at meetings of the Ceredigion Public Services Board.
 - The Leader may designate another member of the Cabinet to attend a meeting of the Ceredigion Public Services Board in their absence. The leader shall designate the Deputy Leader to attend in their absence unless the Deputy Leader is also not available in which case the Leader shall designate another Member of Cabinet.

e) Managing and leading the work of the Cabinet, including:

- chairing meetings
- effectively managing the work of the Cabinet
- ensuring that a Cabinet Forward Work Plan is in place

f) Providing portfolio leadership for the following:

- Service delivery
- Community leadership
- Finance and budgetary control
- Employee relations
- Welsh Language Standards

g) Working with others, including:

- participating in the collective decision-making of the Cabinet
- working with Cabinet Members, Non-executive Members and Officers in order to ensure Council policies, the budgetary framework and the continuous improvement agenda is carried out effectively in order to ensure the delivery of high

	quality services within existing resources to local people
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All Cabinet Members	Roles and responsibilities of the Cabinet members
	A - General
	<p>a) Providing portfolio leadership, including:</p> <ul style="list-style-type: none"> • reporting to the Cabinet, Leader, Council, Overview and Scrutiny Committees in respect of services within the portfolio • giving political direction to officers working within the portfolio • formulating and developing plans, policies and strategies in respect of services within the portfolio for adoption and revision by the Council • liaising with the Chairperson of the respective Overview and Scrutiny Committee in respect of services within the portfolio • having an overview of the performance management, efficiency and effectiveness of the services within the portfolio <p>b) Working with others, including:</p> <ul style="list-style-type: none"> • Participating in the collective decision-making of the Cabinet • Working with the Leader of the Council, Cabinet Members, Non-executive Members and Officers in order to ensure Council policies, the budgetary framework and the continuous improvement agenda is carried out effectively in order to ensure the delivery of high quality services within existing resources to local people <p>c) Contributing towards community leadership, including;</p> <ul style="list-style-type: none"> • promoting the Council’s Vision, aims and objectives within the community • representing the Council on local strategic partnerships and the promotion of common aims and priorities <p>d) Representing the Council on external organisations, as appointed.</p>

	B - Specific portfolio roles and responsibilities
<p>Leader of the Council <u>and Cabinet Member for: Democratic Services, Policy, Performance and Partnerships.</u></p>	<p>Services: <u>Democratic Services,</u> Policy, Performance and Partnerships</p> <p>Internal panels/working groups/fora: Asset Management Group, Development Group, Transformation and Efficiency Consultative Group, Corporate Employee Forum, Housing Grants Panel, Equalities Group <u>and,</u> Performance Management Board; Performance Management Executive Panel and Community Grants Panel.</p> <p>Partnerships/Joint Committees/Agencies: Ceredigion Public Service Board, <u>Mid-Wales Corporate Joint Committee,</u> Mid Wales Joint Committee for Health and Care, and Growing Mid Wales Partnership, and Growing Mid Wales Board (Growth Deal Joint Committee).</p> <p>External bodies: WLGA, WLGA Rural Forum, WLGA Association Executive Board, Aberystwyth University Court of Governors, Joint Council for Wales and Consortium Local Authorities Wales ('CLAW') (Cabinet Member for Economy & Regeneration to deputise in Leader's absence).</p>

	B - Specific portfolio roles and responsibilities
<p>Deputy Leader of the Council <u>and Cabinet Member for:</u> Legal & Governance Services, People & Organisation and Democratic Services Through Age and Wellbeing</p>	<p>Services: Legal & Governance, People & Organisation and Democratic Services<u>Through Age and Wellbeing.</u></p> <p>Internal panels/working groups/fora: Transformation and Efficiency Consultative Group, Corporate Employee Forum, Performance Management Board, Performance Management Executive Panel, Emergency and Business Continuity Management Group, <u>Corporate Parenting Group, Housing Grants Panel</u> and Development Group.</p> <p>Partnerships/Joint Committees/Agencies: Aberystwyth-Shrewsbury Railway Line Liaison Committee, <u>Corporate Passenger and Transport Unit Reference Group, Cylch Caron Project Board, Carers Alliance, West Wales Partnership Board, Youth Justice Management Board and Mid Wales Adoption Panel.</u></p> <p>External bodies: WLGA, <u>Ceredigion Sports Council.</u></p>

	B - Specific portfolio roles and responsibilities
<p><u>Cabinet Member for:</u> Schools; Lifelong, Lifelong Learning and Skills; Support and Intervention Portfolio.</p>	<p>Services: Schools, Lifelong Learning and Skills; Support and Intervention Services.</p> <p>Internal panels/working groups/fora:</p> <p>Partnerships/Joint Committees/Agencies: Children and young people services provider forum; Corporate Passenger and Transport Unit Reference Group; Cylch Caron Project Board (non-voting right).</p> <p>External bodies: Youth Justice Management Board.</p>

	B - Specific portfolio roles and responsibilities
<p><u>Cabinet Member for:</u> Finance and Procurement Services and Public Protection Services Portfolio.</p>	<p>Services: Finance and Procurement and Public Protection Services.</p> <p>Internal panels/working groups/fora: Asset Management Group, Development Group, Housing Grants Panel, Community Grants Panel, and Capital Monitoring Group, Emergency and Business Continuity Management Group.</p> <p>Partnerships/Joint Committees/Agencies:</p> <p>External bodies: Ceredigion Sports Council, and Dyfed Pension Board.</p>

	B – Specific portfolio roles and responsibilities
Porth Cynnal Services	<p>Services: Porth Cynnal Services.</p> <p>Internal panels/working groups/fora: Corporate Parenting Group.</p> <p>Partnerships/Joint Committees/Agencies: Aberystwyth-Shrewsbury Railway Line Liaison Committee, and Corporate Passenger and Transport Unit Reference Group (shared voting rights with Porth Cymorth Cynnar) and West Wales Partnership Board.</p> <p>External bodies:</p>

	B - Specific portfolio roles and responsibilities
<u>Cabinet Member for: Culture, Leisure and Customer Services.</u>	Services: <u>Culture, Leisure and Customer Services.</u> Internal panels/working groups/fora: Partnerships/Joint Committees/Agencies: <u>Growing Mid Wales Joint Committee</u> External bodies:

	B – Specific portfolio roles and responsibilities
Porth Gofal, Early Intervention Well-being Hubs and Culture Portfolio.	Services: Porth Gofal, Porth Cymorth Cynnar Internal panels/working groups/fora: Housing Grants Panel. Partnerships/Joint Committees/Agencies: Corporate Passenger and Transport Unit Reference Group (shared voting right with Porth Cynnal), Cylch Caron Project Board, and Carers Alliance. External bodies: Ceredigion Sports Council.

	B - Specific portfolio roles and responsibilities
<p><u>Cabinet Member for:</u> <u>Housing, Legal & Governance,</u> <u>People & Organisation and Public Protection</u></p>	<p>Services: <u>Housing, Legal & Governance, People & Organisation and Public Protection</u></p> <p>Internal panels/working groups/fora: <u>Emergency and Business Continuity Management Group</u></p> <p>Partnerships/Joint Committees/Agencies: <u>Cylch Caron Project Board (non-voting right), Strategic Housing Partnership, West Wales Care & Repair Board of Management and Growing Mid Wales Joint Committee.</u></p> <p>External bodies:</p>

	B - Specific portfolio roles and responsibilities
<p><u>Cabinet Member for:</u> Highways and Environmental, Housing and Customer Contact Services <u>and Carbon Management.</u></p>	<p>Services: Highways and Environmental, Housing and Customer Contact <u>Services and Carbon Management.</u></p> <p>Internal panels/working groups/fora: Asset Management Group, Housing Grants Panel and Waste Strategy Group, Corporate Health and Safety Forum and Carbon Management Group.</p> <p>Partnerships/Joint Committees/Agencies: Central Wales Waste Partnership, Central Wales Infrastructure Collaboration, Trfnidiaeth Canolbarth Cymru (TraCC), North and Mid Wales Trunk Road Agency, Growing Mid Wales Partnership, West Wales Care & Repair Board of Management, Harbour Users Group, Traffic Management Consultative Group, and Corporate Passenger and Transport Unit Reference Group, <u>PATROL (Parking and Traffic Regulations Outside London Adjudication Joint Committee) and Growing Mid Wales Joint Committee.</u></p> <p>External bodies: Cardigan Bay Coastal Group <u>North and Mid Wales Trunk Road Agency, Penllyn and Sarnau Special Area of Conservation and Dyfi Biosphere Partnership.</u></p>

	B - Specific portfolio roles and responsibilities
<p><u>Cabinet Member for:</u> Economy and Regeneration Portfolio</p>	<p>Services: Economy and Regeneration.</p> <p>Internal Panels/working groups/fora: Asset Management Group, <u>Community Grants Panel, Housing Grants Panel</u> -and Development Group.</p> <p>Partnerships/ Joint Committees/Agencies: Enterprise & Innovation Project Group ('PSB'), Trafnidiaeth Canolbarth Cymru (TraCC), Gynnal y Gardi, Local Access Forum, Growing Mid Wales Partnership, <u>and Strategic Housing Partnership and Growing Mid Wales Joint Committee.</u></p> <p>External bodies: Menter Aberteifi Executive Committee, Antur Gymru, Consortium Local Authorities Wales ('CLAW') (to deputise in Leader's absence) and Cardigan Bay Coastal Group.</p>

Part 3.5 SCHEME OF DELEGATION TO OFFICERS

Responsibility for Council and Cabinet Functions – Onward limits on delegation

This scheme delegates certain functions of the Council and Cabinet to officers and should be interpreted widely rather than narrowly. It is divided into the following subsections:

- A – Delegation to Officers – General Conditions
- B – General Delegations to Chief Executive, Corporate Directors and Corporate Lead Officers
- C – Delegations to the Chief Executive
- D – Delegations to the Monitoring Officer
- E – Delegations to the Head of Democratic Services
- F – Delegations to the Corporate Lead Officer Highways & Environmental Services.
- G– Delegations To the Head of Policy, Performance and Public Protection
- H- Delegations to the Corporate Lead Officer Economy & Regeneration
- I. – Delegations to the Corporate Lead Officer Porth Cymorth Cynnar
- J – Delegations in respect of Corporate Lead Officer Porth Gofal Targeted Intervention (Deputy Director of Social Services) and Corporate Lead Officer Porth Cynnal Specialist Through Age Services (Statutory Director of Social Services)
- K – Delegations to the Corporate Lead Officer Schools and Culture (Chief Education Officer)
- L– Delegations to the Corporate Lead Officer Finance & Procurement (Section 151 Officer / Chief Finance Officer)
- M – Delegations to the Corporate Lead Officer Customer Contact.
- N – Delegations to the Corporate Lead Officer People and Organisation

PROVIDED ALWAYS that the decision is:

- a) within the Council's budget or borrowing plans;
- b) within the Council's overall strategy or policy framework;
- c) Within Financial Regulations and Accompanying Financial Procedures; and
- d) Not a matter specifically reserved for Full Council, a Committee of the Council, Cabinet, a Statutory Officer, the Chief Executive, or Corporate Directors or Corporate Lead Officers.

CABINET PROCEDURE RULES



Author and service:

Date approved by Council: 21 March 2019

Publication date:

Review Date:

Ceredigion County Council Constitution - Part 4 Rules of Procedure

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1.1 WHO MAY MAKE CABINET DECISIONS?

The Leader will decide how Cabinet functions are discharged by:

- 1.1.1 the Cabinet as a whole;
- 1.1.2 a Committee of the Cabinet;
- 1.1.3 an individual member of Cabinet;
- 1.1.4 an officer;
- 1.1.5 joint arrangements; or
- 1.1.6 another local authority.

1.2 DELEGATION BY THE LEADER

At the annual meeting of the Council, the Leader will present to the Council a written record of delegations made by him/her/them for inclusion in the Council's scheme of delegation at Part 3 of this Constitution. The document presented by the Leader will contain the following information about Cabinet functions in relation to the coming year:

- i. the names, addresses and electoral divisions of the people appointed to Cabinet by the Leader;
- ii. the extent of any authority delegated to Cabinet members individually, including details of the limitation on their authority;
- iii. the terms of reference and constitution of such Cabinet Committees as the Leader appoints and the names of Cabinet members appointed to them;
- iv. the nature and extent of any delegation of Cabinet functions to any other authority or any joint arrangements and the names of those Cabinet members appointed to any Joint Committee for the coming year; and
the nature and extent of any delegation to officers with details of any limitation on that delegation, and the title of the officer to whom the delegation is made.

1.3 SUB-DELEGATION OF CABINET FUNCTIONS

- 1.1.7 Where the Cabinet, a Committee of the Cabinet or an individual member of Cabinet is responsible for a Cabinet function, they may delegate further by joint arrangements or to an officer.
- 1.1.8 Unless the Council directs otherwise, if the Leader delegates functions to the Cabinet, then Cabinet may delegate further to a Committee of the Cabinet or to an officer.
- 1.1.9 Unless the Leader directs otherwise, a Committee of the Cabinet to whom functions have been delegated by the Leader may delegate further to an officer.
- 1.1.10 Even where Cabinet functions have been delegated, that fact does not prevent the discharge of delegated functions by the person or body who delegated those functions.

1.4 THE COUNCIL'S SCHEME OF DELEGATION AND CABINET FUNCTIONS

- 1.4.1 Subject to 1.4.2 below the Council's scheme of delegation will be subject to adoption by the Council and may only be amended by the Council. It will contain the details required in Article 7 and set out in Part 3 of this Constitution.
- 1.4.2 With the Leader being able to decide whether to delegate Cabinet functions, he/she may amend the scheme of delegation relating to Cabinet functions at any time during the year. To do so, the Leader must give written notice to the Proper Officer and to the person, body or Committee concerned. The notice must set out the extent of the amendment to the scheme of delegation, and whether it entails the withdrawal of delegation from any person, body, Committee or Cabinet as a whole. The Proper Officer will present a report to the next ordinary meeting of the Council setting out the changes made by the Leader.
- 1.4.3 Where the Leader seeks to withdraw delegation from a Committee of the Cabinet, notice will be deemed to be served on that Committee when he/she has served it on its Chairperson.

1.5 CONFLICTS OF INTEREST

- 1.5.1 Where the Leader has a conflict of interest this should be dealt with

as set out in the Council's Code of Conduct for Members in Part 5 of this Constitution.

1.5.2 If every member of Cabinet has a conflict of interest this should be dealt with as set out in the Council's Code of Conduct for Members in Part 5 of this Constitution and in consultation with the Monitoring Officer.

1.5.3 If the exercise of a Cabinet function has been delegated to a Committee of the Cabinet, an individual member or an officer, and should a conflict of interest arise, then the function will be exercised in the first instance by the person or body by whom the delegation was made and otherwise as set out in the Council's Local Code of Conduct for Members in Part 5 of this Constitution and in consultation with the Monitoring Officer.

1.6 CABINET MEETINGS – WHEN AND WHERE?

The Cabinet will meet at least 10 times per year, at times to be agreed by the Leader. The Cabinet shall meet at the Council's main offices at Neuadd Cyngor Ceredigion, Penmorfa, Aberaeron, or another location to be agreed by the Leader.

1.7 PUBLIC OR PRIVATE MEETINGS OF THE CABINET?

All meetings of the Cabinet will be open to the public subject to the Access to Information Rules in Part 4 of this Constitution.

1.8 QUORUM

The quorum for a meeting of the Cabinet, or a Committee of it, shall be 3 including the Leader or Deputy Leader. See Article 7.8 Part 2 Constitution for the requirements of a quorum and job sharing: where any meeting is attended by more than one of the Members who share the same office and those Members are attending in their capacity as a Member of the Cabinet, they together count as only one person for the purpose of determining whether the meeting is quorate.

1.9 HOW ARE DECISIONS TO BE TAKEN BY THE CABINET?

1.9.1 Cabinet decisions which have been delegated to the Cabinet will be taken at a meeting convened in accordance with the Access to Information Rules in Part 4 of the Constitution.

1.9.2 Where Cabinet decisions are delegated to a Committee of the Cabinet the rules applying to Cabinet decisions taken by them shall be the same as those applying to those taken by the Cabinet.

1.10 VOTING

1.10.1 MAJORITY

Unless this Constitution provides otherwise, any matter will be decided by a simple majority of those Cabinet Committee members voting and present in the room at the time the question was put.

See Article 7.8, Part 2 of this Constitution for the rules on voting and job sharing: the Members of Cabinet who share the same office will have one vote between them in respect of any matter on which they have a right to vote because they are a Member of Cabinet.

1.10.2 CHAIRPERSON'S CASTING VOTE

If there are equal numbers of votes for and against, the Chairperson will have a second or casting vote. There will be no restriction on how the Chairperson chooses to exercise a casting vote.

1.10.3 ASSISTANTS TO THE CABINET

Assistants to the Cabinet are not entitled to vote at Cabinet Meetings nor Cabinet Committee Meetings.

2. HOW ARE THE CABINET MEETINGS CONDUCTED?

2.1 Who Presides?

The Leader will preside at any meeting of the Cabinet or its Committees at which he/she is present, or may appoint the Deputy Leader or another person to do so.

2.2 Who May Attend?

These details are set out in the Access to Information Rules in Part 4 Document B of this Constitution.

2.3 What Business?

At each meeting of the Cabinet the following business will be conducted:

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- 2.1.1 consideration of the Minutes of the last meeting;
- 2.1.2 disclosures of personal interest, if any;
- 2.1.3 matters referred to the Cabinet (whether by an Overview and Scrutiny Committee or by the Council) for reconsideration by the Cabinet in accordance with the provisions contained in the Overview and Scrutiny Procedure Rules (Document E) or the Budget and Policy Framework Procedure Rules set out in Part 4 of this Constitution;
- 2.1.4 consideration of reports from Overview and Scrutiny Committees; and
- 2.1.5 matters set out in the agenda for the meeting, and which shall indicate decisions which are not in accordance with the Access to Information Procedure rules set out in Part 4 Document B of this Constitution.

