

# Public Document Pack



Cyngor Sir  
**CEREDIGION**  
County Council

Neuadd Cyngor Ceredigion, Penmorfa,  
Aberaeron, Ceredigion SA46 0PA  
[www.ceredigion.gov.uk](http://www.ceredigion.gov.uk)

**PLEASE NOTE:** This meeting may be filmed for live or subsequent broadcast via the Council's internet site. The images and sound recording may also be used for training purposes within the Council.

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

Generally the public seating areas are not filmed. However by entering the meeting room and using the public seating area, members of the public are consenting to being filmed and to the possible use of those images and sound recordings as outlined above. If you should have any queries regarding this, please contact the Corporate Lead Officer: Democratic Services.

8 December 2023

Dear Sir / Madam

I write to inform you that a MEETING of COUNCIL will be held at NEUADD CYNGOR CEREDIGION, PENMORFA, ABERAERON AND REMOTELY VIA VIDEO CONFERENCE on Thursday, 14 December 2023 at 10.00 am for the transaction of the following business:

1. **Apologies**
2. **Disclosure of personal / prejudicial interests**
3. **Personal matters**
4. **Declaration of Acceptance of Office and an Undertaking to comply with the Code of Conduct by Councillor Shelley Childs**
5. **To confirm the Minutes of the Meetings of the Council held on 26 October 2023 (Pages 5 - 12)**
6. **To consider the report of the Corporate Lead Officer: Policy, Performance and Public Protection upon a proposal to ban the giving of live animals as prizes on Ceredigion County Council property (Pages 13 - 38)**
7. **To consider the report of the Corporate Lead Officer: Policy, Performance and Public Protection upon the Ceredigion County Council Self-Assessment Report 2022/23 (Pages 39 - 110)**

8. **To consider the report of the Corporate Lead Officer: Finance and Procurement upon the Council Tax Premiums applicable to Long Term Empty Properties and Second Homes in Ceredigion (Pages 111 - 180)**

9. **EXEMPT ITEM (Pages 181 - 468)**

The report (Appendix B1 and B2) relating to the item above is not for publication as it contains exempt information as defined in paragraph 12 and 13 of Part 4 of Schedule 12A to the Local Government Act 1972 as amended by the Local Government (Access to information) (Variation) (Wales) Order 2007. If, following the application of the Public Interest Test, the Council resolves to consider this item in private, the public and press will be excluded from the meeting during such consideration, in accordance with Section 100B(2) of the Act.

Members will be requested, when dealing with the items, to consider whether to exclude the public and press from the Meeting.

10. **To consider the report of the Corporate Lead Officer: People and Organisation upon the Teacher Pay Policies 2023/24 (Pages 469 - 550)**
11. **To consider the report of the Corporate Lead Officer: Democratic Services upon the Ceredigion County Council Petition Scheme to include e-petitions (Pages 551 - 560)**
12. **To consider the report of the Corporate Lead Officer: Legal and Governance upon Amendments to the Constitution (Pages 561 - 838)**
13. **To consider the report of the Corporate Lead Officer: Democratic Services upon the Chair's Announcements (Pages 839 - 842)**
14. **To consider the report of the Corporate Lead Officer: Democratic Services upon the Single Transferable Vote (Pages 843 - 848)**
15. **To consider the report of the Corporate Lead Officer: Legal and Governance upon the Recruitment of Independent Member to the Ethics and Standards Committee (Pages 849 - 852)**
16. **To confirm the following appointments**

**Corporate Joint Committee: Sub-Committee Ethics and Standards**

- Additional Lay Member: Gail Storr

**Ethics and Standards Committee:**

- Vice Chair from 22 February 2024: Gail Storr

17. **To consider the report of the Corporate Lead Officer: Schools Services upon the appointment of a Local Authority representative on School Governing Bodies (Pages 853 - 854)**
18. **To consider the Statutory Director of Social Services Annual Report 2022-2023 (Pages 855 - 924)**
19. **To consider the report of the Corporate Lead Officer: Policy, Performance and Public Protection upon the Annual Report of Compliments, Complaints, and Freedom of Information 2022-2023 (Pages 925 - 968)**
20. **To consider the report of the Chief Executive upon the notification of appointment of Interim Corporate Lead Officer - Porth Cynnal and Statutory Director of Social Services for up to a 6 month period (Pages 969 - 984)**
21. **EXEMPT ITEM (Pages 985 - 986)**

This report is not for publication as it contains exempt information as defined in paragraph 12 and 14 of Part 4 of Schedule 12A to the Local Government Act 1972 as amended by the Local Government (Access to information) (Variation) (Wales) Order 2007. If, following the application of the Public Interest Test, the Council resolves to consider this item in private, the public and press will be excluded from the meeting during such consideration, in accordance with Section 100B(2) of the Act.

22. **Membership of the Council to the Committees of the Council (Pages 987 - 994)**

Members are reminded to sign the Attendance Register.

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**

This page is intentionally left blank



**Minutes of the Meeting of COUNCIL**  
**held at Neuadd Cyngor Ceredigion, Penmorfa, Aberaeron and remotely via**  
**video conference on Thursday, 26<sup>th</sup> October, 2023**

**PRESENT:** Councillor Maldwyn Lewis (Chair), Councillors Bryan Davies, Catrin M S Davies, Clive Davies, Euros Davies, Gareth Davies, Gethin Davies, Ifan Davies, Marc Davies, Meirion Davies, Rhodri Davies, Amanda Edwards, Endaf Edwards, Elaine Evans, Elizabeth Evans, Eryl Evans, Gwyn Wigley Evans, Raymond Evans, Rhodri Evans, Wyn Evans, Keith Henson, Paul Hinge, Hugh R M Hughes, Chris James, Gwyn James, Ceris Jones, Gareth Lloyd, Sian Maehrlein, Ann Bowen Morgan, Caryl Roberts, Mark Strong, Wyn Thomas, Matthew Vaux, Alun Williams and Carl Worrall.

(10.00am - 1.50pm)

## **Procedure**

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

### **1 Apologies**

- a) Councillor Keith Evans apologised for his inability to attend the meeting as he was on other duties on behalf of the Council.
- b) Councillor John Roberts apologised for his inability to attend the meeting.
- c) James Starbuck, Corporate Director apologised for his inability to attend the meeting.

### **2 Disclosure of personal / prejudicial interests**

- a) Councillors Bryan Davies and Rhodri Evans declared a personal and prejudicial interest in relation to item 10.
- b) Councillor Gareth Davies declared a personal and prejudicial interest in relation to item 10 noting that he would not vote on this matter.

### **3 Personal matters**

- a) Councillor Bryan Davies wished Alan Davies well on his retirement and thanked him for his long service to the Council
- b) Councillor Hugh Hughes congratulated Mr Pete Davies and Mr Phil Jones for their recent 35 year recognition of service as volunteers at the Borth Fire Unit;
- c) Councillor Paul Hinge on behalf of Councillor John Roberts, congratulated Gruffydd Rhys Evans from Capel Bangor on being accepted to the Royal Academy of Dramatic Arts (RADA), and for winning the Sir Ian McKellen Award for 2023;
- d) Councillor Wyn Evans congratulated Eryn Jones and Ryan Jones from Bronant on being selected for the North Wales Football Select Team;
- e) Councillor Ifan Davies congratulated Cylch Meithrin Pontrhydfendigaid on being awarded best Cylch Meithrin in Wales;
- f) Councillor Ifan Davies congratulated Wil Evans on winning British Auto Grass Juniors;
- g) Councillor Ifan Davies congratulated Ifan Jones on winning the Enduro Wales under 19 category;

- h) Councillor Gwyn Wigley Evans, congratulated Mrs Peg Jones, Llanrhystud on celebrating her 102<sup>nd</sup> birthday;
- i) Councillor Meirion Davies congratulated Tom a Beth Evans from Llanfihangel y Creuddyn on another successful year growing pumpkins, noting their recent appearance on a television programme talking about their experience.

**4 Minutes of the Meetings of the Council held on 21 September 2023**

It was **RESOLVED** to confirm as a true record the Minutes of the Council meeting held on 21 September 2023.

Matters arising

There were no matters arising

**5 Presentation by the Mid and West Wales Fire and Rescue Service**

Roger Thomas, Chief Fire Officer and Sarah Mansbridge the Section 151 Officer for the Mid and West Wales Fire and Rescue Service gave a presentation to the Council, providing an overview of the service.

Councillor Maldwyn Lewis, Chairman of the Council thanked the Officers for their informative and educational presentation. Councillor Bryan Davies, Leader of the Council noted that the Council recognise and face the same challenges and that difficult decisions will need to be made balancing service cuts and increasing Council Tax, which would affect the most vulnerable people in our community. He hoped that unlike previous years, the Mid and West Wales Fire and Rescue Service's request be considered and reasonable. He also asked for clarification as to whether the money raised via the Council Tax levy remains in Ceredigion or if it is spent in other areas.

Sarah Mansbridge noted that the levy is population based; however Ceredigion benefits from having access to all the resources available from across the whole Fire and Rescue Service area. This was re-iterated by Roger Thomas who noted that the Service looks at the whole area as a collective and move resources from one area to another as required. The significant increase to the levy last year was to improve on-call services and provide appropriate remuneration for their on-call staff to attend mandatory training courses.

Members also asked questions regarding the forecasted inflation and salary increases, visiting business or non-domestic premises, and the ambitions of the service to achieve carbon neutral status. Members also referenced that the Fire Authority is a levy on the Council unlike the Police Authority which is a precept on resident's Council Tax bills. Roger Thomas confirmed that was in accordance with the current legislation, but that he understood that there was going to be an Audit Wales consultation on Fire Authority Governance coming up soon, which may be an opportunity for the matter to be raised and looked at again.

Sarah Mansbridge noted the risks associated with budget assumptions for pay awards and inflation and confirmed that the estimated costs would be provided by 31 December 2023.

**6 Declaration of Acceptance of Office and an Undertaking to comply with the Code of Conduct by Councillor Raymond Evans**

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 Councillor Raymond Evans in making his statutory Declaration of Acceptance of Office had received comprehensive training on the Council's Code of Conduct on Monday 24<sup>th</sup> July 2023.

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

Councillor Raymond Evans verbally accepted his Declaration of Acceptance of Office and the undertaking to comply with the Code of Conduct which had been previously been signed by him and countersigned by the Proper Officer.

**7 Report by the Corporate Lead Officer: Finance and Procurement upon the 2022-23 Statement of Accounts Update**

Councillor Gareth Davies, Cabinet Member for Finance and Procurement presented the report noting that the 2022-23 Statement of Accounts were due to be presented at the Governance and Audit Committee on the 30<sup>th</sup> November 2023 and then onwards to Council later that day. He noted that the Accounts were submitted to Audit Wales on Friday 18<sup>th</sup> August 2023 in preparation for completion of the Audit of Accounts by 30<sup>th</sup> November 2023, and he thanked Officers for completing this work in such a timely manner.

However, Audit Wales has notified Ceredigion County Council that they would be unable to meet this deadline due to resourcing issues. A verbal agreement was received from Audit Wales to provide information prior to a rescheduled meeting on 6 February 2024. Ceredigion County Council are currently awaiting written confirmation from Audit Wales.

**8 Report by the Corporate Lead Officer: Policy, Performance and Public Protection upon the Draft Performance Management Policy Statement and Performance Management Framework to include feedback from the Overview and Scrutiny Coordinating Committee**

The Chairman noted that this report was approved by Cabinet on 3<sup>rd</sup> October 2023, and that it was recommended that this item is therefore withdrawn from the Council's agenda.

**9 Report by the Corporate Lead Officer: Porth Cymorth Cynnar upon the Housing Strategy to include feedback from the Healthier Communities Overview and Scrutiny Committee**

Councillor Matthew Vaux, Cabinet Member for Partnerships, Housing, Legal and Governance and Public Protection presented the report to Council noting that under the Housing (Wales) Act 2014, local authorities have a strategic role to play in the way the local housing market functions.

He noted that the current 5 year Local Housing Strategy has been in place since 2018, and that following a review involving Senior Officers and partners, consultation, data collection and analysis, the revised housing Strategy was developed which sets out the vision for a further 5 years, with additions.

Councillor Caryl Roberts, Chair of the Healthier Communities Overview and Scrutiny Committee noted that the report was considered by the Committee during its meeting held in May 2023, and that it was recommended for approval by Council.

Council Elizabeth Evans thanked the Officers for their work, noting that the data included in the report relating to those waiting for housing makes for very difficult reading.

Following discussion, it was **RESOLVED** to approve the Housing Strategy for adoption.

**10 A report upon the Application to Register Land as a Village Green at Erw Goch field, Waunfawr, Aberystwyth**

Councillor Bryan Davies withdrew from the meeting for the duration of the discussion. The Chief Executive, Eifion Evans confirmed that Councillor Rhodri Evans had already left the meeting prior to the commencement of the discussions. Councillor Gareth Davies remained in the Council Chamber noting that he would not vote on this matter.

The Chairman of the Council provided an outline of the process to date, and invited Councillor Clive Davies, Cabinet Member for Economy and Regeneration to present the report to Council.

Councillor Clive Davies noted that the Council as Registration Authority instructed an Independent Assessor to consider whether the doctrine of statutory incompatibility prevents registration of the Land as a Town or Village Green. The Independent Advisor had provided an Inspector's note in December regarding the procedure, which is included in appendix 1.

Councillor Clive Davies read out the relevant parts of the Appendix 1.

Councillor Clive Davies noted also that the Independent Advisor provided an Inspector's Report on the preliminary issue of statutory incompatibility which is included in Appendix 2, quoting paragraphs 20, and paragraphs 24 - 27 of the report. He noted that the Application must now be considered by the Council (acting as the Registration Authority) for decision.

Councillor Keith Henson noted that 'the balance of probability' suggests that this may be a subjective opinion and that another Barrister may have come

to a different conclusion, noting that he would want to receive more information on this. The Chairman noted that the balance of probability is a civil test, and reminded Members that they are asked to consider the Barrister's recommendation regarding the statutory incompatibility defence.

The Monitoring Officer advised Members that the balance of probabilities is a civil test i.e. more likely than not. She also advised Members that the statutory incompatibility issue is a legal question. That means members cannot lawfully come to a different judgement on the facts as it's not a question of discretion for them to find that the statutory incompatibility defence fails and they would need to be able to explain why the inspector's legal analysis is wrong. If the recommendation is that it fails and you vote against the recommendation, this process has then come to an end, and it would be open for you as Registration Authority to seek advice regarding procedural processes for the future. The recommendation is that you refuse, but if you don't agree, it doesn't mean that it's not granted, as there would need to be a public enquiry.

Councillor Gareth Lloyd asked for clarification as to whether there is an appeal process if the application is rejected; whether the land where Hafan y Waun was built was also subject to the same educational clause and therefore creates a precedent; and what are the implications of repurposing of the land in the Local Development Plan.

Councillor Elizabeth Evans noted that Councillor John Roberts was unable to attend the meeting today, however he had submitted a written comment which Councillor Elizabeth Evans read on his behalf. The written statement noted that the land had been dedicated for education purposes; however a decision was made to build the new Ardwyn School elsewhere. In the meantime, the use of the land had changed incrementally and no longer bears resemblance to its original purpose.

Councillor Gareth Davies noted that there was no educational clause upon the land when it was initially purchased, and that during a meeting held 12 June 1985, Dyfed County Council resolved to lease the land at Erw Goch to Ceredigion District Council for use as community playing fields. He noted that residents had used part of the land for football and that the Waun Shield used to be held there many years ago. He stated that the educational purpose element had been given up years ago, however the Barrister's report does not give any consideration to this. He also noted the value placed by the Wales Planning Policy in relation to green spaces.

Councillor Matthew Vaux proposed a recorded vote. This was seconded by Councillor Paul Hinge and agreed unanimously.

A Recorded vote was taken, as agreed and in accordance with Rule 14.5 of the Council Procedure Rules contained in the Council's Constitution.

For: None (0)

*Against: Clive Davies, Euros Davies, Gethin Davies, Ifan Davies, Marc Davies, Meirion Davies, Rhodri Davies, Amanda Edwards, Endaf Edwards, Elizabeth Evans, Eryl Evans, Gwyn Wigley Evans, Raymond Evans, Wyn Evans, Keith Henson, Paul Hinge, Hugh Hughes, Gwyn James, Gareth Lloyd, Sian Maehrlein, Ann Bowen Morgan, Caryl Roberts, Mark Strong, Wyn Thomas, Matthew Vaux, Alun Williams, Carl Worrall and Maldwyn Lewis (28)*

*Abstain: None (0)*

Accordingly, the recommendation did not pass.

**11 Nomination of Local Authority Representatives on School Governing Bodies**

Councillor Wyn Thomas, Cabinet Member for Schools, Lifelong Learning and Skills presented the report to Council noting that Councillor Raymond Evans has been nominated as Local Authority Governor at the request of Llanfarian Community Primary School.

It was **RESOLVED** to confirm the nomination of Councillor Raymond Evans as Local Authority Governor of Llanfarian Community Primary School.

**12 Report by the Corporate Lead Officer: Democratic Services upon the Protocol for Attendance at Local Authority Multi-location Meetings and Electronic Broadcasts of Meetings**

Councillor Bryan Davies, Leader of the Council and Cabinet Member for Democratic Services, Policy, Performance and People and Organisation presented the report to Council noting that the draft protocol has been developed with the support of the Democratic Services Committee and included information such as attendance at meetings and behaviour online, and that it included a proposal to provide training to Members.

Councillor Elizabeth Evans noted that the protocol had been discussed comprehensively at committee and that all members were supportive of the proposals.

Following discussion it was **RESOLVED** to:

- a) approve the Protocol for Attendance at Local Authority Multi-location Meetings and Electronic Broadcasts of Meetings
- b) note that this protocol supersedes the previous protocol.

**13 Report from the Corporate Lead Officer: Democratic Services upon a Pilot for Remote Only Meetings**

Councillor Bryan Davies, Leader of the Council and Cabinet Member for Democratic Services, Policy, Performance and People and Organisation presented the report to Council noting that this matter had been considered by the Democratic Services Committee and asked Councillor Elizabeth Evans whether she wished to comment on the report.

Councillor Elizabeth Evans, Chair of the Democratic Services Committee noted that the Democratic Services Committee had considered the proposal

to conduct a pilot exercise whereby the Democratic Services Committee and the Governance and Audit Committee are held by remote means and recommended it for approval by Council. Councillor Gareth Lloyd, Vice-Chair of the Democratic Services Committee gave assurances that this was an exercise and not a final decision.

Following discussion, it was unanimously **RESOLVED** to approve the pilot to conduct the Democratic Services Committee and the Governance and Audit Committee by remote means only for a period of 18 months.

**14 Report by the Corporate Lead Officer: Democratic Services upon a protocol for a Councillor Call for Action**

Councillor Bryan Davies, Leader of the Council and Cabinet Member for Democratic Services, Policy, Performance and People and Organisation presented the report to Council noting that the protocol has been developed to reflect the recommendations of the Welsh Government Statutory and Non-Statutory Guidance for Principal Councils in Wales. He noted that the protocol has been considered by the Democratic Services Committee at its meeting dated 9 June 2023 and by the Constitution Working Group during its meeting dated 26 September 2023.

Councillor Elizabeth Evans, Chair of the Democratic Services Committee noted that this is an extremely important mechanism for Councillors to raise matters where they feel that there are no alternatives and all other mechanisms have been exhausted. She noted that the Democratic Services Committee recommended that Council approve the draft protocol for inclusion in the Council's Constitution.

Following discussion, it was unanimously **RESOLVED** to approve the Protocol for Councillor Call for Action.

**15 To appoint Members to the following roles:**

It was **RESOLVED** to appoint Members to the following roles:

**Audit Wales Planning follow up Task and Finish Group**

7 Members (politically balanced)

- Councillor Clive Davies
- Councillor Ceris Jones
- Councillor Chris James
- Councillor Gareth Lloyd
- Councillor Ifan Davies
- Councillor Elizabeth Evans
- Councillor Paul Hinge

**Joint Committee for the National Adoption Service and Foster**

**Wales** Council/Cabinet representative: Councillor Alun Williams, Cabinet Member for Through Age and Wellbeing

**Dinas Llên Steering Board**

Cabinet representative: Councillor Catrin M S Davies, Cabinet Member for Culture, Leisure and Customer Services

**Corporate Joint Committee: Standards**

2 Members of the Committee (one Councillor and one lay Member)

Councillor Gwyn Wigley Evans (Councillor)

Carol Edwards (lay Member)

**Confirmed at the Meeting of the Council held on 14 December 2023**

**CHAIRMAN:** \_\_\_\_\_



## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** December 2023

**Title:** A proposal to ban the giving of live animals as prizes on Ceredigion County Council property

**Purpose of the report:** To implement a ban on the giving of live animals as prizes on Ceredigion County Council property.

**For:** Decision

**Cabinet Portfolio and Cabinet Member:**  
Cllr. Matthew Vaux responsible for Public Protection

### **BACKGROUND:**

Within Ceredigion County Council, the protection and endorsement of high standards of animal welfare is upmost as part of supporting the farming industry, and to support those who enjoy keeping animals as pets. The Authority is aware of the Royal Society for Prevention of Cruelty to Animal (RSPCA) campaign on “giving pets as prizes” leading to a proposal to implement a ban on giving live animals on Ceredigion County Council property.

This report provides the context on the proposed ban of the giving live animals (e.g. Goldfish, etc) as prizes as set out in the RSPCA campaign. The campaign is also supported by Welsh Government

While a range of animals are given as prizes each year in Wales and the rest of the UK, goldfish is the animal most associated with pets as prizes. Goldfish are easily stressed and very often fish that are won as prizes suffer miserably from shock, oxygen starvation or die from changes in water temperature, and many will die before their new owners can get them home.

Acquiring an animal to be kept as a pet should be the result of careful planning and prior consideration. The prospective owner should have a clear understanding of the responsibilities involved and carefully consider whether they have, and will continue to have, the facilities, time, financial means and level of interest necessary to ensure a satisfactory standard of care for their animal prior to acquiring it.

Since the start of the RSPCA campaign, 13 Welsh authorities have supported the RSPCA campaign, namely:-

- Bridgend
- Caerphilly
- Cardiff
- Conwy
- Flintshire
- Neath Port Talbot
- Newport
- Pembrokeshire

- Rhondda Cynon Taf
- Torfaen County Borough
- Vale of Glamorgan
- Wrexham
- Merthyr Tyfil

The Animal Welfare Act 2006 (applicable in both England and Wales), does not forbid giving live animals as prizes unless they are given to unaccompanied children. The Act makes it an offence, in England and Wales, to give away live animals as prizes if the person can reasonably be believed to be under 16 years of age and is not accompanied by an adult.

However, there are some exceptions in section 11 (3)-(6) of the Act. It is a different matter in Scotland, where it is an offence, under the Animal Health and Welfare (Scotland) Act 2006, to offer or give an animal to another person as a prize (whatever their age), except where it is offered in a family context.

The RSPCA believes that this legislation does not go far enough and does not cover the animal welfare issues associated with this practice and therefore, they would like to see similar legislation to the Animal Health and Welfare (Scotland) Act 2006 introduced in England and Wales; to make it an offence to give an animal as a prize, regardless of age, except within the family context.

Ceredigion County Council has an opportunity to ban “pets as prizes” on Council property, thereby serving to raise public awareness of animal welfare surrounding the giving of live animals as prizes. In line with its powers, the Council can introduce a ban through changing its terms and conditions of the agreements to use Council property. This report is supported by the Corporate Lead Officer for Economy and Regeneration who oversees management of Council land and facilities.

**CURRENT SITUATION:**

To our knowledge no event held on Council land currently offers Pets as Prizes. There are autumn fairs held in Cardigan, Aberaeron and Aberystwyth, however it is understood that goldfish are not given as prizes by this operator.

**Wellbeing of Future Generations:**

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

**Summary of Integrated Impact Assessment:**

- Long term:** The Council is committed to championing high standards of animal welfare
- Integration:** Ensuring broader controls on animal welfare is in line with objectives contained within the Well-being of Future Generation (Wales) Act 2015

- Collaboration:** The Council works closely with other statutory agencies such as the Welsh Government, Animal and Plant Health Agency in ensuring animal welfare standards are maintained. The Council also works with the RSPCA to further our shared aims and objectives.
- Involvement:** The recommendation is consistent with the actions of other authorities who have implemented the same, and is in line with public expectations of protecting animal welfare.
- Prevention:** The activity of banning the giving of pets as prizes prevents the potential for adverse animal welfare.

**Recommendation(s):**

That Council implements an outright ban on the giving of live animals as prizes, in any form, on Council land.

**Reasons for decision:**

To maintain high levels of animal welfare throughout Ceredigion County Council through implementing a ban on the practice of giving live animals as prizes on Council land due to the potential distress caused to the animals.

**Overview and Scrutiny:**

Members of the Healthier Communities Overview and Scrutiny Committee considered the report on the 22<sup>nd</sup> November 2023 and are submitting supportive feedback to the Council.

**Policy Framework:**

Animal welfare

**Corporate Well-being Objectives:**

Creating caring and healthy communities

**Finance and Procurement implications:**

None

**Legal Implications:**

None

**Staffing implications:**

None

**Property / asset implications:**

Ceredigion Council asset managers will be briefed on the ban to ensure the decision is implemented.

**Risk(s):**

None

**Statutory Powers:**

None

**Background Papers:**

- Letter from Lesley Griffiths, AS/MS Minister from Rural Affairs and North Wales

**Appendices:**

None

**Corporate Lead Officer:**

Alun Williams, Policy Performance and Public Protection

**Reporting Officer:**

Heddwyn Evans, Environmental Health Manager

**Date:**

24<sup>th</sup> November 2023



Ein cyf/Our ref MA/LG/2024/23

Chief Executive Officer  
Welsh Local Authorities

September 2023

In light of recent renewed public interest, I wish to raise with you the issue of the giving of animals as prizes, particularly goldfish.

You will recall I previously wrote in December 2019, seeking feedback on this matter. I am pleased to note the positive progress in this area since and understand 12 of our 22 Local Authorities, included as an annex overleaf, have implemented bans on the giving of animals as prizes on Council owned land.

I have, however, recently been made aware of renewed concerns amongst the general public and third sector organisations about this practice, concerns I share.

Under the Animal Welfare Act 2006, owners and keepers of animals have a responsibility to ensure the welfare needs of their animals are met. It is an offence to cause unnecessary suffering, and this applies to both the prize givers and receivers.

**I am writing to you as one of the 10 remaining Local Authorities not to implement a ban, asking if you would consider the banning of this outdated practice on your land.**

Bae Caerdydd • Cardiff Bay  
Caerdydd • Cardiff  
CF99 1NA

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

[Gohebiaeth.Lesley.Griffiths@llyw.cymru](mailto:Gohebiaeth.Lesley.Griffiths@llyw.cymru)  
[Correspondence.Lesley.Griffiths@gov.wales](mailto:Correspondence.Lesley.Griffiths@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.

I appreciate your continued efforts in promoting responsible pet ownership and discouraging this practice, which I feel no longer has a place in our society or reflects our animal welfare values. Responses can be sent to [animalwelfarewales@gov.wales](mailto:animalwelfarewales@gov.wales).

Regards,

A handwritten signature in black ink that reads "Lesley Griffiths". The signature is written in a cursive style with a large, sweeping 'L' and 'G'.

**Lesley Griffiths AS/MS**  
**Y Gweinidog Materion Gwledig a Gogledd Cymru, a'r Trefnydd**  
**Minister for Rural Affairs and North Wales, and Trefnydd**

## **Annex 1: Local Authorities which have implemented a ban on the giving of pets as prizes**

Bridgend  
Caerphilly  
Cardiff  
Conwy  
Flintshire  
Neath Port Talbot  
Newport  
Pembrokeshire  
Rhondda Cynon Taf  
Torfaen County Borough  
Vale of Glamorgan  
Wrexham

This page is intentionally left blank



## **CYNGOR SIR CEREDIGION COUNTY COUNCIL**

**Report to:** Council

**Date of meeting:** 14 December 2023

**Title:** A proposal to implement a ban on giving live animals as prizes on Ceredigion County Council property

**Purpose of the report:** To provide feedback from the Healthier Communities following its meeting on the 22 November 2023

### **Background:**

Members of the Healthier Communities Overview and Scrutiny Committee considered a proposal to implement a ban on giving live animals as prizes on Ceredigion County Council property.

Within Ceredigion County Council, the protection and endorsement of high standards of animal welfare is upmost as part of supporting the farming industry, and to support those who enjoy keeping animals as pets. The authority therefore supports the RSPCA campaign on “giving pets as prizes” by proposing to implement a ban on giving live animals on Ceredigion County Council property.

This report provides the context on the proposed ban of the giving live animals (e.g. Goldfish, etc) as prizes as set out in the Royal Society for Prevention of Cruelty to Animal (RSPCA) campaign of 2021.

Ceredigion County Council has an opportunity to ban “pets as prizes” on Council property, thereby serving to raise public awareness of animal welfare surrounding the giving of live animals as prizes. Therefore, in view of the current legislation, the Council can introduce a ban through changing its terms and conditions of the agreements to use Council property. This report is supported by the Corporate Lead Officer for Economy and Regeneration who oversees management of Council land and facilities.

### **Recommendation(s):**

Following discussion, Committee Members recommend that Council:

- approve an outright ban on the giving of live animals as prizes, in any form, on Council land.

### **Reasons for decision:**

To maintain high levels of animal welfare throughout Ceredigion County Council through implementing a ban on the practice of giving live animals as prizes on Council land due to the potential distress caused to the animals.

**Councillor Caryl Roberts**  
***Chairman of the Healthier Communities Overview and Scrutiny Committee***



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

An integrated tool to inform effective decision making



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

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

Proposal Title	Ban of giving Pets as Prizes on Council Owned Land and Property
----------------	-----------------------------------------------------------------

Service Area	Public Protection	Corporate Lead Officer	Alun Williams	Strategic Director	Barry Rees
--------------	-------------------	------------------------	---------------	--------------------	------------

Name of Officer completing the IIA	Heddwyn Evans	E-mail	Heddwyn.Evans@ceredigion.gov.uk	Phone no	5144
------------------------------------	---------------	--------	---------------------------------	----------	------

Please give a brief description of the purpose of the proposal

An immediate voluntary ban of allowing the practice of giving animals as prizes on Council owned land and property.

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

General Public requesting use of Public Land

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

Author	Decision making stage	Version number	Date considered	Brief description of any amendments made following consideration
	<i>e.g. Budget Process, LG, Scrutiny, Cabinet etc.</i>			<i>This will demonstrate how we have considered and built in sustainable development throughout the evolution of a proposal. Have you considered and applied the sustainable development principle and Well-being Goals?</i>

Page 23



<b>COUNCIL STRATEGIC OBJECTIVES:</b> Which of the Council's Strategic Objectives does the proposal address and how?	
Boosting the Economy, supporting Business and enabling employment.	The protection and endorsement of high standards of animal welfare is upmost as part of supporting the farming industry, and to support those who enjoy keeping animals as pets
Creating caring and healthy communities	Maintaining high standards of animal welfare supports an empathetic and caring community
Providing the best start in life and enabling Learning at all ages	
Creating sustainable, greener and well-connected communities	

Page 24

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

- *Quantitative data - data that provides numerical information, e.g. population figures, number of users/non-users*
- *Qualitative data – data that furnishes evidence of people's perception/views of the service/policy, e.g. analysis of complaints, outcomes of focus groups, surveys*
- *Local population data from the census figures (such as Ceredigion Welsh language Profile and Ceredigion Demographic Equality data)*
- *National Household survey data*
- *Service User data*
- *Feedback from consultation and engagement campaigns*
- *Recommendations from Scrutiny*
- *Comparisons with similar policies in other authorities*
- *Academic publications, research reports, consultants' reports, and reports on any consultation with e.g. trade unions or the voluntary and community sectors, 'Is Wales Fairer' document.*
- *Welsh Language skills data for Council staff*

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

Sustainable Development Principle	Does the proposal demonstrate you have met this principle? If yes, describe how. If not, explain why.	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to the principle?

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

An integrated tool to inform effective decision making



<p><b>Long Term</b> Balancing short term need with long term and planning for the future.</p>	<p>The Council is committed to championing high standards of animal welfare and this policy supports the overall</p>	<p>Research by RSPCA. Observations of work undertaken by Public Protection Service .</p>	
<p><b>Collaboration</b> Working together with other partners to deliver.</p>	<p>The Council works closely with other statutory agencies such as the Welsh Government, Animal and Plant Health Agency in ensuring animal welfare standards are maintained. The Council also works with the RSPCA to further our shared aims and objectives.</p>	<p>As above</p>	
<p><b>Involvement</b> Involving those with an interest and seeking their views.</p>	<p>The recommendation is consistent with the actions of other authorities who have implemented the same, and is in line with public expectations of protecting animal welfare.</p>	<p>As above</p>	
<p><b>Prevention</b> Putting resources into preventing problems occurring or getting worse.</p>	<p>The activity of banning the giving of pets as prizes prevents the potential for adverse animal welfare</p>	<p>As above</p>	
<p><b>Integration</b> Positively impacting on people, economy, environment and culture and trying to benefit all three.</p>	<p>Ensuring broader controls on animal welfare is in line with objectives contained within the Well-being of Future Generation (Wales) Act 2015</p>	<p>As above</p>	



3. WELL-BEING GOALS: Does your proposal deliver any of the seven National Well-being Goals for Wales as outlined on the Well-being of Future Generations (Wales) Act 2015? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. We need to ensure that the steps we take to meet one of the goals aren't detrimental to meeting another.			
Well-being Goal	Does the proposal contribute to this goal? Describe the positive or negative impacts:-	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to the goal?
<b>3.1. A prosperous Wales</b> Efficient use of resources, skilled, educated people, generates wealth, provides jobs.	No impact		
<b>3.2. A resilient Wales</b> Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change).	No impact		
<b>3.3. A healthier Wales</b> People's physical and mental wellbeing is maximised and health impacts are understood.	No impact		
<b>3.4. A Wales of cohesive communities</b> Communities are attractive, viable, safe and well connected.	No impact		
<b>3.5. A globally responsible Wales</b> Taking account of impact on global well-being when considering local social, economic and environmental well-being.	No Impact		

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

An integrated tool to inform effective decision making



Page 27

<p><b>3.6. A more equal Wales</b>                  People can fulfil their potential no matter what their background or circumstances.</p> <p><i>In this section you need to consider the impact on equality groups, the evidence and any action you are taking for improvement.</i></p> <p><i>You need to consider how might the proposal impact on equality protected groups in accordance with the Equality Act 2010?</i></p> <p><i>These include the protected characteristics of age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, race, religion or beliefs, gender, sexual orientation.</i></p> <p><b>Please also consider the following guide::</b>  <a href="#">Equality Human Rights - Assessing Impact &amp; Equality Duty</a></p>	<p>Describe why it will have a positive/negative or negligible impact.</p> <p><i>Using your evidence consider the impact for each of the protected groups. You will need to consider do these groups have equal access to the service, or do they need to receive the service in a different way from other people because of their protected characteristics. It is not acceptable to state simply that a proposal will universally benefit/disadvantage everyone. You should demonstrate that you have considered all the available evidence and address any gaps or disparities revealed.</i></p>	<p>What evidence do you have to support this view?</p> <p><i>Gathering Equality data and evidence is vital for an IIA. You should consider who uses or is likely to use the service. Failure to use <u>data</u> or <u>engage</u> where change is planned can leave decisions open to legal challenge. Please link to <b>involvement</b> box within this template. Please also consider the general guidance.</i></p>	<p>What action (s) can you take to mitigate any negative impacts or better contribute to positive impacts?</p> <p><i>These actions can include a range of positive actions which allows the organisation to treat individuals according to their needs, even when that might mean treating some more favourably than others, in order for them to have a good outcome. You may also have actions to identify any gaps in data or an action to engage with those who will/likely to be effected by the proposal. These actions need to link to Section 4 of this template.</i></p>																
<p><b>Age</b>                  Do you think this proposal will have a positive or a negative impact on people because of their age? (Please tick ✓)</p> <table border="1" data-bbox="71 989 788 1439"> <thead> <tr> <th></th> <th>Positive</th> <th>Negative</th> <th>None/ Negligible</th> </tr> </thead> <tbody> <tr> <td>Children and Young People up to 18</td> <td></td> <td></td> <td style="text-align: center;">✓</td> </tr> <tr> <td>People 18-50</td> <td></td> <td></td> <td style="text-align: center;">✓</td> </tr> <tr> <td>Older People 50+</td> <td></td> <td></td> <td style="text-align: center;">✓</td> </tr> </tbody> </table>		Positive	Negative	None/ Negligible	Children and Young People up to 18			✓	People 18-50			✓	Older People 50+			✓	<p><i>In practice, the IIA is likely to concentrate on young and older people.</i></p> <p><i>How do older and younger people access our services, access issues etc. Also consider what issues there are for employment and training.</i></p> <p><i>Have you considered the impacts in line with the United Nation Convention on the Rights of the Child? Follow this link:</i>  <a href="#">UNCRC</a></p> <p><i>Have you considered the impacts in line with the Older People's</i></p>		
	Positive	Negative	None/ Negligible																
Children and Young People up to 18			✓																
People 18-50			✓																
Older People 50+			✓																

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

An integrated tool to inform effective decision making



				Commissioner Section 12 Guidance: <a href="#">Equality &amp; Impact Assessment Older People</a>		
--	--	--	--	-----------------------------------------------------------------------------------------------------------	--	--

Page 28

<b>Disability</b> Do you think this proposal will have a positive or a negative impact on people because of their disability? (Please tick ✓)				What issues are there are around each of the disability needs groups e.g. access to buildings/services, how we provide services and the way we do this, producing information in alternative formats, employment issues.		
Hearing Impairment	Positive	Negative	None/ Negligible			
			✓			
Physical Impairment	Positive	Negative	None/ Negligible			
			✓			
Visual Impairment	Positive	Negative	None/ Negligible			
			✓			
Learning Disability	Positive	Negative	None/ Negligible			
			✓			
Long Standing Illness	Positive	Negative	None/ Negligible			
			✓			
Mental Health	Positive	Negative	None/ Negligible			
			✓			
Other	Positive	Negative	None/ Negligible			

<b>Transgender</b>	People who are proposing to		
--------------------	-----------------------------	--	--



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

An integrated tool to inform effective decision making



Do you think this proposal will have a positive or a negative impact on transgender people? (Please tick ✓)				<i>undergo, are undergoing, or have undergone a process (or part of a process) to reassign their sex by changing physiological or other attributes of sex. Consider the provision of inclusive services for Transgender people and groups. Also consider what issues there are for employment and training.</i>		
Transgender	Positive	Negative	None/ Negligible			
			✓			
<b>Marriage or Civil Partnership</b> Do you think this proposal will have a positive or a negative impact on marriage or Civil partnership? (Please tick ✓)				<i>A union between a man and a woman and legal recognition of a same-sex couple's relationship. Civil partners must be treated the same as married couples on a range of legal matters. This characteristic is protected but only in respect of the requirement to have due regard to the need to eliminate discrimination. For example in employment ,civil partners must be provided with the same benefits available to married couples, such as survivor pensions, flexible working, maternity/paternity pay and healthcare insurance.</i>		
Marriage	Positive	Negative	None/ Negligible			
			✓			
Civil partnership	Positive	Negative	None/ Negligible			
			✓			
<b>Pregnancy or Maternity</b> Do you think this proposal will have a positive or a negative impact on pregnancy or maternity? (Please tick ✓)				<i>Includes expectant mothers, mothers who have recently had a child. Protection against maternity discrimination is for 26 weeks after giving birth, including as a result of breastfeeding.</i>  <i>Research suggests that much of the disadvantage / discrimination relating to pregnancy and maternity relates to employment</i>		
Pregnancy	Positive	Negative	None/ Negligible			
			✓			
Maternity	Positive	Negative	None/ Negligible			
			✓			

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

An integrated tool to inform effective decision making



				<i>practices and/or the failure to implement work-based equal opportunities policies.</i>		
--	--	--	--	-------------------------------------------------------------------------------------------	--	--

<b>Race</b> Do you think this proposal will have a positive or a negative impact on race? (Please tick ✓)				<p><i>Think about what the proposal will do to promote race equality with the aim of: eliminating unlawful discrimination, promoting equality of opportunity and promoting good relations between persons of different racial groups.</i></p> <p><i>Also think about the potential to affect racial groups differently. Issues to look at include providing translation/interpreting services, cultural issues and customs – dietary issues, religious holidays or days associated with religious observance; access to services, issues relating to Asylum Seeker, Refugee, Gypsy &amp; Traveller, migrant communities and recording of racist incidents etc.</i></p> <p><i>Also consider what issues there are for employment and training.</i></p>		
White	Positive	Negative	None/ Negligible			
			✓			
Mixed/Multiple Ethnic Groups	Positive	Negative	None/ Negligible			
			✓			
Asian / Asian British	Positive	Negative	None/ Negligible			
			✓			
Black / African / Caribbean / Black British	Positive	Negative	None/ Negligible			
			✓			
Other Ethnic Groups	Positive	Negative	None/ Negligible			
			✓			

<b>Religion or non-beliefs</b> Do you think this proposal will have a positive or a negative impact on people with different religions, beliefs or non-beliefs? (Please tick ✓)				<p><i>Race and religion are often linked. Research suggests that "...religion itself does not entail significant levels of reported discrimination... It is ethnicity – rather (or more) than religion – which acts as a visible and ready conduit for disadvantage and perceived discrimination".</i></p> <p><i>What the likely impact is e.g. cultural issues and customs i.e dietary issues, religious holidays or</i></p>		
Christian	Positive	Negative	None/ Negligible			
			✓			
Buddhist	Positive	Negative	None/ Negligible			
			✓			
Hindu	Positive	Negative	None/			

Page 30

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

An integrated tool to inform effective decision making



Page 31

			Negligible ✓	<i>days associated with religious observance, Also consider what issues there are for employment and training.</i>		
Humanist	Positive	Negative	None/ Negligible			
			✓			
Jewish	Positive	Negative	None/ Negligible			
			✓			
Muslim	Positive	Negative	None/ Negligible			
			✓			
Sikh	Positive	Negative	None/ Negligible			
			✓			
Non-belief	Positive	Negative	None/ Negligible			
			✓			
Other	Positive	Negative	None/ Negligible			

<b>Sex</b> Do you think this proposal will have a positive or a negative impact on men and/or women? (Please tick ✓)				<i>Consider what issues there are for men and women e.g. equal pay, responsibilities for dependents, issues for carers, access to training, employment issues. Will this impact disproportionately on one group more than another.</i>		
Men	Positive	Negative	None/ Negligible			
			✓			
Women	Positive	Negative	None/ Negligible			
			✓			

<b>Sexual Orientation</b>	<i>This is whether a person's sexual</i>		
---------------------------	------------------------------------------	--	--

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

An integrated tool to inform effective decision making



Do you think this proposal will have a positive or a negative impact on people with different sexual orientation? (Please tick ✓)				<i>attraction is towards their own sex, opposite sex or to both sexes. Consider the provision of inclusive services for e.g. older and younger people from the Lesbian, Gay and Bi-sexual communities. Also consider what issues there are for employment and training.</i>		
Bisexual	Positive	Negative	None/ Negligible			
			✓			
Gay Men	Positive	Negative	None/ Negligible			
			✓			
Gay Women / Lesbian	Positive	Negative	None/ Negligible			
			✓			
Heterosexual / Straight	Positive	Negative	None/ Negligible			
			✓			

Page 32

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

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

*You should consider whether the proposal will help you to:* ● Remove or minimise disadvantage ● To meet the needs of people with certain characteristics ● Encourage increased participation of people with particular characteristics

No impact

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

*You should consider whether there is evidence to indicate that:* ● The proposal may result in less favourable treatment for people with certain characteristics ● The proposal may give rise to indirect discrimination ● The proposal is more likely to assist or impeded you in making reasonable adjustments

No impact

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

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

A ban on giving pets as prizes indicates a commitment to Animal Welfare which supports an empathetic community.



**Having due regard of the Socio-Economic Duty of the Equality Act 2010.**  
**Socio-Economic Disadvantage is living in less favourable social and economic circumstances than others in the same society.**  
*As a listed public body, Ceredigion County Council is required to have due regard to the Socio-Economic Duty of the Equality Act 2010. Effectively this means carrying out a poverty impact assessment. The duty covers all people who suffer socio-economic disadvantage, including people with protected characteristics.*

**3.6.5 What evidence do you have about socio-economic disadvantage and inequalities of outcome in relation to the proposal?**  
Describe why it will have a positive/negative or negligible impact.

No impact

What evidence do you have to support this view?

What action(s) can you take to mitigate any negative impacts or better contribute to positive impacts?