2.4 General Disturbance

If there is a general disturbance making orderly business impossible, the Chairperson may adjourn the meeting for as long as he/she thinks necessary.

2.5 Disturbance by the Public

2.5.1 Removal of member of the public

If a member of the public interrupts proceedings, the Chairperson will warn the person concerned. If they continue to interrupt, the Chairperson will order their removal from the meeting room.

2.5.2 Clearance of part of meeting room

If there is a general disturbance in any part of the meeting room open to the public, the Chairperson may call for that part to be cleared.

2.6 Consultation

All reports to the Cabinet from any member of Cabinet or an officer on proposals relating to the budget and policy framework must contain details of the nature and extent of consultation with stakeholders and relevant Overview and Scrutiny

Committees, and the outcome of that consultation. Reports about other matters will set out the details and outcome of consultation as appropriate. The level of consultation required will be appropriate to the nature of the matter under consideration.

2.7 Who can put Items on the Cabinet Agenda?

The Leader will decide upon the schedule for the meetings of the Cabinet. He/she may put on the agenda of any Cabinet meeting any matter which he/she wishes, whether or not authority has been delegated to the Cabinet, a Committee of it or any member or officer in respect of that matter. The Proper Officer will comply with the Leader's requests in this respect.

Any member of Cabinet may require the Proper Officer to make sure that an item is placed on the agenda of the next available meeting of the Cabinet for consideration. If he/she receives such a request, the Proper Officer will comply.

The Proper Officer will make sure that an item is placed on the agenda of the next available meeting of the Cabinet where a relevant Overview and Scrutiny Committee or the full Council have resolved that an item be considered by the Cabinet.

There will be a standing item on the agenda of each meeting of the Cabinet for matters referred by Overview and Scrutiny Committees.

Any member of the Council may ask the Leader to put an item on the agenda of a Cabinet meeting for consideration, and if the Leader agrees, the item will be considered at the next available meeting of the Cabinet. The notice of the meeting will give the name of the Councillor who asked for the item to be considered.

The Monitoring Officer and/or the Chief Financial Officer may include an item for consideration on the agenda of a Cabinet meeting and may require the Proper Officer to call such a meeting in pursuance of their statutory duties. In other circumstances, where any two of the Chief Executive, Chief Financial Officer and Monitoring Officer are of the opinion that a meeting of the Cabinet needs to be called to consider a matter that requires a decision, they may jointly include an item on the agenda of a Cabinet meeting. If there is no meeting of the Cabinet soon enough to deal with the issue in question, then the person(s) entitled to include an item on the agenda may also require that a Cabinet meeting be convened at which the matter will be considered.

Financial Officer.

3. Publication of Decisions

3.1 When a decision is made by the Cabinet, an individual member of Cabinet

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or a Committee of the Cabinet or under joint arrangements, the decision shall be published, including where possible by electronic means, and shall be available at the main offices of the Council normally within 2 working days of being made. Members will be sent copies of the records of all such decisions within 2 working days, by the person responsible for publishing the decision. (See Document E)

3.2 The decision notice will bear the date on which it is published and will specify that the decision will come into force, and may then be implemented, on the expiry of 5 working days after the publication of the decision, unless any three members of the relevant Overview and Scrutiny Committee whose terms of reference relate to the Cabinet decision (as described in Article 6 of Part 2 of the Constitution) or six elected members of the Council and the chair of that Committee, object to it and call it in. (See Document E)

FINANCIAL REGULATIONS AND ACCOMPANYING FINANCIAL PROCEDURES



Chief Finance Officer: Stephen Johnson
Audit Committee: 17th October 2017
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FINANCIAL REGULATIONS AND ACCOMPANYING FINANCIAL PROCEDURES

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SECTION 1

1. INTRODUCTION

The Authority's governance structure is laid down in its Constitution which sets out how the Council operates, how decisions are made and the procedures that are followed.

The Council collects and spends large sums of public money. Sound financial control is essential in order to maintain accountability and to achieve maximum efficiency and effectiveness. An effective system of financial control must be supported by a written code which sets out precisely a clear pattern of financial administration. These Financial Regulations and Procedures therefore provide the framework for managing the authority's financial affairs. They apply to every Member and employee of the Authority and anyone acting on its behalf.

The Regulations identify the financial responsibilities of the Council, Cabinet and Overview and Scrutiny Members, the Chief Executive, the Monitoring Officer, the Chief Finance Officer and other Chief Officers (also referred to as Corporate Directors) and Chief Executive. The Council's Constitution sets out the decision-making arrangements.

The Authority's detailed Financial Procedures, setting out how the regulations will be implemented, are contained after the section on Financial Regulations.

SECTION 2

2. STATUS OF FINANCIAL REGULATIONS

All Members and employees have a general responsibility for taking reasonable action to provide for the security of the assets under their control, and for ensuring that the use of these resources is legal, is properly authorised, provides value for money and achieves best value.

The Chief Finance Officer is responsible for maintaining a continuous review of the financial regulations and submitting any additions or changes necessary to the Council for approval. The Chief Finance Officer is also responsible for reporting, where appropriate, breaches of the Financial Regulations to the Council and/or to the Cabinet Members.

The Council's detailed financial procedures, setting out how the regulations will be implemented, are contained after the section on Financial Regulations.

Chief Officers are responsible for ensuring that all staff in their departments are aware of the existence and content of the Council's Financial Regulations and other internal regulatory documents which have been issued and which supplement this current document and that they comply with them. They must also ensure that an adequate number of copies are available for reference within their directorates.

The Chief Finance Officer is responsible for issuing advice and guidance to underpin the Financial Regulations that Members, employees and others acting on behalf of the Council are required to follow.

SECTION 3

3. FINANCIAL REGULATION DETAILS

3.1. FRAMEWORK

The details of the Regulations are subdivided into five key areas for ease of reference and interpretation. These are:

- Financial Management
- Financial Planning
- Risk Management and Control of Resources
- Systems and Procedures
- External Arrangements

3.2 FINANCIAL MANAGEMENT

Introduction

Financial management covers all financial accountabilities in relation to the running of the Council, including the policy framework and budget.

All Council Members and employees have a duty to abide by the highest standards of probity in dealing with financial issues. This is facilitated by ensuring everyone is clear about the standards to which they are working and the controls that are in place to ensure these standards are met.

3.3 ROLES AND RESPONSIBILITIES

The Council

The Council is responsible for adopting the Council's constitution and Members' code of conduct and for approving the policy framework and budget within which the Cabinet operates. It is also responsible for approving and monitoring compliance with the Council's overall framework of accountability and control. The framework is set out in its constitution. The Council is also responsible for monitoring compliance with the agreed policy and related executive decisions.

The Council is responsible for approving procedures for recording and reporting decisions taken. This includes those decisions delegated by and decisions taken by the Council and its committees. These delegations and the details of who has responsibility for which decisions are set out in the constitution.

The Cabinet

The Cabinet is responsible for proposing the policy framework and budget to the Council, and for discharging executive functions in accordance with the policy framework and budget.

Executive decisions can be delegated to a committee of the Cabinet, an individual Cabinet member, an Officer or a joint committee.

If individual Cabinet members are given delegated authority to take decisions, protocols will be established to ensure that individual Cabinet members consult with relevant officers before taking a decision within his or her delegated authority (if so granted by the Council). In doing so, the individual member must take account of legal and financial liabilities and risk management issues that may arise from the decision.

Committees

Governance and Audit Committee

The Governance and Audit Committee is a key component of the Council's governance framework. Its function is to provide an independent and high level resource to support good governance and strong public financial management.

Overview and Scrutiny Committees

The Overview and Scrutiny Committees are responsible for scrutinising executive decisions or proposals and for holding the Cabinet to account.

Ethics and Standards Committee

The Standards Committee is established by the Council and is responsible for promoting and maintaining high standards of conduct amongst Councillors. In particular, it is responsible for advising the Council on the adoption and revision of the members' code of conduct, and for monitoring the operation of the code.

Other Committees of the Council

These include committees to cover Development Control, and Licensing.

The Statutory Officers

The responsibilities of the following statutory officers are set out in Article 12 of the Constitution:

- (i) Chief Executive
- (ii) Chief Finance Officer (Chief Finance Officer)
- (iii) The Monitoring Officer (Corporate Lead Officer - Legal Services and Governance)

Chief Officers

Chief Officers are responsible for ensuring that Cabinet members are advised of the financial implications of all proposals and that the financial implications have been discussed with the Chief Finance Officer.

It is the responsibility of Chief Officers to consult with the Chief Finance Officer on any matter liable to materially affect the Council's finances before any commitments are incurred.

3.4 OTHER FINANCIAL ACCOUNTABILITIES

Virement

Chief Officers are responsible for managing their Budgets within the overall cash limit approved by Council, and may vire amounts between budget heads in accordance with the Council's approved Virement Scheme.

Treatment of Year End Balances

The Council is responsible for agreeing procedures for carrying forward under and overspendings on budget headings.

Accounting Policies

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PART 4 DOCUMENT F Financial Regulations

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The Chief Finance Officer is responsible for selecting accounting policies and ensuring that they are applied consistently.

Accounting Records and Returns

The Chief Finance Officer is responsible for determining the accounting procedures and records for the Council.

The Annual Statement of Accounts

The Chief Finance Officer is responsible for ensuring that the annual statement of accounts is prepared in accordance with the *Code of Practice on Local Authority Accounting in the United Kingdom: A Statement of Recommended Practice* (CIPFA/LASAAC). The Council is responsible for approving the annual statement of accounts.

3.5 FINANCIAL PLANNING

Introduction

In terms of financial planning, the key elements are:

- the General Fund Revenue Budget; and
- the Capital Programme.

3.5.1 Policy Framework

The Council is responsible for approving the policy framework and budget which is set out in Article 4 of the Constitution.

The Council is also responsible for approving procedures for agreeing variations to approved budgets, plans and strategies forming the policy framework and for determining the circumstances in which a decision will be deemed to be contrary to the budget or policy framework.

The Council is responsible for setting the level at which the Cabinet may reallocate budget funds from one service to another. The Cabinet is

responsible for taking in-year decisions on resources and priorities in order to deliver the budget policy framework within the financial limits set by the Council.

3.5.2 Budgeting

Budget Format

The general format of the budget will be approved by the Cabinet on the advice of the Chief Finance Officer. The proposed budget should include allocation to different services and projects, payment of precepts and levies, proposed taxation levels and contingency funds.

Budget Preparation

The Chief Finance Officer is responsible for ensuring that a revenue budget is prepared on an annual basis, and a financial strategy on a three yearly basis, for consideration by the Cabinet, before submission to the Council. The Council may amend the budget or ask the Cabinet to reconsider it before approving it.

It is the responsibility of Chief Officers to ensure that budget estimates reflecting agreed service plans are submitted to the Cabinet and that these estimates are prepared in line with guidance issued by the Cabinet.

Budget Monitoring and Control

The Chief Finance Officer is responsible for providing appropriate financial information to enable budgets to be monitored effectively. He or she must monitor expenditure against budget allocations and report to the Cabinet on the overall position on a regular basis.

It is the responsibility of Chief Officers to control income and expenditure within their area and to monitor performance, taking account of financial information provided by the Chief Finance Officer. They should report on variances within their own areas. They should also take any action necessary to avoid exceeding their budget allocation and alert the Chief Finance Officer to any problems.

Resource Allocation

The Chief Finance Officer is responsible for developing and maintaining a resource allocation process that ensures due consideration of the Council's policy framework.

Preparation of the Capital Programme

The Chief Finance Officer is responsible for ensuring that a capital programme is prepared on an annual basis for consideration by the Cabinet before submission to the Council.

Guidelines

Guidelines on budget preparation will take account of:

- legal requirements;
- medium-term planning prospects;
- community strategy plan;
- available resources;
- spending pressures;
- best value and other relevant government guidelines;
- policy agreements with the NAW/Welsh Government;
- other internal policy documents;
- cross-cutting issues (where relevant).

Maintenance of Reserves

It is the responsibility of the Chief Finance Officer to advise the Cabinet and/or the Council on prudent levels of reserves for the Council.

3.6 RISK MANAGEMENT AND CONTROL OF RESOURCES

Introduction

It is essential that robust, integrated systems are developed and maintained for identifying and evaluating all significant operational risks to the Council. This should include the proactive participation of all those associated with planning and delivering services.

Risk Management

The Cabinet is responsible for approving the Council's risk management policy statement and strategy and for reviewing the effectiveness of risk management. The Cabinet is responsible for ensuring that proper insurance exists where appropriate.

The Chief Executive in conjunction with the Chief Officers' Leadership Group is responsible for preparing the Council's risk management policy statement and for promoting it throughout the Council. The Chief Finance Officer is responsible for advising the Cabinet on proper insurance cover where appropriate.

3.6.1 Internal Control

Internal control refers to the systems of control devised by management to help ensure the Council's objectives are achieved in a manner that promotes economic, efficient and effective use of resources and that the Council's assets and interests are safeguarded.

The Chief Finance Officer is responsible for advising on effective systems of internal control. These arrangements need to ensure compliance with all applicable statutes and regulations, and other relevant statements of best practice. They should ensure that public funds are properly safeguarded and used economically, efficiently, and in accordance with the statutory and other authorities that govern their use.

It is the responsibility of Chief Officers to establish sound arrangements of internal control and for planning, appraising, authorising and controlling their operations in order to achieve continuous improvement, economy, efficiency and effectiveness and for achieving their financial performance targets.

3.6.2 Audit Requirements

The Accounts and Audit (Wales) Regulations 2014 require every Council to undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes.

Audit Wales undertakes the role of the external auditors of the Council.

The Council may, from time to time, be subject to audit, inspection or investigation by external bodies that have statutory rights of access.

3.6.3 Preventing Fraud and Corruption and Malpractice

The Chief Finance Officer is responsible for the development and maintenance of an Anti-Fraud and Corruption Strategy policy document.

3.6.4 Assets

Chief Officers should ensure that records and assets are properly maintained and securely held. They should also ensure that contingency plans for the security of assets and continuity of service in the event of disaster or system failure are in place.

3.6.5 Treasury Management

The Council has adopted CIPFA's *Code of Practice for Treasury Management in Local Authorities*.

Accordingly, the Council will create and maintain, as the cornerstones for effective treasury management:

- a treasury management policy statement (TMPS), stating the policies and objectives of its treasury management activities;
- suitable treasury management practices (TMP), setting out the manner in which the organisation will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities.

All money in the hands of the Council is controlled by the officer designated for the purposes of Section 151 of the Local Government Act 1972, referred to in the code as the 'responsible officer', i.e. in this Council the Chief Finance Officer.

The Council has delegated responsibility for the implementation and monitoring of its treasury management policies and practices to the Cabinet, and for the execution and administration of treasury management decisions to the Chief Finance Officer who will act in accordance with the Council's policy statement and TMPs and CIPFA's Standard of Professional Practice on Treasury Management.

The Cabinet will receive at least two reports in each financial year on its treasury management policies, practices and activities; an annual strategy and plan in advance of the year; and an annual report after the close of the year in the form prescribed by its TMPs.

3.6.6 Staffing

The Council is responsible for determining how officer support for executive and non-executive roles within the Council will be organised.

The Chief Executive is responsible for providing overall management to staff. He or she is also responsible for ensuring that there is proper use of the evaluation or other agreed systems for determining the remuneration of a job.

Chief Officers are responsible for controlling total staff numbers by:

- advising the Cabinet on the budget necessary in any given year to cover estimated staffing levels;
- adjusting the staffing to a level that can be funded within approved budget provision, varying the provision as necessary within that constraint in order to meet changing operational needs;
- the proper use of appointment procedures.

3.7 SYSTEMS AND PROCEDURES

Introduction

Sound systems and procedures are essential to an effective framework of accountability and control.

General

The Chief Finance Officer is responsible for the operation of the Council's accounting systems, the form of accounts and the supporting financial records. Any changes made by Chief Officers to the existing financial systems or the establishment of new systems must be approved by the Chief Finance Officer. However, Chief Officers are responsible for the proper operation of financial processes in their own directorates.

Any changes to agreed procedures by Chief Officers to meet their own specific service needs should be agreed with the Chief Finance Officer.

Chief Officers should ensure that their employees receive relevant financial training that has been approved by the Chief Finance Officer.

Chief Officers must ensure that, where appropriate, computer and other systems are registered in accordance with data protection legislation. Chief Officers must ensure that employees are aware of their responsibilities under freedom of information legislation.

3.7.1 Income and Expenditure

It is the responsibility of Chief Officers to ensure that a proper scheme of delegation has been established within their area and is operating effectively. The scheme of delegation should identify employees authorised to act on the Chief Officers behalf, or on behalf of the executive, in respect of payments, income collection and placing orders, together with the limits of their authority. The Cabinet is responsible for approving procedures for writing off debts as part of the overall control framework of accountability and control.

3.7.2 Payments to Employees and Members

The Chief Finance Officer is responsible for all payments of salaries and wages to all employees, including payments for overtime, and for payment of allowances to Members.

3.7.3 Taxation

The Chief Finance Officer is responsible for advising Chief Officers, in the light of guidance issued by appropriate bodies and relevant legislation as it applies, on all taxation issues that affect the Council.

The Chief Finance Officer is responsible for maintaining the Council's tax records, making all tax payments, receiving tax credits and submitting tax returns by their due date.

3.7.4 Trading Accounts/Business Units

It is the responsibility of the Chief Finance Officer to advise on the establishment and operation of trading accounts and business units.

3.8 EXTERNAL ARRANGEMENTS

Introduction

The Council provides a distinctive leadership role for the community and brings together the contributions of the various stakeholders. It must also act to achieve the promotion or improvement of the economic, social or environmental well-being of its area.