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

An integrated tool to inform effective decision making



<b>3.7. A Wales of vibrant culture and thriving Welsh language</b> Culture, heritage and Welsh Language are promoted and protected. <i>In this section you need to consider the impact, the evidence and any action you are taking for improvement. This in order to ensure that the opportunities for people who choose to live their lives and access services through the medium of Welsh are not inferior to what is afforded to those choosing to do so in English, in accordance with the requirement of the Welsh Language Measure 2011.</i>				Describe why it will have a positive/negative or negligible impact.	What evidence do you have to support this view?	What action (s) can you take to mitigate any negative impacts or better contribute to positive impacts?	
Page 34	Will the proposal be delivered bilingually (Welsh & English)?	Positive	Negative	None/ Negligible			
		✓					<i>Will the proposal increase or reduce the opportunity for persons to receive or access information in Welsh?</i>
	Will the proposal have an effect on opportunities for persons to use the Welsh language?	Positive	Negative	None/ Negligible			<i>Will the proposal alter the linguistic nature of the community?</i>  <i>Will the proposal increase or reduce the opportunity for persons to use the Welsh language in a social setting?</i>  <i>What opportunities does the proposal provide to develop Welsh language skills within the community?</i>
Will the proposal increase or reduce the opportunity for persons to access services through the medium of Welsh?	Positive	Negative	None/ Negligible	<i>Will the proposal ensure that people can access services in their preferred language, Welsh or English?</i>  <i>Will the proposal increase or reduce the opportunity for persons to use the Welsh language within the workplace?</i>			

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

An integrated tool to inform effective decision making



				<p><i>Will the proposal impact on the number of Welsh speaking staff within the service?</i></p> <p><i>Will the proposal increase or reduce the opportunity for staff to improve their Welsh language skills or access training via the medium of Welsh?</i></p>		
How will the proposal treat the Welsh language no less favourably than the English language?	Positive	Negative	None/ Negligible	<p><i>How will the proposal ensure that Welsh speaking service users receive services to the same standard as those who access the same services through the medium of English?</i></p>		
			✓			
Will it preserve promote and enhance local culture and heritage?	Positive	Negative	None/ Negligible	<p><i>What opportunities are there to promote the Services that are provided through the medium of Welsh?</i></p> <p><i>What opportunities are there within the proposal to promote the Welsh language?</i></p> <p><i>Will the proposal increase or reduce opportunities to take part in sport, art and recreation activities?</i></p>		
			✓			



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

**4.1 Actions.**

What are you going to do?	When are you going to do it?	Who is responsible?	Progress
All Council Estates managers will be advised of the new policy	As soon as possible after the policy is approved.		Immediate start
All existing Council tenants will be advised of the new policy	As soon as possible after the policy is approved		Immediate start
Any new Council tenants will be advised of the policy	As arises		Immediate start
Events Group will be advised of the policy	Immediately after approval		Immediate start

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

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

**4.3. Monitoring, evaluating and reviewing.**

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

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

Impact Criteria	1 - Very low	2 - Low	3 - Medium	4 - High	5 - Very High
-----------------	--------------	---------	------------	----------	---------------



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

An integrated tool to inform effective decision making



Likelihood Criteria	1 - Unlikely to occur	2 - Lower than average chance of occurrence	3 - Even chance of occurrence	4 - Higher than average chance of occurrence	5 - Expected to occur
Risk Description	Impact (severity)		Probability (deliverability)		Risk Score
	1		1		1 x 1 = 1
Does your proposal have a potential impact on another Service area?					
Animal welfare is improved; people are educated to not support such practice; complaints to RSPCA will reduce; a consistent approach by local authorities across Wales					

## 6. SIGN OFF

Position	Name	Signature	Date
Service Manager			
Corporate Lead Officer			
Strategic Director			
Portfolio Holder			

This page is intentionally left blank

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

<b><u>Report to:</u></b>	<b>Council</b>
<b><u>Date of meeting:</u></b>	<b>14 December 2023</b>
<b><u>Title:</u></b>	<b>Ceredigion County Council Self-Assessment Report 2022/23</b>
<b><u>Purpose of the report:</u></b>	<b>To present the Council's Self-Assessment Report 2022-23 as required by the Local Government and Elections (Wales) Act 2021</b>
<b><u>For:</u></b>	<b>Decision</b>

### **Cabinet Portfolio and Cabinet Member:**

**Councillor Bryan Davies - Leader of the Council and Cabinet Member for Policy and Performance**

### **Introduction**

Part 6 of the Local Government and Elections (Wales) Act 2021 introduced a new Self-Assessment based performance regime for Principal Councils.

The new performance regime is intended to build and support a culture in which councils continuously seek to improve and do better in everything they do, regardless of how well they are performing already. It is the expectation of the Act that councils will always be striving to achieve more and seek to ensure best outcomes for local people and communities.

There are 5 specific duties for Councils introduced by the Act:

- Duty to keep performance under review
- Duty to consult on performance
- Duty to report on performance
- Duty to arrange a Panel Performance Assessment
- Duty to respond to a Panel Performance Assessment

Under its duty to report on performance, the Council is required to publish a Self-Assessment Report once in respect of every financial year setting out the conclusions as to the extent to which the Council met the performance requirements during that financial year, and any actions it will take, or has already taken, to increase the extent to which it will meet the performance requirements. The emphasis of the Report is on understanding how the Council is operating now, the likely demands it will face in the future, and how it can build sustainability.

## **Current Position**

Since April 2023, Ceredigion County Council has been undertaking its latest round of Self-Assessment and a timetable of the activities is attached at Appendix 1 for reference.

The evidence collected has been used to produce the Self-Assessment Report which is attached at Appendix 2. This is the main output from the Self-Assessment process and sets out how the Council is currently performing and the actions it intends to take going forward. The Report has been developed by assessing a wide variety of evidence including internal reports and reviews, external regulatory and inspection reports and crucially engagement and consultation activities.

It is important to note that the Self-Assessment Report for 2022/23 discharges the requirements of both:

- The Well-being of Future Generations (Wales) Act 2015 – to set and review progress against our Corporate Well-being Objectives
- The Local Government and Elections (Wales) Act 2021 – the duty to keep performance under review, consult on performance, report on performance, arrange a Panel Performance Assessment and respond to a Panel Performance Assessment.

Although the Self-Assessment Report is the key output from the process the work on improving outcomes is an ongoing year-round activity. Throughout the year we conduct consultation in support of self-assessment, we collate evidence to inform the workshops, we deliver the actions in our Self-Assessment action plan and we monitor their progress towards completion.

Following positive feedback from Welsh Government and our peers on last year's report, we have retained a similar format for this year to help in disseminating key messages and keeping it succinct, as requested by Welsh Government. A number of improvements have been made this year to strengthen the report:

- Providing further detail on the consultation and engagement undertaken during the year and how it is used.
- Providing details of the stakeholder consultation to support self-assessment.
- Providing further detail in the evaluation commentary of the Council's overall performance.
- Updating the Self-Assessment Action Plan, adding the new actions identified along with a progress update.
- Expanding the benchmarking section (further work is ongoing to develop this in conjunction with Data Cymru).
- Added "Council Structure" section to provide details of how the Council is structured.

- Included links to other related reports and strategies, which is seen as best practice.

The Council's Corporate Strategy 2022-27 sets out its Corporate Well-being Objectives, which were developed to promote sustainability and improve the well-being of the citizens of Ceredigion. They were identified through extensive analysis of evidence and engagement with residents, including the ambitions of the new political administration, the Ceredigion Assessment of Local Well-being and public consultation. Pages 33-48 of the Self-Assessment Report reviews the Council's progress in delivering the Objectives. Following this year's review of the Objectives it is proposed that they remain unchanged for the next year:

- Boosting the economy, supporting businesses and enabling employment
- Creating caring and healthy communities
- Providing the best start in life and enabling learning at all ages
- Creating sustainable, green and well-connected communities

The Governance and Audit Committee has a statutory responsibility to consider the Self-Assessment Report and make recommendations on the conclusions and the actions that the Council proposes to take. The Report was considered at its meeting on 27 September 2023 and approved to proceed for approval at Council. No formal recommendations were made to the conclusions or the actions, although minor formatting amendments have been made to improve the quality of the report prior to Council.

### **Next Steps**

The final Self-Assessment Report will be submitted to Ministers, Estyn, the Auditor General for Wales and the Council's Governance and Audit Committee, as well as being published on the website.

### **Panel Performance Assessment Update**

Part of the new Self-Assessment Performance Regime is the duty to undertake a Panel Performance Assessment once in every election cycle. Panel Assessments are intended to provide an independent and external perspective of the extent to which the Council is meeting the performance requirements of the Local Government and Elections (Wales) Act 2021. The aim is to support councils to achieve their aspirations through developing and understanding how they are operating and how they can ensure they are able to deliver effective services long-term. Work is continuing to organise the Council's first Panel Performance Assessment due to take place during 2024/25 and supported by the Welsh Local Government Association.

### **Well-being of Future Generations:**

No, an Integrated Impact Assessment has not been completed as the Self-Assessment Report does not introduce any new policies or strategies.

### **Summary of the Integrated Impact Assessment:**

**Long term:**  
**Collaboration:**  
**Involvement:**  
**Prevention:**  
**Integration:**

**Recommendations(s):**

- 1. That Council approves the Self-Assessment Report 2022/23 including the Annual Review of Performance and Well-being Objectives**
- 2. That Council approves the Corporate Well-being Objectives to remain unchanged for the next year**

**Reasons for decision:**

**To ensure compliance with Part 6 of the Local Government and Elections (Wales) Act 2021 / Well-being of Future Generations (Wales) Act 2015**

**Overview and Scrutiny:**

Governance and Audit Committee 27/09/2023  
Overview and Scrutiny Coordinating Committee 6/11/2023

**Policy Framework:**

Part 6 of the Local Government and Elections (Wales) Act 2021  
Well-being of Future Generations (Wales) Act 2015

**Corporate Well-being Objectives:**

All, the Self-Assessment Report assesses the Council's overall performance

**Finance and Procurement Implications:**

None, all actions contained in the Self-Assessment Action Plan will be delivered within existing structures and budgets

**Legal Implications:**

The Council has a duty under the Well-being of Future Generations (Wales) Act 2015 to set Well-being Objectives and Steps to deliver those Objectives.

**Staffing Implications:**

None, all actions contained in the Self-Assessment Action Plan will be delivered within existing structures and budgets.

**Property / asset implications:**

None, all actions contained in the Self-Assessment Action Plan will be delivered within existing structures and budgets.

**Risk(s):**

The Self-Assessment Report 2022-23 and review of Well-being Objectives is not published leading to failure to comply with legislation.

**Statutory Powers:**

N/A

**Background Papers:**

Performance and governance of principal councils: Statutory guidance on Part 6, Chapter 1, of the Local Government and Elections (Wales) Act 2021

<https://www.gov.wales/sites/default/files/publications/2021-03/performance-governance-of-principal-councils.pdf>

**Appendices:**

Appendix 1 - Timetable of activities undertaken in Support of Self-Assessment in 2022-23

Appendix 2 - Self-Assessment Report 2022/23

**Corporate Lead Officer:**

Alun Williams (Corporate Lead Officer Policy, Performance and Public Protection)

**Reporting Officer:**

Rob Starr (Performance and Research Team)

**Date:**

9 November 2023

This page is intentionally left blank



## **Appendix 1: Timetable of the activities undertaken in support of Self-Assessment 2022/23**

- The review of Year 1 of the Self-Assessment process was undertaken in **December 2022** and resulted in a series of minor adjustments to make the process more efficient in Year 2 and the strengthen the robustness of the evidence recorded.
- The desktop analysis was undertaken in **April to June** to collate and analyse the evidence available (internal data, external evidence and consultation).
- The first Leadership Group Self-Assessment Workshop was undertaken on **18 April** to identify evidence, challenges, opportunities for improvement and scores.
- The Overview and Scrutiny Coordinating Committee Workshop was held on **24 April** to record Member's perspectives on Council performance and opportunities for improvement.
- A second Leadership Group Workshop was subsequently held on **18 May to review the evidence and scores**, and sign off the Key Lines of Enquiry Matrix that contains the results of the exercise.
- The 2022/23 Self-Assessment Report was drafted between **June and August 2023** by the Performance and Research Team.
- The Corporate Stakeholder Survey was run between **28 June and 31 August**.
- The Draft Self-Assessment Report was presented to Leadership Group on **30 August** and approved to proceed to Governance and Audit Committee.
- The Draft Self-Assessment Report was presented to Leadership Group/Cabinet on **19 September**.
- The Draft Self-Assessment Report was presented to the Governance and Audit Committee on **27 September** as part of the Committee's statutory role in reviewing and making recommendations on the conclusions drawn in the report and the actions that the Council intends to take. The Governance and Audit Committee approved the report to proceed to publication and no formal recommendations were made.
- Feedback from the Governance and Audit Committee on the Draft Self-Assessment Report was reported to Leadership Group on **28 September**.
- The Self-Assessment Report was updated in **October** with minor formatting amendments to improve the quality of the report prior to Overview and Scrutiny Committee.
- The Draft Self-Assessment Report was presented to Overview and Scrutiny Coordinating Committee on **6 November**.
- The Draft Self-Assessment Report was presented to **Cabinet** on 7 November.

This page is intentionally left blank

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

---

# 2022/23

## SELF-ASSESSMENT REPORT

---

Annual Review of Performance and  
Well-being Objectives



Cyngor Sir  
**CEREDIGION**  
County Council





## CONTENTS

Introduction from the Leader of the Council	2
About Ceredigion	3
The Council	5
Background to 2022-23 Self-Assessment	7
Summary of 2022-23 Performance	8
Self-Assessment Action plan: Opportunities for Improvement	13
What is Self-Assessment?	19
How we Conduct Self-Assessment	20
Self-Assessment in Our Performance Management Framework	21
Managing Our Performance	22
Evidence Based Assessment	23
Learning from Consultation and Engagement	25
Review of Our Well-being Objectives	31
Contribution to the National Well-being Goals	49
The Sustainable Development Principle	51
Joining Up our Plans: Links to Key Resources	52
Our Performance	55

# INTRODUCTION

## From the Leader of Ceredigion County Council

Welcome to Ceredigion County Council's latest Self-Assessment Report. This report reviews our overall performance and progress towards delivering our Corporate Well-being Objectives in 2022/23.

We conducted our most recent Self-Assessment in the summer of 2023, looking at a wide range of evidence, regulatory reports and extensive consultation feedback. It confirms that Ceredigion County Council continues to perform above its stature and makes good use of the resources it has available, despite the challenges faced in recent years such as extensive budget cuts, the COVID-19 pandemic and the cost of living crisis affecting many households in the County.

In the last year we have pushed ahead with delivering our new Corporate Well-being Objectives and good progress has been made. For example, the £110m Mid Wales Growth deal is a further step closer to unlocking the potential of the local economy after the positive portfolio assessment review. The Lampeter Well-being Centre is now open and offering a range of services to

support local people and plans are progressing for centres in the north and south of the county. We also underwent a Care Inspectorate Wales inspection of our social services in February/March 2023. The inspection reflected positively on our Through Age Well-being Programme that is transforming the delivery of social care in Ceredigion.

We are also investing in new ways of working and new technology to transform the way services are provided to our customers. This is to ensure they meet growing demand, are sustainable in the future, and provide an enhanced experience for our customers.

By adapting the way we work, we can enable the Council to deliver modern services that will enhance the social, economic, environmental and cultural wellbeing of the people of Ceredigion.

However, like all local authorities, there are challenges and opportunities ahead, and these are

reflected in this report. The principles of self-assessment are not new to Ceredigion. We have long been using self-assessment as a learning tool to reflect on how we are doing things now, and how we can deliver improvements or provide greater efficiency.

In the last year, self-assessment has helped us identify key actions that will help to drive better outcomes for the county and its citizens. We will be conducting further consultation with citizens, businesses, council staff and Trade Unions over the coming months, to capture further views on how we can improve performance and we look forward to hearing your thoughts.

We hope you find this report informative and a useful way to keep in touch on our performance improvement journey.



**Councillor Bryan Davies**

Leader of Ceredigion County Council





# ABOUT CEREDIGION

**Ceredigion covers an area of 1,900km<sup>2</sup> and is mostly made-up of agricultural land, moorland and forestry, with the upland areas to the east forming a significant portion of the Cambrian Mountains.**

The County has a variety of natural landscapes and habitats: coastal cliffs and beaches, marshlands and open upland. The County's landscapes and natural environment are highly valued by local people and visitors alike.

Ceredigion has a high proportion of land recognised for its high environmental value through official designations, including two internationally important wetland areas (the Dyfi estuary and Cors Caron); 13 Special Areas of Conservation (SAC); around 100 Sites of Special Scientific Interest (SSSI's) seven National Nature Reserves and three Local Nature Reserves. The Cambrian Mountains uplands are important for wildlife as are the wet 'rhos pastures'.

The County is bordered by over 90km of coastline, with four sections (around 35km) designated as Heritage Coast. The Wales Coast Path follows a 60 mile (96km) route between the Teifi and Dyfi estuaries. The Coast Path links towns and villages dotted along the spectacular Cardigan Bay coastline.

The rivers in the Ceredigion catchment are the Rheidol, Ystwyth, Clarach, Aeron and Teifi rivers. Ceredigion's

river catchment is varied and distinctive, with each river flowing through a variety of landscapes, before reaching the sea. The Teifi River is one of the longest rivers in Southwest Wales, at 122km long.

The attractive landscapes and remote locations in Ceredigion form the basis of 'rural well-being' tourism, which draws in many visitors to the area. Overall, there are almost 3 million visitors to Ceredigion each year.

Although the environment has always been a valued feature of well-being, over the past few years protecting the environment has become much more important to people. The adverse effects of climate change on the environment and nature are far more recognised and people want to do more to protect our environment. In 2020 Ceredigion County Council declared a global climate emergency, prior to this the Council had also committed to being a net zero carbon council by 2030.

The economy of Ceredigion is fairly typical of that of many rural and coastal areas. A high proportion of jobs are in the tourism industry (12.9%), wholesale and retail (12.9%) and human health and social work activities (12.3%). Education is the largest sector in the county, employing around 4,300 people and accounting for around 13.9% of jobs in the county.

Unlike many rural areas, the County has two universities at Aberystwyth and the

University of Wales Trinity St. David's Campus at Lampeter. It is also home to national institutions such as the National Library of Wales. The knowledge economy is strong in Ceredigion and it has a growing 'green economy' focusing on low carbon emissions, efficient use of resources and being socially inclusive.

Self-employment is an important element in the local economy, and Ceredigion has one of the highest proportions of self-employed people nationally. Many are farmers with others working in a range of established small-scale enterprises such as building repair and maintenance.

The vast majority (99%) of enterprises in Ceredigion are 'micro' or 'small' sized (up to 49 employees). Only 1% of enterprises in Ceredigion have fifty or more employees. The survival rates of newly established businesses are consistently amongst the highest nationally, making Ceredigion a great place to start and grow a business

Ceredigion is one of the heartlands of the Welsh language, despite a substantial student population. The 2021 Census showed that 45.3% of Ceredigion's residents could speak Welsh, the third highest of all counties nationwide.

There are 43 schools in Ceredigion, a mixture of primary, secondary and through age schools. 37 are Welsh medium schools, meaning that the majority of our younger population are learning and using the Welsh language

from a young age.

Ceredigion's Welsh in Education Strategic Plan 2022-32 aims for all pupils in the Authority's schools to attend Welsh-medium immersion education until the age of seven and increase the pupils' opportunity to follow a fully bilingual path throughout their school career and in their future work and social life. It also contributes to the national well-being goal and Welsh Government's aim of increasing the number of Welsh speakers to 1 million by 2050.

Ceredigion is a County well known for its cultural and heritage sites. There are castles and museums situated across the County, which draw many tourists to the area throughout the year.

# OUR COUNTY IN NUMBERS



**71,468**  
people

**48 years**  
average age

**4%**  
BAME population\*

**7,845**  
university students

**22%**  
with a disability

**30,893**  
households



**43**  
schools and 9,560 pupils

**6**  
leisure facilities

**2,265km**  
of roads

**2,500km**  
of bridleways and footpaths

**2,810**  
active enterprises

**45.3%**  
of residents are Welsh speakers

\*BAME = Black, Asian and Minority Ethnic population





# THE COUNCIL

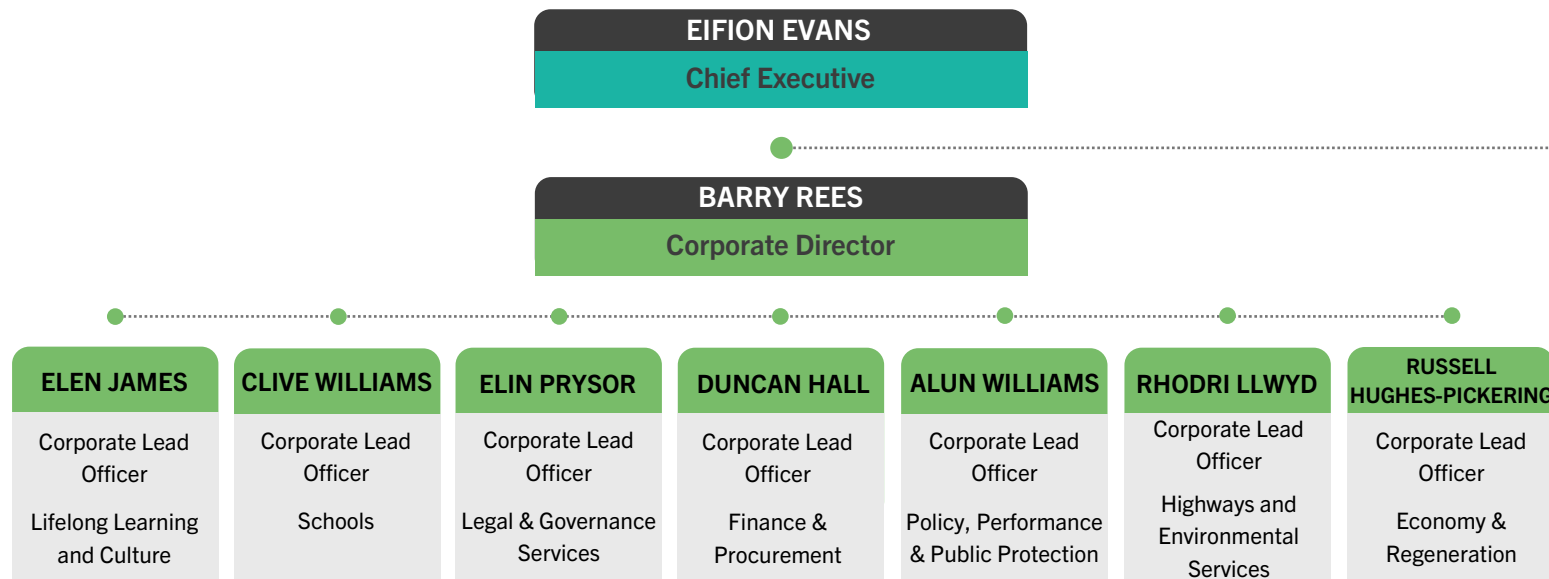
At the local elections in May 2022, Ceredigion residents returned 38 councillors in 34 wards across the County. As at March 2023, the new administration is a Plaid Cymru majority with 20 councillors, along with 9 independents, 7 Welsh Liberal Democrats and 2 un-grouped. The new Leader of the Council is Councillor Bryan Davies and Councillor Maldwyn Lewis is the current Chairman of the Council.

Ceredigion is investing in new technology to transform the way services are provided to our customers. This is to ensure they meet growing demands, are sustainable in the future, and also provide an enhanced experience for our customers.

The Through Age Well-being Programme that is transforming social care and the Customer Contact Centre called 'CLIC' are two good examples of this.

We are operating in a challenging environment with escalating budgetary pressures. To deliver our Corporate Well-being Objectives whilst maintaining effective and efficient services, our workforce's journey must be one of continuous review and change. It is critical we maintain an innovative and agile approach, are open and resilient to change, with the skills to support smarter ways of working in a digitised world.

## CEREDIGION COUNTY COUNCIL MANAGEMENT STRUCTURE:

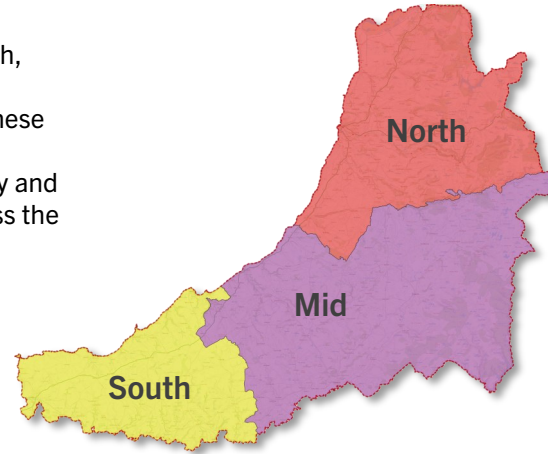




Our aim is to enhance the efficiency of our internal processes and systems, enabling us to measure our performance effectively.

The Council employs 2,037 staff (1,567 full-time equivalent (FTE)). Our goal is to advocate for, and build upon, our 'Team Ceredigion' ethos. Promoting our sense of belonging, connection and shared purpose. We aspire for all Team Ceredigion members to be proud of the work that they do, and to recognise the significance of their contribution to the overall success of the Council.

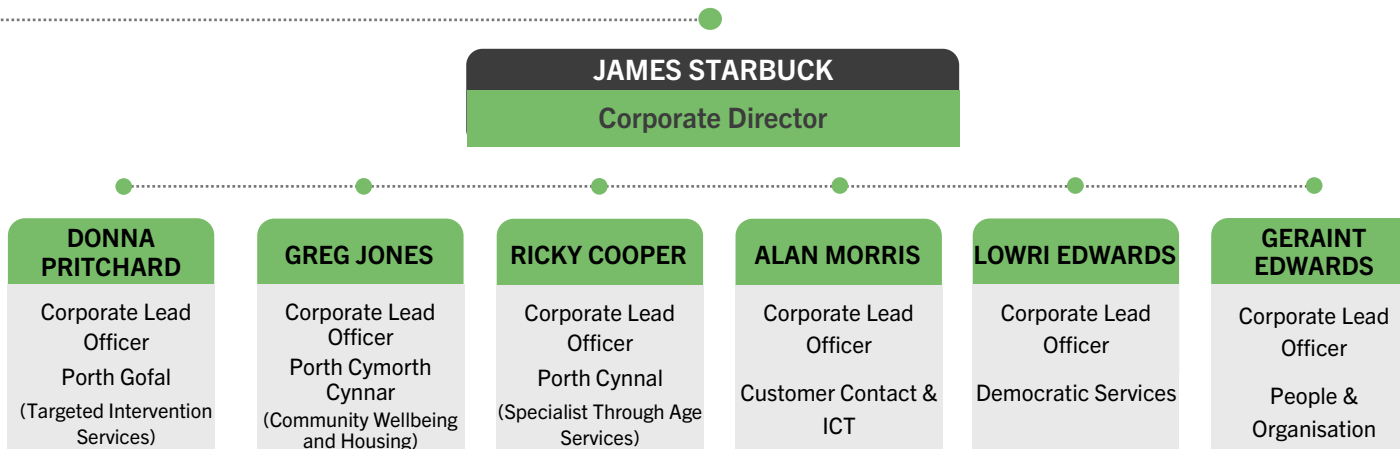
The County is made up of three geographical areas covering the north, mid and south of the County. The Council's services are aligned with these three areas to assist in workforce development and ensure consistency and equity in the delivery of service across the County ▶



## WE ARE ONE TEAM: TEAM CEREDIGION

The One Team approach is part of the Council's culture and is integral to its new ways of working

One Team supports Self-Assessment by facilitating collaborative working, joining-up thinking and cross-service support to deliver our Corporate Well-being Objectives and improve outcomes for local people and stakeholders



# BACKGROUND TO 2022-23 SELF-ASSESSMENT

This is the second of Ceredigion County Council's Self-Assessment Reports. We have learnt a great deal since first implementing the new local government performance regime introduced by the Local Government and Elections (Wales) Act 2021.

During winter 2022 we reviewed our approach to self-assessment and made a number of minor adjustments to strengthen the process. This included allocating more time for the desktop review of evidence, adjusting the timescales to start the workshops earlier in the year and providing an additional workshop to review the scores prior to publication. The aim was to fine tune the process based on our experiences in the previous year. We will continue to review the way we conduct self-assessment annually.

In producing this year's Self-Assessment Report which reviews our progress during 2022/23, we have learnt a great deal. The exercise has brought together a wide variety of evidence to assess our performance and review our Corporate Well-being Objectives. It has also highlighted and focused our attention on the challenges we face. These are important because we need to continue to adapt to meet these challenges in order to ensure our services are sustainable and continue to identify opportunities to raise performance levels, identify efficiency savings, or both.

We have built on the first Self-Assessment Report by including further information on the consultation and engagement undertaken during the year, highlighting the outcomes achieved from our activities and providing links to other key strategies and policies that link to, or support, the Self-Assessment Report.

The exercise provides an organisation-wide






view of performance. There are seven themes that we assess ourselves against:

- Exercising our functions effectively
- Using our resources economically, efficiently and effectively
- Ensuring our governance is effective
- Innovation and creativity
- Collaboration
- Involvement
- Risk Management

These themes are derived from a combination of the Statutory Guidance on the Local Government and Elections (Wales) Act 2021 along with the Sustainable Development Principle. They reflect the seven core activities of public bodies as defined in the Well-being of Future Generations (Wales) Act 2015. For each theme we assess whether we have plans and objectives in place, whether those plans and objectives are being delivered and whether they are sustainable over the longer-term. These form our Key Lines of Enquiry and the way in which we assess our overall performance.

The following pages provide a summary of the findings and scores from each theme. The scoring system used is aligned to the Council's Annual Governance Statement for consistency. The Council's Governance Framework is based on the CIPFA/SOLACE Delivering Good Governance in Local Government framework. It provides a Red-Amber-Green scale to indicate where performance is good and where further action needs to be taken, see diagram to the right.

## KEY TO ASSESSMENT

-  **GOOD**  
Overall considered to be good and meets best practice no further action required
-  **ACCEPTABLE**  
Minor adjustments may be required
-  **SATISFACTORY**  
Action required (before end of year 9-12 months)
-  **BELOW SATISFACTORY**  
Urgent action required (within 3-6 months)
-  **UNACCEPTABLE**  
Immediate action required

# SUMMARY OF 2022-23 PERFORMANCE

## EXERCISING OUR FUNCTIONS EFFECTIVELY

The Council's new Corporate Strategy for the period 2022 to 2027 was published in November 2022, setting out its new Corporate Well-being Objectives. The Council has a suite of key strategies in place to support and help deliver the Objectives. These include the Medium-Term Financial Strategy, the Through Age Well-being Strategy, and the Economic Strategy. During 2022/23 we updated our Engagement and Participation Strategy and published new strategies on Equity and Deprivation in schools and adopted the new Welsh in Education Strategic Plan. We are currently reviewing and rewriting our Procurement, Asset Management and Welsh Language Strategies, while our new Workforce Plan has been drafted and is currently going through the democratic process.

Progress in delivering these key strategies continues to be good. The Growing Mid Wales and Regional Skills Partnerships are good examples of this. During 2022/23, the updated Strategic Portfolio Business case was formally submitted to Welsh and UK Governments, which means that we are moving closer to receiving the first tranche of the £110m funding as part of the Growth Deal for the region, which is expected during the 2023/24 year.

Priority setting is also considered to be strong and positive work with the Council's new administration took place during the year to develop the new Corporate Strategy and Corporate Well-being Objectives. The new objectives are based on extensive consultation and research including the Ceredigion Assessment of Local Well-being.

Some other examples are the Through Age Well-being Programme objectives which were endorsed and strengthened through the Care Inspectorate Wales (CIW) inspection.

Outcomes from the Through Age Strategy are being strengthened as the programme continues to be implemented.

The relaunched business planning process has been further embedded, along with strengthening the 'golden thread', which shows how everyone's activities help to deliver the Corporate Well-being Objectives and maximise our impact on the national well-being goals.

There is a recognition that the Council's Strategies are constructed in-line with 5 Ways of Working which increases their level of resilience and sustainability.

The Council has an ambitious vision for the future, and the overall assessment is that the strategies in place are sustainable and consider the short, medium and long-term context.

However, like all local authorities, there are challenges to delivering these ambitions. There is limited capacity and resources available whilst demand from customers continues to grow. Although the Council has a track record of innovation and creativity in service delivery and seeking new ways of working, it is recognised that managing expectations on services is also important as we move forward. Keeping these strategies up to date is a key way of helping us achieve that by putting in place strong foundations from which to invest in new technology, find new ways of delivering services and maintaining performance levels.

Although it has been a positive start to our performance journey post COVID-19, we recognise there is still a lot of work to do, in particular completing the refresh of key strategies. The Procurement Strategy, Asset Management Strategy, Housing Strategy, Performance Management Framework and Corporate Risk Policy are all in the process of review and due for completion in 2023/24.

## SUMMARY OF SCORING BY THEME



Putting these plans in place provides a solid foundation from which to deliver an improved customer experience by working and delivering services in a different way.

During 2022/23 none of the 35 complaints made to the Public Services Ombudsman for Wales against the Council were upheld, however, the number of complaints per 1,000 residents referred to the Ombudsman was the highest across Wales. A half yearly report on complaints has been put in place along with the full annual report and are considered by the Council's Governance and Audit Committee.

Last year we reported on the challenges around obtaining regular benchmarking data. Since then, Data Cymru has developed a Self-Assessment Performance Tool which has been used in the production of this report. We

are working proactively with Data Cymru to help support the tool's ongoing development to strengthen the provision of nationally available benchmarking data. This longer-term action will be invaluable in helping to communicate the Council's performance and aligns with our long-term aim of becoming more performance and data-driven.

We recognise there is a lot of work to do around strengthening performance management and realising the benefits that it can bring. The first step is publishing the new Performance Framework that sets out the overall approach and standardised processes for managing performance in the Council, including the new Self-Assessment process. This work has been completed and the Framework is due to go through the democratic process in autumn 2023.

# SUMMARY OF 2022-23 PERFORMANCE

There are a number challenges facing all local authorities at the current time, such as local authority funding, recruitment in areas such as social care, the cost of living crisis and our ongoing work to tackle poverty in the County. To help us mitigate these challenges, we are continuing to monitor their impacts and adjust our action plans accordingly.

## USING OUR RESOURCES ECONOMICALLY, EFFICIENTLY AND EFFECTIVELY

The Council has strategies in place for its core activities of Workforce Planning, Financial Management, Procurement and Asset Management. The overall position is assessed as being good, particularly in relation to financial management.

Regulatory reports are positive, notwithstanding that there is further work to do to respond to Audit Wales' Planning service review report. This is evidenced by the unqualified audit opinion on the Council's accounts and the positive feedback from regulators at the Joint Regulatory Workshop in January 2023. This places the Council in a strong position to deliver the new Corporate Strategy and Corporate Well-being Objectives. During the budget setting process for 2023/24 there was unanimous approval from Members for the budget, which demonstrates a coherent approach towards funding resources to deliver front-line services.

Furthermore, the Hybrid Working Policy and home working arrangements are working well overall, and the Council continues to monitor progress and staff feedback closely.

Over the longer term, £60m of cumulative savings have been made since 2013, which has involved a major restructuring of all services.

The financial resilience of the Council is a strength, particularly when assessing the

sustainability of services. However, we recognise the ongoing budgetary challenges that exist and the impact that could have on the delivery of our ambitions. We also recognise that further work is required to maximise the expenditure and impact of the capital programme and we are addressing this through our Self-Assessment Action Plan.

Our learning has also shown that we need to ensure we update key strategies that will impact on our economy, efficiency and effectiveness. These include the Medium Term Financial Strategy which will be refreshed in the first quarter of 2023/24 and the revised Joint Procurement and Commissioning Strategy 2023-27 which is complete and will shortly go forward for approval. Work is also continuing on developing the new Asset Management Plan setting out how we will maintain our property portfolio and maximise the use of our assets.

In the last year the Council has made good and innovative use of its buildings to support new ways of working. Canolfan Rheidol in Aberystwyth for example, is now being used by Hywel Dda to provide outpatient physiotherapy services. The updated strategy will help in developing opportunities for those buildings no longer needed and in repurposing them for other uses or the delivery of improved services.

The other key challenge is the re-writing of our Workforce Plan. We recognise the challenges around recruitment and retention that are being experienced across the whole of Wales. This is important because recruitment to key posts is essential to delivering our ambitions. As a result, a new Workforce Plan has been developed to address these key challenges, including recruitment, retention and succession planning to ensure stable

## SUMMARY OF SCORING BY THEME



staffing levels, a sustainable workforce and that vacant posts are filled with appropriately qualified staff.

## ENSURING OUR GOVERNANCE IS EFFECTIVE

Overall, the evidence shows that the Council's governance arrangements are robust and supporting the work of the Council in delivering its Corporate Well-being Objectives and improving outcomes for residents. The Annual Governance Statement, Governance Framework and Code of Local Governance are all in place and relationships with regulators are productive.

Internal and external regulator reports evidence this. For example, the most recent Governance Review conducted in March 2023 provides high assurance that there is a

sound system of scrutiny and robustness in place. The 2022/23 Annual Governance Statement shows that good progress has been made during the year across the seven core principles of governance, and an action plan is in place to resolve a number of minor issues identified.

In the last twelve months, the robustness of the Governance and Audit Committee, in particular its role in challenging the Council, has been working well. It was also recognised that the Development Committee is also working well, although it is accepted that there is further work to do to respond to Audit Wales' Planning Service Review Report.

Ceredigion is also leading on complex work in relation to regional partnerships for Corporate Joint Committees (CJC) and Growing Mid Wales (GMW). The Mid Wales Corporate Joint



Committee has been set up and governance structures are in place.

**LONG-TERM INNOVATION AND CREATIVITY**

One of the Council’s strengths is its long-term innovation and creativity. The Council has a track record of embracing new ways of working and identifying new ways of delivering services to provide an enhanced customer experience, efficiency savings, or both.

The COVID-19 pandemic created windows of opportunity to learn from, to transform services and to bring about sustainable change and improvements. In essence, it allowed us to reconsider the way we work and reorganize it in a way that benefits the customer, the workforce, and has much less impact on our environment.

There are many examples of this, including the new hybrid working model that maintains the high level of service delivery whilst also providing employees with greater flexibility in balancing their work and home lives. Our learning shows that hybrid working has resulted in increased productivity, improved collaboration and provided a more flexible working environment to help maintain the health and well-being of the workforce. The sustainability of the organisation is also supported through a reduction in costs and overall expenditure per employee.

The Through Age Well-being Programme is transforming social care in Ceredigion. This is in response to the changing demographics of the County which has seen increased demand and greater financial pressure on services. Providing support for all ages and needs is a significant challenge for the Council with limited resources.

Many of the individual elements of Through Age Well-being are working well, for example the investment in accommodation for children

in care. The programme improves outcomes by maximising people’s independence and enabling them to remain in their own home and in their own community wherever possible. We will continue to push forward with transforming how people’s health, wellbeing and safety are supported in Ceredigion.

The Council also worked with partners as part of a multi-agency delivery group to support 90 Ukrainian families fleeing their country. The The Urdd Gobaith Cymru Gwersyll site at Llangrannog was the first Welcome Centre of its kind in Wales and received national acclaim. Refugees were supported and offered unique ‘wrap-around’ services.

In addition was the improvement actions identified by the Thriving Communities Overview and Scrutiny Committee in response to waste collection issues during the winter of 2022. Ceredigion was the first authority in Wales to put in place the missed refuse collections reporting, which is now being adopted by other authorities.

Good feedback was also received from Estyn and Welsh Government in supporting schools with digital innovation and collaboration across ICT. Ceredigion is also the only authority across the UK to have a full Lorawan rollout.

Other projects that demonstrate innovation are the setting up of the Well-being Centres across the County, the setting up of Warm Hubs and leading on the rollout of the Additional Learning Needs Code of Conduct systems in schools.

Looking ahead, the adoption of the Welsh in Education Strategic Plan (WESP) has the potential to be transformative for Welsh Language education in Ceredigion.

The investment in and nurturing the use of innovation and creativity in the organisation

**SUMMARY OF SCORING BY THEME**

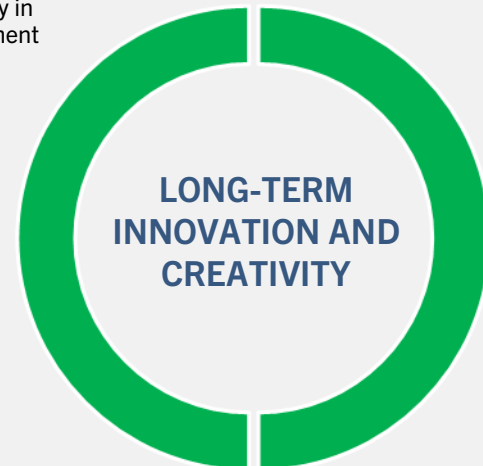
Does the Council work productively with its external regulators and demonstrate good compliance?



Does the Council have a comprehensive local code and governance framework in place for maintaining the corporate governance of the organisation?

How effective is the code and governance framework applied and observed?

Does the Council embrace innovation and creativity in its activities and implement transformation?



How effective have Council transformation projects been in identifying and implementing creativity and innovation across the organisation?

# SUMMARY OF 2022-23 PERFORMANCE

cannot be overstated. We recognise that tapping into this creativity is essential to the Council's overall performance and its long term sustainability. The Medium Term Financial Strategy highlights the future funding challenges for the Council. The response to the COVID-19 pandemic was good but the Council will need to identify further areas for alternative service delivery to ensure sustainability of services.

## COLLABORATION

The Council is proactive in engaging in local, regional and national partnerships. There are good examples of where this collaborative working is improving outcomes such as through Growing Mid Wales, the Mid Wales Regional Skills Partnership, and the Mid Wales Education Partnership.

During 2022/23, we have also worked jointly with Pembrokeshire County Council and Hywel Dda University Health Board in transforming the Contract Tracing Service set up to support the response to the COVID-19 pandemic to an All-Hazards approach to health protection. The Risk Share Oversight Group (RSOG) with Carmarthenshire and Pembrokeshire County Councils is also working well in supporting community cohesion and people with protected characteristics.

Nationally, the Council also led on, and completed, a project on behalf of Welsh Government to investigate using the Cyber Assessment Framework (CAF) for national critical infrastructure across all Welsh Local Authorities. The Cyber Assessment Framework provides a systematic and comprehensive approach to assessing the extent to which cyber risks to essential functions are being managed by the organisation responsible.

However, the Council focuses on engaging with partnerships which are beneficial for the

people and communities of Ceredigion, and where there are demonstrable benefits. The Council proactively engages in these partnerships and challenges the value of the arrangement if not, pursuing alternative arrangements where necessary. An example of this is in the decision to withdraw from Education through Regional Working (ERW) and instead pursue more effective arrangements through the Mid Wales Education Partnership. In these cases, a robust rationale is always provided to set out why it is not in Ceredigion's interests to pursue the partnership arrangement. This proactive approach to assessing the value of collaborative working is recognised as essential to maximising the impact of collaboration and improving outcomes for local people.

## INVOLVEMENT

In July 2022, the Council published its new Engagement and Participation Strategy to ensure compliance with new legislation and keep up to date with best practice.

The new Strategy puts plans in place to ensure the best methods are used to maximise engagement and deliver a consistent approach across the organisation. In doing so, the new Strategy will help ensure that all communities in Ceredigion have a voice, and that we actively seek the views and lived experiences of those groups whose voices are seldom heard. It also adds the new decision making and participation elements required by the Local Government and Elections (Wales) Act 2021.

Considerable work has been undertaken in embedding engagement and consultation best practice. This is particularly important following the COVID-19 pandemic period when our ability to engage and consult was compromised by the restrictions in place.

Some of this work includes a new

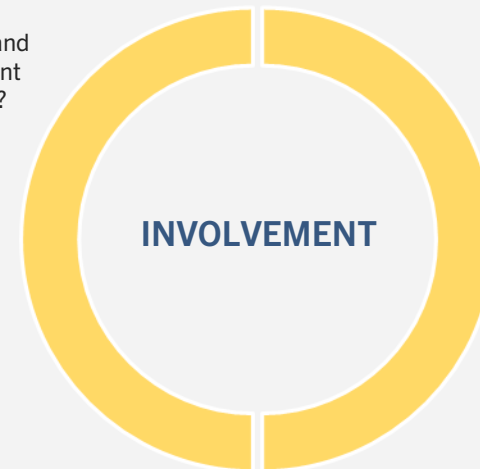
## SUMMARY OF SCORING BY THEME

Does the Council proactively engage in local, regional and national partnerships?



How effective are the partnerships in which the Council is invested in delivering their aims and objectives?

Does the Council have a comprehensive strategy and action plan for engagement and consultation in place?



How effectively does the Council use engagement and consultation feedback to review and improve its services?

engagement and consultation register, and an annual report on progress. The Strategy itself includes a detailed action plan which the Council is currently delivering. The outcomes from the Plan have not been fully realised yet but there are some actions still to be delivered such as the relaunch of Integrated Impact Assessments and the introduction of a performance measure around consultation.

There are still some areas to strengthen in moving forward, such as ensuring that consultation feedback is more widely disseminated and in recording respondents' lived experiences to further involve people in, and support, decision making. There are also concerns that there are a low number of responses to some key consultations which need to be increased to ensure they are statistically significant. There are plans in place to achieve this, such as the new E-Newsletter which should help encourage people to respond and the wider use of the Engagement HQ platform that provides new ways of engaging with the Council.