3.8.1 Partnerships

The Cabinet is responsible for approving delegations, including frameworks for partnerships. The Cabinet is the focus for forming partnerships with other local public, private, voluntary and community sector organisations to address local needs.

The Cabinet can delegate functions – including those relating to partnerships – to Chief Officers. These are set out in the scheme of delegation that forms part of the Council’s constitution. Where functions are delegated, the Cabinet remains accountable for them to the Council.

The Chief Executive and other Chief Officers represent the Council on partnership and external bodies, in accordance with the scheme of delegation.

The Monitoring Officer is responsible for promoting and maintaining the same high standards of conduct with regard to financial administration in partnerships that apply throughout the Council.

The Chief Finance Officer must ensure that the accounting arrangements to be adopted relating to partnerships and joint ventures are satisfactory. He or she must also consider the overall corporate governance arrangements and legal issues when arranging contracts with any external bodies. He or she must ensure that the risks have been fully appraised before agreements are entered into with any external bodies.

Chief Officers are responsible for ensuring that appropriate approvals are obtained before any negotiations are concluded in relation to work with external bodies.

3.8.2 External Funding

The Chief Finance Officer is responsible for ensuring that all funding notified by external bodies is received and properly recorded in the Council's accounts.

3.8.3 Work for Third Parties

The Cabinet is responsible for approving the contractual arrangements for any work or provision of services for third parties or external bodies (excluding rechargeable works).

DOCUMENT F Financial Regulations and Accompanying Financial procedures

APPENDIX

FINANCIAL PROCEDURES

1. FINANCIAL PROCEDURES

Introduction

The following financial procedures outline how the previously stated Financial Regulations are to be implemented.

At the commencement of each relevant section, there is a statement which is intended to outline the standing and importance of the following issues:

- Key Controls – this explains the key internal controls that set the framework for ensuring the Financial Regulations are operating effectively.
- Responsibilities outlined of the Chief Finance Officer or, in certain circumstances, his/her nominated officer.
- Responsibilities outlined of Chief Officers.

1.1 FINANCIAL MANAGEMENT STANDARDS

All employees and members have a duty to abide by the highest standards of probity in dealing with financial issues. This is facilitated by ensuring everyone is clear about the standards to which they are working and the controls that are in place to ensure that these standards are met.

Key Controls

- a) their promotion throughout the Council;
- b) a monitoring system to review compliance with financial standards, and regular comparisons of performance indicators and benchmark and/or target standards that are reported to the Cabinet and Council.

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Updated May 2022

Responsibilities of the Chief Finance Officer

- To ensure the proper administration of the financial affairs of the Council.
- To set the financial management standards and to monitor compliance with them.
- To ensure proper professional practices are adhered to and to act as head of profession in relation to the standards, performance and development of finance employees throughout the Council.
- To advise on the key strategic controls necessary to secure sound financial management.
- To ensure that financial information is available to enable accurate and timely and timely monitoring and reporting of comparisons of national and local financial performance indicators.

Responsibilities of Chief Officers

- To promote the financial management standards set by the Chief Finance Officer in their directorates and to monitor adherence to the standards and practices, liaising as necessary with the Chief Finance Officer.
- To promote sound financial practices in relation to the standards, performance and development of staff in their directorates.

1.2 MANAGEMENT OF EXPENDITURE

Scheme of Virement

The scheme of virement is intended to enable the Cabinet, Corporate Directors and their employees to manage budgets with a degree of flexibility within the overall policy framework determined by the Council, and therefore to optimise the use of resources.

Key Controls

- a) It is administered by the Chief Finance Officer within guidelines set by the Council. Any variation from this scheme requires the approval of the Council.
- b) The overall budget is considered by the Cabinet and recommended for approval by the Council. Chief Officers and budget managers are therefore authorised to incur expenditure in accordance with the estimates that make up the budget. The rules below cover virement; that is, switching resources between approved budgets (e.g. as shown on each budget page of the Budget Book) or budget headings (e.g. employees, premises etc.) within an approved budget.
- c) Virement is not to create additional overall budget liability. Chief Officers are expected to exercise their discretion in managing their budgets responsibly and prudently. For example, they should aim to avoid supporting recurring expenditure from one-off sources of savings or additional income, or creating future commitments, including full-year effects of decisions made part way through a year, for which they have not identified future resources. Chief Officers must plan to fund such commitments from within their own budgets.
- d) A transfer of budget headings, otherwise known as re-alignment, from one portfolio to another within the budget or from one Business Unit to another within the budget is not virement.

Responsibilities of the Chief Finance Officer

- To prepare jointly with the appropriate Chief Officers a report to the Council where revenue virements in excess of £250,000 on any one budget head are proposed which involve a significant variation in the level or nature of the delivery of the service approved by Council in the Revenue Budget.
- To prepare a report upon all adjusted virement.

Responsibilities of Chief Officers

- A Chief Officer in agreement with the Portfolio Member may exercise virement on revenue budgets under his or her control for amounts up to £150,000 on any one budget head during the year, following notification to the Chief Finance Officer provided that:
 - a) overall expenditure and income is contained within the Revenue Budget Cash Limit;
 - b) the prior approval of the Council is required for any virement, of whatever amount, where it is proposed to vire between portfolios previously approved by Council;
 - c) virement that is likely to impact on the level of service activity of another Service should be implemented only after agreement with the relevant Chief Officer;
 - d) No virement relating to a specific financial year should be made after 31 March in that year.
- Amounts greater than £150,000 require the approval of the Cabinet, following a joint report by the Chief Finance Officer and the appropriate Chief Officer, which must specify the proposed expenditure and the source of funding, and must explain the implications in the current and future financial year. Amounts greater than £250,000 require the approval of the Council.
- Where an approved budget is a lump-sum budget or contingency intended for allocation during the year, its allocation will not be treated as a virement, provided that:
 - a) the amount is used in accordance with the purposes for which it has been established; and
 - b) the Cabinet has approved the basis and the terms, including financial limits, on which it will be allocated. Individual allocations in excess of the financial limits should be reported to the Cabinet.

1.3 TREATMENT OF YEAR-END BALANCES

The rules below cover arrangements for the transfer of resources between accounting years, i.e. a carry-forward.

Key Controls

- a) Appropriate accounting procedures are in operation to ensure that carried forward totals are correct.

Responsibilities of the Chief Finance Officer

- To administer the scheme of carry-forward within the guidelines approved by the Council.
- To report all overspendings and underspendings on service estimates carried forward to the Cabinet and to the Council.

Responsibilities of Chief Officers

- Net underspending on service estimates under the control of the Officer may be transferred to Earmarked Reserves subject to the following:-
 - a) 30% of a portfolio's controllable underspend to be retained by the Service with the agreement of the Chief Executive and the Chief Finance Officer in consultation with the Finance Portfolio Member in an Earmarked Reserve established for a specific non-recurring purpose and which will not create an increase in future revenue costs; and
 - b) that in exceptional circumstances, and by an agreement with the Chief Executive and the Chief Finance Officer in consultation with the Finance Portfolio Member, all of a portfolio's underspend or 100% of a particular service element may be retained in an Earmarked Reserve.

1.4 ACCOUNTING POLICIES

The Chief Finance Officer is responsible for the preparation of the Council's Statement of Accounts, in accordance with proper practices.

Key Controls

- a) Systems of internal control are in place to ensure that financial transactions are lawful.
- b) Suitable accounting policies are selected and applied consistently.
- c) Proper accounting records are maintained.
- d) Financial statements are prepared which present fairly the financial position of the Council and its expenditure and income.

Responsibilities of the Chief Finance Officer

- To select suitable accounting policies and to ensure that they are applied consistently. The accounting policies are set out in the annual Statement of Accounts, for the year ending 31 March, and covers such items as:
 - a) separate accounts for capital and revenue transactions;
 - b) the basis on which debtors and creditors at year end are included in the accounts;
 - c) details on substantial provisions and reserves;
 - d) fixed assets;
 - e) depreciation;
 - f) capital charges;
 - g) work in progress;
 - h) stocks and stores;
 - i) deferred charges;
 - j) accounting for value added tax;
 - k) government grants;
 - l) leasing;
 - m) pensions.

Responsibilities of Chief Officers

- To adhere to the accounting policies and guidelines approved by the Chief Finance Officer.

1.5 ACCOUNTING RECORDS AND RETURNS

Maintaining proper accounting records is one of the ways in which the Council discharges its responsibility for stewardship of public resources. The Council has a statutory responsibility to prepare its annual accounts to present fairly its operations during the year. These are subject to external audit. This audit provides assurance that the accounts are prepared properly, that proper accounting practices have been followed and that quality arrangements have been made for securing economy, efficiency and effectiveness in the use of the Council's resources.

Key Controls

- a) All Cabinet members, finance employees and budget managers operate within the required accounting standards and timetables.
- b) All the Council's transactions, material commitments and contracts and other essential accounting information are recorded completely, accurately and on a timely basis.
- c) Procedures are in place to enable accounting records to be reconstituted in the event of systems failure.
- d) Reconciliation procedures are carried out to ensure transactions are correctly recorded.
- e) Prime documents are retained in accordance with legislative and other requirements – including criteria set out by external funding bodies.

Responsibilities of the Chief Finance Officer

- To determine the accounting procedures and records for the Council. Where these are maintained outside the finance department, the Chief Finance Officer should consult the Chief Officers concerned.
- To arrange for the compilation of all accounts and accounting records under his or her direction.
- To comply with the following principles when allocating accounting duties:
 - a) separating the duties of providing information about sums due to or from the Council and calculating, checking and recording these sums from the duty of collecting or disbursing them; and
 - b) employees with the duty of examining or checking the accounts of cash transactions must not themselves be engaged in these transactions.
- To make proper arrangements for the audit of the Council's accounts in accordance with statutory requirements. =.
- To ensure that all claims for funds including grants are made by the due date.
- To prepare and publish the audited accounts of the Council for each financial year, in accordance with the statutory timetable and with the requirement for

the Council to approve the Statement of Accounts before 30 June following the year end.

- To administer the Council's arrangements for under and overspendings to be carried forward to the following financial year.
- To ensure the proper retention of financial documents in accordance with the requirements set out in the Council's agreed policy.

Responsibilities of Chief Officers

- To consult and obtain the approval of the Chief Finance Officer before making any changes to accounting records and procedures.
- To comply with the principles outlined in the preceding section regarding division of duties when allocating accounting duties.
- To maintain adequate records to provide a management trail leading from the source of income/expenditure through to the accounting statements.
- To supply information required to enable the statement of accounts to be completed in accordance with guidelines issued by the Chief Finance Officer.
- To ensure that all claims for funds including grants are made by the due date.

1.6 THE ANNUAL STATEMENT OF ACCOUNTS

The Council has a statutory responsibility to prepare its own accounts to present fairly its operations during the year. The Council is responsible for approving the statutory annual Statement of Accounts.

Key Controls

- a) The Council is required to make arrangements for the proper administration of its financial affairs and to secure that one of its officers has the responsibility for the administration of these affairs. In this Council, that officer is the Chief Finance Officer.

- b) The Council's Statement of Accounts must be prepared in accordance with proper practices as set out in the *Code of Practice on Local Council Accounting in the United Kingdom: A Statement of Recommended Practice* (the SORP) (CIPFA/LASAAC).

Responsibilities of the Chief Finance Officer

- To select suitable accounting policies and to apply them consistently.
- To make judgements and estimates that are reasonable and prudent.
- To comply with the SORP.
- To sign and date the Statement of Accounts, stating that it presents fairly the financial position of the Council at the accounting date and its income and expenditure for the year ended 31st March.
- To draw up the timetable for final accounts preparation and to advise employees and external auditors accordingly.

Responsibilities of Chief Officers

- To comply with accounting guidance provided by the Chief Finance Officer and to supply the Chief Finance Officer with information when required.

1.7 FINANCIAL PLANNING

1.7.1 Performance Plans

The Council has a statutory responsibility to publish various improvement / performance plans, crime reduction strategies, community care plans, etc. The purpose of these plans is to explain overall priorities and objectives, current performance, and proposals for further improvement.

Key Controls

- a) To ensure that all relevant plans are produced and that they are consistent.

- b) To produce plans in accordance with statutory requirements.
- c) To meet the timetables set.
- d) To ensure that all performance information is accurate, complete and up to date.
- e) To provide improvement targets which are meaningful, realistic and challenging.

Responsibilities of the Chief Finance Officer

- To advise and supply the financial information that needs to be included in improvement/performance plans in accordance with statutory requirements and agreed timetables.
- To contribute to the development of corporate and service targets and objectives and performance information.

Responsibilities of Chief Officers

- To contribute to the development of improvement/performance plans in line with statutory requirements.
- To contribute to the development of corporate and service targets and objectives and performance information.
- To ensure that systems are in place to measure activity and collect accurate information for use as performance indicators.
- To ensure that performance information is monitored sufficiently frequently to allow corrective action to be taken if targets are not likely to be met.

1.7.2 Budgeting

Format of the Budget

The format of the budget determines the level of detail to which financial control and management will be exercised. The format shapes how the rules around

virement operate, the operation of cash limits, and sets the level at which funds may be reallocated within budgets.

Key Controls

- a) The format complies with all legal requirements.
- b) The format complies with CIPFA's *Best Value Accounting – Code of Practice*.
- c) The format reflects the accountabilities of service delivery.

Responsibilities of the Chief Finance Officer

- To advise the Cabinet on the format of the budget that is approved by the Council.

Responsibilities of Chief Officers

- To comply with accounting guidance provided by the Chief Finance Officer.

1.7.3 Revenue Budget Preparation, Monitoring and Control

Budget management ensures that once the budget has been approved by the Council, resources allocated are used for their intended purposes and are properly accounted for. Budgetary control is a continuous process, enabling the Council to review and adjust its budget targets during the financial year. It also provides the mechanism that calls to account managers responsible for defined elements of the budget.

By continuously identifying and explaining variances against budgetary targets, the Council can identify changes in trends and resource requirements at the earliest opportunity. The Council itself operates within an annual cash limit, approved when setting the overall budget. To ensure that the Council in total does not overspend, each service is required to manage its own expenditure within the cash limited budget allocated to it.

Key Controls

- a) Budget managers should be responsible for controllable income and expenditure.
- b) There is a nominated budget manager for each cost centre heading.
- c) Budget managers accept accountability for their budgets and the level of service to be delivered and understand their financial responsibilities.
- d) Budget managers follow an approved certification process for all expenditure.
- e) Income and expenditure are properly recorded and accounted for.
- f) Performance levels/levels of service are monitored in conjunction with the budget and necessary action is taken to align service outputs and budget.
- g) The requirements in terms of budget monitoring frequency are identified in the following table:

<u>Frequency</u>	<u>Requirements</u>
Monthly	<ol style="list-style-type: none">1. Actual v. Budget for months two to twelve.2. Projected out-turn.3. Analysis of significant variances.4. Full analysis of action to be taken to resolve any overspends – actual or projected.5. Any emerging issues that may have an impact upon the financial position (a form of risk analysis).6. Information reported as an aggregate report to the Cabinet quarterly with exception reporting in between the quarters when necessary.

Responsibilities of the Chief Finance Officer

- To establish an appropriate framework of budgetary management and control that ensures that:
 - a) budget management is exercised within annual cash limits unless the Council agrees otherwise;
 - b) each Chief Officer has available timely information on receipts and payments on each budget which is sufficiently detailed to enable managers to fulfil their budgetary responsibilities;
 - c) expenditure is committed only against an approved budget head;
 - d) all officers responsible for committing expenditure comply with relevant guidance, and the financial regulations;
 - e) each budget head has a single named manager, determined by the relevant Chief Officer. As a general principle, budget responsibility should be aligned as closely as possible to the decision-making processes that commit expenditure;
 - f) significant variances from approved budgets are investigated and reported by budget managers regularly.
- To administer the Council's scheme of virement.
- To submit reports to the Cabinet and to the Council, in consultation with the relevant Chief Officer, where a Chief Officer is unable to balance expenditure and resources within existing approved budgets under his or her control.
- To prepare and submit reports on the Council's projected income and expenditure compared with the budget on a monthly basis – see Key Control 4.7.3(g) above for details of table contents. Reports may also be made on an ad hoc basis should there be a material issue, judged so, by the Chief Finance Officer.

Responsibilities of Chief Officers

- To maintain budgetary control within their directorates, in adherence to the principles described earlier, and to ensure that all income and expenditure are properly recorded and accounted for.

- To ensure that an accountable budget manager is identified for each item of income and expenditure under the control of the Chief Officers (grouped together in a series of cost centres). As a general principle, budget responsibility should be aligned as closely as possible to the decision-making that commits expenditure.
- To ensure that spending remains within the service's overall cash limit, and that individual budget heads are not overspent, by monitoring the budget and taking appropriate corrective action where significant variations from the approved budget are forecast.
- To ensure that a monitoring process is in place to review performance levels / levels of service in conjunction with the budget and is operating effectively.
- To prepare and submit to the Cabinet reports on the service's projected income and expenditure compared with its budget, in consultation with Chief Finance Officer.
- To ensure prior approval by the Council or Cabinet (as appropriate) for new proposals, of whatever amount, that:
 - a) create financial commitments in future years
 - b) change existing policies, initiate new policies or cease existing policies
 - c) materially extend or reduce the Council's services.
- To ensure compliance with the scheme of virement.
- To agree with the relevant Chief Officers where it appears that a budget proposal, including a virement proposal, may impact materially on another service area or Chief Officer's level of service activity.

1.7.4 Budgets and Medium Term Financial Planning

The Council is a complex organisation responsible for delivering a wide variety of services. It needs to plan effectively and to develop systems to enable scarce resources to be allocated in accordance with carefully weighed priorities. The budget is the financial expression of the Council's plans and policies.

The revenue budget must be constructed so as to ensure that resource allocation properly reflects the service plans and priorities of the Council. Budgets (spending plans) are needed so that the Council can plan, authorise,

monitor and control the way money is allocated and spent. It is illegal for any Council to budget for an unfunded deficit.

Medium-term financial planning involves a planning cycle in which managers develop their own plans. As each year passes, another future year will be added to the medium-term plan. This ensures that the Council is always preparing for events in advance.

Key Controls

- a) Specific budget approval for all expenditure.
- b) Budget managers are consulted in the preparation of the budgets for which they will be held responsible and accept accountability within delegations set by the executive for their budgets and the level of service to be delivered.
- c) A monitoring process is in place to review regularly the effectiveness and operation of budget preparation and to ensure that any corrective action is taken.

Responsibilities of the Chief Finance Officer

- To prepare and submit reports on budget prospects for the Cabinet, including resource constraints set by the Welsh Assembly Government. Reports should take account of medium-term prospects, where appropriate.
- To determine the detailed form of revenue estimates and the methods for their preparation, consistent with the budget approved by the Council, and after consultation with the Cabinet and Chief Officers.
- To prepare and submit reports to the Cabinet on the aggregate spending plans of directorates and on the resources available to fund them, identifying, where appropriate, the implications for the level of Council Tax to be levied.
- To advise on the medium-term implications of spending decisions.
- To encourage the best use of resources and value for money by working with Chief Officers to identify opportunities to improve economy, efficiency and effectiveness, and by encouraging good practice in conducting financial

appraisals of development or savings options, and in developing financial aspects of service planning.

- To advise the Council on Cabinet proposals in accordance with his or her responsibilities under Section 151 of the Local Government Act 1972.

Responsibilities of Chief Officers

- To prepare estimates of income and expenditure, in consultation with the Chief Finance Officer, to be submitted to the Cabinet.
- To prepare budgets that are consistent with any relevant cash limits, with the Council's annual budget cycle and with guidelines issued by the Cabinet. The format should be prescribed by the Chief Finance Officer in accordance with the Council's general directions.
- To integrate financial and budget plans into service planning, so that budget plans can be supported by financial and non-financial performance measures.
- In consultation with the Chief Finance Officer and in accordance with the laid-down guidance and timetable, to prepare detailed draft revenue and capital budgets for consideration by the Cabinet and then Council.
- When drawing up draft budget strategy requirements, to have regard to:
 - a) Corporate Strategy;
 - b) customer consultation;
 - c) spending patterns and pressures revealed through the budget monitoring process;
 - d) legal requirements;
 - e) policy requirements as defined by the Council in the approved policy framework;
 - f) initiatives already underway.

1.7.5 Resource Allocation

A mismatch often exists between available resources and required resources. A common scenario is that available resources are not adequate

to fulfil need/desire. It is therefore imperative that needs/desires are carefully prioritised and that resources are fairly allocated, in order to fulfil all legal responsibilities. Resources may include employees, money, equipment, goods and materials.

Key Controls

- a) Resources are acquired in accordance with the law and using an approved authorisation process.
- b) Resources are used only for the purpose intended, to achieve the approved policies and objectives, and are properly accounted for.
- c) Resources are securely held for use when required.
- d) Resources are used with the minimum level of waste, inefficiency or loss for other reasons.

Responsibilities of the Chief Finance Officer

- To advise on methods available for the funding of resources, such as grants from central government and borrowing requirements.

Responsibilities of Chief Officers

- To work within budget limits and to utilise resources allocated, and further allocate resources, in the most efficient, effective and economic way.
- To identify opportunities to minimise or eliminate resource requirements or consumption without having a detrimental effect on service delivery.

1.7.6 Capital Programmes

Capital expenditure involves acquiring or enhancing fixed assets with a long-term value to the Council, such as land, buildings, and major items of plant, equipment or vehicles. Capital assets shape the way services are delivered in the long term and create financial commitments for the future in the form of financing costs and revenue running costs.

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The NAW/Welsh Government places strict controls on the financing capacity of the Council. This means that capital expenditure should form part of an investment strategy and should be carefully prioritised in order to maximise the benefit of scarce resources.

Key Controls

- a) Specific approval by the Council for the programme of capital expenditure.
- b) Development of three year capital programme.
- c) Expenditure on capital schemes is in accordance with budget provision.
- d) A scheme and estimate, including project plan, progress targets and associated revenue expenditure is prepared for each capital project.
- e) Approval by the Cabinet where capital schemes are to be financed from the revenue budget, up to a specified amount, and subject to the approval of the Council, where the expenditure exceeds this amount.
- f) Proposals for improvements and alterations to buildings must be approved by the appropriate Director.
- g) Schedules for individual schemes within the overall budget approved by the Council must be maintained by the appropriate Department.
- h) The development and implementation of asset management plans.
- i) Accountability for each proposal is accepted by a named manager.
- j) Monitoring of progress with approved budget, the project plan and agreed outputs.
- k) Maximisation of potential external grant funding is achieved.
- l) To comply with the [CIPFA Prudential Code for Capital Finance in Local Authorities \(2021 Edition\)](#) whilst setting capital programmes.

Responsibilities of the Chief Finance Officer

- To prepare an estimate of available resources to fund the capital programme in a financial year and/or for a longer period where medium term planning requires.

- To prepare capital programmes jointly with Chief Officers, the Chief Executive and the Corporate Development Group and to report them to the Cabinet for approval. The Cabinet will make recommendations on the capital estimates and on any associated financing requirements to the Council.
- To advise Cabinet on the use of prudential borrowing when setting the capital programme. To set, report and monitor the prudential indicators.
- To prepare and submit reports to the Cabinet on the projected income, expenditure and resources compared with the approved estimates.
- To issue guidance concerning capital schemes and controls, for example, on project appraisal techniques. The interpretation of 'capital' will be determined by the Chief Finance Officer, having regard to government regulations and accounting requirements.
- To obtain authorisation from the Cabinet for individual schemes where the estimated expenditure exceeds the capital programme provision by more than 10% of the scheme cost or £50,000 whichever is the lesser.

Responsibilities of Chief Officers

- To comply with guidance concerning capital schemes and controls issued by the Chief Finance Officer.
- To ensure that capital proposals have undergone a project appraisal as required by the Corporate Project Management Panel
- To prepare regular reports reviewing the capital programme provisions for their services. They should also prepare a regular return of estimated final costs of schemes in the approved capital programme for submission to the Chief Finance Officer.
- To ensure that adequate records are maintained for all capital contracts.
- To proceed with projects only when there is adequate provision in the capital programme and with the agreement of the Chief Finance Officer, where required.
- To prepare and submit reports, jointly with the Chief Finance Officer, to the Cabinet, of any variation in contract costs greater than the approved limits.

- To prepare and submit reports, to the Cabinet, on completion of all contracts where the final expenditure exceeds the approved contract sum by more than 10% or £50,000 whichever is the lesser.
- To ensure that credit arrangements, such as leasing agreements, are not entered into without the prior approval of the Chief Finance Officer and, if applicable, approval of the scheme through the capital programme.
- To consult with the Chief Finance Officer and to seek Cabinet approval where the Chief Officer proposes to bid for external capital grant aid to support expenditure that has not been included in the three year capital programme.

1.7.7 Maintenance of Reserves

The Council must decide the level of general reserves it wishes to maintain before it can decide the level of Council Tax. Reserves are maintained as a matter of prudence. They enable the Council to provide for unexpected events and thereby protect it from overspending, should such events occur. Reserves for specific purposes may also be maintained, such as the purchase or renewal of capital items.

Key Controls

- a) To maintain reserves in accordance with the *Code of Practice on Local Authority Accounting in the United Kingdom: A Statement of Recommended Practice* (CIPFA/LASAAC) and agreed accounting policies.
- b) For each reserve established, the purpose, usage and basis of transactions should be clearly identified.
- c) Authorisation from the Chief Finance Officer is required before transferring amounts to or from Earmarked Reserves unless the amounts are in accordance with approved budgets.

Responsibilities of the Chief Finance Officer

- To advise the Cabinet and/or the Council on prudent levels of reserves for the Council, and to take account of the advice of the external auditor in this matter.

Responsibilities of Chief Officers

- To ensure that reserves are used only for the purposes for which they were intended.

1.8 RISK MANAGEMENT AND CONTROL OF RESOURCES

Risk Management

It is essential that robust, integrated systems are developed and maintained for identifying and evaluating all significant operational risks to the Council. This should include the proactive participation of all those associated with planning and delivering services.

All organisations, whether private or public sector, face risks to people, property and continued operations. Risk is the chance or possibility of loss, damage, injury or failure to achieve objectives caused by an unwanted or uncertain action or event. Risk management is the planned and systematic approach to the identification, evaluation and control of risk. Its objectives are to secure the assets of the organisation and to ensure the continued financial and organisational well-being of the organisation. In essence it is, therefore, an integral part of good business practice. Risk management is concerned with evaluating the measures an organisation already has in place to manage identified risks and then recommending the action the organisation needs to take to control these risks effectively.

It is the overall responsibility of the Cabinet to approve the Council's risk management strategy, and to promote a culture of risk management awareness throughout the Council.

Key Controls

- a) Procedures are in place to identify, assess, prevent or contain material known risks, and these procedures are operating effectively throughout the Council.
- b) A monitoring process is in place to review regularly the effectiveness of risk reduction strategies and the operation of these controls. The risk management process should be conducted on a continuing basis.
- c) Managers know that they are responsible for managing relevant risks and are provided with relevant information on risk management initiatives.
- d) Provision is made for losses that might result from the risks that remain.
- e) Procedures are in place to investigate claims within required timescales.
- f) Acceptable levels of risk are determined and insured against where appropriate.
- g) The Council has identified business continuity plans for implementation in the event of disaster that results in significant loss or damage to its resources.
- h) The Council maintains an effective Internal Audit Service which enhances and protects organisational value by providing risk-based and objective assurance, advice and insight.

Responsibilities of the Chief Finance Officer

- To include all appropriate employees of the Council in a suitable fidelity guarantee insurance.
- To offer insurance cover to schools in accordance with Fair Funding arrangements.
- To effect corporate insurance cover, through external insurance and internal funding, and to negotiate all claims in consultation with other officers, and all other relevant parties, where necessary.

- To ensure a risk-based approach is taken in producing the internal audit strategy and plan

Responsibilities of Chief Officers

- The Chief Executive in conjunction with the Chief Officers' Management Team is responsible for preparing the Council's Risk Management Policy Statement and for promoting it throughout the Council.
- To develop risk management controls in conjunction with other Chief Officers.
- To notify the Chief Finance Officer immediately of any loss, liability or damage that may lead to a claim against the Council, together with any information or explanation required by the Chief Finance Officer or the Council's insurers.
- To take responsibility for risk management, having regard to advice from the Chief Finance Officer and other specialist officers (e.g. crime prevention, fire prevention, health and safety).
- To ensure that there are regular reviews of risk within their directorates.
- To notify the Chief Finance Officer promptly of all new risks, properties or vehicles that require insurance and of any alterations affecting existing insurances.
- To notify the Chief Finance Officer promptly of any identified failures in internal controls which require further investigation.
- To consult the Chief Finance Officer and the Council's ~~Group Manager~~ Legal Services Corporate Lead Officer – Legal & Governance on the terms of any indemnity that the Council is requested to give.

1.8.1 Internal Controls

The Council is complex and beyond the direct control of individuals. It therefore requires internal controls to manage and monitor progress towards strategic objectives.

The Council has statutory obligations and, therefore, requires internal controls to identify, meet and monitor compliance with these obligations.

The Council faces a wide range of financial, administrative and commercial risks, both from internal and external factors, which threaten the achievement of its objectives. Internal controls are necessary to manage these risks.

The system of internal controls is established in order to provide measurable achievement of:

- a) efficient and effective operations;
- b) reliable financial information and reporting;
- c) compliance with laws and regulations;
- d) risk management.

Key Controls

- a) Key controls should be reviewed on a regular basis and the Council should make a formal statement annually to the effect that it is satisfied that the systems of internal control are operating effectively.
- b) Managerial control systems, including defining policies, setting objectives and plans, monitoring financial and other performance and taking appropriate anticipatory and remedial action. The key objective of these systems is to promote ownership of the control environment by defining roles and responsibilities.

- c) Financial and operational control systems and procedures, which include physical safeguards for assets, segregation of duties, authorisation, delegated decisions and approval procedures and information systems.
- d) An adequate and effective internal audit function that is properly resourced. It should operate in accordance with the Public Sector Internal Audit Standards and with any other statutory obligations and regulations.

Responsibilities of the Chief Finance Officer

- To assist the Council to put in place an appropriate control environment and effective internal controls which provide reasonable assurance of effective and efficient operations, financial stewardship, probity and compliance with laws and regulations.
- To ensure the required skills and resources are available to deliver the Internal Audit Annual Strategy and Plan.

Responsibilities of Chief Officers

- To manage processes to check that established controls are being adhered to and to evaluate their effectiveness, in order to be confident in the proper use of resources, achievement of objectives and management of risks.
- To review existing controls in the light of changes affecting the Council and to establish and implement new ones in line with guidance from the Chief Finance Officer. Chief Officers should also be responsible for removing controls that are unnecessary or not cost or risk effective – for example, if causing a duplication of work.

1.8.2 Audit Requirements

Internal Audit

The requirement for an internal audit function for local authorities is implied by Section 151 of the Local Government Act 1972, [and section 112 of the Local Government Finance Act 1988](#), which requires that authorities “make arrangements for the proper administration of their financial affairs.” The

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Accounts and Audit Wales Regulations 2015 (as amended) more specifically require that a “relevant authority must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance.”

Accordingly, internal audit is an independent objective assurance and consulting activity designed to add value and improve the Council’s operations. It helps the Council accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

Key Controls

- a) That Internal Audit:
 - demonstrates integrity,
 - demonstrates competence and due professional care,
 - is objective and free from undue influence (independent),
 - aligns with the strategies, objectives, and risks of the organisation,
 - is appropriately positioned and adequately resourced,
 - demonstrates quality and continuous improvement,
 - communicates effectively,
 - provides risk-based assurance,
 - is insightful, proactive, and future-focused,
 - promotes organisational improvement.

- b) The Chief Internal Auditor has direct access to the Chief Finance Officer and the Chief Executive, all levels of management and directly to elected Members.

- c) The internal auditors comply with the Public Sector Internal Audit Standards.

Responsibilities of the Chief Finance Officer

- To ensure that the Internal Audit Charter provides the Section with the authority to:
 - a) Enter any Council premises or land at any reasonable times,
 - b) access all assets, records, documents, correspondence and control systems relating to any financial or other transactions of the Council.
 - c) require and receive any such information and explanation considered necessary concerning any matter under consideration/examination,
 - d) require any employee of the Council to account for cash, stores or any other Council property under his or her control, and
 - e) have access to records belonging to third parties, such as contractors or partnership agencies, according to the relevant contractual terms.
- The Chief Internal Auditor has direct access to the Chief Executive, the Chair of the Governance and Audit Committee, the Cabinet and Members.
- The Chief Internal Auditor is required and enabled to provide an annual audit opinion on assurance.
- To ensure that effective procedures are in place to investigate promptly any suspected fraud, irregularity or malpractice.

Responsibilities of Chief Officers

- To recognise that Internal Audit's remit extends to the entire control environment of the Council.
- To ensure that internal auditors are given access at all reasonable times to premises, land personnel, records documents and assets that the auditors consider necessary for the purposes of their work.
- To ensure that auditors are provided with any information and explanations that they seek in the course of their work.
- To consider and respond promptly to actions required in audit reports especially those deemed fundamental or significant.
- To ensure that any agreed actions are carried out in a timely and efficient manner.
- To notify the Chief Finance Officer immediately of any suspected fraud, theft, irregularity, improper use or misappropriation of the Council's property or resources. Pending investigation and reporting, the Officer should take

all necessary steps to prevent further loss and to secure records and documentation against removal or alteration.

External Audit

The Government of Wales Act 1998 set up the office of the Auditor General for Wales, which is responsible for appointing external auditors to each local Authority in Wales.

The basic duties of the external auditor are defined in the Public Audit (Wales) Act 2004. In particular, under section 17 of that Act the Auditor General for Wales may issue a code of audit practice, which external auditors follow when carrying out their duties.

The code of audit practice issued in March 2000 sets out the auditor's objectives to review and report on:

- a) the financial aspects of the audited body's corporate governance arrangements;
- b) the audited body's financial statements; and
- c) aspects of the audited body's arrangements to manage its performance, including the preparation and publication of specified performance information.

The Council's accounts are audited by external auditors, who must be satisfied that the statement of accounts 'presents fairly' the financial position of the Council and its income and expenditure for the year in question and complies with the legal requirements.

Key Controls

- a) External auditors are appointed by the Auditor General of Wales normally for a minimum period of five years. The Wales Audit Office prepares a code of audit practice, which external auditors follow when carrying out their audits.

Responsibilities of the Chief Finance Officer

- To ensure that external auditors are given access at all reasonable times to premises, personnel, documents and assets that the external auditors consider necessary for the purposes of their work.
- To ensure there is effective liaison between external and internal audit, to facilitate a mutual recognition and respect between the services, and to avoid the duplication of work.
- To work with the external auditor and advise the Council, Cabinet and Directors on their responsibilities in relation to external audit.
- To ensure access is permitted to appropriate records of any external bodies where a relationship with the Council exists, e.g. third party arrangements for grants.

Responsibilities of Chief Officers

- To ensure that external auditors are given access at all reasonable times to premises, personnel, documents and assets which the external auditors consider necessary for the purposes of their work.
- To ensure that all records and systems are up to date and available for inspection.
- To ensure that all working papers to support accounting entries, grant claims etc. are of a sufficiently high standard so as to be fully acceptable for external audit use.