There are some good examples of engagement during 2022/23 where the results are being used to drive improvements and shape services. These include the consultation on the Welsh in Education Strategic Plan (WESP) which included a pupil friendly version which received a 100% response, the consultation on the Equity and Deprivation Strategy for schools which involved consultation with particular groups who were disproportionately affected, and further engagement on Traffic Regulation Orders which is being used to inform decisions around the measures. Further plans are in place for the year ahead which include the introduction of the Corporate Stakeholder Survey and the consultation on the second Well-being Centre.

The combination of these actions will help us demonstrate that we have listened and

considered the feedback from engagement and consultation. Overall, engagement and consultation is considered to be good in some areas, but there are areas where further work is needed. Work will continue to deliver the Engagement and Participation Strategy action plan over the next twelve months.

**RISK MANAGEMENT**

The Council's management of risk has developed well over the last three years. The Corporate Risk Register has developed into a 'living' and evolving document as risks change and new risks emerge. The Register is updated regularly, consistently includes a full set of updates and is reviewed regularly by Leadership Group and quarterly by Governance and Audit Committee. The level of understanding of individual risks has increased over time and the quality of scrutiny by the Governance and Audit Committee increased as a result.

We review the risk management process every three years and are in the process of conducting the latest review. Overall, the process is working well, but the review has identified a number of specific improvements needed. In particular, is the need for greater consistency in the management of service risks along with strengthening the process of escalation/de-escalation of risks to the Corporate Risk Register.

We have updated the Risk Management Policy, Strategy and Framework with a more effective way of managing service risks. The review also highlighted a series of other adjustments such as clarifying the role of Internal Audit and introducing the use of target risk scores. We are currently consulting on the updated Risk Management Policy, Strategy and Framework before seeking approval during autumn 2023. The updated Policy will aim to ensure our arrangements remain up to date and fit for purpose and

**SUMMARY OF SCORING BY THEME**



based on best practice.

As part of our drive to continually improve, we are also working with the Council's insurers, Zurich, to deliver workshops to support services in strengthening risk management. The Council has a good working relationship with Zurich and has regularly used them to provide training and an independent view on our approach to risk management.

**THE SELF-ASSESSMENT ACTION PLAN**

In response to these findings, we have identified a number of opportunities for improvement. Through consultation with Council services and elected Members, the actions we propose to take in response to this learning are contained in the action plan overleaf and are also reflected in services' business plans.

Most of the actions will be delivered over the next twelve months but some are longer term and will extend into the following year. The Action Plan retains previously completed actions as a log of progress on our self-assessment performance journey. The Plan builds on last year's action plan as our learning develops and as new opportunities are identified. All actions will continue to be monitored through to completion as part of our ongoing performance management arrangements and progress will be reported in the Self-Assessment Report.

We have prioritised the actions in order to lay the foundations for future work across the seven themes by ensuring the essential building blocks of our Key lines of Enquiry are met before developing further. We have already identified a list of emerging actions that we will reassess during the coming year and move into the live action plan if, and when, appropriate.

# SELF-ASSESSMENT ACTION PLAN: OPPORTUNITIES FOR IMPROVEMENT

DESCRIPTION	TIMESCALES	LEAD OFFICER	OUTCOMES
<b>PROVIDE A STANDARDISED AND EFFECTIVE METHOD OF ENGAGEMENT AND PARTICIPATION ACROSS THE COUNCIL AND ENSURE THE COUNCIL ENGAGES WITH THE PEOPLE OF CEREDIGION IN THE BEST AND MOST APPROPRIATE WAY</b>			
Publish the new Engagement and Participation Strategy to improve engagement and participation opportunities for Ceredigion's citizens and stakeholders	January 2023 - March 2024	Alun Williams (Corporate Lead Officer Partnerships, Performance and Public Protection)	<ul style="list-style-type: none"> <li>Provides a standardised and effective method of engagement and participation across the Council</li> <li>Ensures the Council engages with the people of Ceredigion in the best and most appropriate way</li> <li>Keeps the Council up to date with best practice in the field of engagement and consultation</li> <li>Citizens and stakeholders are involved in the decision making process and in shaping Council services</li> <li>Ensures Council resources are directed to priority areas, such as the current cost of living crisis, as identified through engagement and consultation.</li> <li>Ensures that the voices of all those in Ceredigion are heard</li> </ul>
<p><b>STATUS:</b> In Progress ●</p> <p>Ceredigion County Council is committed to engaging with its residents, service users and other key stakeholders. The new Engagement and Participation Policy has been developed and was approved by Cabinet in October 2022. The new Policy provides corporate direction and guidance to the Council's elected members and officers in order to bring engagement into the heart of the Council's work and to ensure that engagement activities are of a consistently high standard. Further developments will be made over the next twelve months include launching an engagement toolkit and ensuring that all consultation results are shared with decision makers.</p>			
<b>DELIVER WORKFORCE PLAN TO ENSURE THE COUNCIL HAS A SUSTAINABLE AND QUALIFIED WORKFORCE</b>			
Update and deliver the Workforce Plan to address key issues including recruitment, retention and succession planning to ensure stable staffing levels, a sustainable workforce and that vacant posts are filled with appropriately qualified staff. The Workforce Plan to be aligned with the Council's new Corporate Strategy for 2022-27.	January 2023 - March 2027	Geraint Edwards (Corporate Lead Officer People and Organisation)	<ul style="list-style-type: none"> <li>Ensures vacant roles are filled by appropriately qualified and experienced staff to provide a high quality customer experience and level of service</li> <li>Ensures that capacity exists in services to provide quality services</li> <li>Ensures the sustainability of services over the longer-term</li> <li>Allows us to identify and respond to changing customer needs</li> <li>Improves employee recruitment and retention</li> <li>Improves productivity and quality of service</li> </ul>
<p><b>STATUS:</b> In Progress ●</p> <p>A draft of the updated Workforce Plan 2023-28 has been produced and sets out the Council's approach to managing its workforce to meet its current and future service delivery needs. The Plan has been updated to address key issues including recruitment, retention and succession planning to ensure stable staffing levels, a sustainable workforce and that vacant posts are filled with appropriately qualified staff. The draft Workforce Plan was considered by Scrutiny in July 2023 and is scheduled to go to Cabinet for approval in September 2023.</p>			



DESCRIPTION	TIMESCALES	LEAD OFFICER	OUTCOMES
<b>DELIVER PHASE 2 OF THE THROUGH AGE WELL-BEING PROGRAMME TO TRANSFORM SOCIAL CARE IN CEREDIGION</b>			
Monitor and review progress of the Through Age Well-being Programme to ensure delivery of services that will deliver the outcomes of the programme and enhance the social, economic, environmental and cultural well-being of the people of Ceredigion	January 2023 - March 2027	Ricky Cooper (Corporate Lead Officer Porth Cynnal and Statutory Director of Social Services)	<ul style="list-style-type: none"> <li>Manages the increased demand and financial pressures on services to provide sustainable services in the future</li> <li>Ensures people get the right level and type of support at the right time</li> <li>Promotes positive health and well-being and supports people to self-support</li> <li>Strengthens families so that children and young people remain with their family</li> <li>Enables individuals to live independently in their own community</li> <li>Provides proportionate approaches to managed care and support</li> <li>Protects individuals and keeps them safe from abuse, harm and neglect</li> </ul>
<p><b>STATUS:</b> In Progress ●</p> <p>Work is continuing to deliver the Through Age Well-being Programme. In November 2022 the governance structure of the Programme was reviewed, and as a result, refreshed workstreams commenced, new supervision arrangements have been published, the new Quality Assurance Model has been approved, the Quality Assurance Team is being recruited to progress with thematic and case file audits, the data sharing strategy is being developed and the longer term solution to the end of the contract for the Wales Community Care information System (WCCIS) is under review by the Steering Group. The CIW inspection in February/March 2023 reflected positively on the Through Age Well-being model.</p>			
<b>DELIVER ASSET MANAGEMENT STRATEGY THAT IMPLEMENTS NEW WAYS OF WORKING FOR THE STAFF OF CEREDIGION COUNTY COUNCIL AND IMPROVES THE CUSTOMER EXPERIENCE</b>			
Update the Asset Management Strategy to reflect current issues, in particular supporting new ways of working and taking advantage of the opportunities that exist post COVID-19 to ensure sustainable and high quality services	January 2023 - March 2025	Russell-Hughes Pickering (Corporate Lead Officer Economy & Regeneration)	<ul style="list-style-type: none"> <li>Provides an updated and long-term strategy to manage the Council's physical assets</li> <li>Ensures efficient and effective use of council assets (funds, land, buildings, staff and information communication technology)</li> <li>Supports new ways of working post COVID-19 including the rationalisation of assets</li> <li>Provides a strategy to release efficiency savings and potential new income streams</li> <li>Ensures the Council's approach to asset management is fit for purpose and that services are sustainable</li> <li>Supports more joined-up and high quality services</li> </ul>
<p><b>STATUS:</b> In Progress ●</p> <p>The updated Asset Management Strategy is currently in the process of being developed and will reflect the new ways of working, the investment to improve the customer experience and the opportunities that exist post COVID-19 pandemic. The Council's approach to developing its portfolio of assets is underpinned by the Council's Corporate Strategy.</p>			

# SELF-ASSESSMENT ACTION PLAN: OPPORTUNITIES FOR IMPROVEMENT

DESCRIPTION	TIMESCALES	LEAD OFFICER	OUTCOMES
<b>ENSURE CAPITAL EXPENDITURE IS MAXIMISED AND UTILISED</b>			
Develop monitoring system to enable the Council to make full use of its capital resources and increase the proportion of capital expenditure in each year	January 2023 - March 2024	Duncan Hall (Corporate Lead Officer Finance & Procurement and Section 151 Officer)	<ul style="list-style-type: none"> <li>Ensures the Council's Capital Programme is delivered and spend maximised</li> <li>Supports partnership working with the Welsh Government on capital projects</li> <li>Supports the delivery of the Council's vision and Corporate Well-being Objectives</li> <li>Supports the reduction of long-term costs and increases in productivity</li> <li>Along with the revenue budget provides the resources to meet the delivery of the services' business plans</li> </ul>
<p><b>STATUS:</b> In Progress <span style="color: green;">●</span></p> <p>The Council continues to work to ensure that capital expenditure is maximised. Good use has been made in recent years of capital expenditure, including investment in key areas such as in county children's facilities, the establishment of Well-being Centres, Local Authority Care Homes and piloting for Technology-Enabled Care. A revised Multi Year Capital Programme for 2023/24 to 2025/26 was approved by Cabinet in July 2023. The Capital Programme continues to be reported to Cabinet detailing the outturn position and the amended programme for the next three years.</p>			
<b>SUPPORT LOCAL BUSINESSES AND THE LOCAL ECONOMY THROUGH IMPLEMENTING THE UPDATED PROCUREMENT STRATEGY</b>			
Update the Council's Procurement Strategy to support local businesses and the local economy, and to ensure the Council provides value for money in the use of its financial resources	January 2023 - March 2024	Russell Hughes-Pickering (Corporate Lead Officer Economy & Regeneration)	<ul style="list-style-type: none"> <li>Ensures procurement practices are up to date and fit for purpose</li> <li>Helps to achieve value for money by ensuring the Council spends its financial resources economically, efficiently and effectively</li> <li>Supports the identification of efficiency savings and eliminates waste</li> <li>Delivers savings by capitalising on the savings achievable through greater buying capacity of Local, Regional and National Frameworks</li> <li>Maintains high ethical standards of investment and purchasing</li> <li>Maximises the contribution towards sustainable development through the procurement of sustainable solutions</li> <li>Supports the delivery of the Council's vision and Corporate Well-being Objectives</li> <li>Supports local businesses, supply chains and development of the local economy</li> </ul>
<p><b>STATUS:</b> In Progress <span style="color: green;">●</span></p> <p>The revised and updated draft Joint Procurement and Commissioning Strategy 2023-27 is complete and will shortly be considered by the Council's Leadership Group before going to Cabinet in autumn 2023 for approval. The updated strategy is aligned to the Council's Corporate Strategy timescales and has been designed to specifically assist in the delivery of its new Corporate Well-being Objectives in accordance with the Well-being of Future Generations (Wales) Act 2015 through its procurement and commissioning. The Strategy builds on the Council's strengthened approach to procurement in recent years including the corporatisation of the procurement process, and reflects the situation post COVID-19 pandemic.</p>			

DESCRIPTION	TIMESCALES	LEAD OFFICER	OUTCOMES
<b>DEVELOP THE USE OF CUSTOMER SATISFACTION SURVEYS</b>			
Introduce regular customer satisfaction surveys such as the annual stakeholder survey	November 2023 - March 2025	All Corporate Lead Officers	<ul style="list-style-type: none"> <li>• Keeps the Council up to date with customer perceptions of services and the organisation at large as part of its ongoing engagement activity</li> <li>• Helps to identify areas for improvement to help raise performance levels or achieve efficiencies</li> <li>• Strengthens and develops the ongoing dialogue with customers and their perceptions</li> <li>• Provides a greater understanding of customer's needs, wants and priorities</li> <li>• Helps to strengthen local democracy through greater customer involvement in decision making and service design</li> <li>• Helps to identify where additional communication is needed to support customers and / or advertise services</li> <li>• Aids the Council's learning to improve the customer experience</li> </ul>
<p><b>STATUS:</b> New action ●</p> <p>Introduced a new Corporate Stakeholder Survey in the summer of 2023, asking a series of questions about the Council's overall performance, how performance is monitored and the progress being made in delivering the new Corporate Well-being Objectives. The survey closes on 31st August 2023 and the results will be presented to Leadership Group in September 2023. Other activities are being developed such as the possibility of including satisfaction surveys as part of customer contacts via the contact centre (CLIC).</p>			

# SELF-ASSESSMENT ACTION PLAN: OPPORTUNITIES FOR IMPROVEMENT

DESCRIPTION	TIMESCALES	LEAD OFFICER	OUTCOMES
<b>DELIVER THE RECOMMENDATIONS IN THE CIW INSPECTION OF SOCIAL SERVICES</b>			
Implement the ten recommendations made in the CIW inspection report to help the Council deliver its vision for the delivery of social socials across Ceredigion according to the Through Age Well-being model	May 2023 - March 2025	Ricky Cooper (Corporate Lead Officer Porth Cynnal and Statutory Director of Social Services)	<ul style="list-style-type: none"> <li>• Ensures that people’s voices are central to the work we undertake</li> <li>• Increases provision of respite for parents and carers and positively impacting on people’s outcomes</li> <li>• Ensures people are kept informed of how well social care services are being delivered in Ceredigion</li> <li>• Prioritises a sufficient and sustainable workforce with the capacity and capability to consistently meet statutory responsibilities</li> <li>• Ensures a standardised approach to supervision and oversight of practice</li> <li>• Ensures a competent and confident workforce</li> <li>• Provides a robust quality assurance framework</li> <li>• Ensures complaints are consistently responded to in accordance with the prescribed timescales</li> </ul>

**STATUS:** New action ●

An action plan has been formulated to respond to the recommended improvements outlined in the CIW report. The majority of these are already in progress as the issues identified were already being addressed before the inspection took place. The areas that the Council sought to improve were reflected in the evidence to the inspectors in advance of the inspection and the production of the final report. There were no areas of non-compliance identified during the inspection. The action plan was approved by the Council’s Cabinet in June 2023 and progress will be monitored after six months through the Healthier Communities Overview and Scrutiny Committee for a period of one year to maintain progress and track through to completion.

DESCRIPTION	TIMESCALES	LEAD OFFICER	OUTCOMES
<b>DEVELOP AND PUBLISH A NEW DIGITAL STRATEGY FOR CEREDIGION</b>			
<p>Develop and publish a new Digital Strategy to continue the development of Information Communication Technology and digital services across Ceredigion</p>	<p>September 2023 - September 2024</p>	<p>Alan Morris (Corporate Lead Officer Customer Contact, ICT and Digital)</p>	<ul style="list-style-type: none"> <li>• Provides a clear strategic vision to develop digital services</li> <li>• Ensures the Council has modern, stable and resilient Digital Infrastructure</li> <li>• Supports the delivery of the Council’s Corporate Strategy and Corporate Well-being Objectives, such as the drive to create well-connected communities through improved digital connectivity and digital services</li> <li>• Supports easier digital access to Council services and an enhanced customer experience</li> <li>• Supports the Council’s work to improve digital inclusion.</li> <li>• Support colleagues to make the best, fullest use of the tools and technologies available to them, developing high levels of digitally skilled collaboration</li> </ul>
<p><b>STATUS:</b> New action ●</p> <p>Ceredigion County Council is currently reviewing the impact of the previous strategy and consulting with stakeholder to understand needs, latest digital trends and issues to address. Later in the year, once these lessons and stakeholder engagements have been undertaken, we will produce a draft strategy for wider consultation.</p>			

# WHAT IS SELF-ASSESSMENT?

**The Local Government and Elections (Wales) Act 2021 introduced a new process for monitoring the performance of all local authorities, based on self-assessment.**

The new performance regime defines principal councils as 'self-improving organisations' through a system based on self-assessment and panel performance assessment. The new approach is intended to build on, and support, a culture in which councils continuously challenge the status quo and ask questions about how they are operating and how they can learn from best practice. A transparent and open self-assessment of a council will form a fundamental part of this approach.

Effective self-assessment provides reliable assurance both internally and externally to regulators and inspectorates and above all helps councils to continually learn and achieve sustainable improvement and better outcomes for citizens, service users and their own workforce.

There are five specific duties introduced by the Act:

- 1. Duty to keep performance under review**  
Ceredigion County Council has a duty to keep under review the extent to which it is fulfilling its 'performance requirements by determining the extent to which it is:
  - Exercising its functions effectively
  - Using its resources economically, efficiently and effectively
  - Ensuring its governance is effective for securing the above
- 2. Duty to consult on performance**  
Councils must consult a range of people at least once in every financial year about the extent to which they are meeting their

performance requirements. The statutory consultees are:

- Local people
- Other persons carrying on a business in the County
- The staff of the Council
- Every Trade Union which is recognised by the Council

- 3. Duty to report on performance**  
The Council must produce a self-assessment report each financial year. The report must set out its conclusions on the extent to which it met the performance requirements, and any actions it intends to take, or has already taken to further improve.
- 4. Duty to arrange a panel performance assessment**  
At least once in each election period, the Council must arrange for an independent panel to undertake an assessment of the extent to which the council is meeting the performance requirements and report its results. The Council is currently making preparations to undertake its first Panel Performance Assessment during 2024/25.
- 5. Duty to respond to a panel performance assessment**  
The Council must prepare a response to a Panel Assessment Report setting out
  - The extent to which it accepts the conclusions in the report
  - How it intends to follow any recommendations
  - Any further actions the Council intends to take to improve

performance

The purpose of the performance and governance provisions in the Act is to build on and support a developing culture in which councils actively seek and embrace challenge, whether presented from within the council, for example through scrutiny procedures, or externally. The provisions are designed to develop a framework which supports councils, through an ongoing process of review, to think about their performance and effectiveness now and for the future; to encourage more inquisitive organisations willing to challenge themselves to do more; and to be more innovative and more ambitious in what they do.

## Reflective Practice

For Ceredigion, the principles of self-assessment already form an integral part of its ongoing strategic and corporate governance arrangements.

We recognise the opportunity for self-reflection and constructive challenge. For example, this form of reflective practice is already an integral part of the Council's Business Planning and Annual Governance Statement, and already well-established in the Council. Reflective practice is a core element of the Council's overall performance management process, and focuses on evaluating *how we do things* and not just *what we do*.

We have taken a similar approach with Self-Assessment - reflective practice forms a key part of our Self-Assessment Workshops where we reflect on how we are currently operating, the challenges we face in the future and how we build sustainability into our activities moving forward.

**The Local Government and Elections (Wales) Act came into force in 2021**

**The Five Duties on Principal Councils are:**

**KEEP PERFORMANCE UNDER REVIEW**

**CONSULT ON PERFORMANCE**

**REPORT ON PERFORMANCE**

**ARRANGE A PANEL PERFORMANCE ASSESSMENT**

**RESPOND TO A PANEL PERFORMANCE ASSESSMENT**

# HOW WE CONDUCT SELF-ASSESSMENT

## Our Approach to Self-Assessment

Our approach to Self-Assessment is based on assessing ourselves against a set of Key Lines of Enquiry. "KLOEs" as they are sometimes referred to, are a series of relevant key questions that we ask ourselves as we work through the Self-Assessment.

The Key Lines of Enquiry approach is a tried and tested approach to conducting self-assessments in Local Government and across the wider public sector. It ensures we remain focused on the corporate or 'holistic' view of the Council's performance as required by the Act. It also provides the clarity of self-evaluation needed to help us identify opportunities for improvement, and in doing so, provides a strong audit trail to explain the actions we have undertaken in response.

The findings are recorded in our Self-Assessment Matrix document. The Matrix records the evidence demonstrating how we are currently performing, our ambitions for the future and the actions we need to take in order to achieve those ambitions. This document is used to identify the opportunities that exist for improvement and is used to develop our Self-Assessment Action plan. The Self-Assessment Matrix is available on request.

## Continuous Cycle

Self-Assessment is an ongoing process of improvement - throughout the year we conduct consultation in support of self-assessment, we collate evidence to inform our workshops, we deliver the actions in our Self-Assessment action plan and we monitor their progress towards completion. The Self-Assessment Report is the key output from the

process but the work on improving outcomes is an ongoing year round activity.

The diagram below summarises the main steps and timescales involved in conducting the Self-Assessment and the production of the Self-Assessment Report.

## Evaluation, Reflection and Identifying Opportunities

During April each year we bring together a wide variety of evidence to help us in assessing our current performance. This includes internal performance monitoring such as performance dashboards and complaints reports, regulatory reports from inspections and the results from consultation and engagement activities.

We undertake an exercise of reviewing the evidence to identify key findings - where performance has improved, where there are opportunities for improvement and what the key themes are from our consultation.

The findings from this exercise are

presented to Self-Assessment Workshops with the Council's Leadership Group and Overview and Scrutiny Coordinating Committee to help in assessing our performance.

The workshops are where we re-assess ourselves against the Key Lines of Enquiry, updating our evidence for each question and using this to identify actions for improvement. They review the evidence available to them and add their own perspective to provide updated scores for each question.

The findings workshops are collated by the Performance and Research Team. They produce the draft Self-Assessment Report by drawing on the evidence matrix, scores and the improvement actions identified in the workshop, along with other key sources such as key strategies and inspection reports.

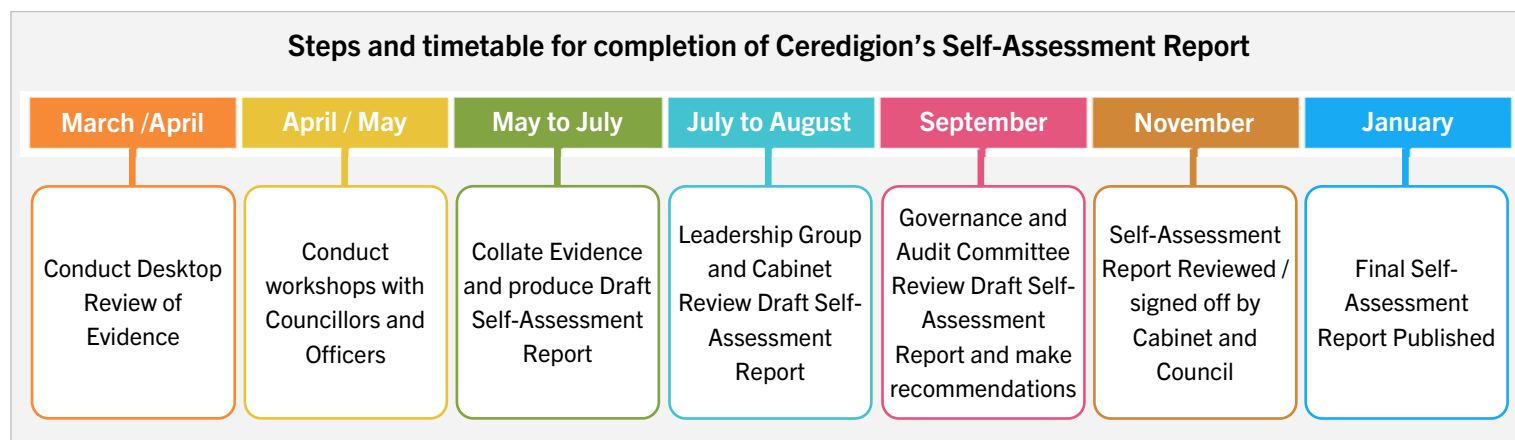
Part of the collation includes cross-checking the scoring with the evidence provided and seeking clarity on our conclusions where necessary. Gaps in evidence and understanding of our performance are also

highlighted, all of which is designed to ensure the process is robust.

By focusing on this, we can learn from our experiences and tap into the innovation and creativity that exists in the Council to identify opportunities to improve our performance, whether that's through raising performance levels, identifying efficiencies or improving customer satisfaction.

The Council's Governance and Audit Committee play a key role in the Self-Assessment process. They are responsible for reviewing the draft Self-Assessment Report and making recommendations for changes to the conclusions drawn or the actions the Council intends to take. The draft Report is reviewed by the Governance and Audit Committee in September.

The Self-Assessment Report is updated following the Committee's recommendations and the final report published in January and submitted to the statutory recipients.





# SELF-ASSESSMENT IN OUR PERFORMANCE MANAGEMENT FRAMEWORK

## Integration into the Council's Performance Framework

Self-assessment is not a standalone process, rather it is integrated as part of the Council's ongoing corporate planning and performance management arrangements. The diagram below demonstrates how self-assessment fits into our overall performance framework.

It is integral to driving Business Planning and Risk Management, and in turn draws on the outcomes from monitoring business plans and the corporate risk register to evaluate our current performance and complete the self-assessment. It is, in essence, a two-way communication between each pillar of the Performance Framework.

The timing of Self-Assessment is also important. It has been timed to transparently inform and influence the Council's strategic planning, financial management and budget process, risk management reviews, improvement planning and ongoing performance management. For example, the publication of the Self-Assessment Report in November ensures it is prepared in time to drive the annual business planning and target setting process in the final quarter of each year between January and March.



## Self-Assessment in the Wider Performance Framework

Ceredigion has a long history of using self-assessment to good effect in identifying innovative ways of delivering services, most recently in the 'Through Age Well-being Programme' being implemented to transform the delivery of social care in the County over the next five years.

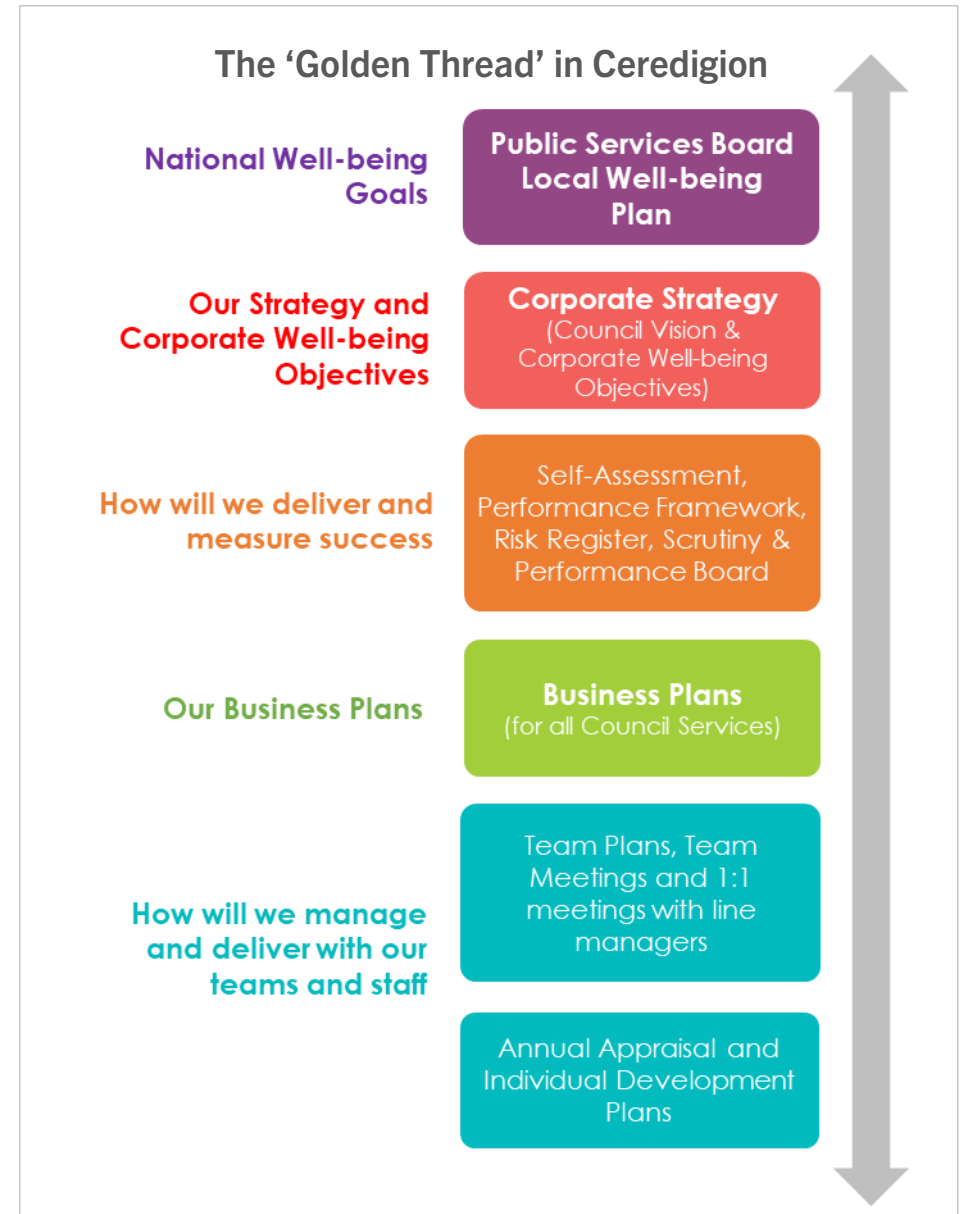
It is also an integral part of operational performance and used in the setting of annual business plans for each service. We all recognise that capacity is at a premium and demand is high, and as a result effective business planning has never been so important to ensure we are delivering 'the right services in the right way'. Having the opportunity to 'reflect' on past and current performance is crucial to understanding our strengths, weaknesses and opportunities. This form of reflective practice is critical in helping us determine our actions and priorities for the years ahead.

### The Golden Thread

The Council uses a 'Golden Thread' diagram (shown right) to show the links between its key strategies and plans. It describes the flow of information from national and regional priorities for improvement contained in the Local Well-being Plan and Corporate Strategy, through to individual services, teams and members of staff in the Council responsible for delivering them.

A strong Golden Thread is important as it shows how each level of planning and action contributes to the next level, and how each role within the Council contributes towards achieving Ceredigion's Corporate Well-being Objectives.

Self-Assessment occupies a key place in the Golden Thread as the way in which we measure success and drive performance improvements, along with Business Planning and management and risk.





# MANAGING OUR PERFORMANCE

## Our Performance Journey

Put simply, performance management is taking action in response to actual performance and predicted performance to make outcomes for the people of Ceredigion better than they would otherwise be.

Over the last four years, Ceredigion's approach to performance management has been revitalised and updated. Since then, good progress has been made in building a strong performance management culture across the organisation and preparing for the Self-Assessment performance regime introduced by the Local Government and Elections (Wales) Act 2021.

This is reflected in the new business planning process, the relaunched Performance Board and the positive feedback on the Council's approach to self-assessment. The new legislation emphasizes the importance of embedding a strong performance management culture and achieving this is the overriding principle of the Council's ongoing performance journey.

The learning during the COVID-19 pandemic has created the opportunity to bring about sustainable change and improvements through new ways of working and investing in new technologies to deliver high quality services in an efficient and environmentally friendly way.

The Council has a track record of innovation and over the next five years it will continue to develop this innovative approach and move to more agile and smarter ways of working. Performance management will play a key role

in this transformation.

## Who is Responsible for Performance Management?

Performance management is everyone's responsibility – everyone has a role to play in delivering business plan objectives, tasks and measures which support the delivery of the Council's Corporate Well-being Objectives and its overall vision.

## Performance Management Framework

To ensure we achieve this, we have a new Performance Management Framework in place which allows us to regularly review and track progress, check how we are performing and ensure we are delivering the Corporate Wellbeing Objectives and improving outcomes for the people and communities of Ceredigion.

The Performance Framework operates alongside the overall structure of Corporate Strategy, Medium Term Financial Strategy, Corporate Well-being Objectives, Annual Governance Statement and Programme/ Project Management.

It is part of the Council's corporate planning process and ensures a consistent understanding of the principles of performance management, and how they are applied in Ceredigion.

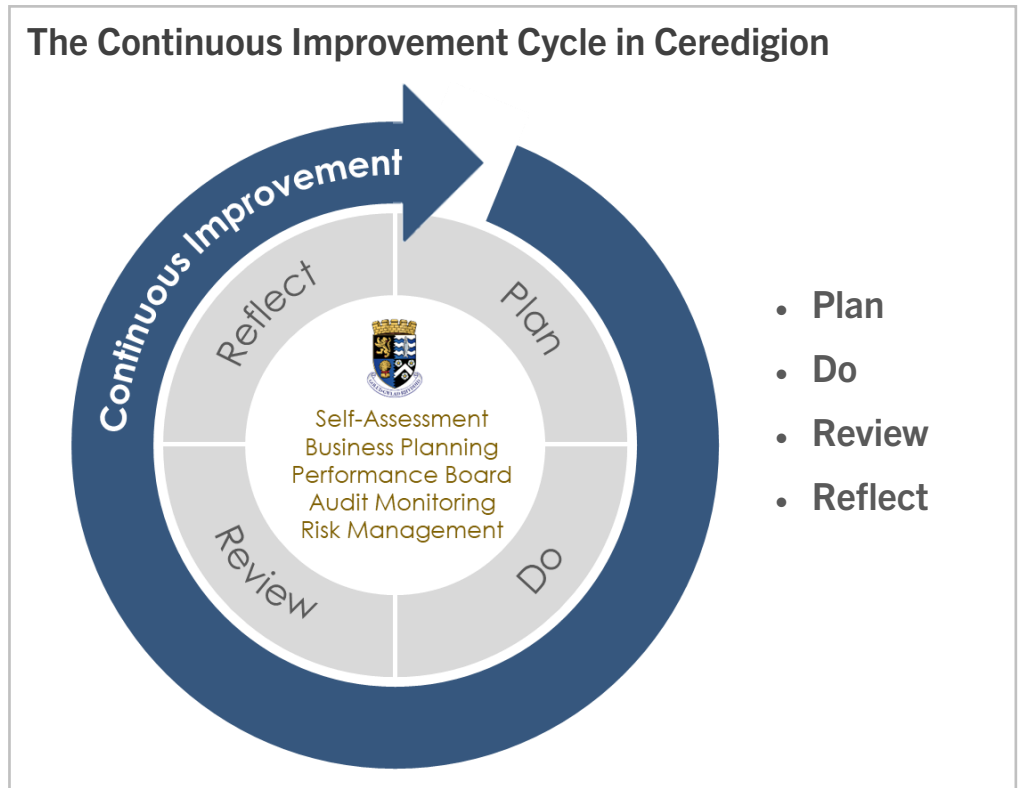
## The Continuous Improvement Cycle

Our overall approach to performance management is based on a continuous cycle of improvement, following the industry recognised Plan-Do-Review cycle as shown in the diagram below. This cycle is underpinned by the following steps:

- **Plan** our activities to deliver our vision and Corporate Well-being Objectives
- **Do** or deliver the activities

- **Review** our progress regularly to assess whether we are delivering our objectives
- **Reflect** on how we are delivering our activities to identifying opportunities for improvement, efficiencies, or both

Performance Management is a high priority in Ceredigion. The Council is committed to continuous improvement, regularly seeks citizen's views and undertakes self-evaluation to identify opportunities for improvement.



# EVIDENCE-BASED ASSESSMENT

Ceredigion strives to be an evidence and data driven organisation. A wide variety of evidence has been used in assessing our performance and in the production of this report.

These sources are split into three categories which help us check that our conclusions are correct and provide an accurate picture of our current performance.

The three categories are the **internal evidence** available to us through key strategies and internal monitoring, such as the Medium Term Financial Strategy, our Annual Governance Statement and complaints monitoring. This provides us with an internal view of how the organisation is performing.

We also draw on the extensive **regulatory and external evidence** that exists. This includes inspection reports from Estyn, Care Inspectorate Wales and the ongoing work conducted by Audit Wales. This provides us with the regulatory or external view of how we're performing from independent bodies.

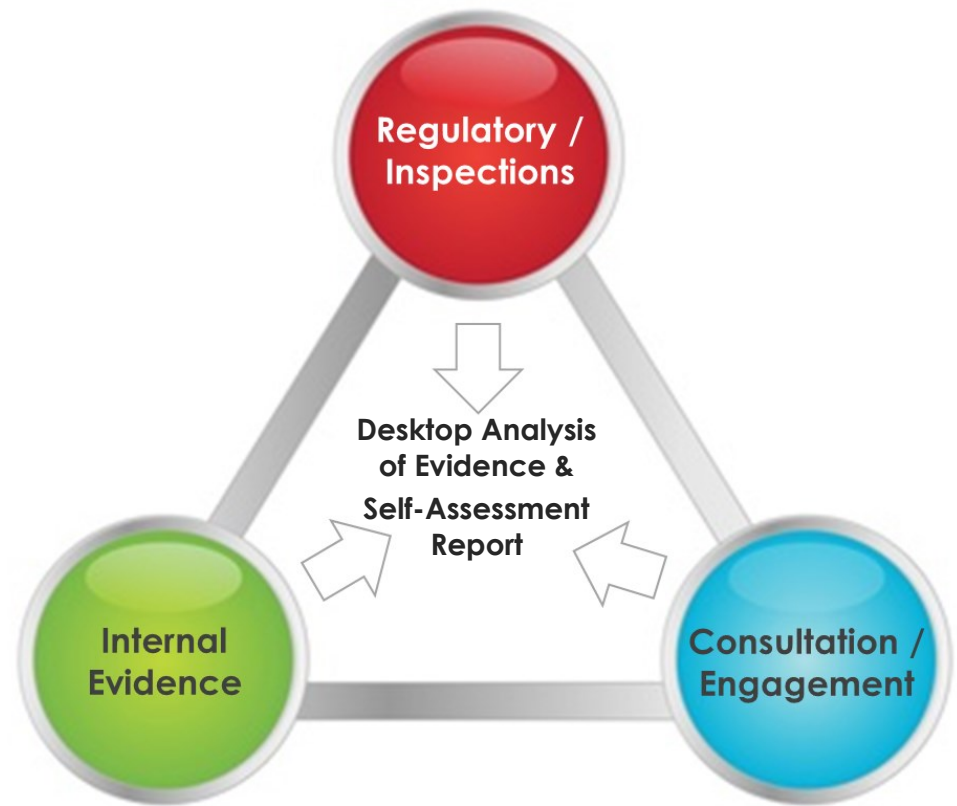
The third category of evidence is the **consultation and engagement** undertaken on an ongoing basis. This records the views of all stakeholders in Ceredigion, including citizens, businesses, council staff and Trade Unions, offering the perspective of those receiving services from the Council.

The Council has an ongoing process of

engagement and consultation in place throughout the year which is used to record residents' views on a variety of Council functions (see pages 22-27).

These three categories of evidence help us 'triangulate' or check that the conclusions we draw are robust by allowing us to compare the key findings from each and ensure they align before producing the Self-Assessment Report. This relationship is shown in the diagram opposite, where the evidence equally feeds into the desktop analysis and ultimately the self-assessment report.

## Types of evidence used in conducting self-assessment



# CATEGORIES OF EVIDENCE

## Data Quality

Every stage of the self-assessment and wider performance management process relies on evidence and data to allow the Council to make judgements on what Ceredigion's needs are, what its customers' needs are, what it has achieved, and how it compares. It is therefore vital that all this information is based on high quality, reliable, and timely data to ensure that the judgements that based upon it are sound.

Our performance framework supports this by helping to ensure the provision of complete, accurate and timely data used in internal monitoring and published externally to communicate the Council's progress in delivering its vision and Corporate Well-being Objectives to the public and stakeholders.

The table opposite provides a list of the types and sources of data that are taken into account in Ceredigion's self-assessment, and split by category type. ►

## Sources used in conducting the Self-Assessment and Review of Well-being Objectives

### INTERNAL EVIDENCE



- Corporate Strategy
- Medium Term Financial Strategy
- Statement of Accounts
- Annual Governance Statement
- Overview and Scrutiny Committee Feedback and Reports
- Director of Social Services Annual Report
- Quarterly Performance Dashboards
- Business Plan Monitoring
- Corporate Strategy Dashboard
- Self-Assessment Dashboard
- Corporate Risk Register
- Internal Audit reports
- Compliments, Comments & Complaints Reports
- Performance Measures Results
- Previous Self-Assessment Reports
- National Survey for Wales Results
- Council Tax / Collection Rate
- Digital Skills Audit 2022
- Review of Hybrid Working Arrangements

### REGULATORY & EXTERNAL EVIDENCE



- Audit Wales Annual Improvement Report
- Care Inspectorate Wales Annual Performance Report
- Audit Wales Review reports
- Care Inspectorate Wales (CIW) reports
- Estyn inspection reports
- Public Service Ombudsman Wales (PSOW)
- Panel Performance Assessment (PPA)
- Future Generations Commissioner Reports
- Ceredigion PSB Annual Report
- Ceredigion PSB Assessment of Local Well-being
- West Wales Population Assessment
- Data Cymru
- StatsWales
- National Well-being Indicators

### CONSULTATION & ENGAGEMENT



- Consultation Feedback reports incl.
  - Annual Stakeholder Consultation
  - Childcare Sufficiency Assessment
  - Engagement and Participation policy
  - Maternity and Early Years Strategy
  - Ceredigion Corporate Strategy
  - Local Well-being Plan
- Engagement exercises including:
  - Development of Regional Investment Plan to deliver UK Shared Prosperity fund
  - Mid Wales Employment and Skills survey
  - Flooding at Llanybydder, Llandysul and Pont-Tyweli
  - Post-16 education
  - Crime and Disorder Strategic Assessment
    - Future uses in Council Buildings
- Regional Well-being Survey
- Engagement with stakeholder groups including Disability Forum, Older Persons Forum
- Ceredigion Budget Challenge
- Trade Unions monthly meetings
- Staff New Ways of Working surveys
- Staff Health and Well-being Surveys

# LEARNING FROM CONSULTATION AND ENGAGEMENT

## Consultation and engagement with stakeholders is a core theme throughout our self-assessment process and wider performance management approach.

It is an integral part of the evidence used in our performance management and will continue to play an even greater role as we explore opportunities for improvement with a variety of individuals and groups across the County.

It's important that we give residents and stakeholders the opportunity to tell the Council about their own vision for their communities and about what they want in terms of service provision.

Our new [Engagement and Participation Policy](#), that was approved in October 2022, sets out how we will talk and listen with all of those who live, work or study in Ceredigion, including people whose voices are seldom heard.

Our legal duty to consult is set out in various pieces of legislation, including:

- The Well-being of Future Generations (Wales) Act 2015 – the Council must involve people with an interest in achieving the National Well-being goals.
- The Local Government and Elections (Wales) Act 2021 – the Council must encourage public participation in our decision making.
- The Welsh Language Measure 2011 –

the Council must ask the public for their views on the impact that our decisions will have on the Welsh Language.

- The Equality Act 2010 – the Council must involve and engage with people who share Protected Characteristics.
- The Local Authorities' Traffic Orders (Procedure) (England and Wales) Regulations 1996 – the Council must consult with organisations specified in the Regulations and must inform people that are likely to be affected by a traffic order.
- School Standards and Organisation (Wales) Act 2013 – the Council must comply with the School Organisation Code which outlines the principles that should be taken into account when proposing to make changes to school provision.

Where more feedback is needed from particular groups, we adjust our approach during the year to target those areas and ensure that all of Ceredigion's communities are involved. We engage with the many groups and organisations that represent specific groups in the county, and in particular to ensure that the voices of those seldom heard are indeed heard.

It's not just about our legal duty, however, as engaging and consulting

with the public gives us better information to help our decision making. This can lead to better outcomes for our residents.

There is no 'one size fits all' solution to engagement. We aim to use the best type of engagement for the right situation.

Continuous engagement is achieved through an ongoing conversation between the Council and our local communities. Sometimes a targeted engagement or consultation exercise is the best method. In other instances, the Council has a legal duty to follow a specific process to inform the public and provide opportunity for feedback.

A lot is being done to engage with residents and stakeholders, Feedback on our engagement and consultation campaigns is usually presented to Cabinet meetings

Discussion sessions, thematic workshops, meetings with key stakeholders and face to face drops ins are also offered, particularly where feedback is sought from a specific cohort, for example the Youth Council, or in a specific place, for example flooding in Llanybydder, Llandysul/Pont-Tyweli.

In 2022/23 we have benefitted from some important engagement events that provide a unique insight into the views of citizens and stakeholders.

These include the Corporate Strategy

during September to October 2022, in which residents told us their views on the new Corporate Well-being Objectives, and the Future Use of Council Offices consultation in December 2022 to January 2023 which asked about how best to use the main Council offices in the future. Both of these have been used in the production of this report.

## Trade Unions

Monthly meetings are in place between the Council and recognised Trades Unions. These are chaired by the Corporate Lead Officer for People Organisation and provide a consultative forum to engage in and help steer direction for workforce matters and individual concerns around wellbeing and conduct. This ongoing dialogue is important to the Council through ensuring staff have a voice and to build on the intelligence gained from our staff surveys and consultations.

As part of the self-assessment, we met with the Trade Union representatives to outline the process and their role as statutory consultees. No specific issues have been raised by the Trade Unions at this point, although this is likely to develop as the process becomes increasingly embedded. Working in partnership with our Trade Unions is critical to the successful delivery of Workforce Plan, and feedback on the Council's performance can be provided at any time.



### Staff Consultation

Ceredigion has a strong history of keeping staff informed and measuring staff sentiment, even before the COVID-19 pandemic and the adoption of the new ways of working initiative. In 2022/23 staff engagement took place in the form of the Interim Hybrid Working Policy to record views on the new working arrangements, the latest annual Health and Well-being Survey to record staff sentiment across a range of issues from their well-being to working arrangements, and the New Ways of Working Project Hybrid Working Review in March 2023 to record feedback on the effectiveness of the new hybrid working arrangements. Some of the regular surveys undertaken to ensure the Council engages with its staff are listed below. The findings from these exercises have been used in the self-assessment.

- IT Working From Home Survey (June 2020)
- Coronavirus Health and Well-being Survey (November 2020)
- The Way We Work Staff Survey (March 2021)
- Interim Hybrid Working Policy Staff Survey (July 2022)
- Health and Well-being Survey (February 2020)
- Employee Health and Well-being Pulse Survey (November 2021)
- Employee Health and Well-being Survey (December 2022)

- NWOW Project Hybrid Working Review

We welcome your views on our Self-Assessment Report, the Council's Corporate Well-being Objectives and our current performance. We would also like to know how you, your family and your community have been affected by our work to improve well-being for everyone in the county.

### Public Engagements

Seven targeted engagement exercises were undertaken during 2022-23. Some were run by the Council alone and some were run in partnership with others as we try and reduce 'consultation fatigue'. Feedback from these exercises will contribute to the development of future plans and strategies. Details of these exercises are contained overleaf.

# CORPORATE STAKEHOLDER CONSULTATION

During 2023 we ran our first in an ongoing series of 'Stakeholder Surveys' to support self-assessment and the council's ongoing performance journey.

It allowed us to check in with residents, businesses and other stakeholders such as community groups, on a variety of issues such as progress against our corporate well-being objectives, the priorities moving forward and the way in which we monitor and measure performance.

The first of these was run during the summer of 2023 and the results will be used to inform the next round of self-assessment.

Your views are important to us. We welcome your views on this report, our performance and the actions we are delivering at any time. Please use the contact details on the back cover of this report to get in touch or look out for the annual stakeholder surveys.



## Have your say on Ceredigion's Wellbeing Objectives

Closing date: 31 August 2023

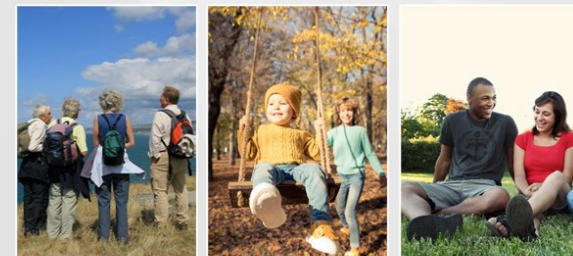


### CONTACT US

**Email:** [clic@ceredigion.gov.uk](mailto:clic@ceredigion.gov.uk)

**Post:** Performance and Research  
Canolfan Rheidol  
Rhodfa Padarn  
Llanbadarn Fawr  
Aberystwyth  
Ceredigion  
SY23 3UE

**Telephone:** 01545 570881



# ENGAGEMENT EXERCISES IN 2022/23

Title of Activity	Description	Response	What next
<b>Development of Regional Investment Plan to deliver UK Shared Prosperity fund (May/June 2022)</b>	Growing Mid Wales (Ceredigion County Council and Powys County Council) ran an internal and external engagement exercise to invite views on how the UK Shared Prosperity Fund should be used over the next 3 years.	176 responses to an online survey plus over 150 stakeholders who attended a webinar and 20 member organisations of the Growing Mid Wales Partnership.	Responses were used to help shape the high-level priorities of the Mid Wales Regional Investment Plan 2022-25. The Plan provides guidance to local businesses and organisations who wish to apply for funding from the UK Shared Prosperity Fund.
<b>Flooding at Llanybydder, Llandysul and Pont-Tyweli (June - August 2022)</b>	Highways and Environmental Services ran a 12-week engagement run in partnership with National Resources Wales and Carmarthenshire County Council to seek views of the public to get a better understanding of the impact that flooding has on the communities.	124 (58: Llanybydder and 66: Llandysul/Pont-Tyweli).	Responses will feed into the next stage of the work and form part of decision making that Natural Resources Wales and Welsh Government will undertake to design and implement any flood risk reduction scheme.
<b>Mid Wales Employment and Skills survey (July - September 2022)</b>	A 7-week engagement run by the Mid Wales Regional Skills Partnership (Ceredigion County Council and Powys County Council) to inform the Mid Wales Employment and Skills Plan 2022-25.	69 (73% from Powys / 27% from Ceredigion)	The Mid Wales Employment and Skills Plan 2022-25 was launched in March 2023. The Plan identifies key sectors and skills and priorities for regional investment to support jobs and growth in the Mid Wales region.
<b>Post-16 education (October 2022)</b>	Schools and Culture ran a 4-week engagement with businesses, parents, primary and secondary school pupils and university students. Respondents were asked for their views about the range of courses and type of provision needed for post-16 learners.	1,307 to the online survey.	Responses will feed into the review of post-16 provision in Ceredigion.
<b>Future uses in Council Buildings (December 2022/ January 2023)</b>	Economy and Regeneration ran an 8-week engagement with the public to ask for their views on how best to use the main Council offices in the future.	533 (508 to the online survey and 25 to a paper version). Additional responses also received via Clic	Feedback will be considered, alongside feedback from Council staff and data on the use of desks and meeting rooms in pilot hybrid office areas.
<b>Crime and Disorder Strategic Assessment (January – March 2023)</b>	Ceredigion Community Safety Partnership ran an 8-week engagement to gather views about crime and disorder in the county	89 responses to the online survey, 3 responses on a paper survey and 9 responses from a Ceredigion Youth Council event.	Responses will inform the Ceredigion Community Safety Delivery Plan which aims to protect local communities from crime and to help people feel safer.
<b>Ceredigion Dementia Action Plan (Feb/March 2023)</b>	Our Through Age Well-being programme ran a 6-week engagement with the public, with particular emphasis on older people, to establish how we are doing and what we can do to improve the lives of people living with dementia and those who care for them.	35 from the online survey plus 10 from drop-in sessions at 6 locations across the county. Additional responses were collected from face-to-face visits to 5 groups/care homes, focus sessions with service providers and 55 x one to one video calls.	Responses will feed into the development of a Ceredigion Dementia Action Plan.

# CONSULTATION EXERCISES IN 2022/23

Five consultation exercises were undertaken to obtain public feedback on specific plans or proposals. Results of the consultation exercises were presented to Cabinet alongside the final plan or policy. All approved plans and policies are now

published on the Council website (apart from the Maternity and Early Years Strategy for Mid Wales which will be presented to Cabinet on 06/06/23).

Title of Activity	Description	Response	Impact of the Consultation
<b>Childcare Sufficiency Assessment report (May/June 2022)</b>	Schools and Culture ran a 4-week consultation to seek the views of interested parties on the draft Childcare Sufficiency Assessment report. The draft document was based on the results of an extensive assessment of the availability of childcare in Ceredigion.	17	People generally agreed with the content of the Childcare Sufficiency Assessment. This is probably due to the extensive consultation undertaken in 2021-22 to inform the assessment report. The action plan was developed in line with the original document.
<b>Engagement and Participation policy (July-Sept 2022)</b>	Policy, Performance and Public Protection ran an 8-week consultation to seek the views of interested parties on how the council should engage with the public and to ask for feedback on the draft Engagement and Participation policy.	112	The final policy was amended in response to the feedback received.
<b>Maternity and Early Years Strategy for Mid Wales (July/August 2022)</b>	A 13-week regional consultation was run by Carmarthenshire, Ceredigion and Pembrokeshire Local Authorities and Hywel Dda University Health Board to seek the views of interested parties on this strategy which focusses on integrated support in the first 7 years of a child's life.	137	Amendments were made to the strategy based on feedback received.
<b>Ceredigion Corporate Strategy 2022-27 (August/September 2022)</b>	Policy, Performance and Public Protection ran a 5-week consultation to seek the views of Ceredigion residents on Ceredigion Council's draft Corporate Strategy and steps we'll take to achieve our proposed Corporate Well-being Objectives over the next 5 years.	51	Amendments made as a result of the consultation were incorporated into the final document.
<b>Ceredigion Public Services Board Local Well-being Plan 2023-28 (October 2022-January 2023)</b>	Ceredigion Public Services Board ran a 14-week consultation to seek feedback from the public on the content of the draft Local Well-being Plan for Ceredigion. The draft Plan was based on the results of an extensive assessment, including consultation, carried out in 2021-22 on the state of well-being in Ceredigion.	34 completed surveys, plus feedback from focus sessions with 16 schools and Ceredigion Youth Council. 7 detailed responses from local and national organisations and 15 responses on the ideas wall on 'Have your Say'.	Comments and feedback were incorporated into the final document and will also enhance the development of the detailed delivery plan.

## INFORM EXERCISES IN 2022/23

In some instances, the Council has a duty to inform the public about a proposal and provide a way for interested parties to respond. Four 'inform' exercises took place during the period.

Title of Activity	Description	Response
Application for the Registration of Erw Goch Field	All correspondence, including minutes of Cabinet meetings relating to this matter, are listed on the Council website	2
Experimental Traffic Regulation Orders (ETRO)	Two ETRO's were made to retain and amend a number of traffic management measures that were previously introduced during the Covid -19 pandemic in Aberaeron, Aberystwyth, Cardigan & New Quay via Temporary Traffic Regulation Orders.	34, plus discussions with the Disability Forum
Architect Plans for Aeron Valley Community Area School	An open evening was held at Theatr Felinfach campus for people to view the architect plans which were also available on the Council website.	48
Aberaeron Secondary School Footpath closure	A copy of the Traffic Regulation Order, responses, and comments on responses from the Council are listed on the Council website. All respondents also receive a written response from the Council.	8

## CORPORATE STRATEGY CONSULTATION

One example of consultation undertaken was on the Council's new Corporate Strategy covering the period 2022 to 2027. This document is important because it sets out the Council's new Corporate Well-being Objectives (corporate priorities) in moving forward. Stakeholders were asked a series of questions about the Strategy between September and October 2022. Although we recognise that the consultation produced a low number of responses, the responses are crucial to understand what is and remains a priority for Ceredigion.

Overall, there was a high degree of support for the Corporate Well-being Objectives and the written comments where respondents highlighted themes relevant to them, align closely to the ambitions and the steps in the Strategy. The diagram opposite demonstrates this.

### WHAT YOU TOLD US



**78%**

Agree or strongly agree with the Boosting the Economy Objective (6% disagree or strongly disagree)



**75%**

Agree or strongly agree with the Creating Caring and Healthy Communities objective (8% disagree or strongly disagree)



**71%**

Agree or strongly agree with the Providing the Best Start in Life objective (4% disagree or strongly disagree)



**73%**

Agree or strongly agree with the Creating Sustainable, Greener and Well-connected Communities objective (2% disagree or strongly disagree)



# CORPORATE STRATEGY CONSULTATION

WHAT YOU TOLD US	HOW OUR CORPORATE STRATEGY ALIGNS
<b>Support for businesses, SME's and new start-ups</b>	<ul style="list-style-type: none"> <li>Continue to develop the £110m Mid Wales Growth Deal</li> <li>Supporting Ceredigion's UK Shared Prosperity Fund bid</li> <li>Support the development of the Smart Towns project in Cardigan in our other Ceredigion towns</li> </ul>
<b>Digital connectivity for all, not just a percentage</b>	<ul style="list-style-type: none"> <li>Support the roll-out of 4G Broadband</li> </ul>
<b>Environmental impact from development and economic growth</b>	<ul style="list-style-type: none"> <li>Enable initiatives and mitigation measures to help with the resolution to the phosphates and nutrient ecological issue in the Teifi Valley and other catchments</li> <li>Pursue the Ceredigion Local Development Plan</li> <li>Prioritise locally-sourced produce and supply chains in council business</li> </ul>
<b>Leisure facilities and opportunities for young people</b>	<ul style="list-style-type: none"> <li>All children and young people have opportunities to access after-school, evening and weekend activities, including opportunities for freely chosen self-directed Play and that these services are registered to enable parents to access financial support</li> <li>Support pupils and families to access local youth clubs, social groups and organised activities</li> </ul>
<b>Active travel opportunities particularly walking and cycling</b>	<ul style="list-style-type: none"> <li>Provide modern, accessible and inspiring leisure facilities across all three areas of Ceredigion (north, mid and south)</li> <li>Encouraging people to Get Physically Active so they can benefit from positive health and wellbeing</li> <li>Introducing an improved membership package for use of council operated leisure facilities</li> <li>Providing outreach physical activity opportunities outside of the county's towns</li> </ul>
<b>Challenges facing provision of social care</b>	<ul style="list-style-type: none"> <li>Pursue the building of a new nursing home in the Aberystwyth area and fully provide for the nursing care needs of our population</li> <li>Support the aspiration of creating a National Care Service for Wales</li> <li>Progress the Through Age Delivery Model providing 70% of services within universal and early help services, 20% in Assessment and short-term services and 10% in Specialist services</li> </ul>

WHAT YOU TOLD US	HOW OUR CORPORATE STRATEGY ALIGNS
<b>Learning opportunities for adults and older people</b>	<ul style="list-style-type: none"> <li>Develop through the Regional Skills Partnership, Economy and Regeneration, and LL&amp;S a robust employer forum</li> <li>Develop online/ social connectivity and pop-up events to market roles/ sectors within Ceredigion</li> <li>Undertake a review of post-16 education and implement the approved recommendations</li> <li>Continue to develop the E-sgol provision</li> <li>Ensure that the UK Shared prosperity fund is utilised on identified projects to develop appropriate skills to support the local economy</li> </ul>
<b>Connecting communities via active travel routes</b>	<ul style="list-style-type: none"> <li>Securing increased funding for the delivery of a wide range of active travel improvements</li> <li>Campaigning for active travel routes alongside the whole length of our trunk roads</li> <li>Pushing for our smaller towns and rural areas to be included in Welsh Government's criteria for funding active travel routes.</li> </ul>
<b>Public transport improvements and high costs</b>	<ul style="list-style-type: none"> <li>Support the Bwcabus on-demand service in our rural communities subject to continued and increased Welsh Government funding opportunities</li> <li>Make the case strongly for any Welsh Government ambitions to franchise public transport routes to include small locally-based bus companies</li> <li>Working with stakeholders to support and sustain the public transport network, and identify funding/improvement where appropriate</li> </ul>
<b>Provision of childcare and recruitment of Welsh speakers</b>	<ul style="list-style-type: none"> <li>Promoting the Childcare Offer to working parents of 3 to 4 year-olds</li> <li>Parents/guardians who are in education or training and meet the eligibility criteria will be able to access the Childcare Offer</li> <li>Supporting childcare availability for 2-year-olds</li> <li>Raising awareness/promote Tax Free Childcare for working parents</li> <li>Supporting the development and sustainability of registered childcare provision</li> </ul>
<b>Rural deprivation</b>	<ul style="list-style-type: none"> <li>Developing a resource centre to support vulnerable / low-income families</li> <li>Household income above national average</li> </ul>

# REVIEW OF OUR WELL-BEING OBJECTIVES

The Council's new Corporate Strategy 2022-27 was published in November 2022 and the new Corporate Well-being Objectives agreed:

- Boosting the Economy, Supporting Businesses and Enabling Employment
- Creating Caring and Healthy Communities
- Providing the Best Start in Life and Enabling Learning at All Ages
- Creating Sustainable, Green and Well-connected Communities

The Council's Corporate Well-being Objectives enable the delivery of services that will enhance the social, economic, environmental and cultural well-being for the citizens and communities of Ceredigion. The Objectives were reviewed during 2022 and a new set agreed to coincide with the new Corporate Strategy. The new Objectives were identified through a wide variety of evidence, including public engagement, the Ceredigion Assessment of Local Well-being and the ambitions of the new political administration.

The process started with a desktop analysis of a variety of evidence, in order to identify the main issues affecting the well-being of Ceredigion's citizens. This included reviewing the Ceredigion Public Service's Board Assessment of Local Well-being, which provides a comprehensive picture of well-being in the county, and included extensive public engagement during 2021. This told us

about the concerns people had and the areas they would like to see improve.

A triangulation exercise was then conducted, looking at the new Administration's priorities for the next five years and comparing with the Assessment to identify any gaps. Workshops were run with Council services to provide a further check and to develop the individual steps to be taken to deliver the Objectives.

The Well-being of Future Generations (Wales) Act requires the Council to set and publish Well-being Objectives that are designed to maximise our contribution to the achievement of the seven Well-being Goals for Wales specified in the Act. At the same time we must publish a statement explaining why meeting the objectives will contribute to the achievement of the well-being goals and what actions we will take to meet the objectives

We review our Corporate Well-being Objectives and steps annually to ensure they remain the right Objectives for Ceredigion and ensure we are delivering them.

The following pages provide a summary of how our 2022/23 Well-being Objectives contribute to the national Well-being Goals, a review of progress against delivering the Objectives and how we have applied the Sustainable Development Principle.

## Our Vision:

**Ceredigion County 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**

## Our Corporate Well-being Objectives:



# ASSESSING PROGRESS

Local authorities are required by the Well-being of Future Generations (Wales) Act 2015 to review progress in delivering their well-being objectives. Although we keep progress under continuous review, we publish our latest performance every year in our Self-Assessment Report.

This report combines the statutory reporting requirements of the Local Government and Elections (Wales) Act 2021 and the Well-being of Future Generations (Wales) Act 2015.

In assessing our overall progress, we use the Future Generations Journey Checker to assist in providing a standardised assessment of progress against each Corporate Well-being Objective.

The Journey Checker is a useful tool that categorises progress according to five criteria, ranging from 'No Change' where no progress has been made to 'Leading the Way', where not only good progress has been made and our level of understanding of the issues affecting

well-being is comprehensive but where the needs of future generations are understood and considered by everyone. These categories are highlighted in the scoring system in the table below.

The Journey Checker provides a useful way of assessing not only the delivery of individual actions taken, but also provides an assessment of *how* we're delivering the objectives.

The following pages provide a review of our progress during the last year, including some recent highlights and key successes, along with some of the longer term achievements in the delivery of our Corporate Well-being Objectives.

## Future Generations Journey Checker

NO CHANGE	SIMPLE CHANGE	MORE ADVENTUROUS	OWNING AMBITION	LEADING THE WAY
				



## KEY ACHIEVEMENTS

During 2022/23 our customer contact centre (CLIC) handled the following enquiries:

**130,908**

Telephone calls received during the 2022/23 year

**35,852**

Emails responded to during the 2022/23 year

**95,421**

Enquiries logged during the 2022/23 year (an increase of 17,500 on the previous year)

**16%**

Of telephone calls (or 20,970) were in Welsh

## BOOSTING THE ECONOMY, SUPPORTING BUSINESS AND ENABLING EMPLOYMENT

### Progress Made

- The Mid Wales Growth Deal is making real progress since the signing of the Final Deal Agreement by the Welsh and UK Governments and regional delivery partners in January 2022.
- The Growth Deal, developed from the Vision for Growing Mid Wales, reached a significant milestone in 2022 when the Final Deal Agreement was signed by the Welsh Government, UK Government and Ceredigion and Powys Councils, based on the development and submission of the Portfolio Business Case. Both governments agreed to provide £55m totalling £110m over a period of up to 15 years. The updated Strategic Portfolio Business Case was formally submitted in March 2023 to the Welsh Government and the UK Government and release of the first tranche of Growth Deal funding is now expected during 2023/24 via a formal Grant Award.
- The Council has been successful in applying for £10.9m of Levelling Up funding for Aberystwyth from the UK Government. This is being used to deliver three regeneration projects that will help transform 'The Old College' in Aberystwyth, revitalise the promenade and create a 'Living harbour'.
- The Council has worked in partnership with Powys County Council and a range of local businesses to launch the Mid Wales Regional Skills Partnership Employment and Skill Plan 2022-25. The plan addresses the barriers and issues affecting businesses in Mid Wales. It identifies key sectors and skills, priorities for regional investment to support jobs and growth, and sets out the mechanism to create a more prosperous skills infrastructure for the region for the next 3 years and beyond.
- Ceredigion Workways+ has continued to help people that are not in employment to access funded face-to-face and online training, work experience, volunteering opportunities and jobs. The scheme is staffed by officers from Ceredigion County Council and is part funded through the Welsh Government. Support is available to help people affected by work-limiting health conditions or disabilities; carers; those with low or no qualifications; people with childcare responsibilities; the over 54's; people in a single adult or jobless household or anyone from a Black, Asian and Minority Ethnic group.
- Investments have led to Ceredigion being the first county to have a county-wide LoRaWAN network that is available to private and public sector partners to improve the use of technology as a business efficiency aid. Ceredigion County Council has completed the installation of 40 LoRaWAN Gateways on several Council assets in order to create the network. Ceredigion's is the most extensive network across any other local authority in Wales and the first to have coverage across much of the county. Crucially, as well as the Council having access, the network will also be available and accessible to all businesses, organisations and residents, with the freedom for the network to be used in the manner in which they feel most effective.
- £2.8m worth of investment has been secured from the UK Government's Community Renewal Fund, and is currently being delivered via 12 projects involving stakeholders supporting individuals and businesses directly linked to actions identified in the Economic Strategy.
- One project, led by Antur Cymru addresses increased numbers of people considering necessity-based entrepreneurship who face barriers to engaging with established business support services. The project is empowering individuals to acquire transferrable skills through participation in a project delivering basic business skills
- £379k of funding from Welsh Government has been secured to support a range of projects to bring town centre assets into economic use and to enhance green infrastructure in town centres. Investment includes the purchase of 10/11 Harford Square in Lampeter, and the development of a Green Infrastructure project in Market Street, Lampeter.
- The Council is the lead authority for the UK Shared Prosperity Fund (UKSPF) in the Mid Wales Region. The indicative funding for Ceredigion is £12.4m for the years 2022/23 to 2024/25. £2.9m is funding for capital projects with £9.5m for revenue projects. The UKSPF is part of a suite of funding from the UK Government as part of its Levelling Up Policy and is intended to build pride in local areas and empower local communities.
- Four projects in Ceredigion, along with five in Powys, have received funding totalling just over £1.3m from the Welsh Government Transforming Towns programme, which is anticipated will trigger potential investment worth just over £3m. These projects are part of the overarching Placemaking Grant scheme which sits under the Transforming Towns programme. The town centres in Ceredigion where the projects are taking place are in Aberystwyth, Cardigan and Llandysul. Transforming Towns is a Welsh Government programme providing a further £7million to town centre regeneration in mid Wales over three years.
- With the support of Leader funding through the Cynnal y Cardi programme, a Towns Development Officer is in place to engage with town representatives to help facilitate and support ideas to reinvigorate Ceredigion's rural towns.





- Over £250,000 has been secured to improve access to Ceredigion’s natural assets through Access Improvement Grants and the Local Places for Nature programme.
- In March 2023, Ceredigion County Council approved the adoption of the continuation of the Retail, Leisure and Hospitality Rates Relief Scheme for 2023/24, which allows an estimated 800 businesses in Ceredigion to take advantage of a 75% discount on non-domestic rates, with a total of £3.6m available to businesses under the scheme.
- Ceredigion County Council and its partners on the Ceredigion Public Services Board continue to work proactively in mitigating the causes and impacts of poverty in Ceredigion.
- Ceredigion County Council has provided food banks across the county with a share of £30,000 from the discretionary homeless prevention fund which is provided to local authorities by the Welsh Government. The boost comes as food banks have seen a large increase in demand due to the cost-of-living crisis.
- The ECO4 scheme, aimed at low income, vulnerable and fuel poor households living in energy inefficient properties, was launched in October 2022.
- Significant work has been undertaken to raise the profile of the Direct Payment Personal Assistant workforce through active recruitment with team members attending job fairs and drop-in events at job centres. 56 Personal Assistants have been recruited so far, which is a significant increase.
- Porth Cymorth Cynnar are leading on a project to work with regional partners in the development of social and micro enterprise opportunities. Shared Prosperity Funding has been secured and the Council has supported the planning for a specification for micro enterprises to go out to tender in the

second quarter of 2023/24. The Council is actively involved in establishing how Direct Payments can be one of the payment mechanisms when micro enterprises are established.

- To support a sustainable and resilient independent care sector, the new Domiciliary Care specification and tender programme has been completed with new contracts to be awarded in the second quarter of 2023/24.
- The Council supports the independent sector through collaborative working providing mutual aid, funding and resources, equipment as well as health and safety advice.
- Ceredigion County Council have been successful in receiving funding to progress a project to enable ‘SMART Towns’ in Ceredigion. The project will initially involve the installation of wi-fi access points in Aberaeron, Llandysul, Lampeter, New Quay and Tregaron, with Aberystwyth and Cardigan already having systems in place. As well as providing ‘Town wi-fi’ across each of the Towns, the equipment will provide the ability to collect anonymised data upon footfall, space usage and dwell time, and will enable Town Councils and the County Council to conduct analysis to assist towns and businesses to identify which approaches are best to improve efficiencies and the effectiveness of their business.
- The Planning Service follow-up review found that the Council has taken swift action to begin responding to the recommendations made by Audit Wales and good progress is being made, including changes to the governance arrangements to support new Development Management Committee. We are continuing to work through the remaining recommendations as well as any additional recommendations made.

## KEY ACHIEVEMENTS

# £10.9m

of capital funding secured through the Levelling Up Fund 2022-25

# 37

Businesses supported across Ceredigion

# 21,363

£150 Cost of Living Support payments made to recipients with a total value of £1.51m

# 703

Carers Grant Scheme recipients paid with a total value of £352,000

# £760,000

of external capital funding attracted

# 7,547

Winter Fuel Grant Recipients paid during the cost of living crisis, with a total value of £3.2m

# 41

New jobs created during the year

# £42.4m

Mid Wales region’s application for the UK Shared Prosperity Fund approved

# IMPROVING OUTCOMES



## CREATING OPPORTUNITIES

The Mid Wales Growth deal has continued to progress during 2022/23 with some significant developments that bring the £110m investment into the region a step closer. The Final Deal Agreement was signed by the Welsh Government, UK Government and Ceredigion and Powys Councils in 2022. At the end of the year, in March 2023, the updated Strategic Portfolio Business case was formally submitted to Welsh and UK Governments and the first tranche of the funding is expected during the 2023/24 year.

The Growth Deal is a ground-breaking partnership to bring a combined investment of £110m from UK and Welsh Government, which is expected to lever in significant additional investment from other public and private sources. The programmes and projects supported by the Growth Deal are expected to produce wider social and economic benefits, such as **enhanced quality of life, creating business opportunities** following the impact of COVID-19, **decarbonisation** in industry and consideration of climate change impacts.

The outcomes that are achievable in Mid Wales through Growth Deal investment are:

- To create between 1,100 and 1,400 new jobs in Mid Wales by 2032.
- To support a net additional Gross Value Added (GVA) uplift of between £570m and £700 million for the Mid Wales Economy by 2032.
- To deliver a total investment of up to £400 million in the Mid Wales economy by 2032.



## DEVELOPING SKILLS

Over the last year, the Council has worked in partnership with Powys County Council and a range of local businesses to launch the Mid Wales Regional Skills Partnership Employment and Skills Plan 2022-25.

The plan addresses the barriers and issues affecting businesses in Mid Wales. It identifies key sectors and skills, priorities for regional investment to support jobs and growth, and sets out the mechanism to create a more prosperous skills infrastructure for the region for the next 3 years and beyond.

Through engaging closely with businesses and **giving them a voice to influence priorities** for the region, the Plan addresses the importance of making **strong connections between the local learning system and the skills needed across the region**, so that we are **creating the right conditions for a thriving workforce**.

Launched at the Grow - Define - Deliver Together event, the Plan identifies key sectors and skills, priorities for **regional investment to support jobs and growth** in the Mid Wales region and sets out the mechanism to create **a more prosperous skills infrastructure** for the region for the next 3 years and beyond.

During 2023, the Partnership will be consulting with businesses and stakeholders about the challenges faced by businesses and, in particular, the recruitment of skills now and in the future, to help us inform the skills provision needed for the economy and the people across the region to thrive.



## SHARING PROSPERITY

Ceredigion's fifteen year Economic Strategy sets out how we will work together towards achieving strong, sustainable and more resilient economic growth for Ceredigion, created and shared by all. The Strategy is focused on the areas of influence where the Council can make a difference to the economy, i.e. how it uses its capital, human and revenue assets to positively impact the economy in Ceredigion.

The strategy document sets out the actions that will address the challenges and opportunities that exist in the local economy. It focuses on four main priority areas – People, Enterprise, Place and Connectivity, with each section outlining some of the early interventions considered.

Many initiatives have already been developed and implemented under the strategic direction set by the Economic Strategy. A significant amount of external funding has been secured from a range of key stakeholder organisations, which will enable the building blocks for further economic growth to be put in place.

For example, a Welsh Government funded Small Capital Grant Scheme led to almost £500,000 of grant investment in local businesses, attracting a further £631,000 of private sector funding, which led to the creation of 146 new jobs and a further 408 jobs safeguarded in 81 businesses. A further funding package worth £173,000 was secured in 2022 leading to the level of £250,000 worth of private sector funding match funding across 10 businesses in

Ceredigion, creating 35 new jobs and safeguarding 86.

The investment and the delivery of these projects to date has supported the strategy's aims to **support businesses to get started and grow, promoting Ceredigion as a place to live, work and visit, leading to developing skills in the workforce**.

The Strategy will continue to guide the development of further projects to deliver the aims of the Strategy over the next fifteen years.



## STRENGTHENING COMMUNITIES

In December 2022 the Mid Wales region's application for the UK Shared Prosperity Fund was approved, enabling access to £42.4 million which has been allocated to invest in the Mid Wales region up to March 2025, with Ceredigion entitled to nearly £15m worth of funding.

The Council is working hard to put the arrangements in place to enable local organisations to bring their ideas forward which require funding.

The funding will support Levelling Up objectives that seek to **boost productivity, pay, jobs and living standards** by growing the private sector, **improving public services, restoring a sense of community, local pride and belonging, empowering local leaders and communities and increasing levels of numeracy in the adult population**.

**Overall assessment of the journey so far**

Progress in delivering this objective is **good** and prospects for improvement are also **good**. The steps to *boost the economy, support businesses and enable employment* are progressing well. Of particular note is the move closer to drawing down the £110m growth deal for the region to unlock the local economy's potential and create a variety of opportunities for local businesses employment and skills development.

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

**OWNING OUR AMBITION**

**MAXIMISING OUR CONTRIBUTION TO THE NATIONAL WELL-BEING GOALS**

The **Boosting the economy, supporting businesses and enabling employment** corporate well-being objective supports the following national well-being goals. ▶

Prosperous
Resilient
Healthier
More Equal
Cohesive
Culture
Global

**DELIVERING SUSTAINABLE DEVELOPMENT**



**Long-Term**

- The Economic Strategy plans for the long-term development of the economy up to 2035
- The Mid Wales Growth Deal and the Economic Strategy addresses structural weaknesses for long-term benefit
- The Growing Mid Wales Partnership sets the vision for 15+ year timeframe
- Future trend analysis has been used to develop the Growing Mid Wales vision



**Prevention**

- Increased economic opportunities will prevent further out-migration of skilled young people
- Economic growth will prevent the future negative impact of migration patterns on Welsh language and culture
- Interventions in the Economic Strategy will prevent further growth in the productivity gap
- Attracting and creating high paid job opportunities will help prevent households falling into poverty and hardship



**Collaboration**

- The Growing Mid Wales Partnership brings together public, private and academic sectors to achieve shared goals
- Working with Powys County Council and Welsh and UK Government to maximise use of resources and capitalise on opportunities through Growing Mid Wales
- The Mid Wales Regional Skills Partnership brings together business leaders and stakeholders across the region to understand skills provision and labour market needs, in order to drive investment that meets the requirements of both employers and the workforce



**Involvement**

- Private sector businesses, drivers of future economic growth are involved in identifying key priorities and strategies
- Private, public and third sectors involved in shaping the emerging Growth Deal programme
- Extensive engagement was undertaken in the development of the Economic Strategy
- The Regional Well-being Survey that is instrumental in driving all local strategies was based on extensive public and stakeholder engagement



**Integration**

- The Economic Strategy provides a shared vision and action for development of the local economy and the interventions contained within it will be delivered by a variety of partners and stakeholders over the next 15 years
- Economic growth strategies are integrated with other service provision, including education, skills, planning and infrastructure

**CYNNAL Y CARDI**

Cynnal y Cardi continues to support rural community regeneration through pilot projects, feasibility studies, facilitation, networking activities and training and mentoring.

Approximately 70 activities have been supported including:

- **“Ceredigion360”**, a feasibility to discover whether there is desire to create and maintain lively, sustainable local area websites across areas of Ceredigion.
- Feasibility work into the opportunities for developing **“Canolfan Tir Glas Centre”** on the Lampeter UWTSO campus.
- Piloting a **Community Fridge** scheme in Aberporth.
- Piloting **bilingual, digitised learning** in the outdoor environment through developing woodland-based courses.
- Supporting with engagement activities and exploring the feasibility of the Vale of Aeron Community Pub community venture

Cynnal y Cardi is a LEADER project, which has received funding through the Wales Rural Development Programme. The project aims to stimulate innovations that increase the value and variety of sustainable economic opportunity for the people of Ceredigion.



## Progress Made

- Ceredigion has responded to the challenges in the provision of social care by moving towards combining the previously separate children and adults' service into a single Through-Age Well-Being Service. This eliminates departmental barriers, provides a more consistent, lifelong service for users and maintains the generic skills and flexibility of staff.
- The transformed social care service focusses on prevention, intervening at an early stage to help connect people to the communities and facilities around them, building individual and family resilience and preventing problems from escalating into a need for higher end services.
- The Council now operates a Through Age Wellbeing model (TAW) for the delivery of what would traditionally be considered Social Care services.
- Implementation and delivery of the Through Age Wellbeing Programme (TAW) continues as the transformation of services progresses well with the integration of Social Care and Lifelong Learning into 3 Services - Porth Cymorth Cynnar, Porth Gofal and Porth Cynnal who, along with Customer Contact, make up the 4 main areas that fall within the Through Age Wellbeing Programme of change.
- Social Care however continues to see increased demands on services driving significant cost pressures across the TAW model. These are particularly prevalent in areas such as Looked after Children (in county), Children's Out of County Placements, older persons' placements and Learning Disability placements. The Council is also seeing an increased complexity of cases across these services adding a further dynamic to the increased demand.
- Capital investment is being made into key areas such as In county Children's facilities, the establishment of Wellbeing Centres, Local Authority Care Homes and piloting for Technology-enabled Care.
- As part of its prevention work, the Council has invested in giving full recognition and support to the role of carers, in particular by providing opportunities for respite, allowing carers to take a rest from what can be a demanding 24/7 role.
- The Disabled Facility Grant and associated Welsh Government funding has been maximised to provide adaptations to homes, in order to enable people to remain within their communities.
- As the first Welsh local authority to volunteer to welcome refugees from Syria, Ceredigion has welcomed and integrated 74 Syrian refugees to the county and 90 Ukrainian families during 2022/23. The displaced people resettlement programmes are progressing well.
- Community Connectors assist residents of all ages in Ceredigion, by helping them access support opportunities in their area that could maintain and improve their wellbeing.
- Throughout winter 2022/23, Ceredigion's team of Community Connectors worked with the Ceredigion Association of Voluntary Organisations and many community groups to set up Warm Welcome Spaces. Warm Welcome Spaces are safe warm places that are free and welcoming to all ages, some of them also provide hot drinks, snacks and activities. Cafes, churches, community centres, village halls, libraries and book shops across the county opened their doors and welcomed people of all ages. The Warm Welcome Spaces provided a social meeting place for people to come together and build friendships. There were 42 Warm Welcome Spaces across Ceredigion.
- The "On your Bike" project funded by Cynnal y Cardi and managed by Rural Health and Care Wales installed 9 exercise bikes in three towns to encourage young people to take part in more outdoor physical activity, which is proven to improve both physical health and mental well-being. The towns covered by the project are Cardigan, Aberaeron and Lampeter.
- Ceredigion County Council approved the transfer of Hafan y Waun Care Home to Council ownership in September 2023 with a focus on ensuring continuity of home operations for residents and staff alike. The decision is an important step towards maintaining the future of this vital resource and providing certainty to residents and their families. Hafan y Waun is the County's main residential facility with capacity for 90 beds.
- Plans are progressing to create a Well-being Centre in Lampeter, and additional projects are developing to create Well-being Centres in the north and south of the county as well.
- The National Exercise Referral Service (NERS) is now very busy - 1,011 referrals were received in 2022-23 with 343 clients completing the 16-week programme during the year. The Service is one of a range of health intervention classes and activities, including Fit4Life and Wellbeing Walks. 424 classes and activities were offered each month in North, Mid and South of the County. The programmes are proving very popular amongst clients across Ceredigion.
- The Cylch Caron Integrated Health and Social Care project in partnership with Hywel Dda University Health Board continues to progress. The Project Board are developing the tender specification and working with Welsh Government in relation to develop the proposal.
- Ceredigion County Council is supporting the aspiration of creating a National Care Service for children, families and adults in Wales and how care could be made free at the point of need. This is a national programme following the cooperation agreement between the Welsh Government and Plaid Cymru.



- Work has commenced in relation to identifying the Council vision for Technology Enabled Care (TEC) services. This will inform the Development of our Technology enabled care strategy including digital improvements to the Local Authority estate.
- Our Through-Age approach to triage and assessment has now been embedded.
- The Review of Direct Services is continuing and is due to be complete at the end June 2023. An implementation plan will then be developed.
- The Family Group Meeting Coordination Service is now up to capacity and work is progressing to develop and maximise opportunities in relation to supporting prevention and early help.
- The Through Age respite model review is continuing and due to complete at the end June 2023. An Implementation plan will then be developed.
- A new Domiciliary Care specification and tender programme has been completed with new contracts to be awarded during the second quarter of 2023/24
- During 2022/23, the expansion of Flying Start in Ceredigion included Llechryd, joining Cardigan, Penparcau, Llanarth, Llandysul and Aberporth. Flying Start is a Welsh Government initiative that helps families with young children in the most disadvantaged areas of Wales. Ceredigion Flying Start includes early years health service, funded sessional childcare for children aged 2-3, parenting support to develop children's talking, language and communication skills.
- Following the implementation of Ceredigion County Council's Hybrid Working Strategy and Interim Hybrid Policy, there are significant opportunities to reconfigure and make better use of the Council's office space to provide other public services by working with partner organisations. Part of Canolfan

- Rheidol in Aberystwyth is now being used by Hywel Dda to provide outpatient physiotherapy services. This move provides the opportunity to enable the health board to bring clinical services closer to home for residents in the north of Ceredigion to help them live active and healthy lives.
- During the 2022/23 year, £116,197 was awarded from the Ceredigion Carers Fund to 776 carers to help improve their health and well-being. The majority of the awards were spent on short breaks and holidays, therapies and spa sessions and sports, fitness and outdoor activities to help carers in Ceredigion look after their physical and mental health.
- Supported Gofalwyr Ceredigion Carers to deliver information advice and guidance to 805 adult carers across Ceredigion and provide 2,016 hours of replacement care to give carers a break from their caring role.
- The Carers Information Service membership has increased by 14% to 1,888 carers. The service provides support, useful information relating to services, and support in relation to legislation which is tailored to individual needs. Membership provides information relating to the Carers Forum which meets regularly to share support, information and friendship, information about events for carers, relevant training courses, and notification about consultations taking place on local and national issues. The service ensures that carers have a voice on issues affecting them.
- Between May and September 2022, a total of £351,500 was paid to 703 eligible applicants for the Welsh Government's £500 support payments for unpaid carers.
- The Regional Community Cohesion Team lead on supporting this work in Ceredigion. Weekly Tension Monitoring meetings are held to horizon scan and consider operational matters in a timely manner.

## KEY ACHIEVEMENTS

# 607

Referrals to the Community Connectors for support received

# 99,457

Views of Ceredigion resources on the Dewis Cymru website that aims to support people's well-being

# 4,250

Carers magazines printed and distributed across Ceredigion

# 146

Refugees resettled across Ceredigion

# 42

Warm Spaces available across Ceredigion during winter 2022/23

# 531

People in receipt of a direct payment to support their own social care

# 1,150

Public protection enforcement actions taken to improve the well-being and public health of people and communities

# 1,567

People experiencing mental health issues receiving support in the community

# 453,000

People engaging in physical activity programmes supported / delivered by the Well-being Centre

# 15

Engagement exercises completed by the Council in 2022/23

# IMPROVING OUTCOMES



## SUPPORTING VULNERABLE PEOPLE

A new Refugee Resettlement team was established in response to the increase of refugees due to the Ukrainian conflict.

The Council has continued to provide ongoing support to 7 families that have fled the dangerous situations in Afghanistan and Syria, welcomed 1 new Afghan family and welcomed 114 new Ukrainian families to Ceredigion during the 2022-23 year.

Many of the Ukrainian families, particularly those who arrived to the Welcome Centre, have now moved out of Ceredigion to other locations in the UK and across the world. Preparations are being made to make sure that we're ready to welcome asylum seekers to Ceredigion as part of our contribution to the National Asylum Seeker Dispersal Plan.

Ceredigion has a history of supporting families fleeing from war, hunger and homelessness. Over the past few years the Council has successfully supported refugees from Syria to be welcomed into the community, and we will continue to play a leading role in helping refugees and resettling them into our communities. In doing so, we can **provide a safe place for them and their families**, a chance to have a **safe home**, to **rebuild their life** and to **contribute to society**. Not only does this support our ambition of creating caring communities, it also supports the national well-being goal of a Globally Responsible Wales.



## ENHANCING WELL-BEING FOR ALL

Providing support for all ages and needs is a significant challenge for the Council with limited resources. The profile of society and demographics have changed considerably over the last decade with a significant increase in the prevalence and impact of substance misuse, poor mental health and domestic abuse and older age groups living in Ceredigion.

As a consequence, demand for certain services has increased placing a greater financial pressure on those service areas.

The Through Age Wellbeing strategy sets out the vision and approach that will be taken to transform how the wellbeing and safety of the people of Ceredigion is supported.

To achieve our vision we have developed a Through Age Wellbeing operating model that is designed to **ensure people get the right level and type of support**, at the right time, **to prevent, reduce or delay the need for ongoing support**, and to **maximise people's independence** and to be able to **remain in their own home in their own community wherever possible**.

We are in the third year of the Programme and progress is continuing in delivering the programme to enhance the social, economic, environmental and cultural well-being for the people of Ceredigion.

In February/March 2023 we underwent a Care Inspectorate Wales (CIW) inspection of our social services. The inspection reflected positively on our Through Age Well-being Model, highlighting several areas of good practice, and also providing us with

constructive recommendations to help us in delivering the programme and transforming the delivery of social care in the County.

In particular, the strong corporate and political support for social services in Ceredigion was noted, along with strong senior leadership within social services.

Feedback gathered by the inspectors demonstrated a culture which was focused on **well-being, building and maintaining relationships** and achieving **safe outcomes for people**.



## INDEPENDENT AND FULFILLING LIVES

The first residents at Aberystwyth's new extra care scheme have spoken about how it has transformed their lives, from sparking new friendships to providing the platform for a fresh start in life.

Maes y Môr, provided by Wales & West Housing in partnership with Ceredigion County Council, is located at Pen yr Angor in Aberystwyth, overlooking the town and harbour. For many of its new residents, it has offered much more than just spectacular sea views.

Their new homes provide easy access to a range of facilities, 24-hour on-site care and support as well as a Wellbeing Officer, ensuring that residents **lead an independent, healthy, and fulfilling life**.



## CONNECTING PEOPLE

Community Connectors support residents of all ages and their families to make connections, access advice and assistance opportunities as well as identify appropriate services and groups within their own communities, such as social groups that can have a **positive impact and improve their well-being**.

Community Connectors also look more widely at the opportunities that are available that can help **contribute to a fulfilled life**. This includes increasing the awareness of services and help to access them, such as provision of small home adaptations or assistance with shopping, an in doing so **building confidence**, improving **mental health**, creating **opportunities** and in doing so **building resilient communities**.

During the year 971 enquiries for support were logged through the Council's customer contact centre (CLIC), 845 referrals were received and 468 individuals and community groups were referred and signed posted to other council services, health services and third sector organisations.