1.8.3 Preventing Fraud and Corruption

The Council will not tolerate fraud, corruption or any acts of malpractice in the administration of its responsibilities, whether from inside or outside the Council.

The Council's expectation of propriety and accountability is that Members and employees at all levels will lead by example in ensuring adherence to legal requirements, rules, procedures and practices.

The Council also expects that individuals and organisations (e.g. suppliers, contractors, service providers) with whom it comes into contact will act towards the Council with integrity and without thought or actions involving fraud and corruption.

Key Controls

- a) The Council has an effective anti-fraud, corruption and malpractice strategy policy documents, to include anti-money laundering and the Bribery Act requirements, and maintains a culture that will not tolerate fraud, corruption or any acts of malpractice.
- b) All Members and employees act with integrity and lead by example.
- c) Senior managers are required to deal swiftly and firmly with those who defraud or attempt to defraud the Council or who are corrupt.

Responsibilities of the Chief Finance Officer

- To develop and maintain an anti-fraud, corruption and malpractice strategy policy document.
- To maintain adequate and effective internal financial control arrangements.
- To ensure that all suspected irregularities which fall under necessary notification requirements are acted upon.

Responsibilities of Chief Officers

- To maintain adequate and effective internal control arrangements.
- To ensure that all suspected irregularities are reported to the Chief Finance Officer and the Chief Internal Auditor.
- To instigate the Council's disciplinary procedures where the outcome of an audit investigation indicates improper behaviour.

- To ensure that where financial impropriety is discovered, the Chief Finance Officer is informed, and where sufficient evidence exists to believe that a criminal offence may have been committed, the police are called in to determine with the Crown Prosecution Service whether any prosecution will take place.

1.8.4 Assets - Security

The Council holds assets in the form of property, vehicles, equipment, furniture and other items worth many millions of pounds. It is important that assets are safeguarded and used efficiently in service delivery, and that there are arrangements for the security of both assets and information required for service operations. An up-to-date asset register is a prerequisite for proper fixed asset accounting and sound asset management.

Key Controls

- (a) Assets are used only for the purposes of the Council and are properly accounted for.
- (b) Resources are available for use when required.
- (c) Resources no longer required are disposed of in accordance with the law and the regulations of the Council so as to maximise benefits.
- (d) An asset register is maintained for the Council, appropriate assets are recorded when they are acquired by the Council and this record is updated as changes occur with respect to the location and condition of the asset.
- (e) All staff are aware of their responsibilities with regard to safeguarding the Council's assets and information, including the requirements of ~~the~~ Data Protection ~~Act~~ Legislation and software copyright legislation.
- (f) All staff are aware of their responsibilities with regard to safeguarding the security of the Council's computer systems, including maintaining restricted access to the information held on them and compliance with the Council's computer and internet security policies.

Responsibilities of the Chief Finance Officer

- To ensure that an asset register is maintained in accordance with proper practice for all capital expenditure in excess of £10,000 which enhances asset value and is contained within the Council's approved Capital Programme (the only exceptions being multiple items, e.g. vehicles, personal computers under £10,000 which are included in the Asset Register).
- The function of the asset register is to provide the Council with information about fixed assets so that they are:
 - safeguarded;
 - used efficiently and effectively;
 - adequately maintained; and
 - charged to the appropriate user within the Revenue Account.
- To receive the information required for accounting, costing and financial records from each Chief Officer.
- To ensure that assets are valued in accordance with the Statements of Asset Valuation Practice and Guidance Notes published by the Royal Institution of Chartered Surveyors in conjunction with the guidelines set out in CIPFA's Valuations for accounting purposes circa 1997.

Responsibilities of Chief Officers

- The appropriate Chief Officer shall maintain a property database for all properties, plant and machinery and moveable assets currently owned or used by the Council and to arrange for the valuation of assets for accounting purposes to meet requirements specified by the Chief Finance Officer. Any use of property by a directorate or establishment other than for direct service delivery should be supported by documentation identifying terms, responsibilities and duration of use.
- The appropriate Chief Officers to ensure that lessees and other prospective occupiers of Council land are not allowed to take possession or enter the land until a lease or agreement, in a form approved by the ~~Group Manager~~ Legal Services Corporate Lead Officer – Legal & Governance in

consultation with the Chief Finance Officer has been established as appropriate.

- To ensure the proper security of all buildings and other assets under their control.
- Where land or buildings are surplus to requirements, a recommendation for sale should be the subject of a report by the appropriate Chief Officer.
- To pass title deeds to the Chief Officer who is responsible for custody of all title deeds.
- To ensure that no Council asset is subject to personal use by an employee without proper authority.
- To ensure the safe custody of vehicles, equipment, furniture, stock, stores and other property belonging to the Council.
- To ensure that the directorate maintains an inventory of moveable assets in accordance with arrangements defined by the Chief Finance Officer.
- To ensure that assets are identified, their location recorded and that they are appropriately marked and insured.
- To consult the Chief Finance Officer in any case where security is thought to be defective or where it is considered that special security arrangements may be needed.
- To ensure cash holdings on premises are kept to a minimum.
- To ensure that loss of any safe keys must be reported to the Chief Finance Officer as soon as possible.
- To record all disposal or part exchange of assets.
- To ensure that all employees are aware that they have a personal responsibility with regard to the protection and confidentiality of information, whether held in manual or computerised records. Information may be sensitive or privileged, or may possess some intrinsic value, and its disclosure or loss could result in a cost to the Council in some way.

1.8.5 Inventories

Responsibilities of Chief Officers

- To maintain inventories for security and insurance purposes in which an adequate description of furniture, fittings, plant and machinery and other valuable items of equipment with a cost in excess of £250 is recorded.

- To carry out an annual check of all items on the inventory in order to verify location, review condition and to take action in relation to surpluses or deficiencies, annotating the inventory accordingly. Attractive and portable items such as computers, projectors, cameras and video recorders should be identified with security markings as belonging to the Council and are placed securely and, where possible, out of view when offices are not occupied, e.g. overnight.
- To make absolutely sure that property is only used in the course of the Council's business by keeping appropriate records as necessary, unless the Head of Service concerned has given permission otherwise.

1.8.6 Stocks and Stores

Responsibilities of Chief Officers

- To make arrangements for the care and custody of stocks and stores in the directorate.
- To ensure stocks are maintained at reasonable levels and are subject to a regular independent physical check. Reasonable levels of stocks are required in order to reduce the cost of holding the stock as well as the risk of stock becoming damaged or obsolete. All discrepancies should be investigated and pursued to a satisfactory conclusion.
- To remove from the Council's records (i.e. write off) discrepancies as necessary up to the value of £1,000. To seek the approval of the Chief Finance Officer for the write off of discrepancies in excess of £1,000.
- To authorise or write off the disposal of redundant stocks and equipment up to the value of £1,000.
- To seek the approval of the Chief Finance Officer for the write-off of redundant stocks and equipment in excess of £1,000.
- Provide the Chief Finance Officer with a certificate of the value of the amounts held at 31 March each year.

1.8.7 Intellectual Property

Intellectual property is a generic term covering the rights existing in, for example, literary works, designs and inventions. It will also apply to the creation of software. Intellectual property rights are regulated by statute, notably the Copyright, Design and Patents Act 1988. Rights created during employment will belong to the Council unless there is specific agreement to the contrary between the Council and an employee.

Key Controls

- a) In the event that the Council decides to become involved in the commercial exploitation of inventions, the matter should proceed in accordance with the Council's approved intellectual property procedures.

Responsibilities of the Chief Finance Officer

- To develop and disseminate good practice through the Council's intellectual property procedures.

Responsibilities of Chief Officers

- To ensure that controls are in place to ensure that staff do not carry out private work in Council time and that employees are aware of an employer's rights with regard to intellectual property.

1.8.8 Asset Disposal

It would be uneconomic and inefficient for the cost of assets to outweigh their benefits. Obsolete, non-repairable or unnecessary assets should be disposed of in accordance with the law and the regulations of the Council.

Key Controls

- a) Assets for disposal are identified and are disposed of at the most appropriate time, and only when it is in the best interests of the Council, and best price is obtained, bearing in mind other factors, such as environmental issues. For items of significant value, disposal should be by competitive tender or public auction.
- b) Procedures protect employees involved in the disposal from accusations of personal gain.

Responsibilities of the Chief Finance Officer

- To issue guidelines representing best practice for disposal of assets.
- To ensure appropriate accounting entries are made to remove the value of disposed assets from the Council's records and to include the sale proceeds if appropriate.

Responsibilities of Chief Officers

- To seek advice from the appropriate officer on the disposal of surplus or obsolete materials, stores or equipment.
- To ensure that income received for the disposal of an asset is properly banked and coded.

1.9 TREASURY MANAGEMENT

Many millions of pounds pass through the Council's accounting records each year. This has led to the establishment of codes of practice. These aim to provide assurances that the Council's money is properly managed in a way that balances risk with return, but with the overriding consideration being given to the security of the Council's capital sum.

Key Controls

- a) That the Council's borrowings and investments comply with the CIPFA *Code of Practice on Treasury Management* and with the Council's treasury policy statement.

1.9.1 Treasury Management and Banking

Responsibilities of Chief Finance Officer

- To arrange the borrowing and investments of the Council in such a manner as to comply with the CIPFA *Code of Practice on Treasury Management* and the Council's treasury management policy statement and strategy.
- To report no fewer than twice a year on treasury management activities to the Cabinet.
- To operate bank accounts as are considered necessary – opening or closing any bank account or credit/debit, or purchasing cards shall require the approval of the Chief Finance Officer.

Responsibilities of Chief Officers

- To follow the instructions on banking issued by the Chief Finance Officer.

1.9.2 Investments and Borrowing

Responsibilities of Chief Finance Officer

- To ensure that all investments of money are made in the name of the Council or in the name of nominees approved by the Council.
- To ensure that all securities that are the property of the Council or its nominees and the title deeds of all property in the Council's ownership are held in the custody of the ~~Group Manager Legal Services~~Corporate Lead Officer – Legal & Governance.
- To effect all borrowings in the name of the Council.
- To act as the Council's registrar of stocks, bonds and mortgages and to maintain records of all borrowing of money by the Council.
- To ensure that all investments of money are made in accordance with current regulations and statutory guidance.

Responsibilities of Chief Officers

- To ensure that loans are not made to third parties and that interests are not acquired in companies, joint ventures or other enterprises without the approval of the Cabinet and the Council, following consultation with the Chief Finance Officer.

1.9.3 Trust Funds and Funds held for Third Parties

Responsibilities of Chief Officers

- To arrange for all trust funds to be held, wherever possible, in the name of the Council. All officers acting as trustees by virtue of their official position shall deposit securities, etc. relating to the trust with the Chief Finance Officer, unless the deed otherwise provides.
- To arrange, where funds are held on behalf of third parties, for their secure administration, approved by the Chief Finance Officer, and to maintain written records of all transactions.
- To ensure that trust funds are operated within any relevant legislation and the specific requirements for each trust.

1.9.4 Imprest Accounts

Responsibilities of the Chief Finance Officer

- Where it is deemed appropriate to provide employees of the Council with cash or bank imprest accounts to meet minor expenditure on behalf of the Council and to prescribe rules for operating these accounts. Minor items of expenditure should not exceed the prescribed amount, currently £50.
- To determine the petty cash limit issued to each imprest holder, and to maintain a record of all transactions and petty cash advances made, and to periodically review the arrangements for the safe custody and control of these advances.
- To reimburse imprest holders as often as necessary to restore the imprests, but normally not more than monthly.

Responsibilities of Chief Officers

To ensure that employees operating an imprest account:

- sign an undertaking on the issue of the account, to read and confirm their understanding of the guidelines issued by the Chief Finance Officer on the operation of the account;

- obtain and retain relevant vouchers to support each payment from the imprest account. Where appropriate, an official receipted VAT invoice must be obtained;
- make adequate arrangements for the safe custody of the account;
- produce upon demand by the Chief Finance Officer cash and all vouchers to the total value of the imprest amount;
- record transactions promptly;
- reconcile and balance the account at least monthly; reconciliation sheets to be signed and retained by the imprest holder;
- provide the Chief Finance Officer with a certificate of the value of the account held at 31st March each year;
- ensure that the float is never used to cash personal cheques or to make personal loans and that the only payments into the account are the reimbursement of the float and change relating to purchases where an advance has been made;
- on leaving the Council's employment or otherwise ceasing to be entitled to hold an imprest advance, an employee shall account to the Chief Finance Officer for the amount advanced to him or her;
- forward a claim to be forwarded to the Chief Finance Officer in sufficient time to prevent the account from being overdrawn;
- promptly notify the Chief Finance Officer of any change of signatories; and
- promptly notify the Chief Finance Officer of any suspected irregularities.

1.9.5 Staffing

In order to provide the highest level of service, it is crucial that the Council recruits and retains high calibre, knowledgeable employees, qualified to an appropriate level.

Key Controls

- a) An appropriate staffing strategy and policy exists, in which staffing requirements and budget allocation are matched.
- b) Procedures are in place for forecasting staffing requirements and cost.

- c) Controls are implemented that ensure that employees' time is used efficiently and to the benefit of the Council.
- d) Checks are undertaken prior to employing new employees to ensure that they are appropriately qualified, experienced and trustworthy.
- e) An appropriate check is undertaken prior to employment with the Criminal Records Bureau in respect of employees working in designated posts.
- f) The Council operates a full equal opportunities policy for all positions.

Responsibilities of the Chief Finance Officer

- To produce an annual and a three year staffing budget.
- To ensure that budget provision exists for all existing and new employees.
- To act as an advisor to Chief Officers on areas such as National Insurance and pension contributions, as appropriate.

Responsibilities of Chief Officers

- To produce an annual and three year staffing budget.
- To ensure that the staffing budget is an accurate forecast of staffing levels and is equated to an appropriate revenue budget provision (including on-costs and overheads).
- To appoint employees in accordance with equal opportunities and other human resource policies of the Council.
- To appoint employees with relevant experience, qualifications, references, additional checks, e.g. CRB where applicable, as required by the post.
- To monitor employee activity to ensure adequate control over such costs as sickness, overtime, training and temporary staff.
- To ensure that the staffing budget is not exceeded without due authority and that it is managed to enable the agreed level of service to be provided.
- To ensure that the Chief Finance Officer is immediately informed if the staffing budget is likely to be materially over or underspent.

1.10 FINANCIAL SYSTEMS AND PROCEDURES

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Updated May 2022

General Issues

Directorates have many systems and procedures relating to the control of the Council's assets, including purchasing, costing and management systems. Directorates are increasingly reliant on computers for their financial management information. The information must therefore be accurate and the systems and procedures sound and well administered. They should contain controls to ensure that transactions are properly processed and errors detected promptly.

The Chief Finance Officer has a professional responsibility to ensure that the Council's financial systems are sound and should therefore be notified at the outset of any new developments or changes.

Key Controls

- (a) Basic data exists to enable the Council's objectives, targets, budgets and plans to be formulated.
- (b) Performance is communicated to the appropriate managers on an accurate, complete and timely basis.
- (c) Early warning is provided of deviations from target, plans and budgets that require management attention.
- (d) Operating systems and procedures are secure and in accordance with the Council's terms and conditions.

Responsibilities of the Chief Finance Officer

- To make arrangements for the proper administration of the Council's financial affairs, including to:
 - a) issue advice, guidance and procedures for officers and others acting on the Council's behalf;

- b) determine the accounting systems, form of accounts and supporting financial records;
- c) establish arrangements for audit of the Council's financial affairs;
- d) define minimum standards for financial matters; and
- e) approve any changes to be made to existing financial systems.

Responsibilities of Chief Officers

- To ensure that accounting records are properly maintained and held securely.
- To ensure that vouchers and documents with financial implications are not destroyed, except in accordance with the Council's retention policy or arrangements approved by the Chief Finance Officer
- To ensure that a complete management trail, allowing financial transactions to be traced from the accounting records to the original document, and vice versa, is maintained.
- To incorporate appropriate controls to ensure that, where relevant:
 - a) all input is genuine, complete, accurate, timely and not previously processed;
 - b) all processing is carried out in an accurate, complete and timely manner;
 - c) output from the system is complete, accurate and timely; and
 - d) reconciliations are in place between subsidiary systems and the Council's main system.
- To ensure that the organisational structure provides an appropriate segregation of duties to provide adequate internal controls and to minimise the risk of fraud or other malpractice.
- To ensure there is a documented and tested disaster recovery plan to allow information system processing to resume quickly in the event of an interruption.
- To ensure that systems are documented and employees adequately trained in operations.

- To ensure that any financial systems within their service area meet the minimum standards laid down by the Chief Finance Officer.
- To establish a scheme of delegation identifying officers authorised to act upon the Director's behalf in respect of payments, income collection and placing orders, including variations, and showing the limits of their authority.
- To supply lists of authorised officers, with specimen signatures and delegated limits, to the Chief Finance Officer, together with any subsequent variations.
- To ensure that effective contingency arrangements, including back-up procedures, exist for computer systems in accordance with the Council's policies.
- To ensure that, where appropriate, computer systems are registered in accordance with data protection legislation and that employees are aware of their responsibilities under the legislation.
- To ensure that relevant standards and guidelines for computer systems issued by the Chief Finance Officer are observed, especially with regard to personal use.
- To ensure that computer equipment and software are protected from loss and damage through theft, vandalism, etc.
- To comply with the copyright, designs and patents legislation and, in particular, to ensure that:
 - a) only software legally acquired and installed by the Council is used on its computers;
 - b) staff are aware of legislative provisions; and
 - c) in developing systems, due regard is given to the issue of intellectual property rights.

1.10.1 Income and Expenditure

Income can be a vulnerable asset and effective income collection systems are necessary to ensure that all income due is identified, collected, receipted and banked promptly and properly. All efforts must be made to obtain income in advance of supplying goods or services as this improves the Council's cash flow and also avoids the time and cost of administering debts.

Key Controls

- a) All income due to the Council is identified and charged correctly, in accordance with an approved charging policy, which is regularly reviewed.
- b) All income is collected from the correct person, at the right time, using the correct procedures and the appropriate stationery.
- c) All money received by an employee on behalf of the Council is receipted and paid without delay to the Chief Finance Officer or, as he or she directs, to the Council's bank accounts, and properly recorded. The responsibility for cash collection should be separated from that:
 - for identifying the amount due
 - or reconciling the amount due to the amount actually banked.
- d) Effective action is taken to pursue non-payment within defined timescales.
- e) Formal approval for debt write off is approved by the Chief Finance Officer.
- f) Appropriate write-off action is taken within defined timescales.
- g) Appropriate accounting adjustments are made following write-off action.
- h) All appropriate income documents are retained and stored for the defined period in accordance with the document retention schedule.
- i) Money collected and deposited is reconciled to the bank account by a person who is not involved in the collection or banking process.

Responsibilities of the Chief Finance Officer

- To agree arrangements for the collection of all income due to the Council; to approve the procedures, systems and documentation for its collection; and ensuring these methods comply with statutory requirements, e.g. as set by HM Revenue & Customs.
- To agree the write-off of bad debts or seek approval from the Cabinet.

Ceredigion County Council Constitution - Part 4 Rules of Procedure

PART 4 DOCUMENT F Financial Regulations

Updated May 2022

- To ensure that appropriate adjustments are made following write-off action.
- To set the debt recovery policies for the Council including the minimum standards of information required to support any debts outstanding.
- To advise service areas where appropriate of the level and details of debt outstanding for their areas.
- To set appropriate levels of bad debt provisions taking account of the level of outstanding debt.
- To follow appropriate recovery procedures, including legal action where necessary, for debts that are not paid promptly.

Responsibilities of Chief Officers

- To ensure that wherever possible income is received in advance of the service being provided.
- To establish a charging policy for the supply of goods or services, including the appropriate charging of VAT, and to review it regularly, in line with corporate policies, and seeking Member approval. This review is likely to be at least on an annual basis in accordance with budget setting requirements.
- To ensure that all income is correctly coded to the appropriate cost centre/fund.
- To separate the responsibility for identifying amounts due and the responsibility for collection, as far as is practicable.
- To order and supply all receipt forms, books or tickets and similar items and to satisfy himself or herself regarding the arrangements for their control.
- To issue official receipts or to maintain other documentation for income collection.
- To ensure that at least two employees are present when post is opened, or cash is collected, e.g. from a vending machine, so that money received is properly identified and recorded.
- To hold securely receipts, tickets and other records of income for the appropriate period.
- To lock away all income to safeguard against loss or theft, and to ensure the security of cash handling. Only up to approved limits of cash can be held on the premises as advised by the Chief Finance Officer.
- To ensure that income is paid fully and promptly into the appropriate Council bank account in the form in which it is received. Appropriate details including correct VAT indicator (liability) should be recorded on to paying-in slips to provide an audit trail. Money collected and deposited must be reconciled to the bank account on a regular basis.
- To ensure income is not used to cash personal cheques or other payments.
- To supply the Chief Finance Officer with details relating to work done, goods supplied, services rendered or other amounts due, to enable the Chief Finance Officer to record correctly the sums due to the Council and to ensure accounts are sent out promptly. Income should ONLY be pursued by using the Council's official accounts via the sundry debtor system.

- Chief Officers should use established performance management systems to monitor recovery of income and flag up areas of concern to the Chief Finance Officer. Chief Officers have a responsibility to assist the Chief Finance Officer in collecting debts that they have originated, by providing any further information requested by the debtor, and in pursuing the matter on the Council's behalf.
- To keep a record of every transfer of money between employees of the Council. The receiving officer must sign for the transfer and the transferor must retain a copy.
- To notify the Chief Finance Officer of outstanding income relating to the previous financial year as soon as possible after 31st March in line with the timetable determined by the Chief Finance Officer and not later than 30th April.
- To notify the Chief Finance Officer and Chief Internal Auditor of any suspicious transactions which may fall under the Money Laundering and Proceeds of Crime Act.

1.10.2 Ordering and Paying for Work, Goods and Services

Public money should be spent with demonstrable probity and in accordance with the Council's policies. Authorities have a statutory duty to achieve best value in part through economy and efficiency. The Council's procedures should help to ensure that services obtain value for money from their purchasing arrangements. These procedures should be read in conjunction with the Council's Standing Orders with Regards to Contracts and associated procurement policies.

General Issues

Every Officer and Member of the Council has a responsibility to declare any links or personal interests that they may have with purchasers, suppliers and/or contractors if they are engaged in contractual or purchasing decisions on behalf of the Council, in accordance with appropriate adopted codes of conduct.

Official orders must be in a form approved by the Chief Finance Officer. Official orders must be issued for all work, goods or services to be supplied to the Council, except for supplies of utilities, periodic payments such as rent or rates, petty cash purchases or other exceptions specified by the Chief Finance Officer.

Each order must conform to the guidelines approved by the Council on central purchasing and the standardisation of supplies and materials. Standard terms and conditions must not be varied without the prior approval of the Chief Finance Officer.

Apart from petty cash and other payments from advance accounts, the normal method of payment from the Council shall be by electronic or other payment instrument, cheques or approved method, drawn on the Council's bank account by the Chief Finance Officer. Other payment means shall require the prior agreement of the Chief Finance Officer.

Official orders must not be raised for any personal or private purchases, nor must personal or private use be made of Council contracts.

Key Controls

- a) All goods and services are ordered only by appropriate persons and are correctly recorded.
- b) All goods and services shall be ordered in accordance with the Council's Standing Orders with Regards to Contracts and any associated procurement policies, or practices, including compliance with any and all corporately awarded procurement contracts unless they are purchased from sources within the Council.
- c) Goods and services received are checked to ensure they are in accordance with the order. Goods should not be received by the person who placed the order.

- d) Payments are not made unless goods have been received by the Council to the correct price, quantity and quality standards.
- e) All payments are made to the correct person, for the correct amount and are properly recorded, regardless of the payment method.
- f) All appropriate evidence of the transaction and payment documents are retained and stored for the defined period, in accordance with document retention policies.
- g) All expenditure, including VAT, is accurately recorded against the right budget and any exceptions are corrected.
- h) In addition, the effect of e-business/e-commerce and electronic purchasing /credit cards requires that processes are in place to maintain the security and integrity of data for transacting business electronically.

Responsibilities of the Chief Finance Officer

- To approve the form of official orders and associated terms and conditions.
- To make payments from the Council's funds in accordance with National Performance Indicators on the Director's authorisation that the expenditure has been duly incurred in accordance with financial regulations.
- To make payments, whether or not provision exists within the estimates, where the payment is specifically required by statute or is made under a court order.
- To make payments to contractors on the certificate of the appropriate Chief Officer, which must include details of the value of work, retention money, amounts previously certified and amounts now certified.
- To provide advice and encouragement on making payments by the most economical means.
- To be satisfied that a budgetary control system exists within the service that enables, where possible, commitments incurred by placing orders to be shown against the appropriate budget allocation so that they can be taken into account in budget monitoring reports.

Responsibilities of Chief Officers

- In general terms, to adhere to effective and timely procedures in order to facilitate compliance with the Council's set performance indicator for payment of all invoices.
- To ensure that official order numbers are quoted for all orders for goods and services.
- To ensure that orders are only used for goods and services provided to the directorate. Individuals must not use official orders to obtain goods or services for their private use.
- To ensure that only those staff authorised by him or her sign, or electronically approve, orders and to maintain an up-to-date list of such authorised staff, including specimen signatures identifying in each case the limits of their authority. The authoriser of the order should be satisfied that the goods and services ordered are appropriate and needed, that there is adequate budgetary provision and that quotations or tenders have been obtained if necessary.
- To ensure that goods and services are checked on receipt to verify that they are in accordance with the order. This check should, where possible, be carried out by a different Officer from the person who authorised the order. Appropriate entries should then be made in inventories or stores records.
- To ensure that payment is not made unless a proper VAT invoice has been received, checked, coded and certified for payment, confirming:
 - a) receipt of goods or services;
 - b) that the invoice has not previously been paid;
 - c) that expenditure has been properly incurred and is within budget provision;
 - d) that prices and arithmetic are correct and accord with quotations, tenders, contracts or catalogue prices;
 - e) correct accounting treatment of tax, including the deduction and administration of the Construction Industry Scheme (CIS) where appropriate;
 - f) that the invoice is correctly coded;
 - g) that discounts have been taken where available; and
 - h) that appropriate entries will be made in accounting records.

- To ensure that a budgetary control system exists within the service that enables, where possible, commitments incurred by placing orders to be shown against the appropriate budget allocation so that they can be taken into account in budget monitoring reports.
- To ensure that two authorised employees are involved in the ordering; receiving and payment process. One employee cannot perform all three tasks, and at the most may perform two of the three tasks only.
- To ensure that the service maintains and reviews periodically a list of staff approved to authorise invoices. Names of authorising officers together with specimen signatures and details of the limits of their authority shall be forwarded to the Chief Finance Officer and kept up to date.
- To ensure that payments are not made on a photocopied or faxed invoice, statement or other document other than the formal invoice unless suitably endorsed and certified.
- To encourage suppliers of goods and services to receive payment by the most economical means for the Council.
- To ensure that the Service obtains best value from purchases by taking appropriate steps to obtain competitive prices for goods and services of the appropriate quality, with regard to the best practice guidelines issued by the Chief Finance Officer, which are in line with best value principles and contained in the Council's Standing Orders with Regard to Contracts and associated procurement policies.
- To ensure that employees are aware of the employee code of conduct for local government employees as adopted by the Council.
- To ensure that loans, leasing or rental arrangements are not entered into without prior agreement from the Chief Finance Officer. This is because of the potential impact on the Council's borrowing powers, to protect the Council against entering into unapproved credit arrangements and to ensure that value for money is being obtained.
- To notify the Chief Finance Officer of outstanding expenditure relating to the previous financial year as soon as possible after 31st March in line with accounts closure procedures issued by the Chief Finance Officer.
- To notify the Chief Finance Officer immediately of any expenditure to be incurred as a result of statute/court order where there is no budgetary provision.

- To ensure that all appropriate payment records are retained and stored for the defined period, in accordance with document retention policies.

1.10.3 Contracts for Work

Specific requirements exist in relation to larger scale contracts for building, constructional or engineering works. These requirements will exist equally for in-house and external contractors and are covered by the Council's Contracts Procedure Rules.

Key Controls

- Contracts must comply with the Council's Contracts Procedure Rules and these Financial Procedures relating to Contracts.
- Any standard form of contract adopted by the Council for the purpose in hand.
- National and European Union legislation.

Responsibilities of the Chief Finance Officer

- To ensure that formal procedures are in place including the maintenance of a contract register(s) to control all contracts from tendering/quotation to final payment stages. The register shall show the state of accounts on each contract between the Council and the contractor, together with any payments and related professional fees.

Responsibilities of Chief Officers

- To maintain a contracts register or appropriate records to control all contracts within their service areas from tendering/quotation to final payment stages.
- All payments to contractors shall be made on a certificate signed by the appropriate Chief Officer in a form approved by the Chief Finance Officer. This certificate shall show the total amount of the contract, the value of work

executed to date, retention money, amount paid to date and the amount now certified.

- Any variation of, addition to or omission from a contract duly authorised shall be given in writing to the contractor by the responsible Chief Officer.
- In every case, before a final certificate is issued by or on behalf of a Chief Officer, the Chief Finance Officer shall be informed, and all documentation relating to individual contracts shall be made available to him for examination, when required.
- Where professional architects, engineers or surveyors are employed to design or supervise work for the Council, it shall be a condition of their employment:
 - that they be engaged on the basis of collaboration with the relevant Chief Officer and at fee rates competitively and fairly set; and
 - that before a final certificate of costs is issued, they make available to the appropriate Chief Officer and the Chief Finance Officer all documents relating to the contract for which they are acting on the Council's behalf.
- Each Chief Officer, in consultation with the Chief Finance Officer, shall be responsible for reporting to Cabinet, for information only, any variations, additional payments and likely overspending in excess of 10%, or £50,000 if lower, of the contract sum unless covered by the initial report. No payment above these values will be made without approval, other than in exceptional circumstances (e.g. potential breach of contract) which must be agreed with the Chief Finance Officer. In every case, before a Chief Officer issues a final certificate, the Chief Finance Officer shall be informed, and all documentation relating to individual contracts shall be made available for examination, when required.
- The Supervising Officer for the contract shall draw the potential for the deduction of liquidated and ascertained damages to the client Chief Officers, who shall make the decision to pursue or otherwise based upon the full facts, including the nature of the claim, materiality and any relevant legal considerations. Any proposal not to deduct liquidated damages, where such a right has accrued, shall be reported by the Chief Officer to the Chief Finance Officer.

- Technical and financial vetting of prospective contractors shall be carried out for all contracts exceeding £500,000 in value and all others where considered necessary.
- A detailed report on the progress and costs of capital schemes shall be made regularly to Cabinet; the detailed format and frequency of these reports to be agreed by the Chief Finance Officer.
- A Performance Bond will be required where it is felt that special circumstances make this prudent. The surety shall be approved by the Corporate Manager Legal Services.

1.10.4 Payments to Employees and Members

Employee costs are the largest item of expenditure for most Council services. It is therefore essential that payments are accurate, timely, made only where they are due for services to the Council and that payments accord with individuals' conditions of employment. It is also important that all payments are accurately and completely recorded and accounted for and that Members' allowances are authorised in accordance with the scheme adopted by the Council.

Key Controls

- b) Proper authorisation procedures are in place and that there is adherence to corporate timetables in relation to:
- starters
 - leavers
 - variations
 - enhancements
- and that these payments / amendments are made on the basis of timesheets or claims.
- c) Appropriate validation procedures exist and division of duties is adhered to.
- d) Frequent reconciliation of payroll expenditure against approved budget and bank account.
- d) All appropriate payroll documents are retained and stored for the defined

period in accordance with document retention policies.

e) That taxation and other applicable regulations are complied with.

Responsibilities of the Chief Finance Officer

- To arrange and control secure and reliable payment of salaries, Wales Governments, compensation or other emoluments to existing employees, in accordance with procedures prescribed by him or her, on the due date.
- To ensure that the workforce and Members are paid in accordance with various conditions of service and in compliance with all statutory regulations in respect of Tax, National Insurance, Pensions and other deductions (Court Orders etc.).
- To record and make arrangements for the accurate and timely payment of both statutory and non-statutory deductions.
- To make arrangements for payment of all travel and subsistence claims and allowances in accordance with National and Local Policy.
- To make arrangements for paying Members travel or other allowances upon receiving the prescribed form, duly completed and authorised.
- To provide advice and encouragement to secure payment of salaries and Wales Governments by the most economical means.
- To ensure that there are adequate arrangements for administering Superannuation matters on a day-to-day basis including effective liaison with the administering body.
- To ensure a monthly and year-end reconciliation is undertaken of the payroll value according to each of the payroll system ledger system and BACS.

Responsibilities of Chief Officers

- To ensure appointments are made in accordance with the regulations of the Council and approved establishments, grades and scale of pay and that adequate budget provision is available.
- To notify the Chief Finance Officer of all appointments, terminations or variations which may affect the pay or pension of an employee or former

employee, in the form and to the timescale required by the Chief Finance Officer.

- To ensure that adequate and effective systems and procedures are operated, so that:
 - payments are only authorised to bona fide employees;
 - payments are only made where there is a valid entitlement;
 - conditions and contracts of employment are correctly applied;
 - employees' names listed on the payroll are checked at regular intervals to verify accuracy and completeness.
- To send an up-to-date list of the names of officers authorised to sign records to the Chief Finance Officer, together with specimen signatures. The payroll provider should have signatures of Corporate Manager - Corporate Human Resources and Officers authorised to sign timesheets and claims.
- To ensure that payroll transactions are processed only through the payroll system. Chief Officers should give careful consideration to the employment status of individuals employed on a self-employed consultant or sub-contract basis. The Inland Revenue applies a tight definition for employee status, and in cases of doubt, advice should be sought from the Chief Finance Officer.
- To certify travel and subsistence claims and other allowances (submission to Chief Finance Officer within 10 days of the end of the monthly period in which they are incurred). Certification is taken to mean that journeys were authorised and expenses properly and necessarily incurred, and that allowances are properly payable by the Council, ensuring that cost-effective use of prescribed travel arrangements is achieved. VAT Invoices/receipts must be obtained and submitted for all non-mileage expenses claims, and to support the mileage claim. Claims submitted more than 3 months after the expenses were incurred must be accompanied by a letter of explanation for the delay, and shall be paid only with express approval of the Chief Finance Officer. Continuous failure to meet the submission deadline would result in claims not being paid with approval only being granted if there appeared to be an exceptional reason to the delay.

- To ensure that the Chief Finance Officer is notified of the details of any employee benefits in kind, to enable full and complete reporting within the income tax self-assessment system.
- To ensure that all appropriate payroll documents are retained and stored for the defined period in accordance with document retention policies.
- To ensure that appropriate terms and conditions of employment are issued to all new employees.

Responsibilities of Members

- To make claims for travel and subsistence allowances in accordance with National and Local Policy.
- To submit claims for travel and subsistence allowances in the prescribed format on a monthly basis.

1.10.5 Taxation

In common with all organisations, the Council is responsible for ensuring its tax affairs are in order. Tax issues are often very complex and the penalties for incorrectly accounting for tax are severe. It is therefore very important for all Officers to be aware of their role.