**Overall assessment of the journey so far**

Progress in delivering this priority is **good** and prospects for improvement are also **good**.

Progress in supporting people to be healthy and in creating communities that are caring is good and improved outcomes are already visible such as the creation of well-being centres across the county, the ongoing delivery of the Through Age Well-being programme and the support to Ukrainian refugees to resettle in the County.

Despite the challenges that exist, such as the increasing demands and recruitment in social care, plans are in place to realise further benefits in the year ahead.


**OWNING OUR AMBITION**

**MAXIMISING OUR CONTRIBUTION TO THE NATIONAL WELL-BEING GOALS**

The **Creating Caring and Healthy** corporate well-being objective supports the following national well-being goals. ►

- Prosperous
- Resilient
- Healthier
- More Equal
- Cohesive
- Culture
- Global


**DELIVERING SUSTAINABLE DEVELOPMENT**

 **Long-Term**


- The Through Age Model involves long-term planning to ensure sustainable services for the next 15 years +
- Future Trends, such as demographic change have been utilised in the Model
- The Through Age Well-being Strategy covers a six year period from 2021 to 2027
- The recovery from the pandemic is projected to last for a number of years and our plans to improve physical and mental well-being take a long-term approach to support in response

 **Prevention**

- The Through Age Model provides a coordinated approach to social care in order to prevent, reduce or delay the need for ongoing support, and allow people to remain in their own home in their own community wherever possible
- Preventing homelessness and promoting independence remains a priority for the Council and is the most effective way of tackling homelessness
- Developing the Well-being Centres across the County supports the ambition to create healthy and resilient communities
- As part of its prevention work, the Council has invested in giving full recognition and support to carers by providing opportunities for respite from their demanding 24/7 role

 **Collaboration**

- Hywel Dda University Health Board, the Council and Third Sector partners work collaboratively to implement integrated health and social care programmes across West Wales
- Multi agency weekly tension monitoring meetings address early signs of community tensions through early intervention and prevention.
- The Council works proactively with partners through the Ceredigion Public Services Board Poverty Sub Group to tackle the causes and impacts of poverty across the County

 **Involvement**

- Supporting people's physical and emotional well-being impacts on all of the national Well-being Goals and helps to build stronger and more resilient communities
- The Objective of creating caring and healthy communities included the findings of the Ceredigion Assessment of Local Well-being and extensive consultation

 **Integration**

- Public and private sectors working together to maximise contribution to healthier Wales and other goals
- Supporting people's physical and emotional well-being impacts on all of the national Well-being Goals and helps to build stronger and more resilient communities

**FURTHER ACHIEVEMENTS**

**100%**

Of Carers Information Service members received the Welsh Government's Charter for unpaid carers

**158**

Young carers supported through working with Gofalwyr Ceredigion Carers to have a life outside of their caring role

**3,000**

Information for Young Carers booklets distributed to schools across the County

**144%**

Increase in Young Carers Information Service members



## Progress Made

- The Council is continuing to modernise education establishments, for example, using Band B of 21st Century Schools programme funding to build an area school for the Aeron Valley as well as improvements to Cardigan Secondary School, Cardigan Primary School and Canolfan y Mor at Aberaeron Secondary School.
- The Council was awarded funding of £5.7m in 2022 towards a Language Immersion Centre which will be based at Ysgol Cymraeg and new classroom buildings at the school.
- Plans to build the new the new Aeron Valley Primary School at Felinfach are progressing. The £13m design and build scheme will provide 30 places in the nursery and 210 places in the primary school, (see overleaf).
- Schools developments already underway include the £100k of construction work at Penglais secondary school, providing the school with new and improved facilities, £160k of construction work at Ysgol Henry Richard School and £5.4m of work on the Cardigan Secondary School as part of the 21st Century Schools Programme.
- Professional consultants and contractors are being appointed to deliver the new £5.4m extension at Ysgol Gymraeg, Aberystwyth, which was the first Welsh-medium school in Wales.
- Consultants are also being appointed to scope works to Aberystwyth Museum totalling approximately £1m.
- Ceredigion Nursery, Plas Gogerddan Nursery, won Nursery of the Year Award in Wales in the National Day Nurseries Association (NDNA) Awards in June 2022. Plas Gogerddan is one of many nurseries in Ceredigion that delivers the Foundation Phase education funded by Ceredigion County Council within their Cylch Meithrin sessions.
- Porth Cymorth Cynnar delivered 88 workshops to young people aged 16+ providing support and prevention. The workshops included volunteering in the community, indoor bowling, gardening and Welsh culture and heritage discovery.
- 125 young people who worked with a youth worker demonstrated an improvement to their wellbeing and confidence. For example, one young person who was unwilling to leave their home went on a well-being walk with a youth worker.
- The mobile youth provision engaged with 10 communities and 176 young people. Free weekly football sessions were delivered with Dyfed-Powys Police and Swansea Football Foundation, and one young person has been nominated as a young ambassador due to his commitment.
- Jobs Growth Wales + (new traineeships) Hyfforddiant Ceredigion Training engaged with 51 learners of which 75% progressed onto either employment or further learning. Jobs Growth Wales+ is a training and development programme for 16–19 year olds who need the skills, qualifications, and experience to progress onto an apprenticeship, set up a business or gain a new job.
- Sgiliau Gwaith / Work Skills received 126 referrals last year with 69 learners gaining qualifications.
- Hyfforddiant Ceredigion Training is in the process of including Health and Social Care and Electrical apprenticeships that will be delivered in Ceredigion. The apprenticeship contract continues to grow every year as part of the ACT network, strengthening the pool of highly skilled and qualified candidates in the County by developing new apprenticeships, micro-enterprises and social enterprises.
- Ceredigion's Lifelong Learning and Skills service constantly reviews its curriculum offer. Dysgu Bro continues to offer courses in blended learning with the majority of courses returning to face to face. Employment Support Team are delivering C4W+ which offers volunteering and work experience opportunities.
- Dysgu Bro are delivering a number of courses through Ceredigion in community venues. The Welsh Government have funded an engagement grant which is being used to promote courses via videos on our social media pages as well as being able to offer free courses. The Council is currently advertising for Numeracy Training Advisors as part of the Multiply programme (Shared Prosperity Fund).
- Hyfforddiant Ceredigion Training JGW+ offers paid work experience through its Engagement strand.
- Ceredigion's Education system continues to be considered amongst the most successful in Wales. The percentage of working age adults qualified at level 2 is 91.7% in Ceredigion, higher than average (86.6%) and one of the highest nationally. Level 2 qualifications are GCSE grades A\*-C or equivalent.
- The Council has worked with the third sector and private businesses to provide

PROVIDING THE BEST  
START IN LIFE AND  
ENABLING LEARNING AT  
ALL AGES



work experience opportunities for individuals/vulnerable groups.

- Work has begun on developing an employer working group which will include key partners such as Department for Work and Pensions (DWP), Careers Wales, Business Wales and the Regional Skills Partnership.
- Lifelong Learning and Skills attend a number of agricultural shows to raise the profile of courses delivered. For example, the service has attended Aberystwyth show offering a number of tasters to the general public.
- Lifelong Learning and Skills have also attended Ysgol Bro Pedr and Ysgol Henry Richards promoting Jobs Growth Wales+ and apprenticeships.
- The Welsh language is integrated into Ceredigion County Council's new Corporate Strategy covering the period 2022 to 2027.
- The Council approved its new Welsh in Education Strategic Plan (WESP) 2022-32 Action Plan. The plan sets out the steps to deliver the actions within the WESP with the overall aim of increasing the number of Welsh speakers in the County by 2032.
- Cered, the Welsh language initiative, continues to support, influence and develop the use of the Welsh language in Ceredigion. They provide information, advice and leadership to ensure that the language thrives and continues to be a core language and has a central role in the communities of Ceredigion. Recent successes include the 'Start every conversation in Welsh' campaign, the 'Powerhouse Project' to improve the opportunities for communities to socialise

and contribute, and the Language Charter where over 26 organisations businesses and clubs have been awarded a gold, silver or bronze charter for their commitment to the Welsh language.

- The Council published a campaign, 'how to contact the Council by phone, online, face-to-face, and in your preferred language' to ensure customers are aware of their right to use their preferred language and the channels available to do that.
- The Council has provided a Welsh Language Awareness Session along with an overview of the requirements of the Welsh Language Standards for Councillors.
- We have also been working with the National Centre for Learning Welsh to pilot a Raising Confidence to Use Welsh residential course.
- The Council is committed to increasing recruitment of in-house Welsh speaking foster carers, and in response, recent recruitment campaigns have been supported and opportunities explored to achieve this.
- Following a £20,000 grant from Welsh Government's Transforming Towns programme, the former doctor's surgery in Aberaeron has been reopened as a gallery - Gallery Gwyn. The project was led by Ceredigion County Council and officially opened in April 2022, showcasing work from established artists as well as early career creative practitioners.

## KEY ACHIEVEMENTS

# 907

Learners enrolled on all Lifelong Learning and Skills courses

# 189

People engaged with the Employment Support Team

# 53

People who engaged with the Employment Support Team were successful in acquiring a job

# 126

Referrals to Sgiliau Bwyd Sgiliau Gwaith

# 117

Apprentices attended Hyfforddiant Ceredigion Training in the last year

# 82%

Of apprentices attending Hyfforddiant Ceredigion Training completed their apprenticeships

# 87.5%

Of learners at the Pupil Referral Unit gained appropriate qualifications

# 98.65%

Children/young people reporting a positive benefit from extra curricular and holiday activities

# 8,620

Public access computer sessions used across all libraries

# 268,572

Loans by the Library Service (both physical and e-resource)

# IMPROVING OUTCOMES



## MODERN FACILITIES

Plans to build the new the new Aeron Valley Primary School at Felinfach are progressing. The £13m design and build scheme is for a single storey primary school with an Additional Learning Needs Unit, Canolfan Iaith, Meithrin, and infrastructure including new road access, parking and multiuse games area.

The project will bring together three primary schools - Ciliau Parc Primary, Dihewyd Primary and Felinfach Primary as well as Ysgol Feithrin and the language Immersion Centre at Felinfach.

The new 3-11 area school will cater for 30 nursery/wrap around places and 210 places in the primary school and approximately 56 teaching staff will be employed at the facilities.

The new facility will bring the learning accommodation within the Aeron Valley up to the Sustainable Communities Learning Programme standards (previously known as 21st Century Schools).

Apart from delivering **modern and improved teaching facilities**, the project will also deliver a **net zero carbon school with reduced running costs**, which supports the Council's carbon net zero ambition as well as provide more **opportunities for learning and physical activity** through the new sports pitch.



## REDUCING INEQUALITY

A new Mid Wales Partnership Equity and Deprivation Strategy was approved by Cabinet in February 2023. The new strategy offers guidance for schools supporting disadvantaged young people.

The key message at the core of the strategy is that disadvantaged learners need more support, more often, in order to have the same opportunities as their peers.

The threshold for support to engage with the Educational Inclusion Officers has decreased for disadvantaged young people, meaning that they get support sooner than non-disadvantaged young people.

The life chances of children and young people are strongly influenced by their home and community. The strategy provides teachers with more support in addressing the issues some children and young people face.

Delivering the strategy ensures that the challenges faced by some of Ceredigion's children and young people are tackled and **fair and equal access to education and opportunities is provided**.

It also supports the Council's ongoing work to **tackle the impact of poverty**, including the **impact on educational attainment**, which **will help to achieve high standards and aspirations for all in the County**.



## CREATING OPPORTUNITIES

Lifelong Learning and Skills, the Youth Service, Careers Wales and Job Centre Plus are all members of the NEET (Not in Employment, Education or Training) Panel. Taster sessions have been offered in placements such as carpentry, mechanics, hairdressing, beauty and plumbing. Apprenticeships have been promoted at Careers festivals, schools and events throughout the county. 64% of learners supported by Porth Cymorth Cynnar gained qualifications in traineeships and 70% of learners gained qualifications in apprenticeships. **Creating opportunities** supports the Council's ambition to **enhance the provision of skills and learning opportunities for people aged 16+**.



## STRONG COMMUNITIES

Ceredigion Museum is delighted to have been awarded £115,894 development funding by the National Lottery Heritage Fund for the following project: Perthyn 'belonging to/ possessing': An exploration of how collections can **create community in Ceredigion**.

Perthyn is an ambitious project that aims to ensure that every Ceredigion resident can find something in the museum collection that resonates with their **sense of identity and values**, regardless of their age, gender, ethnicity, beliefs, sexuality, ability or other characteristics that they identify with.



## SUPPORTING EMPLOYMENT

Gwaith has seen an increase in numbers and has received 126 referrals over the last year. These are year 10 and 11 learners who are disengaged and at risk of exclusion.

The service ensures vulnerable learners have **access to a tailored vocational curriculum** to meet their needs with a range of different courses being offered giving them the **best opportunity to achieve and reach their full potential**.

A total of 69 learners achieved qualifications this academic year.

This is part of the Council's ambition to support those furthest from the labour market, including disengaged learners, and **ensuring every pupil in Ceredigion has a destination**.



**Overall assessment of the journey so far**

Progress in meeting this objective is **good** and prospects for improvement are **good**.

Capital investments in schools are progressing such as the refurbishment and extension to create a 3-16 school at Henry Richard. The educational attainment of Ceredigion's pupils remains amongst the highest nationally, and post-16 learning is continuing to provide training and support to open new opportunities for all of Ceredigion's learners.

Key strategies have been delivered in the last year to create the foundations for further improvements such as Welsh in Education Strategic Plan 2022-32 to increase the number of Welsh speakers in the County and the Equity and Deprivation Strategy for schools which will support pupils who are disproportionately affected.


**OWNING OUR AMBITION**

**MAXIMISING OUR CONTRIBUTION TO THE NATIONAL WELL-BEING GOALS**

The **Providing the best start in life and enabling learning at all ages** corporate well-being objective supports the following national well-being goals. ►

Prosperous
Resilient
Healthier
More Equal
Cohesive
Culture
Global


**DELIVERING SUSTAINABLE DEVELOPMENT**

 **Long-Term**


- Ceredigion's Welsh in Education Strategic Plan (WESP) is a 10-year strategy to strengthen Welsh language provision and work towards a million Welsh speakers Wales wide by 2050
- School improvements provide improved facilities for future generations of learners
- Developing leadership skills within our children and young people takes a long-term view of their learning and future careers

 **Prevention**


- Supporting learners at all ages helps to provide them with better learning and career opportunities
- Working to raise income levels across the County will help in the prevention of in-work poverty
- Developing children's and young people's skills and confidence to be physically active will help to improve the health and well-being of the County's population

 **Collaboration**

- Working with the Third Sector to provide mental health support to young people following the COVID-19 pandemic
- Working with partners to deliver the Maternity and Early Years Strategy for West Wales will help to deliver the best start in life for Ceredigion's young people
- Supporting the provision of Free School Meals for primary school pupils and the funded childcare for all two year olds

 **Involvement**

- Supporting the Ceredigion Youth Council as a forum for children and young people ensures the voices of young people across Ceredigion are heard

 **Integration**

- Providing the best start in life will have a positive effect on all of the Corporate Well-being Objectives and the National Well-being Goals
- Better skills and jobs increase income levels and therefore allow the local economy to grow
- The Arfor Programme to support and strengthen the links between economic growth and the Welsh language also strengthen each of the four pillars of well-being (economic, social, environmental and cultural)

**FURTHER ACHIEVEMENTS**

**51**

Jobs Growth Wales + Learners engaged with Hyfforddiant Ceredigion Training

**75%**

of people engaged with Hyfforddiant Ceredigion Training progressed onto either employment or further learning

**91.7%**

of Ceredigion's working age population qualified to Level 2 or higher, above average nationally

**75.7%**

Of Ceredigion's working age population qualified to Level 3 or higher, above average nationally



## CREATING SUSTAINABLE, GREEN AND WELL-CONNECTED COMMUNITIES



## PROGRESS MADE

- The Council has continued to pursue funding and delivery of the coastal defence works at Aberaeron, Aberystwyth, Borth and Llangrannog, and the flood risk management works at Llandre, Aberaeron, Borth, Talybont and Capel Bangor.
- The Aberaeron Coastal Defence Scheme construction contract award is imminent. The Aberystwyth Outline Business Case will be completed during the 2023/24 year, while the business case for Llangrannog will be consulted upon during the autumn of 2023. In Talybont and Capel Bangor, the outline business cases are nearing completion, and discussions are ongoing with Natural Resources Wales. Llandre, Aberaeron and Borth are in development.
- Funding has been secured to develop the business case for solutions to flooding at both Llanybydder and Llandysul, with Natural Resources Wales anticipated to lead on construction delivery once the business case has been completed and agreed.
- The amenity grass cutting service has been reviewed and now incorporates 'No Mow May' to support wildlife and biodiversity in the County. The long-standing management of road verges to enable biodiversity and wildflowers to thrive is being reviewed to further enhance this provision.
- The Council is working with the local bus operators and other key stakeholders. The Highways and Environmental Service has been able to secure the best level of service that operators were able to provide.
- The highway network continues to be inspected, maintained and repaired subject to available funding and additional funding is being sought through the Welsh Local Government Association for highway refurbishment.
- Climate change and carbon reduction has been prioritised. Since 2007 the Council has implemented a series of three 5-year Carbon Management Plans.
- In 2019, the Council declared a Climate Emergency and committed the Council to achieving Net Zero Carbon by 2030.
- Our programme of installing energy-saving LED bulbs in street lights has been completed. This involved replacing hundreds of bulbs around the county, resulting in a saving of over £2 million.
- In the last five years Ceredigion has consistently achieved one of the highest recycling rates in both Wales and the UK and is currently at 70.3% for the twelve months to June 2022, which is above the national average of 65.5% and third highest nationally. The high levels of recycling in the County divert waste away from landfill.
- The Council has delivered energy efficiency initiatives providing efficiency measures and advice in people's homes.
- Public transport infrastructure improvements have been delivered along the TrawsCymru corridor through Local Transport Funding.
- A new Net Carbon Zero Action Plan for Ceredigion Council has been published setting out its response to the county-wide climate emergency, explaining why we need to take this action and why the 2030 target is so important to tackling climate change.
- The Council has had a longstanding recognition of the importance of climate change and its long-term impact on communities and on the environment. It has an ongoing commitment to reduce its carbon footprint, which will benefit both the Authority and the wider community through reduced carbon emissions and also energy cost savings.
- As part of this commitment the Council is currently developing a three-phase roadmap to move towards its goal of achieving net zero carbon emissions status by 2030. This is a key priority for the Council and is consistent with Welsh Government's stated goal of decarbonisation of the Welsh public sector by 2030.
- The Waste Service has faced operational challenges during last winter, but new approaches have already been trialled to overcome some of these (e.g. bringing forward Bank Holiday collections) and recycling performance remains strong. 89.33% of waste collection routes collected on the scheduled day of collection, and 96.56% of waste collection routes collected on the scheduled week of collection.
- A new Waste Management Strategy will be forthcoming which will be used to review the service and prioritise where best to allocate resources. The Highways and Environmental Service is in the process of commissioning consultants to assist with the holistic review of the waste service.
- Following the successful application for funding in 2021, a sum of £420,000 has been awarded from the "Ultra Low Emissions Vehicle Transformation Fund" (ULEVTF) which has been used for the development of a Ceredigion ULEV Strategy in alignment with the Growing Mid Wales Energy Strategy for the development of ULEV work programmes.
- Ceredigion County Council has partnered with Silverstone Green Energy Limited as its charge-point operator and have begun to install EV charge-points in 11 public Pay and Display off-street car parks in the county. A significant growth in demand for public and private Electric Vehicle (EV) charge-points is forecast during the next 10 years as the sales of EVs increase.
- To date Ceredigion County Council have installed almost 450kW of solar panels



## KEY ACHIEVEMENTS

across a number of buildings, generating in excess of 400,000kWh of electricity. This has the potential to provide up to £113,000 of revenue savings per annum (at current prices).

- This Investment in carbon reduction equates to a cumulative 20.48% reduction in carbon emissions against a 15% target (2017/18 to 2021/22).
- Five of Ceredigion’s most popular beaches will be flying Blue Flags once again in 2023 after receiving the award from Keep Wales Tidy. The Blue Flag beaches are Borth, Aberystwyth South, Llangrannog, Tresaith and Aberporth.
- A further four beaches have achieved Seaside Award status which are Aberystwyth North, New Quay Harbour, Traeth y Dolau, New Quay and Clarach. Beaches achieving Blue Flag and Green Coast award status must meet the highest “excellent” water quality standard and are judged for the provision of facilities for beach users and for demonstrating good management and safety provision.
- New Quay Traeth Gwyn, Cilborth, Llanrhystud, Mwnt and Penbryn have all won the Green Coast Award. The Seaside Award recognises beaches that have an overall “Good” standard of water quality, public facilities, safety provision and management.
- As a local authority , we have worked closely with developers and landlords to provide a range of affordable housing within the county. 657 net affordable homes have been completed since 2017.
- Significant lobbying by Ceredigion County Council and others has resulted in 40.9% coverage of full fibre broadband giving over 100 Mbps capability. Over the last two years, the provision of Fibre to the premises (FTTP) has increased from 28.3% to 40.9%.
- Following the completion of the Superfast

Cymru Programme it is expected that 90% of Ceredigion will be able to receive +30Mbps. Investment is taking place within the County with 4 differing alternative network providers proposing fibre projects across the County, with currently over 20 project areas being proposed and to be initiated in 2022 and 2023.

- The Council is currently developing a new Digital Strategy that will outline the high-level strategic direction and plans for its Information and Communications Technology (ICT) and digital delivery to customers.
- The Civil Contingencies Team prepare for and respond to civil contingency emergencies across the County. In order to achieve this, local exercising has been prioritised alongside regional exercising and training events. In addition, preparedness plans have been updated and reviewed over the past year along with updates to Business Continuity Plans.
- Air quality remained well within the legal limit for NO2 at all monitoring sites within the county. Monthly air quality monitoring is continuing along with annual reporting on trends.
- The Council is proactively working with Cadw (Welsh Government’s historic environment service) and the Royal Commission on the Ancient and Historical Monuments of Wales “Historic Place Names Task and Finish Group”.
- 67% of households supported by the Homelessness Team were successfully prevented from becoming homeless.
- Following extensive public engagement, Ceredigion County Council developed Active Travel Network Maps (ATNMs) which were approved by the Minister for Climate Change in August 2022. The maps

# 70.3%

of waste recycled composted or reused for the twelve months to June 2022

# 1.8m

Total kilowatt hours of renewable energy generated by council assets

# 1.67

Days on average to clear fly-tips across the county

# 20.5%

Cumulative reduction in carbon emissions since 2017/18, above the target of 15%

# 14

Of Ceredigion’s beaches recognised in this year’s Wales Coast Awards

# 93.6%

Of category 1 highway defects repaired or made self by the end of the next working day

# 2

Regional Energy Efficiency awards to recognise the work in helping homeowners reduce their energy bills, tackle fuel poverty and reduce carbon emissions

# 40.9%

Provision of Fibre to the premises (FTTP) broadband, increased from 28.3%, due to investment in digital connectivity over the last two years

# IMPROVING OUTCOMES



## LOCAL AFFORDABLE HOUSING

A range of measures are used by the Housing service to maximise the availability of affordable housing in the county. This now includes a newly launched Community Housing Scheme using existing Council Tax Second Homes Premium monies.

In March 2022 the Council made a commitment to support the scheme which helps people meet their affordable housing needs in their local communities by creating a pathway to home ownership.

This is due to the increasing demand for rural properties and availability of affordable units in rural settlements. The scheme is designed to **prevent those eligible households from being priced out of the market, prevent further rural decline and depopulation, and provide new options for people to remain in their local community.** Schemes like this can lead to a greater sense of connection, leading to **long-term sustainability of a community.**

Funds raised from the Council Tax Second Homes Premium are ringfenced to fund the Community Housing scheme, to assist local residents purchase homes in the County by providing interest free shared equity loans. The scheme is due to be launched in September 2023.



## RESPONSIBLE DEVELOPMENT

The new extension at Llwyn yr Eos School in Penparcau Aerystwyth, has become the Council's first net-zero building in operation.

Ground source heating and solar panels were installed as part of the scheme, and it is intended that this will set a benchmark for future building works undertaken by the Council in future.

Renewable energy is now also routinely being introduced as part of building refurbishment works and also as part of the 21st Century Schools programme. This demonstrates the Council's commitment to its carbon net zero target of 2030.

We know that children feel connected to their local natural environment and recognise the importance of protecting the environment for theirs and future generations. Climate change was recognised by children as the biggest challenge being faced currently in the Ceredigion Assessment of Local Well-being. Investing in renewable energy, reducing carbon emissions and proactively working with contractors to achieve the Council's net carbon zero ambitions will not only help to **protect the environment, but also reduce energy costs and lower its environment footprint.**



## PROTECTING HISTORY AND CULTURE

The Street Naming and Numbering Policy has been updated to promote and facilitate the use of the Welsh language and to encourage homeowners to consider adopting Welsh house names, which may have linguistic origins, with reference to historical or cultural reference, within the geographical area.

This approach has received acknowledgement of good practice from Cymdeithas Enwau Lleoeedd Cymru, who has asked for permission to share this good practice with other local authorities nationwide.

When house names are registered in Ceredigion, each applicant is informed of the Welsh language and culture of the area to help encourage the use of Welsh or historic names. The majority of house name applications in Ceredigion are Welsh and / or have historic significance.

This approach encourages the **retention of historical Welsh place names for future generations** and supports the national well-being goal of a **Wales of Vibrant Culture and Thriving Welsh Language.**



## INCREASING ENERGY EFFICIENCY

In June 2022 at the Wales Regional Energy Efficiency Awards, Ceredigion County Council's Energy Efficiency Schemes scooped 2 awards.

The Energy Efficiency Awards recognise the work being undertaken by the energy efficiency sector in Wales. The measures were introduced to help homeowners **reduce their energy bills, tackle fuel poverty and reduce carbon emissions.**

The Council has been delivering the ECO Local Authority Flexibility scheme along with the Warm Homes Cozy Ceredigion Scheme for a number of years. These schemes have seen a number of insulation measures and heating systems being installed in properties improving their **energy efficiency.**

To date, the Council has invested over £5 million in energy efficiency and carbon reduction projects, and this investment has saved £2.8m to date.



**Overall assessment of the journey so far**

Progress in meeting this objective is **good** and prospects for improvement are **very good**.

Ceredigion has taken a leading role in its ambitions to achieve net zero and protect its unique environment for future generations. Despite the challenges that exist in achieving net zero the steps to reduce our carbon footprint, improve active travel and connect communities are on track and further developments are planned in the year ahead.

The Council's Carbon Management Plan, Community Housing Scheme and continued high performance in recycling are examples of how Ceredigion is leading the way in delivering this objective.


**LEADING THE WAY**

**MAXIMISING OUR CONTRIBUTION TO THE NATIONAL WELL-BEING GOALS**

The **Creating sustainable, green and well-connected communities** corporate well-being objective supports the following national well-being goals. ▶

Prosperous
Resilient
Healthier
More Equal
Cohesive
Culture
Global

**DELIVERING SUSTAINABLE DEVELOPMENT**

 **LONG-TERM**

- Long-term planning to reduce carbon emissions will help protect our beautiful landscape for future generations
- Future trend analysis utilised in developing the Council's 5-Year Carbon Management Plan

 **PREVENTION**

- Creating sustainable, green and well-connected communities focuses on preventing further impact on the environment, particularly reducing carbon emissions, but also the impact on biodiversity across the County
- Active travel is a key part of Ceredigion's strategy to improve health and well-being, and thus preventing health related problems in the future
- Being connected has come to the fore since the COVID-19 pandemic, and investment in connectivity will help to create stronger and more resilient communities

 **COLLABORATION**

- Collaborative working with partners and stakeholders will help to ensure a coordinated approach to minimising the impact of climate change and that we all focus on more sustainable forms of energy in the future
- We are working on projects in partnership with colleagues on the Ceredigion Public Services Board, for example, in the development of the Penglais District Heating Project where all public sector organisations in the locality will be able to take advantage of green solutions to energy.

 **INVOLVEMENT**

- Everyone is involved and encouraged to make choices that will reduce costs now and protect the environment for the future

 **INTEGRATION**

- Decarbonisation, improving the health of the County through encouraging active travel, and improving connectivity has clear benefits for maximising our contribution to all of the well-being goals

**LONGER-TERM ACHIEVEMENTS**

**210**

Units of Social Housing developed

**£3.5m**

Warm Homes Fund for heating and insulations / upgrades

**£510,853**

Spent on 35 Home Improvement Loans

**56**

Units of Extra Care accommodation at the new Maes y Mor site

# CONTRIBUTION TO THE NATIONAL WELL-BEING GOALS

The Well-being of Future Generations Act (Wales) 2015 seeks to improve the social, economic, environmental and cultural well-being of Wales by requiring public bodies to work together to create a sustainable Wales. It is intended to help to create a Wales that we all want to live in, now and in the future. There are 7 national well-being goals that set out a shared vision for all public bodies to work towards (shown right).

We know that we face challenges in Ceredigion - the COVID-19 pandemic has been unprecedented in its impact on all walks of life, but more recently the cost of living crisis is impacting many households in the County. Some of these issues have been exacerbated by the pandemic and have come to the fore such as housing affordability, while others remain a consistent challenge such as tackling poverty.

There is also the need to grow the local economy and create opportunities for local people to stay and thrive in their local communities. The County's changing demographics towards an ageing population and out-migration of younger people will have far-reaching impacts across the four pillars of well-being.

**Ceredigion County Council** has worked collaboratively with its local and regional partners to tackle these complex issues to create the Ceredigion that we want. Some examples are the Mid Wales Growth Deal leveraging significant funding for regeneration across the region, the coordinated response to the COVID-19 pandemic with a variety of partners across the County, and the Public Services Board Poverty Sub Group in tackling the impact of Poverty across the County.

The Council's 2021/22 Well-being Objectives focused on the immediate response to the

COVID-19 pandemic and supported the longer-term recovery. They were set based on evidenced local needs and on the views of local people. A variety of sources were used to determine these needs including the last Ceredigion Assessment of Local Well-being and Local Well-being Plan.

The Well-being Objectives will help us improve outcomes for local people and also maximise our contribution to the national Well-being Goals.

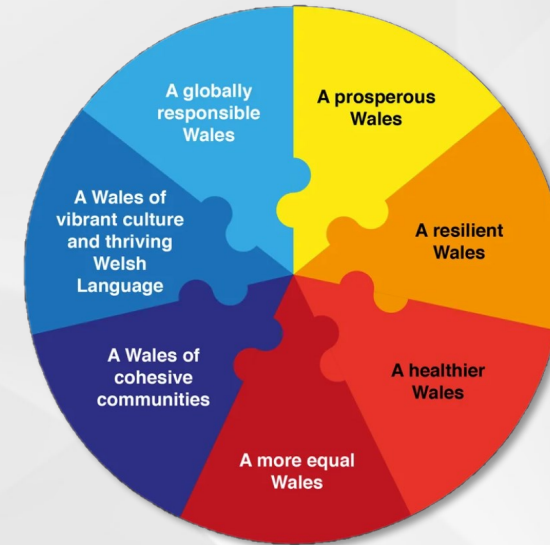
We monitor and review progress towards delivering the Objectives on a regular basis and produce an annual Self-Assessment Report in which we convey progress.

**Ceredigion Public Services Board** brings together the County's public service leadership and decision-makers, to improve the economic, social, environmental and cultural well-being of the County by strengthening joint working across the County's services.

Like the Council, its priorities were developed using the evidence and engagement feedback from key sources such as the Assessment of Local Well-being. This ensures that both Ceredigion County Council and Ceredigion Public Services Board's Well-being Objectives are aligned to focus on the priority needs of the County, and maximise the contribution to the national Well-being Goals.

Common themes such as tackling poverty, environmental responsibility, creating opportunities and providing the best start in life are all closely aligned and together allow us to provide a coordinated and shared response to improving well-being. The table overleaf demonstrates how Ceredigion's Well-being Objectives contribute to the 7 national Well-being Goals.

## THE 7 NATIONAL WELL-BEING GOALS



The Well-being of Future Generations (Wales) Act 2015 puts in place 7 Well-Being Goals.

The Act gives us the ambition, permission and legal obligation to improve our social, cultural, environmental and economic well-being.

It requires public bodies in Wales to think about the long-term impact of their decisions, to work better with people, communities and each other, and to prevent persistent problems such as poverty, health inequalities and climate change.

▼ Well-being Goal	How the Council's Well-being Objectives contribute to the national Well-being Goals ▼
<b>A Prosperous Wales</b>	All of our Well-being Objectives reflect the importance of developing the local economy in Ceredigion. Enabling employment, developing skills, providing affordable housing, protecting the environment, supporting businesses and investing in regeneration will contribute to the national goal of a prosperous Wales. Supporting businesses to respond to the impacts of Covid-19 helps both the immediate response and the longer-term future as we seek to increase economic growth, create more and better paid jobs and support the workforce through opportunities for learning.
<b>A Resilient Wales</b>	Delivering our carbon net zero ambition, increasing opportunities for active travel and ensuring communities are well-connected will help to protect our natural environment and create strong and resilient communities. This contributes to the national well-being goal of creating a resilient Wales by reducing our impact on the environment and enhancing our capacity to adapt to change.
<b>A Healthier Wales</b>	Supporting learners in education and training, and protecting people from poverty, and the promotion of healthier, more active lifestyles seeks to build a healthier Ceredigion and a healthier Wales. It also enables independent living and provides early intervention and prevention services for the most vulnerable. Supporting citizens who have been disproportionately impacted by COVID-19 to improve their physical and emotional wellbeing will support other initiatives to deliver a healthier Wales.
<b>A more Equal Wales</b>	All of our Well-being Objectives seek to establish a more Equal Wales by ensuring equal opportunities for all in employment, housing, education, healthier lifestyles and sustainable communities.
<b>A Wales of Cohesive Communities</b>	Building the strength of our communities is a key feature in our Well-being Objectives. Providing support for our communities to be strong and well connected so that they are able to thrive despite Covid-19 will enhance the Wales of cohesive communities.
<b>A Wales of Vibrant culture and thriving Welsh language</b>	The Council continues to promote the distinct and vibrant bilingual culture and identity of Ceredigion. The cultural pillar of Well-being was highlighted as being particularly important to Citizens in the Ceredigion Assessment of Local Well-being, and further measures to promote bilingualism and the Welsh Language are in place.
<b>A Globally responsible Wales</b>	In considering our Wellbeing Objectives we have taken into account the Ceredigion Assessment of Local Well-being and engagement activity to ensure we can make a positive contribution to global well-being. Support for active travel, other modes of transport and new ways of working that build on our zero-carbon ambition continues our work in this area.








# THE SUSTAINABLE DEVELOPMENT PRINCIPLE

The Well-being of Future Generations (Wales) Act 2015 introduced the Sustainable Development Principle and outlines the 5 Ways of Working that all public bodies must adopt. Sustainable development is the central organising principle that shapes what we do and how we do it.

In essence, it means we must strive to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs. This approach provides an opportunity for innovative thinking, reflecting the way we live our lives and what we expect of our public services

We have embedded the principle across the Council and adopt the principle in the planning and delivery of our Well-being Objectives.

Some of the ways in which we have used the Sustainable Development Principle are outlined right.












	Ways of Working	How the Council has demonstrated the Sustainable Development Principle
	<p><b><u>Long term</u></b></p> <p>Looking to the long term so that we do not compromise the ability of future generations to meet their own needs</p>	<ul style="list-style-type: none"> <li>• Medium Term Financial Planning ensures that decisions consider the impact on future generations.</li> <li>• Workforce Planning ensures the development of workforce skills for the future and ensures services are sustainable over the longer term.</li> <li>• The Council's Corporate Strategy seeks to improve the social, economic, environmental and cultural well-being of Ceredigion over the next 5 years and beyond.</li> <li>• The recovery from the COVID-19 pandemic is projected to last for a number of years and our plans to tackle poverty and take a long-term approach to economic development reflect this.</li> </ul>
	<p><b><u>Integrated</u></b></p> <p>Taking an integrated approach so that public bodies look at all the well-being goals in deciding on their Wellbeing Objectives</p>	<ul style="list-style-type: none"> <li>• The Well-being Objectives are aligned with those of the Ceredigion Public Services Board which promotes a shared understanding and coordinated response to the challenges Ceredigion faces to improve the well-being of citizens.</li> </ul>
	<p><b><u>Involvement</u></b></p> <p>Involving a diversity of the population in the decisions that affect them</p>	<ul style="list-style-type: none"> <li>• The Council's Corporate Strategy has taken into account the Public Services Board's Assessment of Local Well-being, which has been produced following extensive engagement with citizens, including those with protected characteristics.</li> <li>• The Council consults on an annual basis with citizens and its engagement groups on the review and setting of its annual Well-being Objectives.</li> <li>• The Council's Engagement and Participation Strategy will help to ensure the voices of all groups in Ceredigion are heard.</li> </ul>
	<p><b><u>Collaborative</u></b></p> <p>Working with others in a collaborative way to find shared sustainable solutions</p>	<p>The Council actively supports, amongst others, the following partnerships:</p> <ul style="list-style-type: none"> <li>• The Growing Mid Wales Partnership</li> <li>• The Ceredigion Public Services Board</li> <li>• The Community Safety Partnership</li> </ul> <p>The Council worked alongside Hywel Dda University Health Board and other partners in responding to COVID-19, including the setting up of two temporary hospitals, mass vaccination centres and a multi-agency panel to ensure the safe re-opening of community venues.</p>
	<p><b><u>Prevention</u></b></p> <p>Understanding the root causes of issues to prevent them from occurring</p>	<ul style="list-style-type: none"> <li>• The Council's Well-being Objectives have been set in order to prevent problems from occurring or getting worse. These include addressing the effects of poverty, the issues of rurality and improving the well-being of people of all ages, from early years through to older age.</li> <li>• The Through Age Model provides a coordinated approach to social care in order to prevent, reduce or delay the need for ongoing support, and allow people to remain in their own homes.</li> </ul>

# JOINING UP OUR PLANS - LINKS TO KEY RESOURCES

## KEY RESOURCES

Our Self-Assessment Report discharges our duties under the Local Government and Elections (Wales) Act 2021 and the Well-being of Future Generations (Wales) 2015 in respect of the Council's performance and the setting and review of well-being objectives.

The requirements of Self-Assessment align with, and support, the duties outlined in other Acts. The following pages provide a summary of these duties and the Council's appropriate policy or strategy in place to respond to the duty.

-  Equalities
-  Welsh Language
-  Finance
-  Procurement
-  Governance
-  Asset Management
-  Human Resources
-  Through-Age Well-being
-  Economy
-  Tackling Hardship
-  Hybrid Working Strategy
-  Housing

## EQUALITIES

The Council's [Strategic Equality Plan](#) (SEP), sets out how we, as Ceredigion County Council, will ensure that our actions are fair to all. Being treated fairly and with respect is relevant to all of us and to our families and friends. The five Equality Objectives of the Strategy are:

- An exemplar equal opportunities employer
- Fostering good relations and tackling prejudice
- Engagement and participation
- Dignity, respect and access to services
- Fair and inclusive education

The Equality Act 2010 brings together and replaces previous anti-discrimination laws within a single act. It simplifies and strengthens the law and makes it easier for people to understand and comply with it. The Act protects the rights of individuals and advances equality of opportunity for all. It includes a general duty on public sector organisations to have 'due regard' to the need to:

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

Public sector bodies are required to review their Strategic Equality Objectives and action plan every four years. To do this, we carry out consultation and engagement with our local communities to inform the plan and the objectives. The Mid and West Wales Regional Equality, Diversity and Inclusion Group, of

which Ceredigion Council is a member, agreed to take a regional approach to this piece of work. The regional engagement and consultation plan was developed in Q4 of 2022-23 and will be implemented during 2023-24 in order that our updated Strategic Equality Plans are ready for publishing by 31st March 2024.

## WELSH LANGUAGE

To sustain viable Welsh communities where Welsh is a natural language of communication in Ceredigion, the Council's [Language Strategy](#) recognises three key areas of priority; they are to:

- Increase the Welsh Language skills of the people of Ceredigion,
- To increase opportunities to use the Welsh Language, and
- To create favourable conditions that will enable the Welsh Language to thrive in Ceredigion.

It is acknowledged that the sustainability of the Welsh language depends on the process of strengthening Welsh communities through providing educational, cultural and social opportunities to use the language daily.

In accordance with the Welsh Language Standards, the strategy sets out how the Council will encourage the Welsh language and facilitate its use more broadly within the local area, through cooperating with organisations that are members of Ceredigion's Bilingual Futures Language Forum. The Strategy supports the Council's overall vision to deliver value for money, sustainable bilingual public services, and also the Welsh Government's vision to achieve a million of Welsh speakers in Wales by 2050.

The Council believes that the publication of the Welsh Government's Cymraeg 2050 strategy, alongside the implementation of the Welsh Language Strategy in Ceredigion, has

instigated some change in attitudes towards the Welsh language, and as a result, the number of people wishing to learn and speak the language in Ceredigion has increased. A summary of the main achievements of implementing the Language Strategy are:

- The Ceredigion Association of Voluntary Organisations (CAVO) was one of the first county voluntary councils in Wales to earn recognition via the Welsh Language Commissioner's Welsh Offer scheme
- Natural Resources Wales won the Work Welsh Employer of the Year Award in 2022
- Hywel Dda Health Board has signed up to the Work Welsh scheme to provide confidence building courses for 100 of their staff
- Coleg Ceredigion has put a policy in place, requiring all staff to follow an internal training programme to create bilingual classes, 'Basic, Better, Best'
- The Council analysed the 2021 Census data as regards its implications on language use in Ceredigion and the full report was published on the Council's website, and results shared widely with partners
- Aberystwyth University has been investing in large-scale developments that support the use of the Welsh language including the welcoming of its first nursing students who will receive training to become Adult and Mental Health Nurses and will be able to study through the medium of Welsh.

The Language Strategy and [Action Plan](#) will be reviewed during 2023 and an updated Strategy published in early 2024 covering the next five years.

## FINANCE

The [Medium Term Financial Strategy](#) provides a financial governance framework to operate within by setting out the issues that are considered and taken into account for financial planning for the medium term.

# JOINING UP OUR PLANS - LINKS TO KEY RESOURCES

By bringing together financial assumptions; standards of service delivery; demographic needs; and workforce planning issues into this document it is expected that the Council will be better able to consider overall management of its resources to meet its objectives.

The Council's financial objective is for the careful and responsible use of resources and to ensure that the financial resilience of the Council is maintained and strengthened.

Understanding the overall financial context is important in order to deliver a robust and balanced budget during the next few years as it is recognised that funding for the Public Sector will be limited. The financial forecast includes a three year budget forecast. Despite the challenges that exist, from this challenge there are opportunities arising by considering how services can be delivered differently and better, and ensuring greater value for money for the taxpayer. A transformation savings plan has also been prepared and is being implemented, although Covid-19 has impacted on the timescales envisaged.

## PROCUREMENT

The Council's vision for procurement, as published in its [Procurement Strategy](#), is to achieve value for money through the effective procurement of its service requirements, and to demonstrate continuous improvement in its procurement activity.

The Council incurs annual third party expenditure of more than £60m while delivering wide-ranging public services. Through careful strategic procurement planning, this expenditure is targeted to support the delivery of the Council's overall vision and Corporate Well-being Objectives. The Council's Procurement Strategy aims to:

- Provide value for money by basing procurement decisions on an appropriate combination of quality and price.

- Deliver outcome focused public services procured with the needs of service users in mind and in the language of their choice, through consultation and incorporating the Welsh Language (Wales) Measure (2011) into contracts.
- Support a healthy environment through procuring sustainable solutions and by pre-qualifying prospective suppliers on their sustainability records and values.
- Maximise the contribution towards sustainable development through embedding the Wellbeing of Future Generations (Wales) Act 2015 Sustainable Development Principles in Procurement processes.

During 2023/24, we will be reviewing and updating the Procurement Strategy as part of its standard five-year review to ensure it is up to date and fit for purpose. The aim of the review will be to ensure that the strategy continues to support local businesses and the wider local economy, and ensure the Council provides value for money in the use of its financial resources.

## GOVERNANCE

In discharging its overall responsibility, the Council is responsible for putting in place proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions, which includes the arrangements for the management of risk.

This means 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. Its governance arrangements support the delivery of its Corporate Well-being Objectives and its ongoing commitment to improving the social, economic, environmental and cultural wellbeing of the County.

The Council's [Local Code of Corporate Governance](#) ensures that the Council is doing the right things, in the right way, in line with its 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.

The Local Code of Corporate Governance brings together in one document all the governance and accountability arrangements the Council has in place. It is based on best practice guidance set out in the CIPFA/SOLACE Framework Delivering Good Governance in Local Government 2016. The most recent 2022/23 Code has been reviewed to take account of ongoing changes to governance due to the COVID-19 pandemic.

An annual review of the effectiveness of its governance against the CIPFA/SOLACE Delivering Good Governance Framework document has been conducted. This is the [Annual Governance Statement](#). The review process involves a member/officer workshop in which the Council's Governance Framework Document is analysed and reviewed. The review of the 2021/22 Framework was approved by Council in July 2022 and provided 'high' assurance that there was a sound system of scrutiny and robustness in place. All Councils Officers must comply with the [Code of Conduct for local Government Employees](#), while the Council's Councillors must comply with the [Code of Conduct for Members](#).