Key Controls

- a) Budget managers are provided with relevant information and kept up to date on tax issues.
- b) Budget managers are instructed on required record keeping.
- c) All taxable transactions are identified, properly carried out and accounted for within stipulated timescales.
- d) Records are maintained in accordance with instructions.
- e) Returns are made to the appropriate authorities within the stipulated timescale.

Responsibilities of the Chief Finance Officer

- To comply with current taxation regulations with regard to PAYE, Corporation Tax, CIS, VAT and complete all required returns.
- To ensure that guidance and advice is available to all Council employees on taxation issues.

Responsibilities of Chief Officers

- To ensure details are returned to the Inland Revenue regarding the Construction Industry Scheme (CIS).

- To ensure that the correct VAT liability is attached to all income due and that all VAT recoverable on purchases complies with regulations.
- To ensure that, where construction and maintenance works are undertaken, the contractor fulfils the necessary construction industry tax deduction requirements.
- To ensure that all persons employed by the Council are added to the Council's payroll and tax deducted from any payments, except where the individuals are bona fide self-employed or are employed by a recognised staff agency.
- To follow the guidance on taxation issued by the Chief Finance Officer in the Council's relevant procedural notes.
- To inform the Chief Finance Officer of any items of expenditure and/or income that may have a material effect on the taxation position of the Council.

1.10.6 Trading Accounts and Business Units

Trading accounts and business units have become more important as local authorities have developed a more commercial culture. Authorities are required to keep trading accounts for services provided on a basis other than straightforward recharge of cost.

Responsibilities of the Chief Finance Officer

- To advise on the establishment and operation of trading accounts and business units.

Responsibilities of Chief Officers

- To consult with the Chief Finance Officer where a business unit wishes to enter into a contract with a third party where the contract expiry date exceeds the remaining life of their main contract with the Council. In general, such contracts should not be entered into unless they can be terminated within the main contract period without penalty.
- To observe all statutory requirements in relation to business units, including the maintenance of a separate revenue account to which all relevant income

is credited and all relevant expenditure, including overhead costs, is charged, and to produce an annual report in support of the final accounts.

- To ensure that the same accounting principles are applied in relation to trading accounts as for other services or business units.

1.11 EXTERNAL ARRANGEMENTS

1.11.1 Partnerships

Partnerships are likely to play a key role in delivering community strategies and in helping to promote and improve the well-being of the area. Local authorities are working in partnership with others – public agencies, private companies, community groups and voluntary organisations. Local authorities still deliver some services, but their distinctive leadership role is to bring together the contributions of the various stakeholders. They therefore need to deliver a shared vision of services based on user wishes.

Local authorities will mobilise investment, bid for funds, champion the needs of their areas and harness the energies of local people and community organisations. Local authorities will be measured by what they achieve in partnership with others.

General Issues

The main reasons for entering into a partnership are:

- a) the desire to find new ways to share risk;
- b) the ability to access new resources;
- c) to provide new and better ways of delivering services;
- d) to forge new relationships; and
- e) community involvement.

A partner is defined as either:

- a) an organisation (private, public or community) undertaking, part funding or participating as a beneficiary in a project; or
- b) a body whose nature or status give it a right or obligation to support the project.

Partners participate in projects by:

- a) acting as a project deliverer or sponsor, solely or in concert with others;
- b) acting as a project funder or part funder;
- c) being the beneficiary group of the activity undertaken in a project.

Partners have common responsibilities:

- a) to be willing to take on a role in the broader programme appropriate to the skills and resources of the partner organisation;
- b) to act in good faith at all times and in the best interests of the partnership's aims and objectives;
- c) be open about any conflict of interests that might arise;
- d) to encourage joint working and promote the sharing of information, resources and skills between public, private and community sectors;
- e) to hold confidentially any information received as a result of partnership activities or duties that is of a confidential or commercially sensitive nature; and
- f) to act wherever possible as ambassadors for the project.

Key Controls

- a) If appropriate, to be aware of their responsibilities under the Council's Financial Regulations and Standing Orders with Regards to Contracts.
- b) To ensure that risk management processes are in place to identify and assess all known risks.

- c) To ensure that project appraisal processes are in place to assess the viability of the project in terms of resources, staffing and expertise.
- d) To agree and accept formally the roles and responsibilities of each of the partners involved in the project before the project commences.
- e) To communicate regularly with other partners throughout the project so that problems can be identified and shared to achieve their successful resolution.

Responsibilities of the Chief Finance Officer

- To advise on effective controls that will ensure that resources are not wasted.
- To advise on the key elements of funding a project. They include:
 - a) a scheme appraisal for financial viability in both the current and future years;
 - b) risk appraisal and management;
 - c) resourcing, including taxation issues and loan guarantees;
 - d) audit, security and control requirements; and
 - e) carry-forward arrangements.
- To ensure that the accounting arrangements are satisfactory.

Responsibilities of Chief Officers

- To maintain a register of all contracts entered into with external bodies in accordance with procedures specified by the Chief Finance Officer.
- To ensure that, before entering into agreements with external bodies, a risk management appraisal has been prepared.
- To ensure that such agreements and arrangements do not impact adversely upon the services provided by the Council.
- To ensure that all agreements and arrangements are properly documented.
- To ensure agreements and arrangements stipulate the Council's Internal Audit's authority's access to relevant records etc.
- To provide appropriate information to the Chief Finance Officer to enable a note to be entered into the Council's Statement of Accounts concerning material items.

- To ensure that the Chief Finance Officer is notified of any request of providing a financial guarantee.

1.11.2 External Funding

External funding is potentially a very important source of income, but funding conditions need to be carefully considered to ensure that they are compatible with the aims and objectives of the Council. Local authorities are increasingly encouraged to provide seamless service delivery through working closely with other agencies and private service providers. Funds such as the National Lottery grants, European Union grants and other sources provide additional resources to enable the Council to deliver services to the local community. However, in some instances, although the scope for external funding has increased, such funding is linked to tight specifications and may not be flexible enough to link to the Council's overall plan.

Key Controls

- a) To ensure that key conditions of funding and any statutory requirements are complied with and that the responsibilities of the accountable body are clearly understood.
- b) To ensure that funds are acquired only to meet the priorities approved in the policy framework by the Council.
- c) To ensure that any match-funding requirements are given due consideration prior to entering into long-term agreements and that future revenue budgets reflect these requirements.

Responsibilities of the Chief Finance Officer

- To ensure that all funding notified by external bodies is received and properly recorded in the Council's accounts.
- To ensure that the match-funding requirements are considered prior to entering into the agreements and that future revenue budgets reflect these requirements.
- To ensure that audit requirements are met.

Responsibilities of Chief Officers

- To ensure that all claims for funds are made by the due date.

- To ensure that the project progresses in accordance with the agreed criteria and that all expenditure is properly incurred and recorded.
- To ensure that sufficient project management skills and resources are assigned to schemes to facilitate successful completion of all projects.
- To ensure that third party agreements are notified to the Chief Finance Officer
- To ensure that all relevant documentation is retained in accordance with the Council's Documents Retention policies.

1.11.3 Work for Third Parties

Current legislation enables the Council to provide a range of services to other bodies. Such work may enable a unit to maintain economies of scale and existing expertise. Arrangements should be in place to ensure that any risks associated with this work is minimised and that such work is intra vires.

Key Controls

- a) Proposals are costed properly in accordance with guidance provided by the Chief Finance Officer.
- b) Contracts are drawn up using guidance provided by the Chief Finance Officer and that the formal approvals process is adhered to.
- c) Guidance is issued with regard to the financial aspects of third party contracts and the maintenance of the contract register.

Responsibilities of the Chief Finance Officer

- To issue guidance with regard to the financial aspects of third party contracts and the maintenance of the contract register.
- To ensure that appropriate insurance arrangements are made.

Responsibilities of the Chief Officers

- To ensure that Cabinet approval is obtained before any negotiations are concluded to work for third parties.

- To maintain a register of all contracts entered into with third parties in accordance with procedures specified by the Chief Finance Officer.
- To ensure that the Council is not put at risk from any bad debts.
- To ensure that no contract is subsidised by the Council.
- To ensure that, wherever possible, payment is received in advance of the delivery of service.
- To ensure that the service area has the appropriate expertise to undertake the contract.
- To ensure that such contracts do not impact adversely upon the services provided by the Council.
- To ensure that all contracts are properly documented.

To provide appropriate information to the Chief Finance Officer to enable a note to be entered into the Statement of Accounts.

OFFICER EMPLOYMENT PROCEDURE RULES



Author and service:

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Officer Employment Procedure Rules

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OFFICER EMPLOYMENT PROCEDURE RULES

EXPLANATORY

These Procedure Rules are intended to comply with the provisions of the Local Authorities (Standing Orders) (Wales) Regulations 2006 as amended by the Local Authorities (Standing Orders) (Wales) (Amendment) Regulations 2014 (“the Regulations”).

In the event of any conflict between these Procedure Rules and the Regulations, the Regulations take precedence.

INTERPRETATION

“The 1989 Act”	the Local Government and Housing Act 1989;
“the 2000 Act”	the Local Government Act 2000;
“Chief Officer”	has the same meaning as in the Local Authorities (Standing Orders)(Wales) Regulations 2006, namely: the the Monitoring Officer (designated under s.5(1) of the 1989 Act); a statutory chief officer mentioned in paragraph (a), (c) or (d) of section 2(6) of the 1989 Act (which includes the Chief Finance Officer); or a non-statutory chief officer within the meaning of section 2(7) of the 1989 Act; and also the Chief Executive (designated under s.54 of the Local Government and Elections (Wales) Act 2021).
“disciplinary action”	means any action occasioned by alleged misconduct which, if proved, would be recorded on the member of staff’s personal file, and includes any proposal for dismissal of a member of staff for any reason other than redundancy, permanent ill-health or infirmity of mind or body, but does not include failure to renew a contract of employment for a fixed term unless an undertaking has already been given to renew such a contract;

1. RECRUITMENT AND APPOINTMENT

1.1 Declarations

1.1.1 The Council will draw up a statement requiring any candidate for appointment as an officer to state in writing whether they are the parent, grandparent, partner, child, stepchild, adopted child, grandchild, brother, sister, uncle, aunt, nephew or niece of an existing Councillor or officer of the Council; or of the partner of such persons.

1.1.2 No candidate so related to a Councillor or an officer will be appointed without the authority of the relevant chief officer or an officer nominated by him/her.

1.2 Seeking support for appointment

1.2.1 Subject to paragraph 1.2.3, the Council will disqualify any applicant who directly or indirectly seeks the support of any Councillor for any appointment with the Council. The content of this paragraph will be included in any recruitment information.

1.2.2 Subject to paragraph 1.2.3 no Councillor will seek support for any person for any appointment with the Council.

1.2.3 Nothing in paragraphs 1.2.1 and 1.2.2 above will preclude a Councillor or the mayor from giving a written reference for a candidate for submission with an application for appointment.

1.3 Restriction on the Appointment of Members as Officers

1.3.1 An Officer of the Council is disqualified from being a Member of the Council while they remain an Officer.

2. RECRUITMENT OF CHIEF EXECUTIVE, CHIEF OFFICERS AND DEPUTY CHIEF OFFICERS

Where the Council proposes to appoint a Chief Officer (as defined above) and it is proposed that the remuneration of the Chief Officer post be £100,000 or more per annum, the Council will:

2.1 draw up a statement specifying:

2.1.1 the duties of the officer concerned; and

2.1.2 any qualifications or qualities to be sought in the person to be appointed;

2.2 subject to paragraph 2.4 below make arrangements for the post to be publicly advertised in such a way as is likely to bring it to the attention of persons who are qualified to apply for it; and

2.3 make arrangements for a copy of the statement mentioned above to be sent to any person on request.

2.4 Sub-paragraph 2.2 above will not apply in the event that the Council proposes to appoint a Chief Officer for a period of no longer than 12 months.

2.5 Where a post has been advertised the Council must –

2.5.1 interview all qualified applicants for the post, or

2.5.2 select a short-list of qualified applicants and interview those included on the short list.

2.6 Where no qualified person has applied, or if the Council decides to re-advertise the appointment, the Council may make further arrangements in accordance with paragraph 2.2 above.

2.7 Full Council must approve the appointment of the Chief Executive.

2.8 Full Council must approve the level, and any change in the level of remuneration to be paid to a Chief Officer.

3. DISCIPLINARY PROCEDURE

1. The Regulations set out mandatory requirements in respect of disciplinary, capability or other similar issues arising in relation to the Chief Executive, the Monitoring Officer, the Section 151 Officer and the Head of Democratic Services (“a relevant officer”). This procedure is intended to give effect to the Regulations.
2. For the avoidance of doubt, this procedure also applies to any alleged breakdown of trust and confidence between the relevant officer and the Council.
3. Any officer who was a relevant officer at the time of the alleged misconduct or when the reason for the proposed dismissal occurred (but is no longer so), shall be regarded as a relevant officer.

General

4. The principles of natural justice will govern the conduct of any proceedings against a relevant officer. Due regard will be had to the principles of the ACAS Code of Practice on Disciplinary and Grievance Procedures.
5. The parties recognise that from time to time it may be necessary to depart from the provisions of this procedure, according to the particular circumstances of the case.
6. This procedure does not form part of a relevant officer’s contract of employment and may be amended at any time, subject to compliance with the Regulations.
7. The relevant officer will be entitled to be accompanied at all stages of this procedure.

Procedure

Initial allegations

8. Any allegations of misconduct should be notified to the Corporate Lead Officer People & Organisation who will be the responsible officer for this purpose.
9. The responsible officer will then make arrangements for an investigating & disciplinary committee to be appointed to consider the alleged misconduct.

Investigating and disciplinary Committee

Ceredigion County Council Constitution - Part 4 Rules of Procedure

PART 4 DOCUMENT H Officer Employment Rules

Approved by Council 21 March 2019. Updated May 2022

10. The investigating & disciplinary committee must:-
 - 10.1 consist of a minimum of 3 members;
 - 10.2 include at least one member of the Council's Cabinet; and
 - 10.3 be politically balanced in accordance with s.15 of the 1989 Act.
11. The responsible officer will prepare a report with regard to the allegations and send a copy to the relevant officer and the investigating & disciplinary committee. A date will be set for the committee to meet.
12. The investigating & disciplinary committee must, within 1 month of its appointment, meet to consider the allegation of misconduct and decide whether it should be further investigated.

For the purpose of considering the allegation of misconduct, the investigating & disciplinary committee:

 - 12.1 may make such enquiries of the relevant officer or any other person it considers appropriate;
 - 12.2 may request the relevant officer or any other person it considers appropriate to provide it with such information, explanation or documents as it considers necessary within a specified time limit; and
 - 12.3 may receive written or oral representations from the relevant officer or any other person it considers appropriate.
13. Where it appears to the investigating & disciplinary committee that an allegation of misconduct by the relevant officer should be further investigated, it must appoint a person ("the designated independent person").

Suspension

14. The investigating and disciplinary committee will need to consider whether suspension is appropriate. This may be necessary if an allegation is such that if proven it would amount to gross misconduct. It may also be necessary if the continuing presence of the relevant officer might compromise the investigation or impair the efficient exercise of the Council's functions.
15. In any case the relevant officer shall be informed of the reason for the proposed suspension and have the right to present information before any such decision is taken.

16. Any suspension must not last longer than 2 months unless the designated independent person has used his/her power to direct an extension to that period.

Designated Independent Person

17. The designated independent person

17.1 must be such person as may be agreed between the Council and the relevant officer within 1 month of the date on which the requirement to appoint the designated independent person arose; or

17.2 where there is no such agreement, must be such a person as is nominated for the purpose by the Welsh Ministers.

18. The designated independent person –

18.1 may direct –

- that the Council terminate any suspension of the relevant officer;
- that any such suspension is to continue after the expiry of the 2 month period referred to in paragraph 16 above or that the terms on which any such suspension has taken place are to be varied in accordance with the direction; or
- that no steps (whether by the Council or any committee, sub-committee or officer acting on behalf of the Council) by way of disciplinary action or further disciplinary action against the relevant officer, other than steps taken in the presence, or with the agreement, of the designated independent person, are to be taken before a report is made under sub-paragraph 18.4;

18.2 may inspect any documents relating to the conduct of the relevant officer which are in the possession of the Council, or which the Council has power to authorise the designated independent person to inspect;

18.3 may require any member or member of staff of the Council to answer questions concerning the conduct of the relevant officer;

18.4 must make a report to the Council –

- stating an opinion as to whether (and, if so, the extent to which) the evidence obtained supports any allegation of misconduct against the relevant officer; and

- recommending any disciplinary action which appears appropriate for the Council to take against the relevant officer, and

18.5 must no later than the time at which the report is made under subparagraph 18.4 send a copy of the report to the relevant officer.

19. Subject to paragraph 20, the relevant officer and investigating & disciplinary committee, after consulting the designated independent person, attempt to agree a timetable within which the designated independent person is to undertake the investigation.
20. Where there is no agreement under paragraph 19, the designated independent person must set a timetable as that person considers appropriate within which the investigation is to be undertaken.
21. The Council must pay reasonable remuneration to a designated independent person appointed by the investigation committee and any costs incurred by, or in connection with the discharge of functions under this regulation.
22. The designated independent person's report will be sent to the Council (via the Chair of the investigating & disciplinary committee) and to the relevant officer simultaneously.

Meeting of the Investigating & Disciplinary Committee

23. The investigating & disciplinary committee must meet to consider the report prepared under paragraph 18.4 within 1 month of receipt of that report, and is required to take a decision on the basis of the designated independent person's report. The Investigating Committee can impose a lesser sanction than that recommended by the designated independent person but cannot impose a greater sanction.
24. The relevant officer or his/her representative will be permitted to address the investigating & disciplinary committee meeting prior to it carrying out its deliberations.
25. The investigating & disciplinary committee may, having considered any other associated factors:-
 - take no further action;
 - recommend informal resolution or other appropriate procedures;
 - refer back to the designated independent person for further investigation and report;

- take disciplinary action against the relevant officer short of dismissal
 - propose dismissal of the relevant officer to the Council.
26. The decision of the investigating & disciplinary committee will be communicated to the parties in writing setting out the reasons for the decision.