## ASSET MANAGEMENT

The purpose of the Council's [Asset Development Policy](#) is to set out Ceredigion County Council's approach to optimising its assets through leasing, disposals and acquisition in pursuit of its priorities and objectives. The key objectives of the Policy are:

- To set out key steps in the Asset Development review process.

- To set a strategic context to the management of vacant or underused land and buildings.
- To ensure that Ceredigion County Council has the most appropriate and effective asset portfolio in relation to its aims.
- To maximise revenue from assets owned by the Council.
- To identify assets that are surplus to requirements for original use and to maximise income through their development and / or disposal.
- To add to the asset portfolio where appropriate to achieve corporate aims.

The Council uses a range of different actions to deliver these objectives, including the disposal of land and buildings that are vacant or deemed to be surplus to requirements, investing in land and buildings to increase income through lease agreements and investing to develop land and buildings for alternative commercial or other uses in-line with the Council's Corporate Well-being Objectives.

Crucially, it also considers the Council's use of space. This is important because during 2023/24 we will be reviewing the Policy and publishing a new Asset Management Plan to reflect current issues. In particular, this will involve supporting the Council's new ways of working, investing in new technology and repurposing our assets to transform the way services are provided to our customers to ensure sustainable and high quality services for the long term.

## HUMAN RESOURCES

Underpinning the success of the Council's Corporate Strategy is a high performing workforce, operating in a way that is innovative, digitally mature and sustainable. To achieve this, a [Workforce Plan](#) is in place, that outlines the Council's approach to managing its workforce to meet its current and future service delivery needs. It involves analysing the organisation's

workforce requirements, identifying any gaps, and focussing on the development plans to address them.

During 2023, the Workforce Plan is being updated to address key issues including recruitment, retention and succession planning to ensure stable staffing levels, a sustainable workforce and that vacant posts are filled with appropriately qualified staff. Following the publication of the new Corporate Strategy 2022-27, the updated Workforce Plan will be aligned to the new Corporate Well-being Objectives. It will also support the Council's new ways of working and the realisation of the benefits including increased productivity, reduced travelling and improved work life balance.

The updated [Workforce Plan 2023-2028](#) recognises the achievements over the course of the previous plan, the link with other corporate strategies, our workforce profile and sets out four key themed priorities to meet the identified challenges.

The four themed priorities set out in the plan are:

1. Realising Potential
2. Candidate Experience and Talent Attraction
3. New Ways of Working
4. Our Culture

The Workforce Plan 2023-2028 sets out an overview of each theme before detailing the actions which will be taken to meet the requirements of the Plan. A set of proposed measures are included at end of the document to allow effective monitoring of progress over the course of the three-year plan. The updated Workforce Plan is scheduled to go through the democratic process for approval during the summer of 2023.

## THROUGH AGE WELL-BEING

Providing support for all ages and needs is a

significant challenge for the Council with limited resources. The profile of society and demographics have changed considerably over the last decade with a significant increase in the prevalence and impact of substance misuse, poor mental health and domestic abuse and older age groups living in Ceredigion. As a consequence, demand for certain services has increased placing a greater financial pressure on those service areas.

The [Through Age Well-being Strategy](#) sets out the vision and approach that will be taken to transform how the well-being and safety of the people of Ceredigion is supported.

To achieve our vision we have developed a Through Age Well-being operating model that is designed to ensure people get the right level and type of support, at the right time, to prevent, reduce or delay the need for ongoing support, to maximise people's independence and to be able to remain in their own home in their own community wherever possible.

## ECONOMY

Ceredigion's [Economic Strategy](#) was published in March 2021. It sets out a framework for action covering the fifteen year period to 2035, outlining out how we will work together towards achieving strong, sustainable and more resilient economic growth for Ceredigion, created and shared by all.

It highlights the actions that will address the challenges and opportunities that exist in the local economy, and focuses on four main priority areas of People, Enterprise, Place and Connectivity, with each section outlining some of the early interventions considered.

Work will continue on developing the detailed implementation plans during 2023/24. Many initiatives have already been developed and implemented under the strategic direction set by the Economic Strategy. A significant

amount of external funding has been secured from a range of key stakeholder organisations, which will enable the building blocks for further economic growth to be put in place. The Strategy provides an exciting opportunity to build on Ceredigion's solid foundations and support an ambitious thriving economy for the future.

## TACKLING HARDSHIP & POVERTY

The Ceredigion [Local Well-being Plan 2023-28](#) contains four well-being objectives plus a cross-cutting theme on tackling hardship and poverty because it links to each of the objectives covering economic, social, environmental and cultural well-being.

The Ceredigion Public Services Board (PSB) will prioritise tackling hardship and poverty in response to the cost of living crisis, cross referencing with economic, social, environmental and cultural well-being pillars. The mechanism for implementing the tackling hardship and poverty theme is through the PSB's Poverty Sub-Group which consists of a network of partner organisations who scrutinise the work of the PSB to enhance the work undertaken to combat poverty across each of the four objectives.

## HYBRID WORKING

The [Interim Hybrid Working Strategy](#) sets out the vision and approach that will be taken to ensure the Council has a workforce with the skills and ability to work in a way that is fit for the organisation's future.

Having responded well to the initial challenges posed by the pandemic, focus shifted to how the Council could learn and build from the experience. Using research findings and staff engagement, the Hybrid Working Strategy was developed setting out the principles and implementation process of a hybrid working

model that maintains the required high level of service delivery whilst also providing employees with greater flexibility in balancing their work and home lives.

The interim policy will be in place for 12 months to allow for hybrid working to be trialled as the managers and our workforce identify an effective new way of working post-pandemic. As the interim period comes to an end during 2023, a review of the working arrangements will be conducted with a view to developing a permanent Hybrid Working Policy.

## HOUSING

An updated [Housing Strategy 2023-28](#) has been developed during 2023 which sets out the Council's housing vision and ambitions for the period 2023 to 2028. We are currently consulting on the new strategy and will take it forward for adoption in October 2023.

The vision of the new strategy is: *there will be sufficient suitable and sustainable accommodation to meet residents' needs now and in the future.* We recognise the important role that housing plays together with the influence it has on the health and well-being of individuals, families and the wider community.

It responds to key challenges including the national picture of the economic recession, legislative changes, the recovery from the COVID-19 pandemic and the phosphates issues affecting development in the County, that all play their part in affecting housing Ceredigion.

The two main priorities of the new Strategy are:

- Increasing supply and improving housing conditions
- Supporting residents in their own homes and communities.

The existing [Housing Strategy](#), which ends in 2023 is available on the Council's website.



# OUR PERFORMANCE

## How We Benchmark Performance

The Council routinely monitors and benchmarks its performance as part of its ongoing performance management arrangements. Performance benchmarking contributes to our overall effectiveness and efficiency by allowing us to identify best practice and opportunities for improvement.

With the change in legislation concerning the performance regime for principal councils in 2021, the national set of Performance Accountability Measures (PAMs) used across all twenty-two councils in Wales were removed. Historically, Ceredigion had performed well against these measures. In the final full year of recording the PAMs in 2019/20, twenty-one measures were collected, with Ceredigion achieving 14 or

72% on target, with a further 3 or 14% slightly off target and 4 or 13% were significantly off-target.

Following the change in legislation, we now use four main forms of routine benchmarking; our Level 1 Business Plan measures, a set of key benchmarking measures, a set of community benchmarking measures and a periodic assessment of our individual performance against the national well-being indicators. The following pages provide a summary of these results.

## Business Plan Performance

Our business plan performance is monitored through the Performance Board, and on an ongoing basis, by Leadership Group. At the end of 2022/23 our performance shows that 72% of our measures were on target and

71% of our objectives were either complete or on schedule (see charts below left). The measures and objectives off-target are scrutinised in more detail by the Performance Board and Leadership Group.

## Value for Money

Value for Money can be defined as the relationship between Economy, Efficiency and Effectiveness. It is a term used to

assess whether the Council has obtained the maximum benefit from the goods and services it procures and provides within the constraint of the limited resources facing the Council.

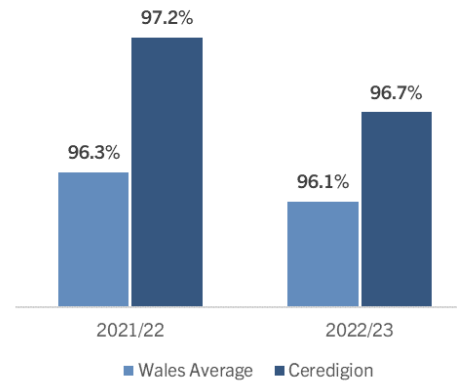
For example, two key measures of efficiency, the collection of Council Tax and Non-domestic (business) rates, both remain above average, although collection rates nationally were affected by the COVID-19 Pandemic.



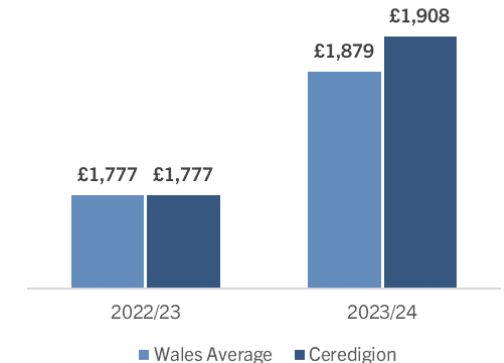
- On target: 117 (72%)
- Off target by less than 15%: 26 (16%)
- Off target by more than 15%: 20 (12%)

- On schedule / complete: 206 (71%)
- In progress but behind schedule: 75 (26%)
- Not started / not complete: 9 (3%)

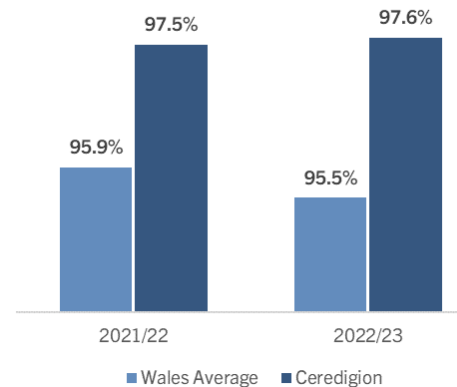
## Council Tax Collection Rate



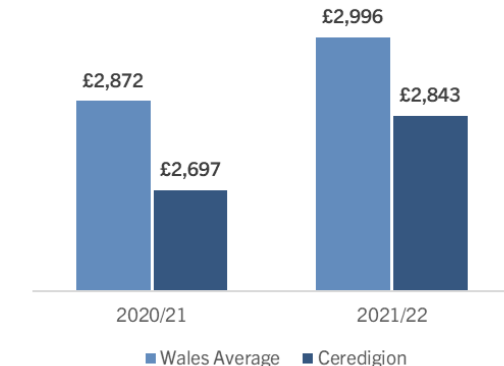
## Band D Council Tax Rate



## Non-Domestic Rates Collection



## Revenue Outturn Expenditure Per Head

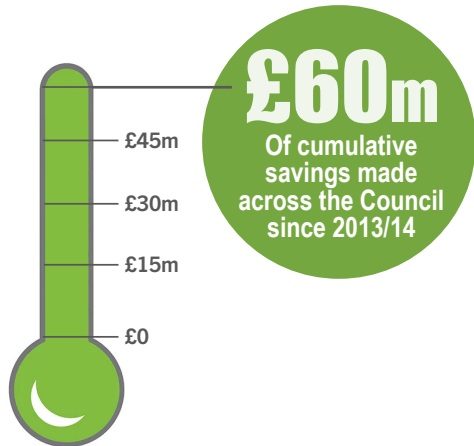


The average Band 'D' Council Tax, often used as a comparator between different counties, shows that current rates are slightly higher than the national average across Wales at £1,908, while our cumulative savings made over the last ten years total £60m through restructuring, service-redesign and transformation projects. Revenue outturn expenditure per head was £2,843 for the last full year and budgeted expenditure for the current 2023/24 year is £3,173.

**Key Performance Measures**

The Council uses a variety of performance indicators to monitor how well our services are performing in meeting the needs of service users and to measure their efficiency and value for money.

They measure performance across a wide range of Council services including: financial management, education, housing, leisure services, waste management and street cleansing. The following pages (49-50)



provide a selection of these measures, showing the Council's performance compared to its nearest neighbours in the mid and south west Wales regions. Data is provided for the latest full year results and the time period covered is noted on the individual chart.

**Well-being of Wales National Indicators**

The 46 [national well-being indicators](#) are designed to represent the outcomes for Wales and its people that will help demonstrate progress towards the 7 National Well-being Goals.

They are not performance indicators specifically for the Council, they are county-wide results, to which the Council, along with other public bodies, contribute. We, do however, periodically review Ceredigion's contribution to these indicators. The last of these exercises was conducted in 2022 as [Appendix 9](#) to the [Ceredigion Assessment of Local Well-being 2022](#).

The annual 'Wellbeing of Wales' report provides an update on progress made in Wales towards the achievement of the 7 National Well-being Goals which draws on the latest national indicators results.

**Future Plans**

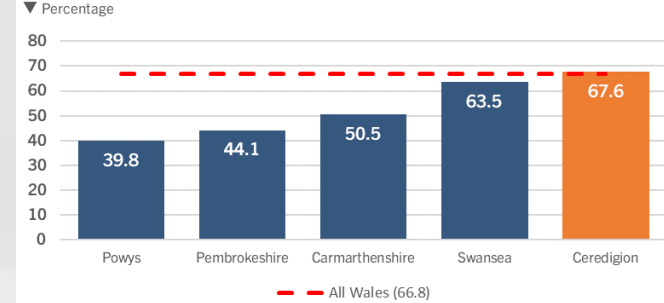
The Council is proactively working with Data Cymru and all 21 other councils nationwide to support the development of the new [Self-Assessment Data Tool](#). The Tool, developed by Data Cymru, provides access to a wide range of performance data across local government services.

Further work will take place during 2023 and 2024 to strengthen the measures and fill gaps in data such as in assessing value for money, asset management and consultation.

# KEY PERFORMANCE MEASURES

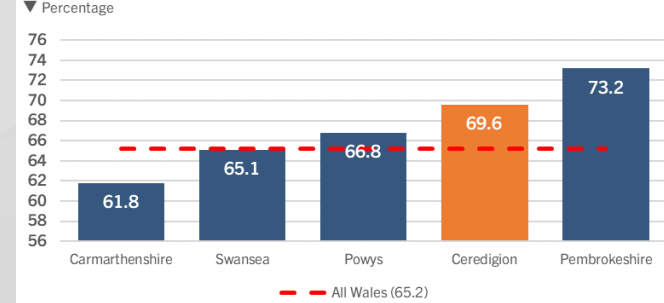
**Homelessness Prevention**

% of households successfully prevented from becoming homeless (2021/22)



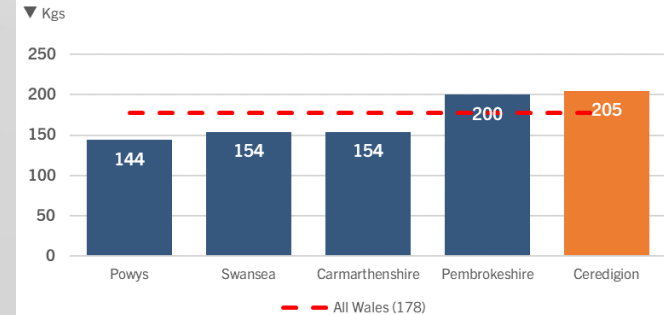
**Recycling**

Percentage of municipal waste resused, recycled or composted (2021/22)



**Waste Collection**

Kilograms of household waste generated per person (2021/22)

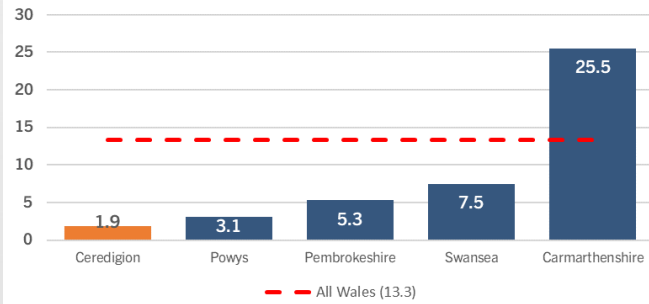


# KEY PERFORMANCE MEASURES

## Fly-tipping

Number of recorded fly-tipping incidents per 1,000 population (2021/22)

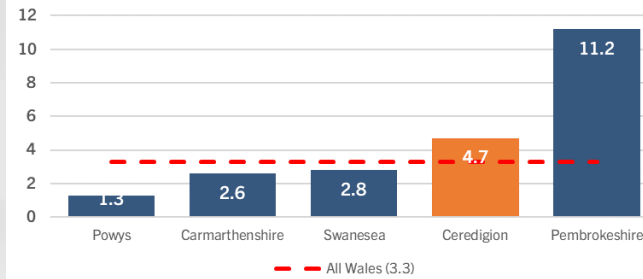
▼ Number



## Community Learning

Number of learners enrolled in local authority community learning per 1,000 population (2021/22)

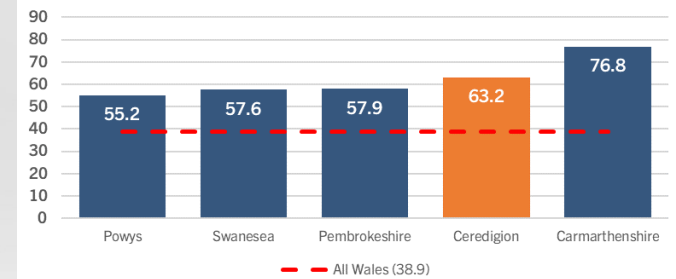
▼ Number



## School Counselling

Number of children and young people who received counselling in Wales per 1,000 population aged 10-18 (2021/22)

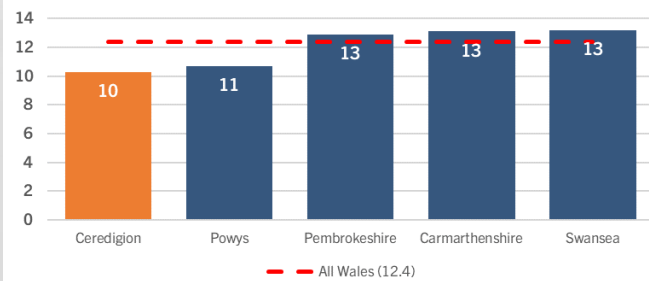
▼ Number



## Apprenticeships

Number of learners enrolled on apprenticeship programmes per 1,000 population (2021/22)

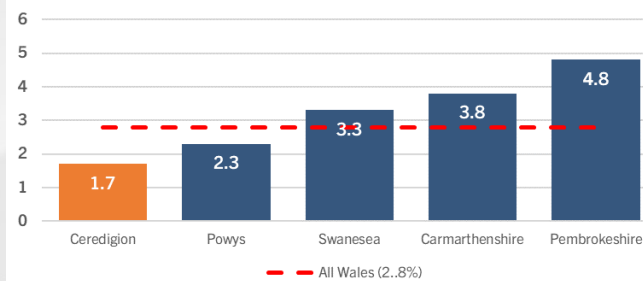
▼ Number



## Not in Education Employment or Training (NEET)

Year 13 school leavers known not to be in Education, Training or Employment (2022)

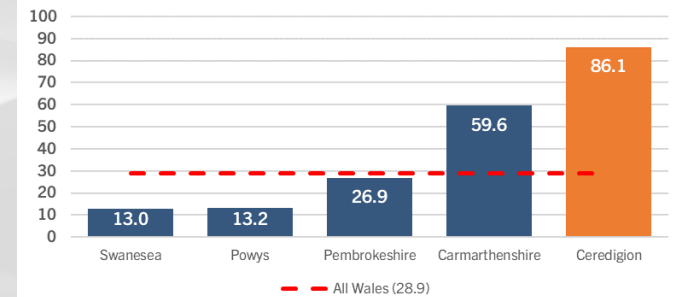
▼ Percentage



## Welsh Medium Schools

Percentage of primary schools that are Welsh medium (2021-22)

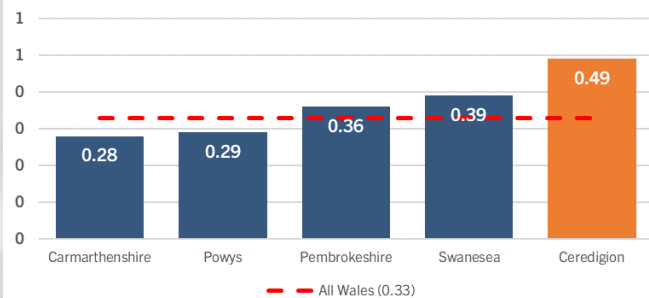
▼ Percentage



## Complaints Received by the Local Authority

Number of complaints received per 1,000 residents (2022/23)

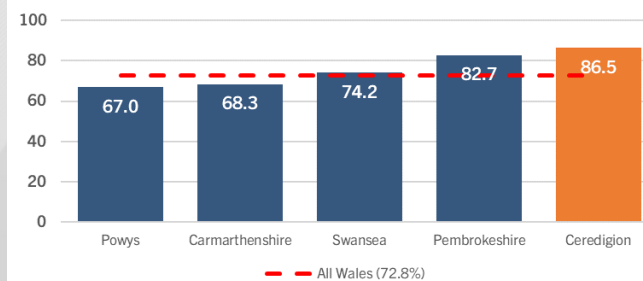
▼ Number



## Free School Meals

Percentage of eligible pupils who took up the offer of a free school meal (2021/22)

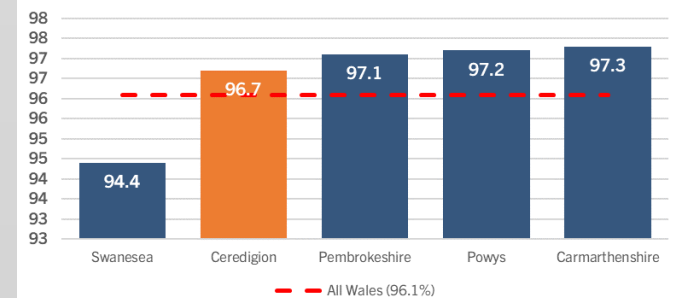
▼ Percentage



## Council Tax Collection

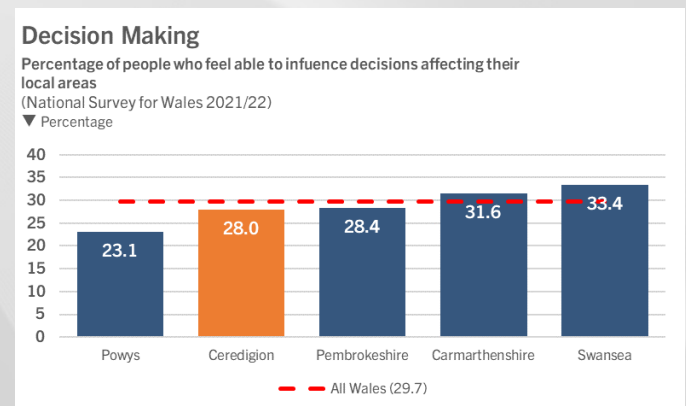
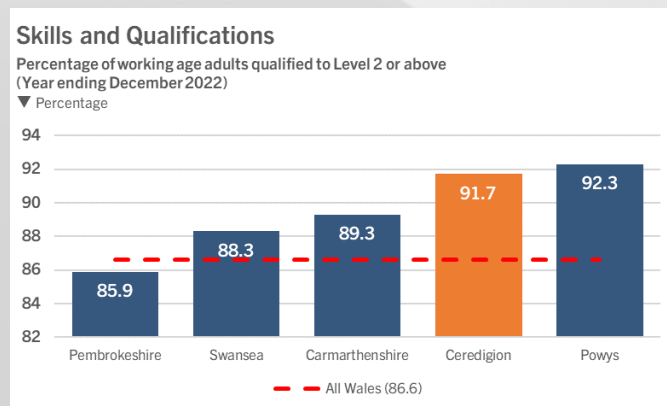
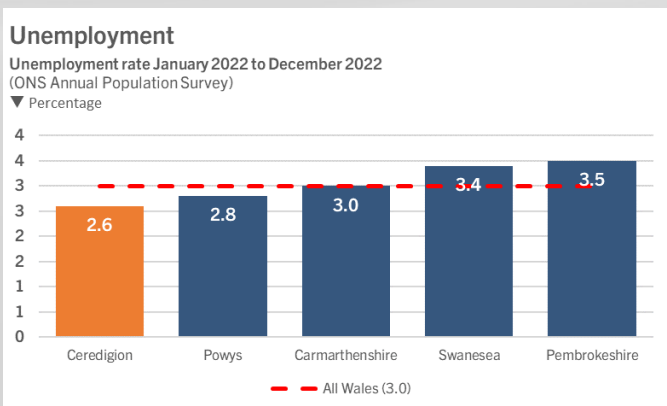
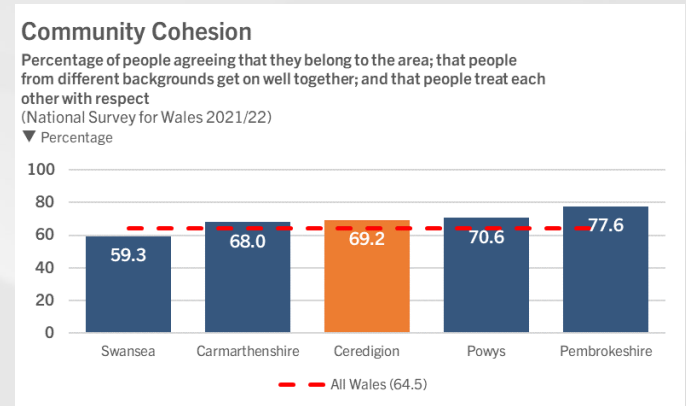
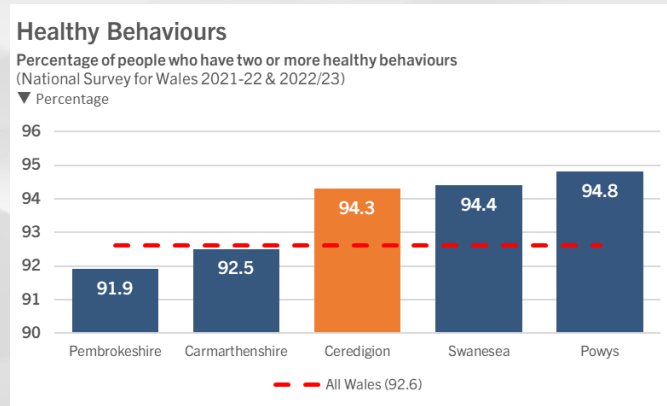
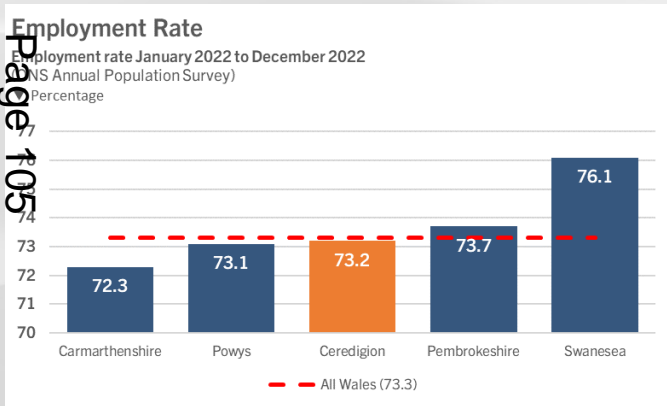
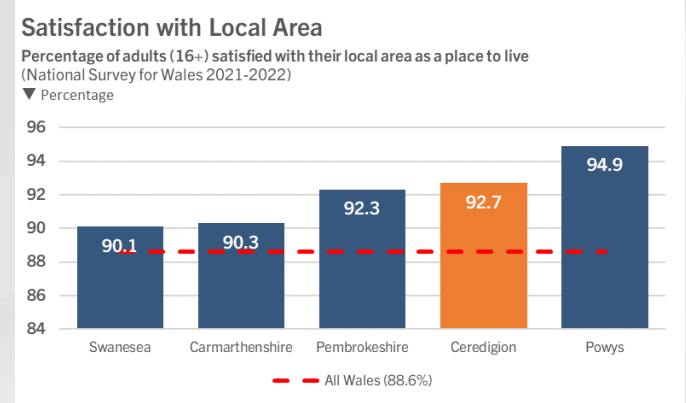
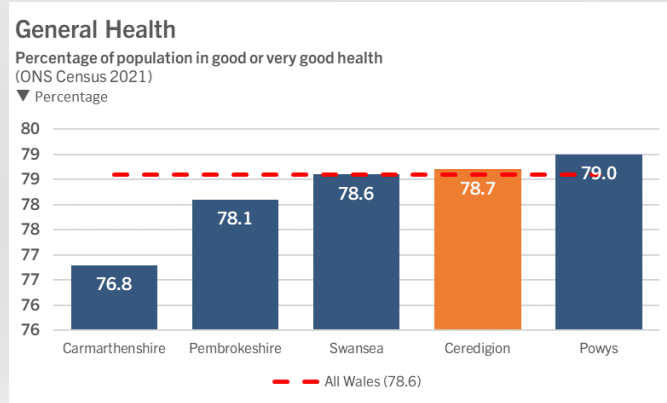
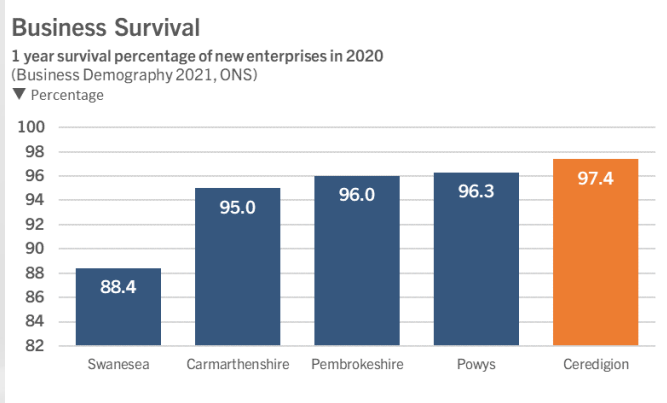
Percentage of Council Tax collected (2022-2023)

▼ Percentage





# WIDER COMMUNITY MEASURES



## Have your say

We welcome your views on this report and the Council's performance. Please get in touch at any time.

## Contact Us

✉ **By Post:**

Ceredigion County Council

Canolfan Rheidol  
Rhodfa Padarn  
Llanbadarn Fawr  
Aberystwyth  
Ceredigion  
SY23 3UE

☎ **By Telephone :**

01545 570881

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

[www.ceredigion.gov.uk](http://www.ceredigion.gov.uk)

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14 December 2023

**Title:** Scrutiny feedback Self-Assessment Report 2022/23

**Purpose of the report:** To provide feedback from the Overview and Scrutiny Co-ordinating Committee

**For:** Information

**Cabinet Portfolio and Cabinet Member:**  
Councillor Bryan Davies, Leader of the Council

### **Introduction**

The Overview and Scrutiny Co-ordinating Committee considered the self-assessment report 2022/23 at its meeting on 6 November 2023. Part 6 of the Local Government and Elections (Wales) Act 2021 introduced a new Self-Assessment based performance regime for Principal Councils.

The Self-Assessment Report for 2022/23 discharges the requirements of both: • The Well-being of Future Generations (Wales) Act 2015 – to set and review progress against our Corporate Well-being Objectives • The Local Government and Elections (Wales) Act 2021 – the duty to keep performance under review, consult on performance, report on performance, arrange a Panel Performance Assessment and respond to a Panel Performance Assessment.

It was reported that following positive feedback from Welsh Government peers, retained a similar format for this year to help in disseminating key messages and keeping it succinct, as requested by Welsh Government. Improvements made this year to strengthen the report are as follows:

- Providing further detail on the consultation and engagement undertaken during the year and how it is used.
- Providing details of the stakeholder consultation to support self-assessment.
- Providing further detail in the evaluation commentary of the Council's overall performance.
- Updating the Self-Assessment Action Plan, adding the new actions identified along with a progress update.
- Expanding the benchmarking section (further work is ongoing to develop this in conjunction with Data Cymru).
- Added "Council Structure" section to provide details of how the Council is structured.
- Included links to other related reports and strategies, which is seen as best practice.

The Governance and Audit Committee has a statutory responsibility to consider the Self-Assessment Report and make recommendations on the findings and the actions that the Council proposes to take. The Report was considered at its meeting on 27 September 2023 and approved the report to proceed for approval at Cabinet and Council. No formal recommendations were made to the conclusions or the actions, although minor formatting amendments have been made to improve the quality of the report prior to Overview and Scrutiny Committee. Following approval by Governance and Audit Committee the process of producing the 2022/23 Self-Assessment Report is now complete and cannot be amended further.

The Self-Assessment Report is scheduled to proceed to Cabinet on 7 November and Council on 30 November, before being submitted to Ministers, Estyn and the Auditor General for Wales, as well as being published on the website. Panel Performance Assessment Update Part of the new Self-Assessment Performance Regime is the duty to undertake a Panel Performance Assessment once in every election cycle. Panel Assessments are intended to provide an independent and external perspective of the extent to which the Council is meeting the performance requirements of the Local Government and Elections (Wales) Act 2021. The aim is to support Councils to achieve their aspirations through developing and understanding how they are operating and how they can ensure they are able to deliver effective services long-term. The Council's first Panel Performance Assessment is being organised for the first quarter of 2024/25 and supported by the Welsh Local Government Association. Preparatory work, such as appointing the Panel and scoping the Assessment will be conducted over the next several months.

During discussion, the following was noted:

- Members congratulated and praised all involved in producing the Self-Assessment report as an excellent easily readable document. The Leader of the Council also thanked Officers for their hard work in producing the document.

Following discussion, Committee Members were asked to consider the following recommendation:

- To receive the Self-Assessment Report 2022/23 including the Annual Review of Performance and Well-being Objectives
- To ensure the Overview and Scrutiny Coordinating Committee are updated on the progress of preparing the Self-Assessment Report 2022/23 including Annual Review of Performance and Well-being Objectives.

Committee Members agreed to receive the Self-Assessment Report 2022/23 including the Annual Review of Performance and Well-being Objectives.

### **Wellbeing of Future Generations:**

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

N/A

### **Summary of Integrated Impact Assessment:**

**Long term:** N/A

**Collaboration:** N/A

**Involvement:** N/A  
**Prevention:** N/A  
**Integration:** N/A

**Recommendation(s):**

For information.

**Reasons for decision:**

**Overview and Scrutiny:**

N/A

**Policy Framework:**

**Corporate Well-being Objectives:**

**Finance and Procurement implications:**

N/A

**Legal Implications:**

**Staffing implications:**

N/A

**Property / asset implications:**

N/A

**Risk(s):**

**Statutory Powers:**

**Background Papers:**

None

**Appendices:**

None

**Corporate Lead Officer:**

**Reporting Officer:**

**Date:**

27.11.2023

Councillor Keith Evans, Chair of the Overview and Scrutiny Co-ordinating Committee

This page is intentionally left blank



## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14/12/23

**Title:** Council Tax Premiums applicable to Long Term Empty Properties and Second Homes in Ceredigion.

**Purpose of the report:** To consider the matter of the level of Council Tax Premiums applicable to Long Term Empty Properties and Second Homes in Ceredigion

**For:** Decision

**Cabinet Portfolio and Cabinet Member:**

**Cllr Bryan Davies** Leader of the Council

**Cllr Gareth Davies** Cabinet Member for Finance & Procurement

**Cllr Matthew Vaux** Cabinet Member for Partnerships, Housing, Legal and Governance and Public Protection

### 1. **Summary:**

On 05/12/23 Cabinet considered the matter of the level of Council Tax Premiums on both Long Term Empty Properties and Second Homes in Ceredigion. The Cabinet agreed to:

1. On the matter of Council Tax Premiums applicable to **Long Term Empty Properties**, Cabinet recommends to Full Council that the existing 25% Council Tax Premium should increase, with effect from 01/04/24, to:
  - a) 100% for Properties that have been Long Term Empty Properties for up to and including 5 years.
  - b) 150% for Properties that have been Long Term Empty Properties for over 5 years and up to and including 10 years.
  - c) 200% for Properties that have been Long Term Empty Properties for over 10 years.with all time periods including the initial continuous period of 12 months for a dwelling to become defined as a 'Long Term Empty Property' by virtue of it being unoccupied and substantially unfurnished.
2. On the matter of Council Tax Premiums applicable to **Second Homes**, Cabinet recommends to Full Council that the existing 25% Council Tax Premium should increase to:
  - a) 100% to take effect from 01/04/24 and then
  - b) 150% to take effect from 01/04/25
3. Cabinet recommends to Full Council that any potential financial considerations arising from the consideration of these recommendations should be dealt with as a separate matter at a separate future meeting after 14/12/23.

## **2. Background**

On 24/03/16 Full Council agreed the following in relation to the levels of Council Tax Premiums for Long Term Empty Properties and Second Homes in Ceredigion:

1. That 25% Council Tax Premium be charged on long-term empty homes from 1 April 2017;
2. The level of Council Tax Premium to be charged on second homes be set at 25% with effect from 1 April 2017....

On 05/09/23 Cabinet received a report outlining the approach required if the Council wished to consider changing the level of Council Tax Premium on either Long Term Empty Properties and/or Second Homes in Ceredigion.

- [Report- Council Tax Premiums applicable to Long Term Empty Properties and Second Homes in Ceredigion.pdf](#)

The 05/09/23 Cabinet report contained a range of information including:

- the number of Properties in Ceredigion in each Premium category
- the areas in Ceredigion with the highest concentration / volume of these Properties
- the age profile of the Long Term Empty Properties in Ceredigion
- the new Ceredigion Community Housing scheme
- the Legislative background
- the Welsh Government Guidance that the Council needs to have regard to
- the timeline and associated governance requirements

After considering this report, Cabinet agreed the following on 05/09/23:

- To commence a formal Public Consultation regarding the future level of Council Tax Premiums on both Long Term Empty Properties and Second Homes in Ceredigion.
- To delegate authority to the Corporate Lead Officer: Finance & Procurement and the Corporate Lead Officer: Policy, Performance & Public Protection to prepare and launch the Public consultation.
- That a Cross Party Working Group of Members was instigated to consider the matter of Council Tax Premiums.
- To note that any decision to change the existing level of Council Tax Premium on either Long Term Empty Properties or Second Homes in Ceredigion will require a Full Council decision.

## **3. Public Consultation**

A 6 week Public Consultation was held between 18/09/23 and 29/10/23 in order to consult with residents and other stakeholders on what level of Council Tax Premiums should be charged on Long Term Empty Properties and Second Homes in Ceredigion.

The Consultation was available on the Council's website with paper copies, easy read and large print versions also available in all Ceredigion Libraries (including mobile library vans) and Leisure Centres. The consultation was also promoted widely through the press and social media and all property owners paying the current 25% Council Tax premiums were notified of the consultation.

There was a total of 1,403 responses to the Consultation representing, in theory, 2.3% of the Ceredigion Population aged 18 years and over. There were 1,301 forms (93%) submitted online along with 102 (7%) paper copy forms. 100 surveys (7%) were completed in Welsh and 1,303 surveys (93%) in English.

The survey allowed respondents to answer questions on either just Long Term Empty Properties or just Second homes or both. 790 responded to the questions on Long Term Empty Properties and 1,362 responded to the questions on Second Homes. Most respondents were individuals (91%), followed by Businesses (8%) and the remainder being either Not for profit / Voluntary organisations, Town or Community Councils or 'Other'.

In total around 38% of those who own a Second Home or Long Term Empty Property in Ceredigion responded to the consultation, while just 2% of those who do not own a Second Home or Long Term Empty Property did. This 38% can be split further into 44% of those who own a Second Home and 21% of Long Term Empty property owners. Given this position, wherever possible the analysis of the Consultation results has been split down into the opinions of those who own these types of Property and those that don't.

Appendix A shows the results of the Public Consultation prepared by the Council's Performance and Research Team. This comprehensive document shows the results for each individual question in the survey. It also includes a Headline Results summary page for each of Long Term Empty Properties and Second Homes.

Appendices B1 and B2 show the responses (in the participant's language of submission) to the General Comments sections for Long Term Empty Properties and Second Homes respectively. There is a risk that these responses may contain information relating to an individual or which could reveal the identity of an individual, therefore Appendices B1 and B2 are treated as Exempt Information under Schedule 12A of the Local Government Act 1972 as amended.

The results demonstrate that:

a) On Long Term Empty Properties

- Question 21 - a majority (72%) of those not owning a Long Term Empty Property thought it was appropriate to increase the Council Tax premium, however a majority (85%) of those owning a Long Term Empty Property did not think it was appropriate.
- Question 22 – a majority (86%) of those that thought it was appropriate to increase the Council Tax premium thought that it should be applied depending on how long a property has been empty.

- Question 27 – a majority (60%) thought any increase should be implemented from April 2024.

b) On Second Homes

- Question 9 - a majority (53%) of those not owning a Second Home thought it was appropriate to increase the Council Tax premium, however a majority (94%) of those owning a Second Home did not think it was appropriate.
- Question 10 – a majority (82%) of all respondents who supported a raise in the premium supported either 100% or higher and a majority (56%) of all respondents who supported a raise in the premium supported either 150% or higher.
- Question 11 – a majority (74%) thought that any increase in premium should be applied from April 2024.
- Question 11 – a majority (52%) of respondents who own a Second Home thought that any increase should be applied in a stepped manner over more than 1 year.

Clearly Long Term Empty Property and Second home owners did not generally support an increase in the Council Tax premium, but in both cases a majority of non-owners did. There is also a wealth of information contained within the Survey responses which looks at the potential impact from a variety of other different perspectives e.g. the local community, tourism, the local economy, the availability of affordable housing and the Welsh language.

**4. Other Local Authorities**

The following summarises the wider position on Council Tax Premium levels across Wales:

a) Neighbouring Authorities

	<b>Long Term Empty Properties</b>	<b>Second Homes</b>
Gwynedd	100%	150%
Powys	100%	75%
Carmarthenshire	From 01/04/24: 50% for properties empty for between 1 & 2 years, 100% for between 2 & 5 years and 200% for over 5 years.	From 01/04/24: 50%  From 01/04/25: 100%
Pembrokeshire	25% for Properties empty over 3 years from 01/04/19, 50% for properties empty for over 4 years from 01/04/20, 100% for properties empty for over 5 years from 01/04/21	100%

b) Other Local Authorities

The 2 most recent decisions in the public domain are:

	<b>Long Term Empty Properties</b>	<b>Second Homes</b>
Conwy	From 01/04/24: 100%  From 01/04/25 (indicative): 200% and an increased to 300% for properties empty for over 5 years	From 01/04/24: 100%  From 01/04/25: (indicative) 200%
Denbighshire	From 01/04/24: 100% and 150% for properties empty for over 5 years  From 01/04/25: 150% and 200% for properties empty for over 5 years	From 01/04/24: 100%  From 01/04/25: 150%

In addition to the authorities shown:

- on Second Homes, there are 6 other Authorities who either already levy a 100% Premium or who have already made formal decisions to do so from 01/04/24. There are also further Authorities understood to be at different stages of consideration.
- on Long Term Empty Properties there are a wider range of variations e.g.:

	<b>Long Term Empty Properties</b>
Monmouthshire	From 1st April 2024 - 100% premium applying to properties empty for one year, a 200% premium to properties empty for two years and a 300% premium to properties empty for three years or more
RCT	50% premium to properties empty for up to 2 years, 100% premium to properties empty for over 2 years
Vale of Glamorgan	100% premium in 2023/24, 150% premium in 2024/25 and 200% premium in 2025/26.

There are also further Authorities understood to be at different stages of consideration.

## **5. Members' Cross Party Working Group**

In accordance with the 05/09/23 Cabinet decision, a politically balanced Members' Cross Party Working group made up of 7 Councillors was instigated following nominations via the Group Leader of each political party. The Members of the Cross Party Working Group were:

- Councillor Rhodri Davies
- Councillor Amanda Edwards
- Councillor Elizabeth Evans
- Councillor Gwyn Wigley Evans
- Councillor Keith Evans
- Councillor Paul Hinge
- Councillor Ann Bowen Morgan

The Working Group met on 3 separate occasions and received a variety of information in order to inform their work. This included the feedback report on the Public Consultation, the position on other Local Authorities in Wales and other background information. A range of officers were also present in order to respond to questions arising.

Having given the matter of Council Tax Premiums on Long Term Empty Properties and Second Homes detailed and careful consideration, the Member's Cross Party Working Group concluded that:

*"The Working Group unanimously confirms that the process regarding the consultation on Council Tax being considered for Long Term Empty properties & Second Homes has been rigorous and transparent. The Working Group sought and were provided with additional information on the levels in place in other authorities.*

*Therefore, the Cabinet can be assured that the information being placed before it in order to determine the Council Tax levels for the properties in question has been scrutinised fully by the Cross Party Working Group.*

*Based on all the information gleaned, and if Cabinet is minded to increase the Council Tax for those properties in question, then consideration should be given to a tiered approach in its introduction."*

## **6. Other Matters**

### **a) Self Catering Businesses**

It is important to note that it is Welsh Government who set the criteria for self-catering accommodation to be classed as a business from a property rating perspective. If a business meets the eligibility criteria set out in legislation (being at least 182 days or more actually let in the previous 12 months and 252 days or more available to let in the previous and current year) then it will be liable for Non Domestic Rates. If a business does not meet the criteria then it will be liable for Council Tax.



These new thresholds came in with effect from 01/04/23 at the same time as Welsh Government brought in the legislation allowing Council Tax Premiums to increase up to 300%. It is the Valuation Office Agency that reviews businesses against these criteria and a rolling programme is underway asking Property owners for their information at different points during the year, but all using the universal date from which the eligibility rules will be assessed against of 01/04/23 (but using information about lettings from the 22/23 operating year).

b) Land Value Tax

In Wales the Land Value Tax (set by WG) on Second Homes carries a 4% surcharge over and above the standard residential rates for main residential ownership.

c) Council Tax Exemptions

There are also several Council Tax exemptions available in relation to Council Tax Premiums which are shown below:

<b>Class</b>	<b>Definition</b>	<b>Application</b>
Class 1	Dwelling being marketed for sale – time limited for 1 year	Long Term Empty Properties and Second Homes
Class 2	Dwelling being marketed for let – time limited for 1 year	
Class 3	Annexes forming part of, or being treated as part of, the main dwelling	
Class 4	Dwellings which would be someone's sole or main residence if they were not residing in armed forces accommodation	
Class 5	Occupied caravan pitches and boat moorings	Second Homes
Class 6	Seasonal homes where year-round occupation is prohibited	
Class 7	Job related Dwellings	

There is also a process in place for the Council to consider Discretionary Hardship relief where for example there is significant financial hardship or an exceptional circumstance has occurred. However, it would be rare for ownership of property not being used as a primary residence to meet the threshold for hardship support.

**7. Overall Conclusion**

Addressing the issues of second homes, holiday homes ownership and the conversion of residential properties to holiday lets is a key priority within the Council's approved 2022-2027 Corporate Strategy. This and increasing the supply and range of options for affordable housing in Ceredigion forms a key part of the Corporate Wellbeing Objective - 'Creating Sustainable, Green and Well-connected Communities'.

Ceredigion's aspirations and policy objectives sit alongside WG's policy intention with the Council Tax (Long-term Empty Dwellings and Dwellings Occupied Periodically) (Wales) Regulations 2022 legislation to aim to bring Long Term Empty Properties back into use and to increase the supply of affordable housing and to enhance the sustainability of local communities.

Having given due regard to a range of factors, including (but not necessarily limited to) the outcome of the Public Consultation, the position of other Local Authorities and the views of the Members' Cross Party Working Group, the Cabinet believes that an increase in the Council Tax Premium on both Long Term Empty Properties and Second Homes would assist in achieving those policy objectives. Cabinet also believes that a tiered approach would be appropriate by considering the length of time that a property has remained empty in relation to Long Term Empty Properties and by bringing in a Second Homes increase over 2 financial years.

### **Wellbeing of Future Generations:**

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

### **Summary of Integrated Impact Assessment:**

**Long term:** See Appendix C – Page 14

**Collaboration:** See Appendix C – Page 14

**Involvement:** See Appendix C – Page 14

**Prevention:** See Appendix C – Page 14

**Integration:** See Appendix C – Page 14

### **Recommendation(s):**

1. That Council approves that the existing 25% Council Tax Premium applicable to **Long Term Empty Properties** will increase with effect from 01/04/24, to:
  - a) 100% for Properties that have been Long Term Empty Properties for up to and including 5 years.
  - b) 150% for Properties that have been Long Term Empty Properties for over 5 years and up to and including 10 years.
  - c) 200% for Properties that have been Long Term Empty Properties for over 10 years.with all time periods including the initial continuous period of 12 months for a dwelling to become defined as a 'Long Term Empty Property' by virtue of it being unoccupied and substantially unfurnished.
2. That Council approves that the existing 25% Council Tax Premium applicable to **Second Homes** will increase to:
  - a) 100% to take effect from 01/04/24 and then
  - b) 150% to take effect from 01/04/25
3. That Council notes that any potential financial considerations arising from their decisions will be dealt with as a separate matter at a separate future meeting.

### **Reasons for decision:**

**To aim to bring Long Term Empty properties back into use to provide safe, secure and affordable homes and to aim to increase the supply of affordable housing and to enhance the sustainability of local communities in Ceredigion.**

### **Overview and Scrutiny:**

Not applicable – A Members' Cross Party Working Group has considered the matter in depth. All Members will be involved in a debate and decision on future levels of Council Tax Premium on 14/12/23, as it is ultimately the matters is a Full Council decision.

### **Policy Framework:**

Housing Strategy  
Council Budget  
Corporate Strategy 2022 - 2027

### **Corporate Well-being Objectives:**

Creating Sustainable, Green and Well-connected Communities

### **Finance and Procurement implications:**

There is highly likely to be an increased level of Council Tax income from any increase in Council Tax Premiums, but the higher the percentage Council Tax Premiums increase the less certainty there would be in terms of the level of increased Council Tax income. This is because factors such as the impact on Council Tax collection rates and a potential reduction in the number of properties that remain Long Term Empty or Second Homes (i.e. achieving the policy objective) could come into play.

The WG Guidance states that a Local Authority will be able to retain any additional funds generated by implementing the premiums and amendments to the calculation of the Council Tax taxbase have been made to facilitate this. Authorities may use the additional revenue for any purpose, but they are encouraged to use it to help to meet local housing needs, in line with the policy intentions for the premiums. Currently ringfencing the 25% Council Tax Premium from both Long Term Empty Properties and Second Homes demonstrates a commitment to meeting local housing needs.

### **Legal Implications:**

Legislation provides the legal framework for Council Tax Premiums:

- Local Government Finance Act 1992 Sections 12A & 12B
- Housing (Wales) Act 2014 Part 7
- Council Tax (Long-term Empty Dwellings and Dwellings Occupied Periodically) (Wales) Regulations 2022
- Local Authorities (Calculation of Council Tax Base) (Wales) Regulations 1995 (as amended)
- WG legislation (Non-Domestic Rating (Amendment of Definition of Domestic Property) (Wales) Order 2022)

WG have also produced updated Guidance which the Council is required to have regard to.

**Staffing implications:**

There would be a level of additional resource requirement (e.g. within the Local Taxation team to deal with increased customer engagement e.g. correspondence, billing and processing matters and a higher level of anti-avoidance monitoring activity / measures being needed).

**Property / asset implications:**

Not applicable.

**Risk(s):**

Fraud, Avoidance measures, impact on Property market

**Statutory Powers:**

See Legal implications.

**Background Papers:**

05/09/23 Cabinet report

Previous Full Council Decisions on Council Tax Premiums: 24/03/16, 16/03/17 and 03/03/22

**Appendices:**

Appendix A: Public Consultation Feedback Report on Second Home and Long-Term Empty Property Council Tax Premiums

Appendix B1: Public Consultation - General Comments on Long Term Empty Properties (Exempt Information under Schedule 12A of the Local Government Act 1972 as amended - may contain information relating to an individual or which could reveal the identity of an individual)

Appendix B2: Public Consultation - General Comments on Second Homes (Exempt Information under Schedule 12A of the Local Government Act 1972 as amended - may contain information relating to an individual or which could reveal the identity of an individual)

Appendix C: Integrated Impact Assessment

**Corporate Lead Officer:**

Duncan Hall - CLO: Finance & Procurement

**Reporting Officer:**

Duncan Hall - CLO: Finance & Procurement

Ann Ireland – Corporate Manager: Revenues & Financial Assessments

**Date:**

07/12/23



Cyngor Sir  
**CEREDIGION**  
County Council

# Public Consultation on Second Home and Long-Term Empty Property Council Tax Premiums

## Consultation Feedback Report

A consultation poster with a yellow background. On the left, a dark blue box contains the text: 'Have your say on Second Home and Long-term Empty Property Council Tax Premiums' and 'Dweud eich dweud ar Breimymau Treth Gyngor Ail Gartrefi ac Eiddo Gwag Hirdymor'. Below this is a megaphone icon. On the right, there is a large, light-colored house silhouette. In the top right corner, a calendar icon is next to the text 'Dyddiad cau/ Closing date: 29/10/2023'. At the bottom, the Ceredigion County Council logo and the 'Caru·Love Ceredigion' logo are displayed.

Have your say on  
Second Home and  
Long-term Empty  
Property Council  
Tax Premiums

Dweud eich dweud ar  
Breimymau Treth  
Gyngor Ail Gartrefi ac  
Eiddo Gwag Hirdymor

Dyddiad cau/  
Closing date:  
29/10/2023

Cyngor Sir  
**CEREDIGION**  
County Council

Caru·Love  
**Ceredigion**

November 2023

# HEADLINE RESULTS: LONG-TERM EMPTY PROPERTIES

- 1,403 responses received, with **790 responding on long-term empty properties**.
- **83%** believed that long-term empty properties had a negative or very negative **impact on local communities**. (1% said positive or very positive).
- **64%** thought that it was appropriate to **increase the premium** on long-term empty properties, 36% did not.
- **15%** of respondents who **own a long-term empty property** in Ceredigion thought it was appropriate for the premium to be increased, compared to **72%** of those who **do not own a long-term empty property**.
- **86%** thought that the premium should be applied **depending on how long a property has been empty**. (14% did not)
- Amongst respondents who thought the premium should be applied depending on how long a property has been empty, respondents were in favour of a 'sliding scale' where **the longer the property has been empty the higher the premium that should be applied**.
- For properties **empty for 1-2 years** 54% of respondents supported a **lower premium of up to 50%**, for **2-5 years empty** the largest proportion (36%) were in favour of a **100% premium**, for **5-10 years empty** the largest proportion of respondents (45%) supported a **300% increase** and for properties **empty for over 10 years** a majority of 66% were in favour of the full **300% premium**.
- **60%** thought that any increase should be **implemented from April 2024**. (32% said over more than 1 year).
- **51%** of respondents who felt that that a council tax premium should be applied **regardless of the length of time a property has been empty** supported the full **300% premium**. There was some support (20%) for a 100% increase and limited support (12%) for up to 50%. **81%** of these respondents stated that any increase should be **implemented from April 2024** while 10% stated over more than 1 year.
- **70%** thought that the **number of long-term empty properties** would **decrease moderately or significantly** if the council tax premium were increased on long-term empty properties. (6% said increase moderately or significantly).
- **58%** thought that the **impact on the local community** would be **positive or very positive** if council tax premiums were increased on long-term empty properties. (18% said negative or very negative).

## TOP 3 THEMES IN THE WRITTEN COMMENTS:

1

There should be **exemptions** for certain mitigating circumstances

2

The **reason why they are empty** should be explored first as it could prompt a different course of action

3

Allowances should be made for properties undergoing **renovation** as this can take time to complete



# HEADLINE RESULTS: SECOND HOMES

- 1,403 responses were received, **with 1,362 responding on second homes.**
- **53%** of all respondents to the consultation **own a second home in Ceredigion** (746 of the 1,362 responses).
- Of the 746 who said that they owned a second home in Ceredigion, **75%** said that their **main residence was outside of Ceredigion**, while 22% said their main residence was in Ceredigion.
- It should be noted that 6.8% (2,289 properties) of all 33,856 properties eligible for council tax in Ceredigion are second homes or long-term empty properties. This shows us that around **38.1%** of those **who own a second home or empty property in Ceredigion responded to the consultation**, while just **2%** of those who **do not own a second home or long-term empty property**. This means that the results are skewed in favour of those who own a second home or empty property in Ceredigion.
- **56%** believe that second homes have a **positive or very positive impact on local communities**. (27% said negative or very negative).
- Over half (**52%**) of those who **do not own a Second Home** in Ceredigion said that their impact on **local communities is negative (24%) or very negative (28%)**.
- Overall, **28%** think that **increasing council tax** on second homes was appropriate, but 72% did not.
- **53%** of respondents who **do not own a second home** stated that it was **appropriate to raise the premium on second homes**, compared to just 6% of second homeowners.
- Views on what **level of premium** is appropriate varied. The largest proportion was **35%** in support of a **300% premium**, followed by **26%** supporting a **100% premium** and **17%** supporting up to **50%**. (There was also 13% of respondents supporting a 200% premium, 5% supporting 150% and 3% supporting 250%).
- Therefore **82% of all respondents who supported a raise in the premium** supported **either 100% or higher** and **56% of all respondents who supported a raise in the premium** supported **either 150% or higher**.
- Respondents who **do not own a second home** were more likely to **support a higher premium**, with the **largest proportion (39%) supporting the full 300% premium**. (There were also 4% supporting a 250% premium, 14% supporting a 200% premium, 6% supporting 150% premium, 27% supporting 100% and 11% supporting up to 50% premium).
- Therefore **89% of those that do not own a second home who supported a raise in the premium** supported **either 100% or higher** and **62% of those that do not own a second home who supported a raise in the premium** supported **either 150% or higher**.
- **Second homeowners** were more likely to support a lower premium with **61%** identifying **the lowest option of up to 50%**, and a further 17% supporting a 100% premium.



# HEADLINE RESULTS: SECOND HOMES

- **57%** of respondents who **do not own a second home** supported the **higher premiums** of 200% to 300%, compared to just **18%** of respondents who **do own a second home** in Ceredigion.
- **74%** thought that any increase in premium should be **applied from April 2024**, while 21% said it should be stepped over more than 1 year.
- **33%** of those who **own a second home in Ceredigion** thought that any increase in premium should be **applied in April 2024**, compared to **80%** of those who **do not own a second home**.
- **52%** of respondents **who own a second home** thought that any increase in premium should be **applied in 'over more than 1 year (i.e. stepped)'**, compared to just **16%** of those who **do not own a second home**.
- **64%** thought the **number of second homes** would **decrease moderately or significantly** if the premium on second homes was increased. (2% said increase moderately or significantly).
- **66%** thought that the **availability of affordable housing** would **stay the same** if the premium on second homes was increased. (23% said increase moderately or significantly and 11% said decrease moderately or significantly).
- **62%** thought that increasing the level of Council Tax Premium on second homes would have a **neutral** effect on **opportunities for people to use the Welsh language** and the **status of the Welsh language in the community**. (20% of respondents thought there would be a negative or very negative impact, while the remaining 18% said positive or very positive).
- **57%** thought that the **impact on local communities** would be **negative or very negative** if the premium on second homes was increased. (25% said positive or very positive).
- Over three quarters (**76%**) of **Second Homeowners in Ceredigion** think that second homes have a **positive (42%) or very positive (34%) impact on local communities** in Ceredigion. (Just 5% think that the impact is negative).
- Amongst those who **do not own a second home**, over half (**52%**) thought that the **impact on local communities was negative (24%) or very negative (28%)**. (31% thought that second homes have a very positive (14%) or positive (17%) impact).

## TOP 3 THEMES IN THE WRITTEN COMMENTS

### Second homeowners:

- 1 Increasing council tax premiums would **not result in the desired outcomes**
- 2 Second homes **positively contribute** to the local community / economy
- 3 **Not in favour of a blanket increase** to council tax premiums on second homes

### Non-second homeowners:

- 1 Increasing council tax premiums would **not result in the desired outcomes**
- 2 **Not in favour of a blanket increase** to council tax premiums on second homes
- 3 Second homes **negatively impact the local community / economy**

## Background

Between 18<sup>th</sup> September and 29<sup>th</sup> October 2023, Ceredigion County Council consulted with residents and stakeholders on what level of council tax premiums should be charged on long-term empty properties and second homes in Ceredigion. Currently, there is a 25% extra charge on top of the normal level of council tax for second homes and long-term empty properties in the county.

The consultation was designed to inform the Council's decision-making process in relation to council tax premiums. The output from the consultation will be part of a report to Cabinet including the findings of the consultation to assist Cabinet to make recommendations to Council in readiness for a final decision to be made on the future level of council tax premiums.

In Ceredigion, 33,856 properties are responsible for paying council tax. Of these, 2,289 (6.8%) are either second homes or long-term empty properties. Most second homes are located around the coastal areas, with long-term empty properties generally being seen in more urban areas. Ceredigion County Council sought views on the future level for these council tax premiums, including what impacts any change could have on local communities, the availability of affordable housing, the Welsh language and the local economy.

This consultation supported the Creating Green, Sustainable and Well-connected Communities Corporate Well-being Objective by helping to inform decisions around the level of council tax premiums charged on long-term empty properties and second homes in Ceredigion. Both of these issues are priorities in the Council's Corporate Strategy 2022-27.

Paper copies, easy-read and large print versions were available in all Ceredigion libraries and leisure centres, including mobile library vans, and could also be downloaded from the Council's website. A Communications Plan was implemented and involved an initial press release advertising the consultation on 18<sup>th</sup> September 2023, with social media posts going out on 18<sup>th</sup> September, 4<sup>th</sup> October, 16<sup>th</sup> October and 25<sup>th</sup> October to remind residents and stakeholders. A sample of the promotional materials are shown below.



## Response Rate

There was a total of 1,403 responses to the consultation, representing 2.3% of the population of Ceredigion aged 18 years or over. There were 1,301 forms submitted online along with 102 paper copy forms. 7% or 100 surveys were completed in Welsh and 93% or 1,303 in English. There were two main sections to the survey, these were the responses to the questions on second homes and long-term empty properties. 1,362 responded to the questions on second homes and 790 responded to the questions on long-term empty properties. The pages that follow provide a summary of the findings.

## Main Findings

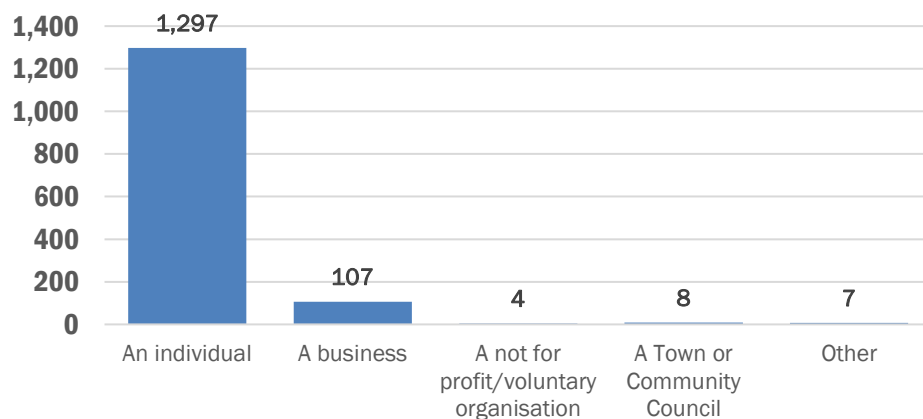
### Section 1: Background

**Q1: Are you responding as an individual, a business, a not for profit/voluntary organisation, a Town or Community Council or other?**

Most participants to this survey were responding as an individual (91% / 1,297 responses). Under 10% of participants were responding as a business (8% / 107 responses). Approximately 2% of participants were either responding as a not for profit/voluntary organisation (0% / 4 responses), a Town or Community Council (1% / 8 responses) or selected the 'Other' option (1% / 7 responses).

#### **Q1. Are you responding as an individual, a business, a not for profit/voluntary organisation, a Town or Community Council or other?**

▼ Number



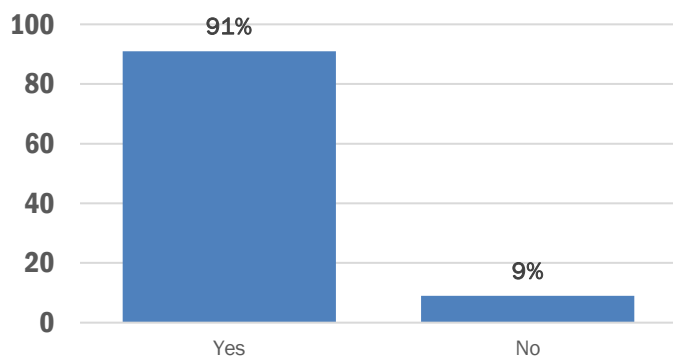
**Q2: Are you responsible for paying Council Tax to Ceredigion County Council on any property?**

Almost all participants (91% / 1,280 responses) said that they were responsible for paying council tax to Ceredigion County Council on a property, while the remaining 9% (123 responses) stated that they did not, see chart overleaf.

This is not surprising, we know that most dwellings will be subject to the council tax, but some will be exempt. Some unfurnished dwellings (depending on timescales), dwellings owned by a Charity that have been unoccupied for less than six months, accommodation occupied by students, a dwelling occupied only by a person or persons aged under 18, are just some examples of dwellings that could be exempt from paying council tax.

## Q2. Are you responsible for paying Council Tax to Ceredigion County Council on any property?

▼ Percentage

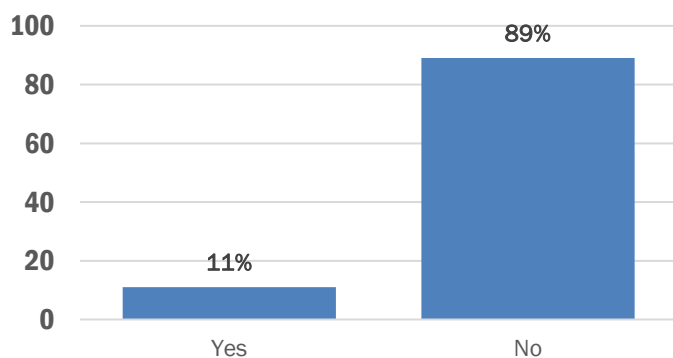


## Q3: Are you responsible for paying Business rates to Ceredigion County Council on any property?

Just under 90% of participants (89% / 1,251 responses) said that they did not pay business rates to Ceredigion County Council on a property, while the remaining 11% (152 responses) said that they did, see chart below. Business rates are charged on most non-domestic properties such as shops, offices, pubs, holiday rental homes or guest houses.

## Q3. Are you responsible for paying Business rates to Ceredigion County Council on any property?

▼ Percentage

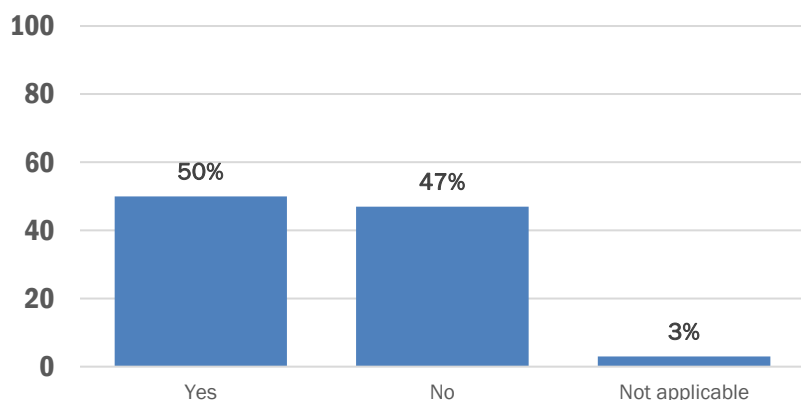


## Q4: Is your main primary residence in Ceredigion?

There was an even split between respondents whose primary residence is in Ceredigion and those whose primary residence was outside of the County. Exactly half of participants (50% / 708 responses) stated that their main primary residence was in Ceredigion while 47% (657 responses) stated that their main primary residence was outside of the County. The remaining 3% selected 'Not applicable', see chart overleaf.

#### Q4. Is your main primary residence in Ceredigion?

▼ Percentage



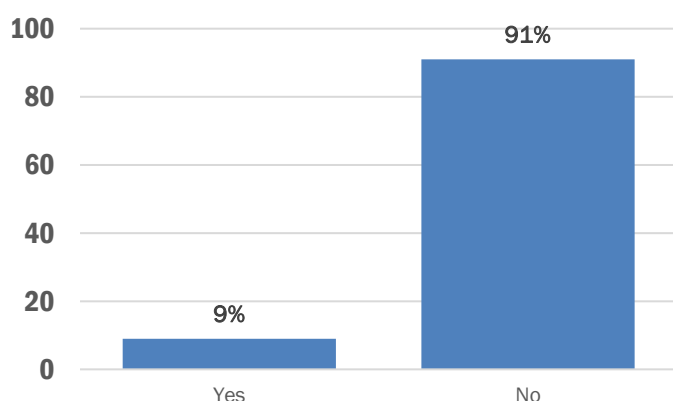
Of those who answered 'No' to question 4 and noted that their main primary residence was not in Ceredigion, almost half (47.9%) noted their national identity as British in the equalities monitoring questions. 40.3% of these respondents noted their National identity as Welsh. The remaining respondents noted their national identity as English (3.0%), another national identity (1.5%), Scottish (0.3%) or Northern Irish (0.1%).

#### Q5: Do you own a long-term empty property in Ceredigion?

A total of 126 responses (9%) stated that they owned a long-term empty property in Ceredigion. The remaining 91% (1,277 responses) stated that they did not own a long-term empty property in Ceredigion.

#### Q5. Do you own a long-term empty property in Ceredigion?

▼ Percentage



Of those 126 respondents who stated that they did own a long-term empty property in Ceredigion, over half (52%) either owned a second home as well, or their second home was classed as the long-term empty property (it was not possible to differentiate this from responses). 48% of those who said they owned a long-term empty property in Ceredigion said that they did not own a second home.



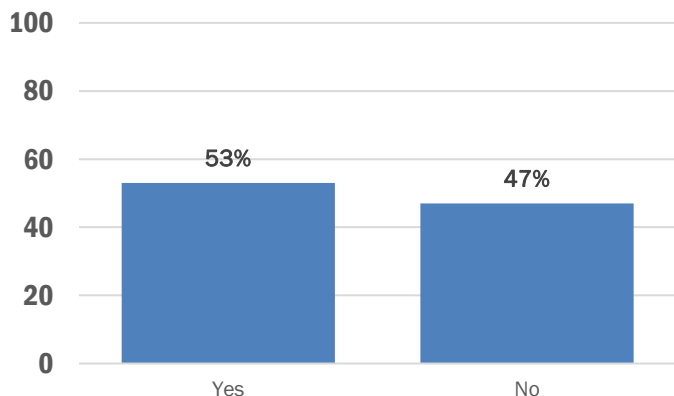
Additionally, of those who noted that they own an empty property in Ceredigion (126 respondents), the majority (62%) said their main residence was in Ceredigion while 33% said their main residence was not in Ceredigion.

**Q6: Do you own a second home in Ceredigion?**

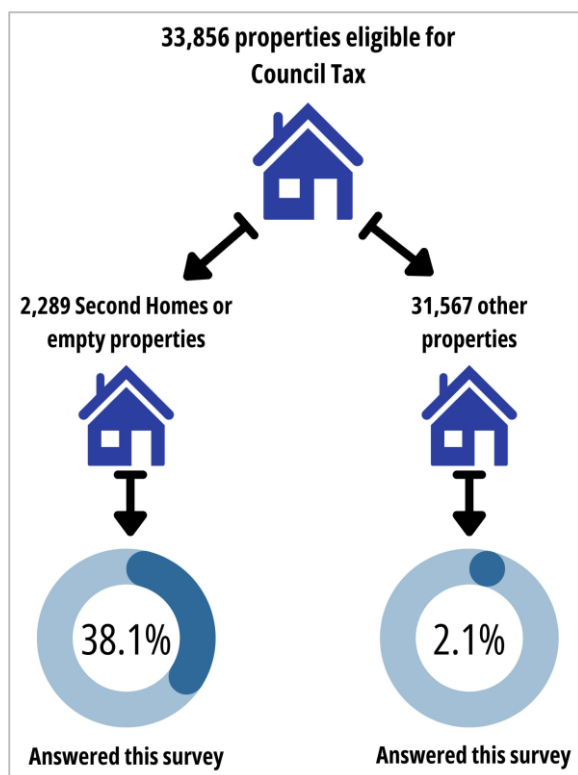
Over half of all participants (53% / 746 responses) stated that they own a Second Home in Ceredigion, while 47% (657 responses) said they did not.

**Q6. Do you own a second home in Ceredigion?**

▼ Percentage



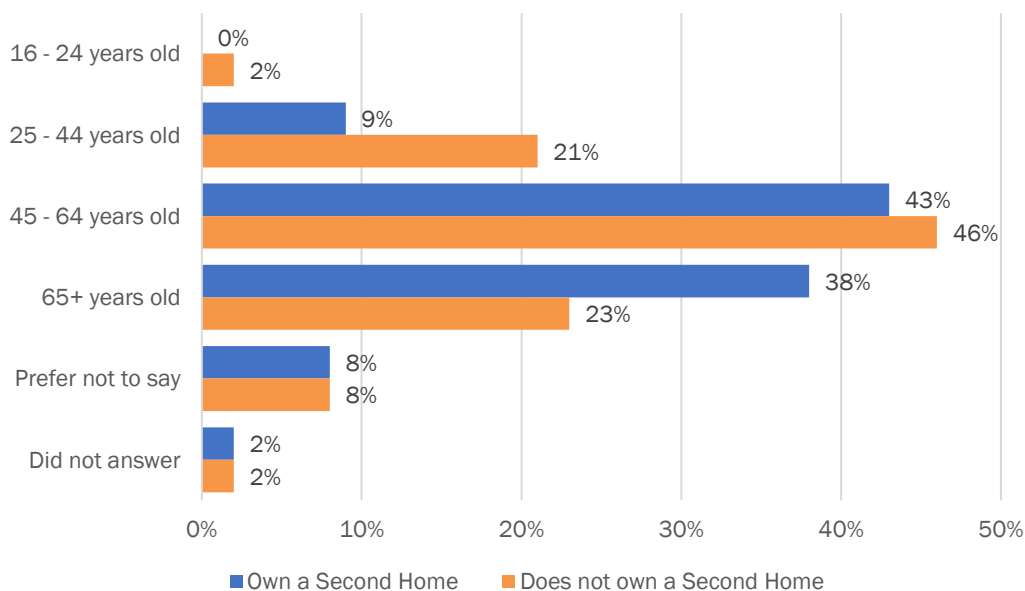
It should be noted that 6.8% (2,289 properties) of all 33,856 properties eligible for council tax in Ceredigion are second homes or long-term empty properties. This shows us that around 38.1% of those who own a second home or long-term empty property in Ceredigion answered this survey. When we compare this to those who do not own a second home or empty property, just 2% responded to the consultation. Ultimately, this could mean that the results are be skewed in favour of those who own a second home or empty property in Ceredigion. The diagram below summarises this.



Amongst respondents who own a second home, the largest proportion were aged 45 to 64 years (43%) or aged 65+ (38%). Less than 10% of participants were aged 25 to 44 (9%) or 16 to 24 (0%).

Amongst respondents who do not own a second home, the largest proportion were also aged 45 to 64 years (46%). There were significantly less participants aged 65+ who do not own a second home (23%) compared to those who do (38%), but there was a much higher proportion of respondents aged 25-44 who do not own a second home (21%) compared to those who do (9%).

## Age Range of Respondents



Of those who said that they own a second home in Ceredigion (53% of all responses or 746), three quarters of these respondents (75%) said that their main residence was outside of Ceredigion. Under a quarter of respondents (22%) who own a second home stated that their main residence was in Ceredigion. The remaining 3% either did not answer this question or selected 'Not applicable'.

Most of the respondents who do not own a second home in Ceredigion, said that their main residence was in Ceredigion (82%). Approximately 15% said that their main residence was not in Ceredigion, while the remaining 3% either did not answer this question or selected 'Not applicable'.

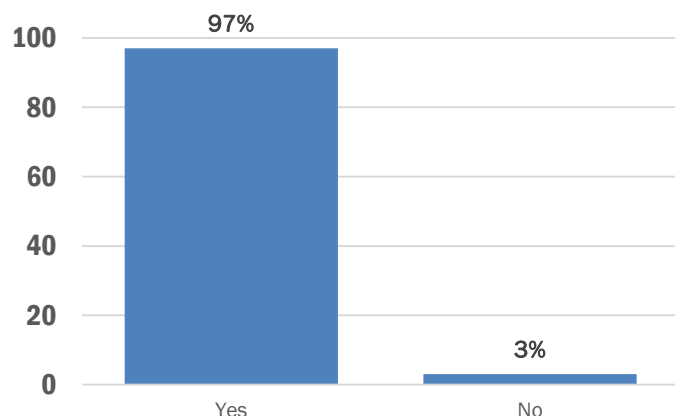
## Section 2: Second Homes

### Q7. Do you wish to respond on Second Homes?

Given the nature of this survey, it is not surprising that most participants wanted to respond to the questions on second homes. Almost all respondents (97% / 1,362 responses) said 'Yes' to question 7, while just 3% (41 responses) did not wish to respond on second homes. (Please note that respondents who answered 'No' to question 7 skipped the section on second homes and moved to question 19 of survey on long-term empty properties).

## Q7. Do you wish to respond on Second Homes?

▼ Percentage

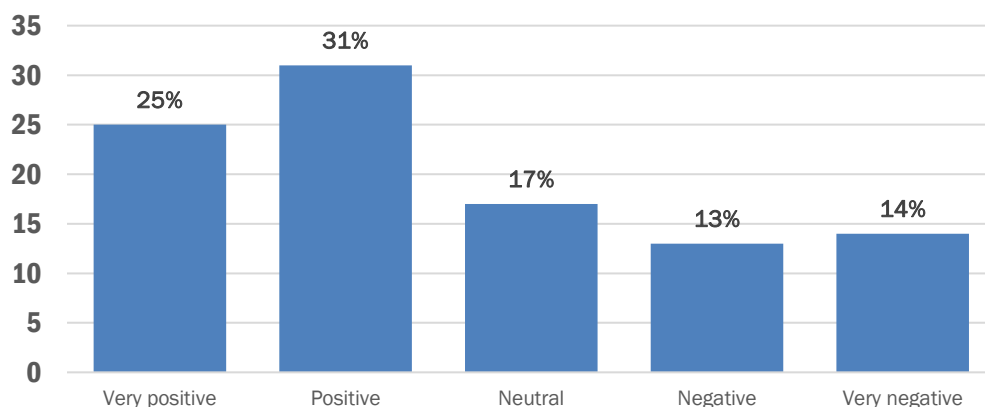


## Q8. What impact do you believe second homes have on local communities in Ceredigion?

Those who answered 'Yes' to question 7 then went on to consider the impact of second homes on local communities in Ceredigion. A majority of 56% of respondents thought that second homes have a positive (31%) or very positive (25%) impact on local communities. Meanwhile, just over a quarter (27%) of thought that second homes had a negative (13%) or very negative (14%) impact. The remaining respondents (17%) noted their response as 'Neutral'.

## Q8. What impact do you believe second homes have on local communities in Ceredigion?

▼ Percentage



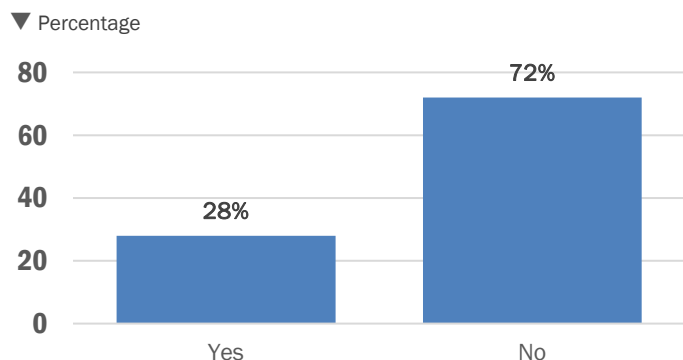
However, there are stark differences of opinion between those who own a second home and those who do not. Over three quarters (76%) of those who own a second home in Ceredigion stated that the impact was positive (42%) or very positive (34%), compared to just 5% who said negative (3%) or very negative (2%). A further 19% of those who own a second home had a 'Neutral' opinion.

Amongst respondents who do not own a second home, 31% said the impact was positive (17%) or very positive (14%), while the majority of 52% said that the impact was negative (24%) or very negative (28%). A further 15% of respondents who do not own a second home had a 'Neutral' opinion.

Q9: The Council currently charges 25% extra Council Tax on second homes. Do you think it's appropriate that this is increased?

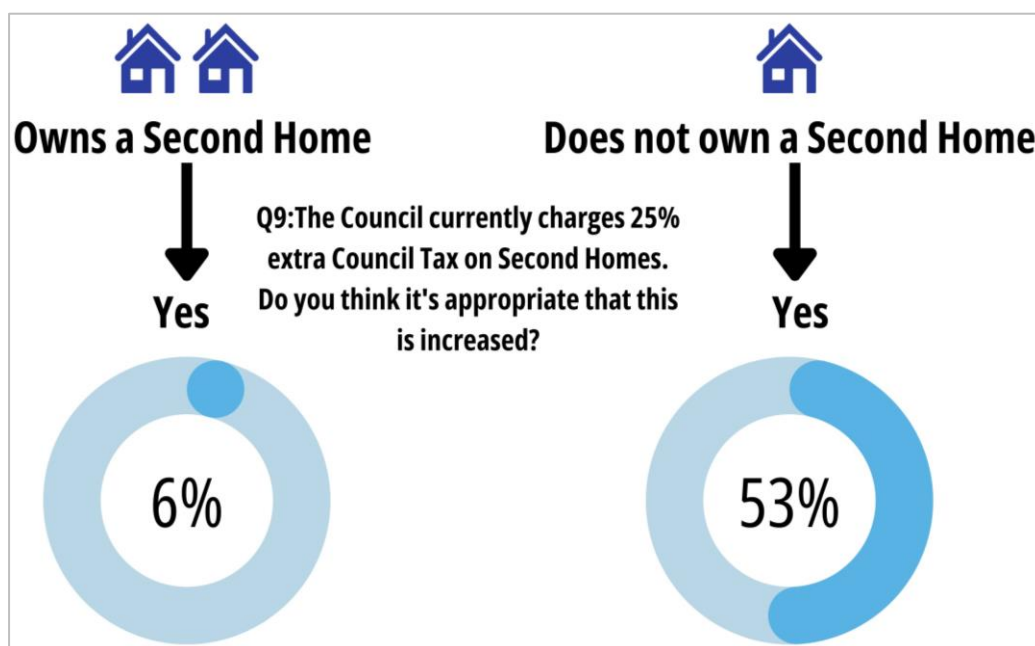
Most participants (72% / 987 responses) answered 'No' and stated that they did not think that the 25% extra council tax charge on second homes should be increased. The remaining 28% (375 responses) said that they did think the 25% extra council tax charge on second homes should be increased.

**Q9. The Council currently charges 25% extra Council Tax on second homes. Do you think it's appropriate that this is increased?**



A clear majority (94%) of those who own a second home, stated that they did not think it was appropriate to increase the 25% extra Council Tax on Second Homes, with the remaining 6% stating that it was appropriate for it to be increased.

Amongst respondents who do not own a second home, there was a more even split between those in favour of an increase and those against. Just over half (53%) thought it was appropriate for the 25% extra council tax on second homes to be increased with 47% against. The following diagram shows the difference of opinion between those own a second home and those who do not.



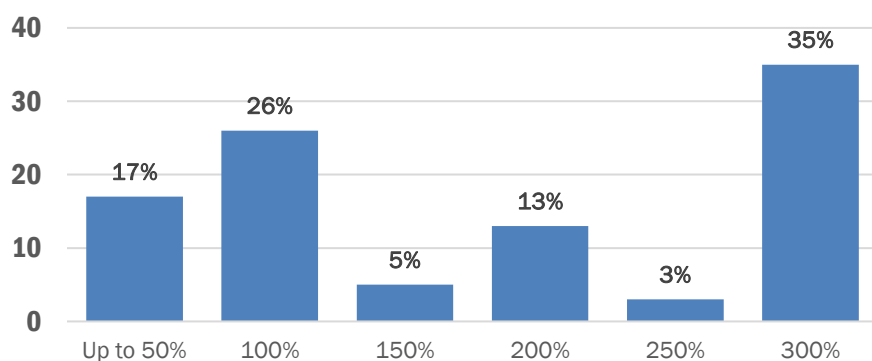
### Q10: If yes then, what level do you think would be appropriate to set the Council Tax Premium at for second homes?

Question 10 was only answered by those who answered 'Yes' to question 9, i.e. those who thought it was appropriate that the council tax premium on second homes was increased. This equated to 28% of all responses or 375.

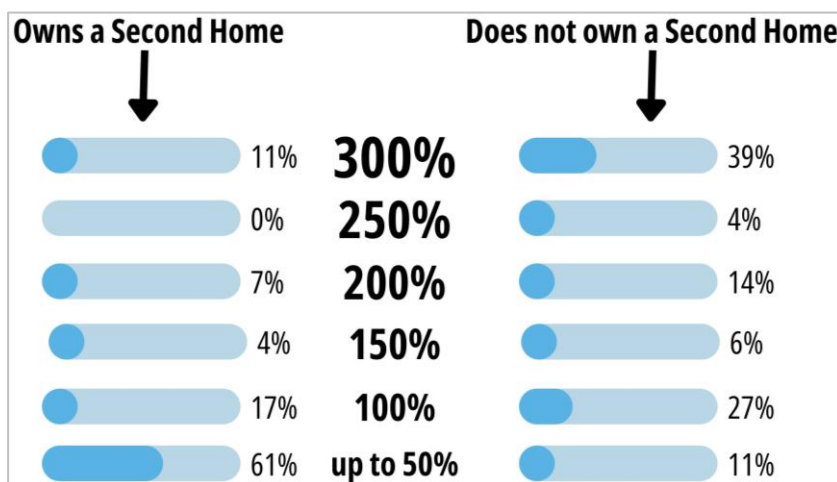
This question respondents for views on what level would be appropriate for the council tax premium on second homes in the County. The largest proportion (35% / 132 responses) thought it should be set at the highest level of 300%, followed by 26% (97 responses) supporting a 100% premium and 17% (63 responses) supporting up to 50% premium. There was some support for a 200% premium with 13% (50 responses) in favour of this, but less support for a 150% premium (5% or 18 responses) and only 3% (18 responses) in favour of a 250% premium. These views are summarised in the chart below.

#### Q10. If yes then, what level do you think would be appropriate to set the Council Tax Premium at for second homes?

▼ Percentage



As in the previous question, there was a difference of views between those who own a second home and those who do not. Respondents who own a second home were more likely to support a lower premium, while those who do not own a second home were more likely to support a higher premium. Of the 46 participants who own a second home and answered this question, the majority (61%) thought that the Council Tax premium for second homes should be increased by up to 50%. Amongst the 329 participants who do not own a second home and answered this question, the largest proportion (39%) said that the premium on second homes should be set at the highest amount of 300%, with a just over a quarter (27%) supporting a 100% premium and 14% in favour of a 200% premium. The following chart summarises these differences of opinion.



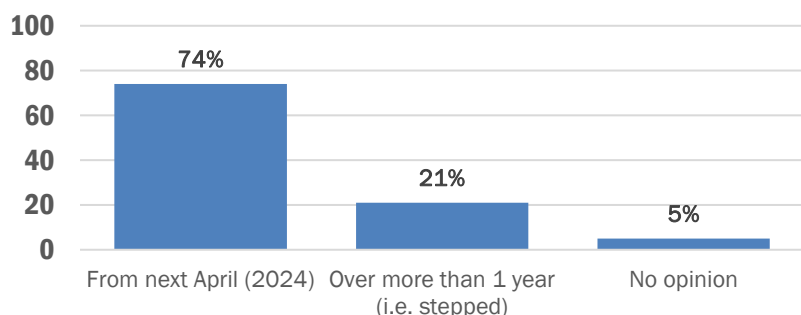
### Q11: If you think the Council Tax Premium for second homes should be increased, do you have an opinion on how to deliver that increase?

Question 11 was another follow-on question from question 9 and participants would only have been prompted to answer question 11 if they had answered 'Yes' to question 9. Therefore, 28% or 375 participants answered this question.

This question explored how to deliver any increase in council tax premium on second homes, providing two distinct options, the first to implement it fully at the next opportunity in April 2024 or implement it over more than one year, i.e. 'stepped'. Just under three quarters of respondents (74% / 277 responses) stated that the council tax premium for second homes should be increased at the earliest opportunity from April 2024. Under a quarter of respondents to this question (21% / 77 responses) said that the premium should be increased in 'over more than 1 year (i.e. stepped)'. The remaining 5% of respondents said they had no opinion.

#### **Q11. If you think the Council Tax Premium for second homes should be increased, do you have an opinion on how to deliver that increase?**

▼ Percentage



Again, there was a noticeable difference of opinion between those who own a second home and those who do not. A third (33%) of those who own a second home thought that the premium should be applied in April 2024, compared the overwhelming majority (80%) of those who do not own a second home. Over half (52%) of those who own a second home thought that the premium should be applied over more than 1 year, compared to just 16% of those who do not own a second home.