Appeal Process

27. In the event that the investigating and disciplinary committee proposes dismissal, any such dismissal must be referred to full Council for approval before any such notice is issued. In view of this requirement the meeting of the full Council will fulfil the function of an appeal meeting.
28. The Council will consider the proposal from the investigating & disciplinary committee that the relevant officer should be dismissed. The relevant officer (or his/her representative) will have the opportunity to put his/her case to the council before a decision is taken. The decision taken by full Council will be final.
29. In the event that the investigating and disciplinary committee takes action short of dismissal, the relevant officer may appeal to the Appeals Committee. The Appeals Committee will consider the report of the designated independent person and any other relevant information considered by the investigating & disciplinary committee and the relevant officer will have the opportunity to state their case.
30. The Appeals Committee will give careful consideration to these matters and reach a decision. The decision of the Appeals Committee will be final.

PART 7
CONSULTATIVE AND ADVISORY
FORA

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Section 1 Consultative and advisory fora [statutory and non-statutory]

A - Statutory

Standing Advisory Council on Religious Education S.A.C.R.E.

Background: Established by Council's Education Committee on 2 February 1996 in accordance with the Education Reform Act 1988 and the Education Act 1993 [paras. 88:1 and 2 of Welsh Office Circular 10/94 and Chapter 3 of the Education Act 1996 also refer].

Its main function is to advise the LEA on matters related to Collective Worship in community and other schools and to advise on the religious education given in accordance with their Agreed Syllabus. It can also support effective provision of RE and Collective Worship by way Of:

- Giving advice on methods of teaching agreed syllabus RE including choice of teaching materials
- Advising the LEA on the provision of training for teachers
- Monitoring inspection reports on RE, Collective Worship and Spiritual, Moral, Social and Cultural Development
- Considering complaints about the provision and delivery of Religious Education and Collective Worship referred to it by the LEA.

Council Representation: 5 Councillors (politically balanced and non executive)

Schools Admissions Forum

Background: The Schools Admissions Forum was established by Cabinet on 21 October 2003 [Minute C278 refers]. The Education (Admission Forum)(Wales) Regulations 2003 implement the relevant Section of the Schools Standards and Framework Act 1998 and require the Council, as LEA, to establish an admissions forum. The principal function of the Forum is to advise on issues relating to pupil admission and the effectiveness of policies and processes.

Cabinet/Council Representation: Leader of the Council, Cabinet Member for Learning Services, Children and Young People's Partnership, Chairman of the Learning Communities Overview and Scrutiny Committee,

Schools Budget Forum

Background: The Schools Budget Forum was established by Cabinet on 21 October 2003 [Minute C278 refers]. Section 43 of the Education Act 2002 requires the Council, as LEA, to establish a schools forum, with the LEA required to consult the Forum, at least annually, on prospective revisions to its scheme for financing schools and in respect of any other issues that affect maintained schools directly or indirectly through their impact on schools budgets.

Cabinet/Council Representation: Leader of the Council, Cabinet Member for Learning Services, Children and Young People's Partnership, Chairman of the Learning Communities Overview and Scrutiny Committee.

Local Access Forum

Background: The Ceredigion Local Access Forum was established by Cabinet on 26 February 2002 [Minute C750 refers] in accordance with the Countryside and Rights of Way Act 2000 [CROW Act] to provide advice to the Council, the Countryside Council for Wales and others as appropriate as to the improvement of public access to land in the area for the purposes of open-air recreation and the enjoyment of the area in ways which take account of land management, social, economic, environmental and educational interests.

Cabinet/Council Representation: Cabinet Member for Economy and Regeneration.

B – Non-statutory

School Review Panel

Background: Established by the Cabinet in accordance with the Primary School Review Policy, up-dated in January 2010, to undertake reviews for recommendation to the Cabinet.

Cabinet/Council Representation: Cabinet Member for Learning Services, Children and Young People's Partnership, Chairman of the Learning Communities Overview and Scrutiny Committee and two elected Members appointed by the Cabinet.

Education Transport Appeals Panel

Background: established to enable parents to appeal against a decision to refuse to provide transport for their children from home to school.
Council representation: 4 Councillors politically balanced and non executive

Corporate Employee Forum

Background: established by the Cabinet on 7 March 2006 as the corporate forum for consultation and negotiation with the recognised trade unions.

Cabinet Representation: Leader and Deputy Leader of the Council.

Aberaeron, Aberystwyth and New Quay Harbour Users Committees

Background: The Harbour Users Consultative Committees were established by the Council in 1996 as a forum for consulting with the users of the three harbours and now report to Cabinet following the adoption of the Leader and Cabinet executive arrangements in May 2003.

Cabinet/Council Representation: Cabinet Member for Highways and Environmental Services, and relevant Local Members.

Ceredigion Traffic Management Consultative Forum

Background: The Traffic Management Consultative Forum is a forum for consulting local stakeholders on traffic management issues and reports to Cabinet. The Forum will be convened on a biannual basis to discuss County wide matters.

Cabinet / Council Representation: Cabinet Member for Highways and Environmental Services, Chairman of the Thriving Communities Overview and Scrutiny Committee and relevant Local Members.

Ceredigion 50+ Forum

Background: The 50+ forum was established by the Cabinet and the PSB in order to represent the voice of the older people (50+) within the County and to enable them to have a voice in developing strategies and services.

Cabinet/Council Representation: Cabinet Member Porth Gofal Targeted Intervention Service

Development Management Committee - Site Inspection Panel

Background: The Site Inspection Panel was established by the Development Management Committee to undertake visits to sites which are the subject of planning applications, prior to the Committee making a decision, in order to identify features of a proposal which may be difficult to convey in a written report.

Functions:

- Fact finding exercises;
- Not part of the formal consideration of the application (therefore public rights of attendance do not apply);
- To enable officers to point out relevant features;
- To enable questions to be asked on site for clarification. However, discussion on the application will only take place at the subsequent Committee or Council as all relevant parties may not attend on site.
- The Committee is not bound by any recommendations made.

Council representation: Five members to comprise the Chairman and Vice-Chairman of the Committee, the Immediate Past Chairman of the Committee and two other members on a monthly rota basis.

Non Domestic Rates Hardship and Council Tax Discretionary Relief Appeals Panel

Background: The Non Domestic Rates Hardship and Council Tax Discretionary Relief Appeals Panel has been established to determine appeal applications by citizens against a decision to refuse Non-domestic Hardship relief or Council Tax Discretionary Relief.

Council Representation: 7 Members on a rota basis (3 per Panel meeting)

Section 2 Internal Policy Development / Monitoring Groups

Development Group

Background: Considers where future investment should be focussed in order to deliver the Council's objectives and priorities.

Cabinet/Council Representation: Leader; Deputy Leader; Cabinet Member Economy & Regeneration; Cabinet Member Finance & Procurement

Capital Monitoring Group

Background: The Capital Monitoring Group is a working group charged with monitoring the progress of the capital programme and making recommendations on any in-year revisions to Cabinet.

Council Representation: Cabinet Member Finance & Procurement.

Corporate Public Transport Unit (CPTU) Members Reference Group

Background: The Corporate Transport Unit Members reference group was established to meet the statutory requirements in relation to the provision of education and social services transport and in the preparation of policies in relation to integrated transport and traffic reduction; and to advise the Council with respect to any discretionary functions including

- To specify transport services
- To procure and monitor transport services
- The group is defined as a reference group:

Cabinet Representation: Cabinet Member for Learning Services, Children and Young People's Partnership Cabinet Member for Highways and Environmental Services, , Cabinet Member for Porth Gofal Targeted Intervention Service.

Housing Renovation Grants Panel

Background: The Housing Renovation Grants Panel was established to review the current renovation grants policy and to make recommendations to Cabinet and Council in respect of amendments/improvements to the policy.

Cabinet Representation: Deputy Leader of the Council and the Cabinet Member for Porth Gofal Targeted Intervention Service and Cabinet Member Highways and Environmental Services with Housing

Corporate Parenting Group

Background: established in order to plan and commission services for Looked After Children.

Cabinet Representation: Cabinet Member Schools & Culture Services & Porth Cymorth Cynnar.

Local Operational Group (LOG) Safeguarding

Background: Local Operational Group established as part of the Mid & West Wales Regional Safeguarding Board with a remit regarding performance and practice in relation to safeguarding (through age) in Ceredigion.

Cabinet Representation:

Ceredigion Strategic Safeguarding Board (Children & Adults)

Background: Corporate Strategic responsibility for safeguarding for children and adults.

Cabinet Representation: Cabinet Member Porth Cynnal Specialist Through Age Services & Culture; Cabinet Member Schools and Culture Services & Porth Cymorth Cynnar; Cabinet Member for Porth Gofal Targeted Intervention

Corporate Equalities Working Group

Background: Established by the Cabinet in order to monitor, coordinate, review and develop the corporate equalities policies. Revised in 2012 in order to progress the Strategic Equality Plan.

Cabinet Representation: Leader of the Council (Chair)

Welsh Language Consultative Committee

Background: Established in order to oversee the implementation of the Welsh Language Standards

Cabinet Representation: Leader of the Council and other Members as appointed.

Emergency & Business Continuity Management Group

Background: Established to oversee and develop the Council's Business Continuity Plan.

Cabinet Representation: Leader of the Council; Cabinet Member Finance & Procurement

Cross Party Transformation and Efficiency Group

Background: Established to consider all aspects of the Councils' Transformation programme and activity centred around the long-term vision and supporting objectives of the Council.

Cabinet/Council Representation: 10 Members, politically balanced including Group Leaders and/or their representatives. Overview and Scrutiny Committee Chairs are invited to attend as non-voting observers.

Cross Party Constitution Working Group

Background: Established to consider proposed amendments to the Constitution and make appropriate recommendations to Council. Also receives confirmation of any minor amendments to the Constitution, as made by the Monitoring Officer

Council Representation: 7 Members, politically balanced, including the relevant portfolio Member as Chair.

Section 3 Partnerships within Ceredigion

Ceredigion Youth Justice and Prevention Service [YJS] Management Board (Statutory)

Background: established in accordance with the Crime and Disorder Act 1998 to implement arrangements to reduce offending by young people.

Cabinet/Council Representation: None

Ceredigion Public Services Board (PSB) (formerly Local Service Board (LSB))

Background: The Well-being of Future Generations (Wales) Act 2015 gives a legally-binding common purpose of seven Well-being goals and five ways of working designed to support and deliver a public service that meets the needs of the present without compromising the ability of future generations to meet their own needs. The Act also puts a Well-being duty on specified public bodies (that includes Ceredigion County Council) to act jointly and establish statutory Public Services Boards (PSB) for each local authority area in Wales. Each PSB must improve the economic, social, environmental and cultural Well-being of its area by contributing to the achievement of the Well-being goals.

Cabinet Representation: Leader of the Council, Chief Executive.

Community Safety Partnership ('CSP')

Background: Formed in 1999 following the Crime and Disorder Act 1998, membership of the Community Safety Partnership was further extended by the Police Reform Act, 2002, and the Policing & Crime Act, 2009, to include Local Health Boards, Police Authorities and Fire and Rescue Services Authorities, and Probation Service.

The Partnership has an ongoing duty to conduct a crime and disorder assessment. It also develops, implements, monitors and reviews a multi-agency plan to reduce crime and disorder.

The Partnership considers reports from various strategic boards, which also work towards reducing crime and disorder in specific areas.

Cabinet Representation: Cabinet Member with responsibility for Porth Gofal Targeted Intervention, Early Intervention, Wellbeing Hubs and Culture Services Portfolio.

Ceredigion CONTEST Board

Background: A multi-agency CONTEST Board, which considers local requirements and implications relating to the 4 Ps, but specifically focusses on local response to the Prevent requirement. The CONTEST Board reports to the Regional CONTEST Board and the Ceredigion Community Safety Partnership.

Cabinet representation: None

Ceredigion Channel Panel (Statutory)

Background: A local operational multi-agency partnership implementing Channel activities and duties. Ceredigion County Council co-ordinates and chairs the Channel Panel, receives referrals on individuals vulnerable to being drawn into terrorism, and draws up a multi-agency intervention support plan, if necessary. The Channel Panel reports to the Ceredigion CONTEST Board (see above), Regional Safeguarding Board and the local Operations Group (CYSUR).

Cabinet representation: None

Mid & West Wales Regional Safeguarding Board

Background: The regional arrangements were established to meet the requirements of the Social Services and Well-being (Wales) Act 2014 and aim to develop safeguarding practice across the region

Cabinet Representation: None

Ceredigion Youth Council

Background: Ceredigion Youth Service established the Ceredigion Youth Council in 2015 in order to ensure that young people in Ceredigion have the opportunity to voice their opinions in a public forum on various matters that have an effect on them in Ceredigion and its members include representatives from the seven Secondary Schools in the County, Ceredigion Training, Coleg Ceredigion and other various organisations/establishments (e.g Urdd Gobaith Cymru, Scouts Club and Young Farmers Clubs etc.). Minutes are presented to Cabinet.

Cabinet representation: None

Section 4 Regional Partnerships/Fora/Consortia/Joint Committees

Trafnidiaeth Canolbarth Cymru (TraCC)

Background: This Joint Committee with Powys County Council was established in order to develop, monitor and review a Regional Transport Plan following a period as a regional consortium.

Cabinet/Council Representation: Cabinet Member for Highways and Environmental Services, and Cabinet Member for Economy and Regeneration.

Central and South West Wales Regional Partnership Board

Background: Set up by Welsh Government Association for strategic collaboration working between Ceredigion, Powys and Gwynedd County Councils.

Cabinet/Council Representation: Leader and Chief Executive.

Central Wales Infrastructure Collaboration

Background: This is a Joint Committee with Powys County Council which meets as required.

Cabinet Representation: and Cabinet Member Highways and Environmental Services with Housing

Mid Wales Education Partnership

Background: This is a joint partnership with Powys County Council with collaboration on a number of agreed local and national priorities and representation on a full range of cross-regional working parties to ensure equity of provision and the best outcomes for schools in Powys and Ceredigion.

Cabinet/Council Representation: None

Mid Wales Corporate Joint Committee

Background: The Mid Wales Corporate Joint Committee is a body corporate established by the Mid Wales Corporate Joint Committee Regulations 2021 for the purpose of exercising specified functions for Ceredigion and Powys Councils, and the Brecon Beacons National Park Authority (economic well-being function for Brecon Beacons National Park Authority), which are economic well-being, improving education, transport and strategic planning. Its members include Ceredigion County Council, Powys County Council and the Brecon Beacons National Park Authority.

Council Representation: Leader

Supporting People - Mid and West Wales Regional Collaborative Committee

Background: This is a Multi-Sectoral Regional Collaborative Committees (RCCs) established in August 2012 to ensure the efficient and effective collaborative delivery of housing related support on a regional and local level; in accordance with National Supporting People Guidance.

Cabinet/Council Representation: Cabinet Member for Porth Gofal Targeted Intervention Service and Cabinet Member Highways and Environmental Services with Housing Cabinet Member for Finance and Procurement and Public Protection Services

Area Planning Board for Substance Misuse

Background: Dyfed Area Planning Board (APB) is a multi –Agency Partnership responsible for supporting the planning, commissioning and performance management of Substance Misuse services.

The statutory responsible authorities are Dyfed-Powys Police, Ceredigion, Carmarthenshire and Pembrokeshire Local Authorities, Hywel Dda Local Health Board, HM Prisons & Probation Service, and Mid and West Wales Fire & Rescue Service. Public Health Wales, the Youth Justice & Prevention Service, and the Dyfed-Powys Police and Crime Commissioners Office are non- statutory responsible authorities.

The APB structure comprises an Executive, underpinned by a Strategy Delivery Group, and a Performance and Finance Group.

Council Representation: Corporate Lead Officer Policy, Performance and Public Protection

Growing Mid Wales Partnership (GMW)

Background: The GMW Partnership is the regional economic partnership covering the geographical footprint of Ceredigion and Powys. The purpose is to seek development of the Mid Wales economy.

Cabinet/Council Representation: Leader of the Council; Cabinet member for Economy & Regeneration; Cabinet Member for Finance & Procurement

West Wales Care Partnership (WWCP)

Background: This Partnership was established as a result of the Social Services (Wales) Act 2014 (SSWBA) in relation to establishment and maintenance of pooled fund budget arrangements, and defined in the Partnership Arrangements (Wales) Regulations 2015. The Local Authorities involved in the partnership include Ceredigion, Pembrokeshire and Carmarthenshire. The partnership operates in accordance with inter-authority agreements, in collaboration with Hywel Dda Health Board. The WWCP's work is directed by the West Wales Regional Partnership Board (see below).

Council Representation: Statutory Director for Social Services.

The West Wales Regional Partnership Board ('WWRPB')

Background: The WWRPB brings together senior leaders from the NHS, the Council, education and children's services, housing, the Welsh Ambulance Services NHS Trust and third sector, independent providers and users and carers. It directs the work of the West Wales Care Partnership (see above) and in so doing, fulfils statutory duties introduced by the Social Services and Wellbeing (Wales) Act 2014. The WWRPB works closely with the three Public Services Boards in the region, focusing on areas of shared interest.

Council Representation: Statutory Director of Social Services/Deputy Director of Social Services

B Member Champions

Member Champions are appointed to the following areas

Subject Area
Older People 50+
Equalities
Sustainability
Safeguarding
Biodiversity
Carers
Combating Poverty
Children and Young People
Armed Forces
Diversity
Learning Disabilities
Public Health
Mental Health
Members Development
Health & Safety
Anti-Slavery and Ethical Employment
Domestic Violence
Digital

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