### Q12: If the level of the Council Tax Premium on second homes were to be increased, do you think the number of second homes would

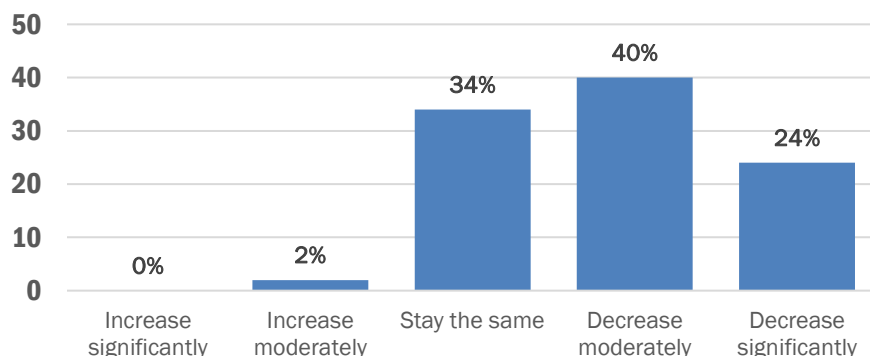
Questions 12 to 17 included all respondents to the survey and asked a series of questions about the impact of council tax premiums of different aspects of the County. The first question sought views on the impact on the number of second homes if the council tax premium were increased.

Most respondents (64%) to this question thought that the number of second home would decrease moderately or significantly if council tax premiums on second homes were increased. A further 34% thought that the number of second homes would stay the same, and a small proportion of 2% thought that the number would increase moderately or significantly if the council tax premium was increased.



**Q12. If the level of the Council Tax Premium on second homes were to be increased, do you think the number of second homes would:**

▼ Percentage



Amongst respondents who own a second home in Ceredigion, the largest proportion (38%) thought that the number of second homes would stay the same if the council tax premium were increased. This was closely followed by 34% who thought that the number would decrease moderately, and a just under a quarter (24%) thought that the number would decrease significantly. Just 2% of those who own a second home thought that the number of second homes would increase moderately but none thought that it would increase significantly.

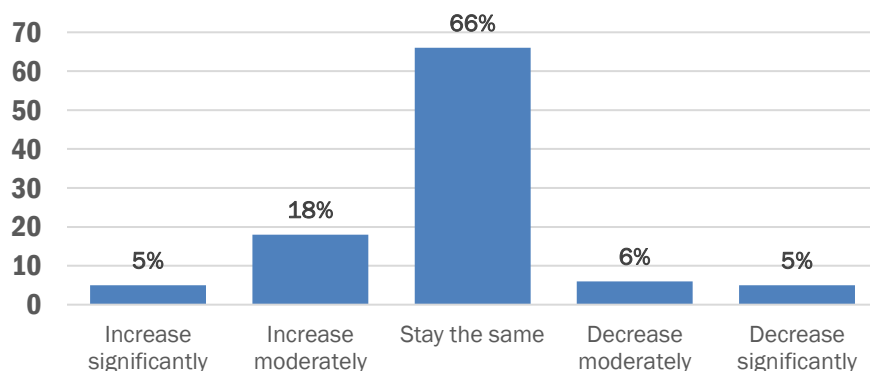
For those who do not own a second home, the largest proportion of respondents (42%) thought the number of second homes would decrease moderately if the council tax premium were increased, followed by 28% who thought that the number would stay the same. A further 22% thought that they would decrease significantly. Just 1% thought that the number of second homes would increase moderately and 1% increase significantly if the council tax premium were increased.

**Q13: If the level of the Council Tax Premium on second homes were to be increased, do you think the availability of affordable housing would**

The majority of respondents (66%) thought that the availability of affordable housing would stay the same if the level of council tax premium on second homes were to be increased. Just under a quarter (23%) assume that the availability of affordable housing would increase (either moderately or significantly), while a smaller proportion (11%) felt that the availability would decrease (either moderately or significantly).

**Q13. If the level of the Council Tax Premium on second homes were to be increased, do you think the availability of affordable housing would**

▼ Percentage



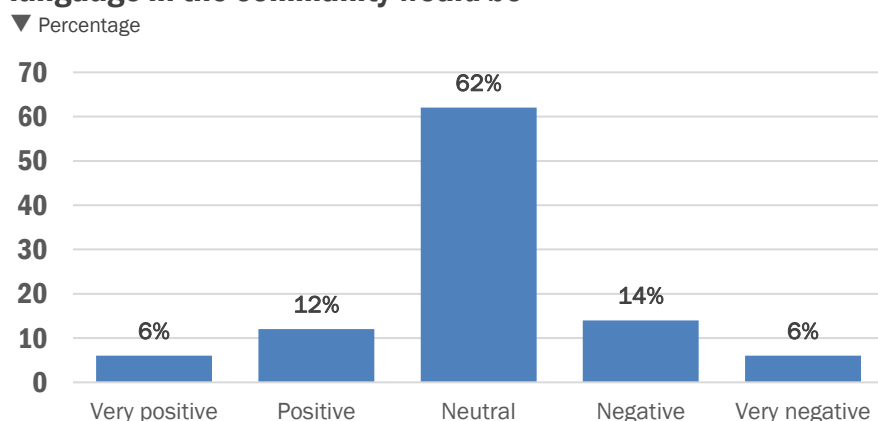
Of those respondents who own a second home, an overwhelming majority (80%) think that the availability of affordable homes will stay the same if the level of the council tax premium on second homes were to be increased. On the other hand, the opinions of those who do not own a second home are more divided. Under half (45%) are of the opinion that the availability of affordable housing will stay the same, while 40% feel that it would increase (either moderately or significantly).

Results show that as respondent age increases, opinions on the matter become more pronounced. The younger age groups opinions are more varied, just under half (43%) of the 16-44 age group assume the availability of affordable housing will stay the same if the level of Council Tax Premium on second homes were increased, whilst over a third (37%) think that the availability would increase. By contrast, the general consensus of respondents in the older age groups (45-64 and 65+) is that the availability would stay the same (with 69% selecting this answer), whilst 20% think it would increase. Research shows that the recent increase in house prices is making it increasingly difficult for young people to get onto the property ladder, these results may reflect some of these challenges.

**Q14: If the level of the Council Tax Premium on second homes were to be increased, do you think the effect on opportunities for people to use the Welsh language and the status of the Welsh language in the community would be**

A majority of 62% think that increasing the level of council tax premium on second homes will have a “neutral” effect on the status of the Welsh language in the community. 20% of respondents believe there would be a negative or very negative impact, while the remaining 18% believe that an increase would have a positive or very positive effect.

**Q14. If the level of the Council Tax Premium on second homes were to be increased, do you think the effect on opportunities for people to use the Welsh language and the status of the Welsh language in the community would be**



Overall, the common view amongst respondents who own a second home and those that do not, is that an increase in the level of council tax premium would result in no discernible effect on the status of the Welsh language in the community. However, respondents who own second homes share a greater consensus in favour of a neutral impact (71%) compared to those that do not (48%). The opinions of respondents who do not own a second home are more varied (35% believe an increase would have a positive or very positive impact and 12% think it would have a negative or very negative

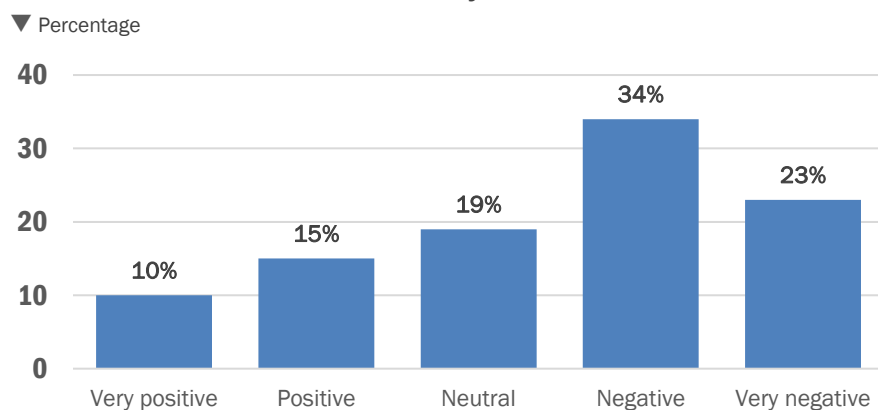
impact).

A larger proportion of those who have Welsh skills (e.g., can either speak, write, understand, or read Welsh) (28%) feel that an increase in council tax premium would have a positive or very positive impact compared to a small proportion (7%) of respondents without any Welsh skills.

### Q15: If the level of the Council Tax Premium on second homes were to be increased, do you think the effect on the local community would be

Overall, the majority of respondents (57%) think that increasing the level of council tax premium on second homes would result in a negative or very negative effect on the local community. Just under a quarter (24%) believe that the impact would be positive or very positive, while the remaining 19% think there would be no discernible effect (neutral impact).

#### Q15. If the level of the Council Tax Premium on second homes were to be increased, do you think the effect on the local community would be



*\*Figures may not sum due to rounding.*

Amongst second homeowners, the consensus is that an increase to the level of the council tax premium would have a negative or very negative effect on the local community, with 80% selecting these options. Whereas the most common response amongst those who do not own a second home, is that an increase would result in a positive or very positive impact (47%) on the local community.

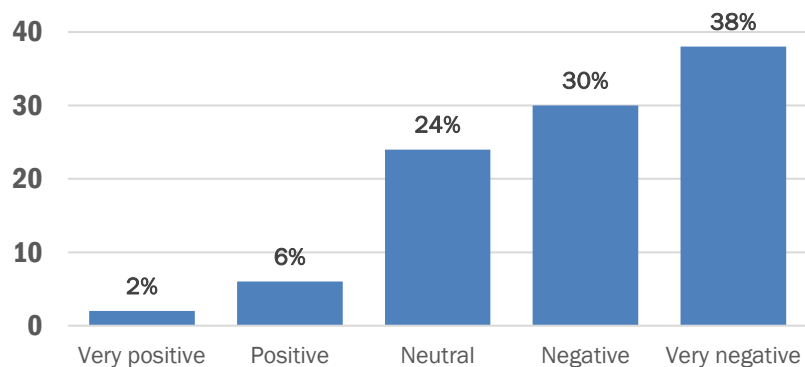
There are slight differences between those that responded as a business owner compared to those responding as an individual, however, the general view remains that an increase would have a negative impact on the local community. Business owners feel more strongly about this (68%), compared to individual respondents (54%). A quarter (25%) of individual respondents think that an increase would have a positive or very positive impact, whereas a very small percentage (5%) of business owners hold this view.

### Q16: If the level of the Council Tax Premium on second homes were to be increased, do you think the effect on tourism would be

Overall, the commonly held view is that an increase to the level of the council tax premium on second homes would have a negative or very negative effect on tourism, with 68% identifying this. Just under a quarter (24%) of respondents think that there would be no discernible effect, while a small proportion (8%) believe that an increase would positively or very positively impact tourism.

### Q16. If the level of the Council Tax Premium on second homes were to be increased, do you think the effect on tourism would be

▼ Percentage



The majority of those responding as a business owner and as an individual think an increase to the level of Council Tax Premium on second homes would have a negative or very negative impact on tourism, however, business owners are more strongly in agreement. Amongst business owner respondents<sup>1</sup>, an overwhelming majority (84%) think that an increase will have a negative or very negative impact on tourism, compared to just under two-thirds (65%) of individual respondents. This difference is expected, as any potential impact on tourism numbers could directly impact the customer-base of certain businesses.

Breaking down the responses by second homeowners and non-second homeowners highlight some differences in views on the impact to tourism, however, the overall view remains that an increase to the premium on second homes would have a negative impact on tourism. Amongst second homeowners a large majority (88%) think that an increase will have a negative or very negative impact on tourism. Whereas the opinions of non-second homeowners are more divided, a small majority (42%) think the impact on tourism would be negative or very negative, whereas 38% believe that there would be no discernible effect (neutral impact). The least common answer amongst both groups is that an increase would result in a positive or very positive impact (2% amongst second homeowners and 14% amongst non-second homeowners).<sup>2</sup>

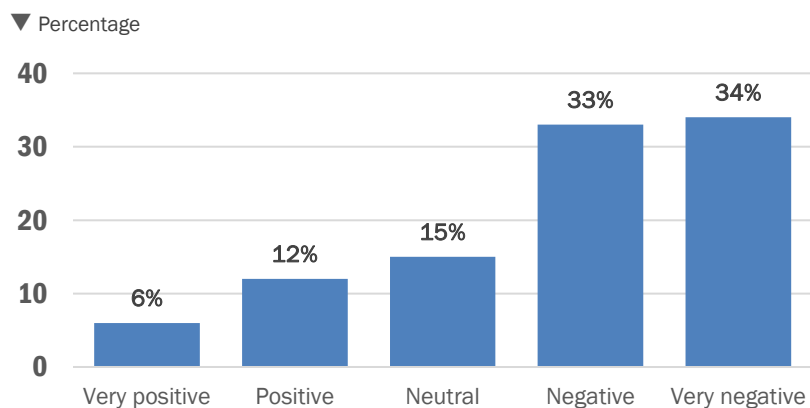
### Q17: If the level of the Council Tax Premium on second homes were to be increased, do you think the effect on the local economy would be

Two-thirds (67%) of respondents hold the view that an increase to the level of the council tax premium on second homes would be negative or very negative. 18% think it would have a positive or very positive effect, whereas 15% believe that there would be no discernible effect (neutral effect).

<sup>1</sup> Amongst business owner respondents, 51% are second homeowners and 49% do not own a second home.

<sup>2</sup> 1% of second homeowners and 6% of non-second homeowners didn't answer question 16.

**Q17. If the level of the Council Tax Premium on second homes were to be increased, do you think the effect on the local economy would be**



The commonly held view amongst business owner respondents and individual respondents is that an increase would impact the local economy negatively, however, business owners share this view more strongly. An overwhelming majority (84%) of business owners think that the impact on the local economy would be negative or very negative, compared to a smaller majority (63%) of non-business owner respondents.

Second homeowners' and non-second homeowners' views on the matter are more varied, however the prevailing view remains that the impact would be negative. A large majority of second homeowners (86%) expect a negative or very negative impact on the local economy if the level of council tax premiums on second homes is increased. Amongst non-second homeowners, a significantly smaller majority (40%) believe this. Whilst just over a third (35%) think that an increase would positively or very positively impact the local economy (compared to 2% of second homeowners).

**Q18: We welcome any other comments you may have in relation to Council Tax premiums on second homes.**

The following question provided respondents with the opportunity to share any further comments in relation to council tax premiums on second homes that were not covered in the previous questions. It generated a significant number of responses (1,254 in total). The responses were coded and twelve broad themes were derived from the comments, shown in the table below. As most comments included several points, often more than one theme was obtained from each comment. The table below provides a summary of the themes and the number of times each theme appeared.

Theme	Number of mentions
Increasing Council Tax premiums would not result in the desired outcomes	325
Not in favour of 'blanket increase' to Council Tax premiums	216
Second homes positively contribute to local community/economy	189
Penalises second homeowners	120
Different approach required	113
Forced to sell if council tax premiums increase	69
Second homes negatively impact the local community/economy	59

Council tax premiums already high enough	56
Supports increase to council tax premiums	54
Council tax premium increase would positively impact residents/local community	24
Transparency on where current/additional revenue is being spent	22
Current level of second home ownership does not negatively affect local community	7

'Increasing Council Tax premiums would not result in the desired outcomes' was the most prevalent theme throughout the comments. Just over half of these comments noted that an increase would not improve the availability or affordability of homes, reasons included: *second homes are unaffordable for first time buyers/locals, residents on low incomes/lack of well-paid jobs, second homes are not designed for permanent occupancy, second homes require significant investment to renovate.*

Whilst just under half of these mentions specified that an increase would negatively impact the local community and the economy, reasons included: *businesses reliant on the tourism industry would suffer, business for local tradesmen would reduce, local economy would deteriorate as less disposable income spent in communities, second homeowners would switch to business rates thus reducing revenue for the Council, residents who required short-term stays for employment would be penalised (e.g., agency staff), local residents forced to sell second homes and bought by wealthier people outside of Ceredigion.* This theme was closely linked to the fifth most common mention 'different approach required' (explained in further detail overleaf).

The second most common theme was that a 'blanket approach to increasing Council Tax premiums should not be used' (216 mentions). A number of reasons were provided as to why. Respondents noted that individual circumstances of second homeowners vary significantly and feel that the outcomes of second homes on the communities/residents depend on different factors (for example, the use of a second home determines whether it has a positive or negative impact on Ceredigion residents and its communities). As such, these respondents stressed that the following should be considered during the decision-making process:

- the level of second home occupancy – a couple of weeks a year to 6 months +
- second home tenure – holiday let (full-time/seasonal), B&Bs, empty second home etc.
- acquisition of the second home – inherited or bought.

Some provided suggestions on how the exemption process could be undertaken for example, by looking at second homes on a *case-by-case basis* (i.e., by using the above criteria), or by *applying an increase to a specific area/postcode.*

The third most common theme was that 'second homes contribute positively to the local community/economy', with a total of 189 mentions. Reasons included: *second homeowners fully integrated into the community, strong attachment to local area, employ local tradespeople and use local businesses, more disposable income, less of a burden on council services, embracing/learning the Welsh language, investing in property in the area.*

'Penalises second homeowners' was referred to approximately 120 times, and was the fourth most common theme. Just over 40% of these comments referred to specifically penalising *local* second homeowners. Comments referred to: the new 182 day occupancy rule as being *unjust, that the cost of*

*living crisis is already placing pressures on second homeowners, all second homeowners are wealthy is a common misconception, the current premium is reasonable/ already high enough given the services used, penalising those who have invested money into the property and area, unfair on those who have inherited properties, and penalising those renovating their property to live in, are to name a few.*

The theme that appeared approximately 113 times and was the fifth prevalent overall, was that a 'different approach was required'. These respondents didn't think that increasing the Council Tax premium on second homes would improve the availability and affordability of housing for local residents to rent and buy, and offered alternative suggestions. These included:

- Build more affordable homes
- Relax planning regulations to build more homes
- Increase provision of well-paid/high quality jobs
- Increase Council Tax rates on Houses of Multiple Occupation (HMO's)
- Increase Council Tax premiums on empty properties
- Introduce a rent cap
- Regenerate communities
- Reduce business rates
- Raise Council Tax for all residents

As reflected a number of suggestion were provided, however, the widely held view by these respondents is that to increase the availability and affordability of homes for local residents, the focus should be on increasing the provision of affordable homes and better paid jobs.

The table below provides a sample of some of the comments to question 18.

Sample Comments	
<p>"Most second homes in my area are owned by Welsh. It is a misrepresentation to see them as owned by the English or others. They are properties that have been in their families for many years. They are located in areas away from school and local employment. The only local employment in these areas is tourism - without the tourist industry people would not want to live here, as there is no employment for them... Second homes tend to either be designed purely for short-term living or be priced at a level that means locals cannot afford them (due to their size usually). The existing 25% premium is more than adequate."</p>	<p>"When we bought our second home a few years ago it had been on the market for more than 2 years. It was in very poor condition. We used local tradespeople and craftsmen to restore it to the beautiful old house it now is. We spend our time equally between our two homes. We are fully integrated into the community and have many Welsh friends and use resources that benefit the community and not using things such as health services that are short..."</p>
<p>"A 2nd home can fall into different categories. In my case I inherited the property from my mother. it is the house where I grew up in a lovely community. I am a part of Aberystwyth, and the house contains many items of interest to the museum. I am a Welsh speaker. If the property is sold, there is no guarantee that it will be lived in by a local Welsh speaker."</p>	<p>"As a second homeowner, I endeavour to buy and employ trades people locally. The property is used by family who likewise holiday in the area, during which time they spend an above average amount whilst they are relaxing, again supporting local businesses... To the best of my knowledge, the majority of second homes would not fall into the 'affordable homes' category. Also, were there to be an increase in the number of homes brought to market, this could lead to a fall in property values for current main residents, so it is important to strike a balance. As such I believe that the effect on the local economy would be adverse if there were less second homes and subsequently visitors to Ceredigion..."</p>



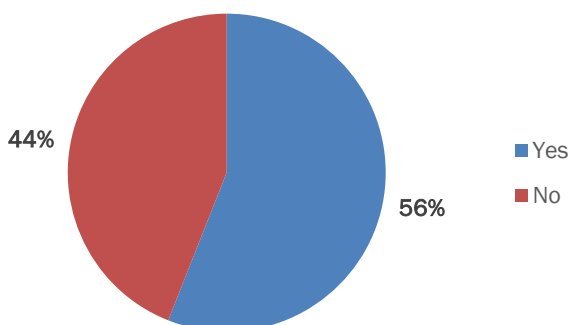
<p>"I think a blanket rise of the council tax premium is incorrect..."</p>	<p>While understanding that it is not possible to distinguish between foreign and native occupants in this matter, wouldn't it be better to try to distinguish between second homes and empty houses. If the premium is raised from the current 25% why not raise it a reasonable step for holiday homes (say 50%) and raise it more for empty houses (possibly 100%).</p>
<p>"We are writing to express our heartfelt concerns about the proposed council tax premium increase on second homes in Ceredigion. As a family deeply rooted in the community, we have witnessed and contributed to its growth over the years. It saddens us to think about the potential impact of this proposed change. The proposed premium increase may significantly impact our ability to sustain our presence in Ceredigion. It is with heavy hearts that we contemplate the potential necessity of leaving the area we have come to call home."</p>	<p>"I understand the plight of local people who are on low incomes and find themselves priced out of the housing market. More should be done to support people on low incomes and make more affordable properties available. But this issue should not be confounded with second home ownership, which contributes significantly to the local economy. Not all second homeowners are rich, or incomers from England, or non-Welsh speakers..."</p>
<p>"There are far too many second homes in the county and that has a negative impact on the ability of local young people to acquire their own homes. Some second homeowners do contribute to the local economy, but others do not, often bringing in their own goods and service providers from their home area."</p>	<p>"There should be a difference between a second home which is being run as a holiday let as opposed to a property which is being purposely kept empty by the owner all year round. A holiday let property is being used by the guests whom in turn spend their money in shops, restaurants, and pubs etc during their stay. Our small cottage has occupancy from March until October every year with several couples returning every year."</p>

### Section 3: Long Term Empty Properties

Q19: Do you wish to respond on long term empty properties?

Respondents were then asked if they wanted to answer questions relating to long-term empty properties (LTEP). Of the 1,403 responses, over half (56% / 790 responses) wanted to respond while the remaining 44% did not.

#### Q19. Do you wish to respond on long term empty properties?

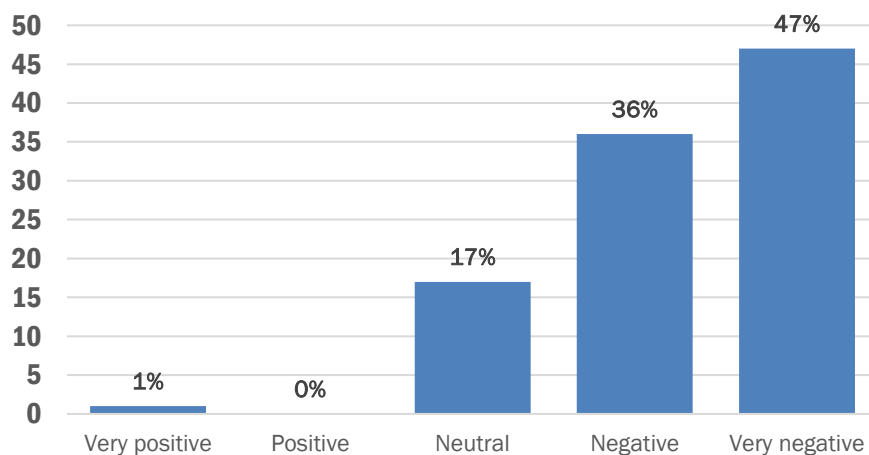


## Q20: What impact do you believe long term empty properties have on local communities in Ceredigion?

The first question on long-term empty properties was to establish the view of respondents on their impact on local communities. An overwhelming majority (83%) believe that long-term empty properties impact local communities in Ceredigion negatively or very negatively. 17% do not think that they have any visible impact, while a very small proportion of 1% believe they have a very positive impact. Notably, of the 780 that responded to this question, only 13% own a LTEP, therefore, the responses are disproportionately represented in favour of those who do not own a LTEP (87%).

### Q20. What impact do you believe long term empty properties have on local communities in Ceredigion?

▼ Percentage

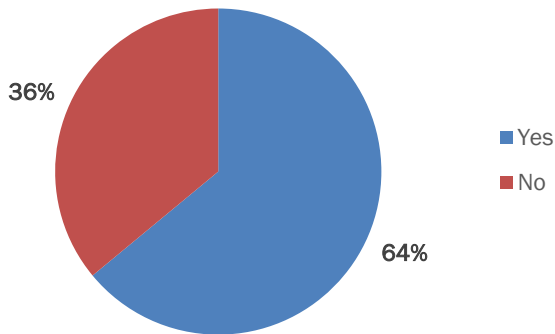


Amongst those who own a LTEP and those who do not, the consensus is that LTEPs have a negative or very negative impact on local communities in Ceredigion. However, there is greater level of agreement amongst those who do not own a LTEP (87% selected negative or very negative) as opposed to a broadly even split for those with a LTEP (50% selected negative or very negative, 44% selected neutral and 2% positive or very positive).

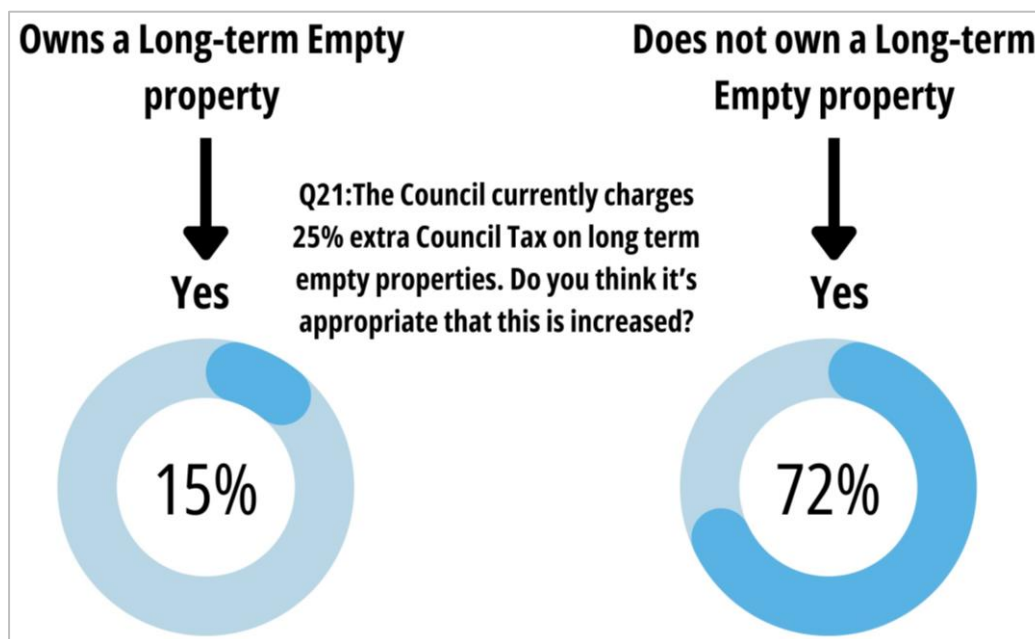
## Q21: The Council currently charges 25% extra Council Tax on long term empty properties. Do you think it's appropriate that this is increased?

The majority of respondents (64%) think that it is appropriate to increase the current charge of 25% extra council tax on LTEP, while just over a third of respondents (36%) think it is inappropriate.

**Q21. The Council currently charges 25% extra Council Tax on long term empty properties. Do you think it's appropriate that this is increased?**



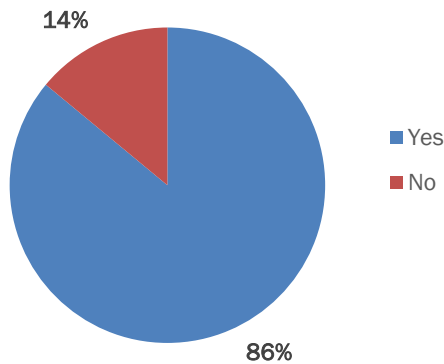
There are significant differences in opinions between those that own a LTEP and those who do not. Amongst those who own a LTEP, a large proportion (85%) believe that it would be inappropriate to increase the current charges, compared to just over a quarter (28%) of those that do not own LTEP. The prevailing view of those that do not own a LTEP, is that it would be appropriate to increase the current charges, with 72% responding 'yes' to this question. The diagram below summarises this difference of opinion.



**Q22: If yes then, do you think an increase should be applied differently depending on how long a property has been empty?**

Of the 506 that selected 'Yes' to question 21, an overwhelming majority of 86% think that an increase to the current charges should be applied differently depending on how long a property has been empty, while a smaller proportion of 14% do not think it would be appropriate to do so.

**Q22. If yes then, do you think an increase should be applied differently depending on how long a property has been empty?**

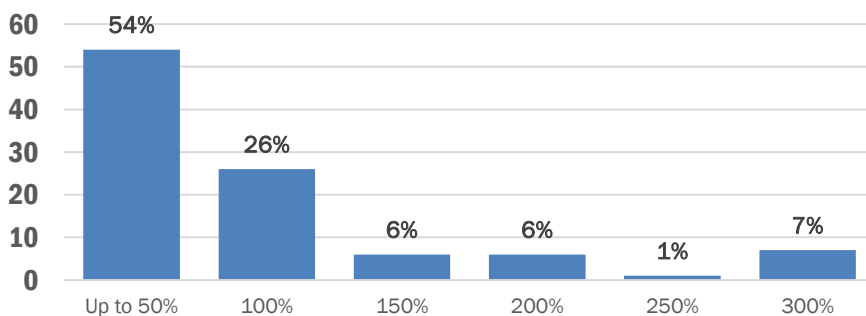


**Q23: If yes then, what level do you think would be appropriate to set the Council Tax Premium at for long term empty properties for the different length of time a property is empty? (1-2 years)**

Of the 429 respondents that think it would be appropriate to increase the council tax premium for LTEP, the overall consensus is that the smallest increase (up to 50%) should be placed on properties left empty for 1-2 years. Just over half (54%) selected this option for properties left empty between 1-2 years, just over a quarter (26%) think that a higher 100% increase would be appropriate, while a fifth of respondents (20%) think that anything from 150% to 300% would be appropriate as summarised in the chart below.

**Q23. If yes then, what level do you think would be appropriate to set the Council Tax Premium at for long term empty properties for the different length of time a property is empty? (1-2 years)**

▼ Percentage

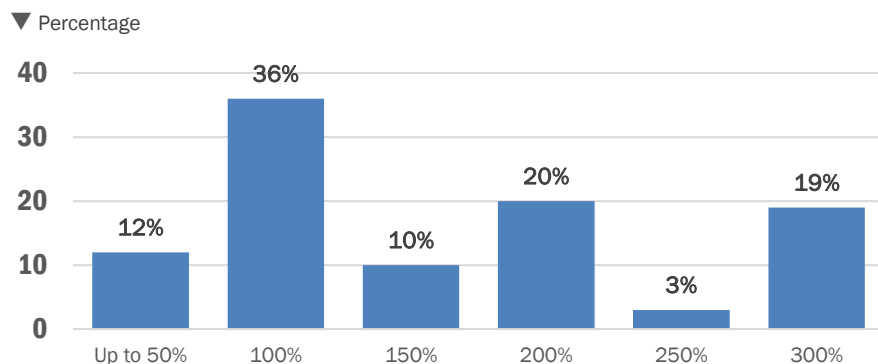


**Q24: If yes then, what level do you think would be appropriate to set the Council Tax Premium at for long term empty properties for the different length of time a property is empty? (2-5 years)**

As expected, respondents selected a higher increase for properties left empty for longer periods of time. However, opinions on the appropriate level of increase for properties left empty between 2-5 years are more varied compared to those left empty between 1-2 years. The largest proportion (36%) believe that an increase of 100% is appropriate, while there was a fairly even split between a 200% and 300% rise,

with 20% and 19% selecting those answers respectively. The least common answer given is that the increase should be set at 250% with as little as 3% selecting this option. The different views are summarised in the chart below.

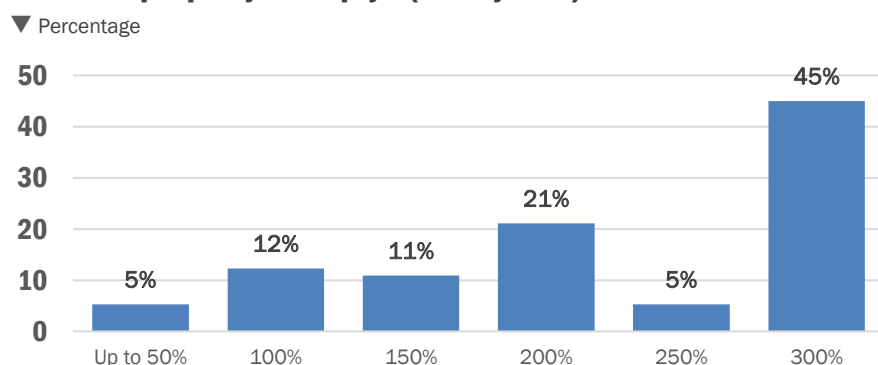
**Q24. If yes then, what level do you think would be appropriate to set the Council Tax Premium at for long term empty properties for the different length of time a property is empty? (2-5 years)**



**Q25: If yes then, what level do you think would be appropriate to set the Council Tax Premium at for long term empty properties for the different length of time a property is empty? (5-10 years)**

Similar trends were seen in the responses to question 25 where respondents thought that the longer a property had been empty, the higher the council tax premium that should be applied. If a property had been empty for 5-10 years, 45% of respondents thought that the premium should be the maximum 300% chargeable. There was some support for a lower premium being applied, for example 21% thought 200% was an appropriate amount, while 12% thought 100% was appropriate and 11% supported a 150% premium. There was much less support for the lowest 'up to 50%' premium as just 5% of respondents thought this level was appropriate.

**Q25. If yes then, what level do you think would be appropriate to set the Council Tax Premium at for long term empty properties for the different length of time a property is empty? (5-10 years)**

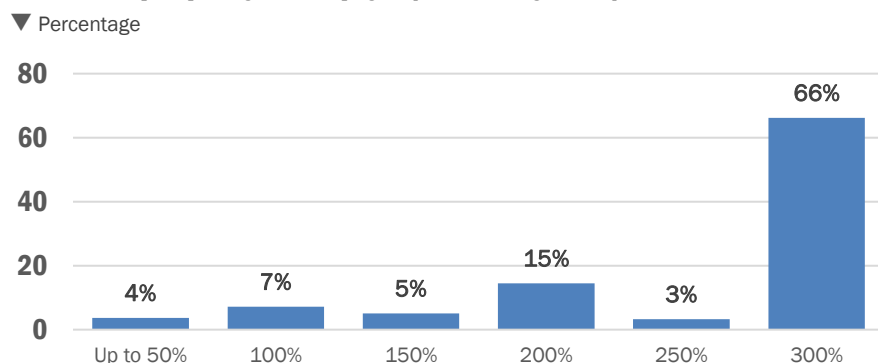


*Figures do not sum due to computer roundings*

**Q26: If yes then, what level do you think would be appropriate to set the Council Tax Premium at for long term empty properties for the different length of time a property is empty? (Over 10 years)**

When considering the premium for properties empty for over 10 years, the majority of respondents (66%) stated that the maximum 300% should be applied. There was much less support for other values with a 200% Premium being the next most popular option with 15% of respondents, but the remaining options all had less than 10% support as summarised in the chart below.

**Q26. If yes then, what level do you think would be appropriate to set the Council Tax Premium at for long term empty properties for the different length of time a property is empty? (Over 10 years)**



The chart below shows the results to questions 23 to 26 combined. It shows the percentage of respondents supporting each of the council tax premium levels by length of time a property has been empty. The overall trends are very visible – respondents were in favour of a ‘sliding scale’ approach, where the longer the property has been empty the higher the premium that should be applied. For example, for properties empty for 1-2 years 54% of respondents supported a lower premium of up to 50%, for 2-5 years empty the largest proportion (36%) were in favour of a 100% premium, for 5-10 years empty the largest proportion of respondents (45%) supported a 300% increase and for properties empty for over 10 years a majority of 66% were in favour of the full 300% premium

**Q23-26. If yes then, what level do you think would be appropriate to set the Council Tax Premium at for long term empty properties for the different length of time a property is empty?**

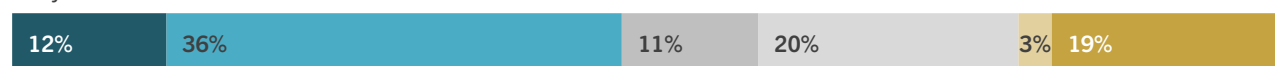
Level of Council Tax premium for long-term empty properties:

■ Up to 50% ■ 100% ■ 150% ■ 200% ■ 250% ■ 300%

1-2 years



2-5 years



5-10 years



Over 10 years



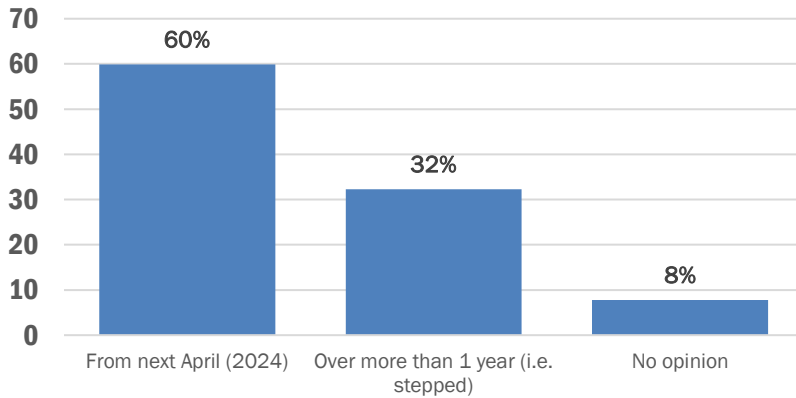
Percentage of respondents

### Q27: When do you think an increase should be implemented?

For those who thought that an increase in council tax premium should be implemented depending on the length of time a property has been empty, the majority (60%) thought that an increase should be implemented from next April (2024), i.e. at the earliest opportunity, while just under a third (32%) thought that it should be stepped over more than one year. There was a further 8% who had no opinion.

#### Q27. When do you think an increase should be implemented?

▼ Percentage

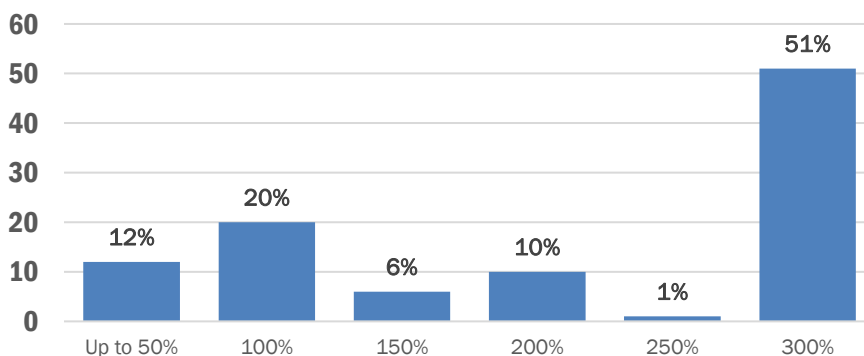


### Q28: If you don't think an increase should be applied differently depending on how long a property has been empty, what level do you think would be appropriate to set the Council Tax Premium at for long term empty properties?

Respondents who felt that an increase should *not* be applied depending on how long a property had been empty were asked what level would be appropriate for the council tax premium on long-term empty properties. Only 69 respondents thought that the increase should be applied to all long-term empty properties regardless of the length of time they had been empty. Of those, the largest proportion (35 or 51%) stated that the maximum 300% should be applied, although there were also 20% or 14 respondents who stated 100% and 12% who stated 'up to 50%'.

#### Q28. If you don't think an increase should be applied differently depending on how long a property has been empty, what level do you think would be appropriate to set the Council Tax Premium at for long term empty properties?

▼ Percentage

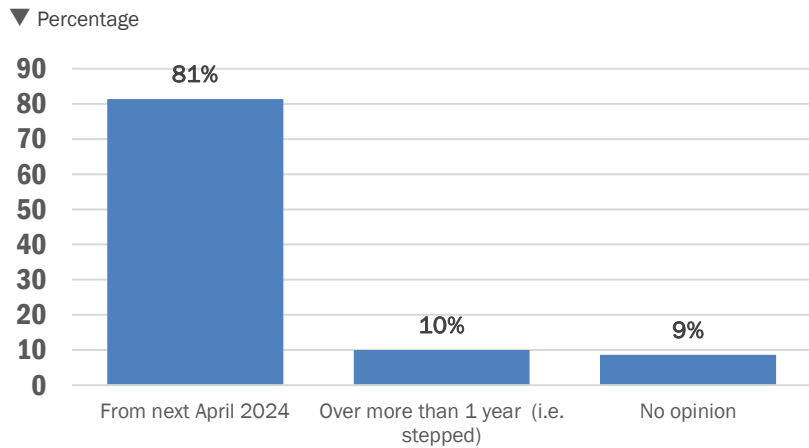




### Q29: When do you think would be appropriate for an increase to be implemented?

Respondents to question 28 were then asked for their views on *when* an increase in council tax premium for long-term empty properties should be implemented, if an increase were to be introduced. The overwhelming majority (81% or 57 respondents) stated that it should be introduced from April 2024, with just 7 or 10% stating that it should be stepped and introduced over more than one year. There were 6 (9%) who had no opinion.

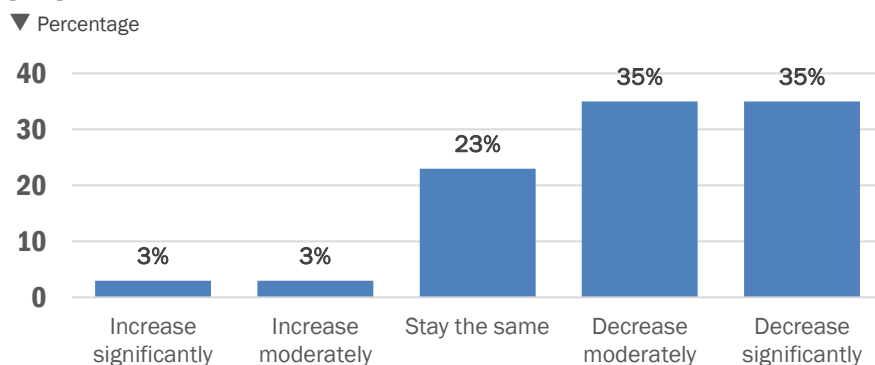
#### Q29. When do you think would be appropriate for an increase to be implemented?



### Q30: If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the number of long-term empty properties would

The survey then asked respondents a series of questions on what they thought the impact of an increase in council tax premium of long-term empty properties would be. The first concerned the impact on the number of long-term empty properties in the County. The majority (70%) felt that the result would be a decrease in the number of long-term empty properties with an even number stating decrease either moderately (35%) or significantly (35%). There was almost a quarter (23%) who felt that an increase would not result in any change and the number would stay the same. Only a small proportion of respondents felt that it would lead to an increase, with 3% stating that it would increase moderately and a further 3% stating that it would increase significantly.

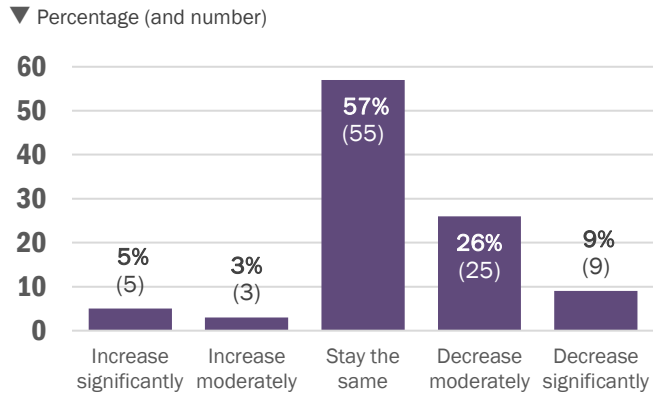
#### Q30. If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the number of long-term empty properties would



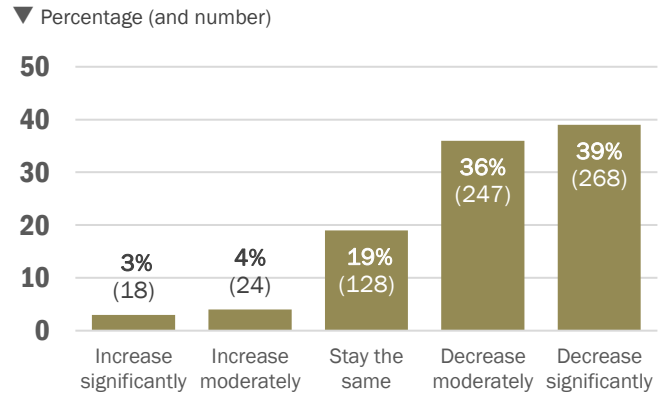
Figures do not sum due to computer roundings

These views were most strongly supported by respondents who do not own a long-term empty property in Ceredigion where a combined 75% thought the number would decrease either moderately or significantly. This is in direct contrast to just 7% who thought the number would increase either moderately or significantly. Long-term empty property owners were not as sure of the impact, with only 35% believing that the number would decrease moderately/significantly. Instead, the majority of 57% thought that the impact would be neutral, see charts below.

**Q30. Long Term Empty Property Owners Only:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the number of long-term empty properties would



**Q30. Do Not Own a Long-Term Property:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the number of long-term empty properties would

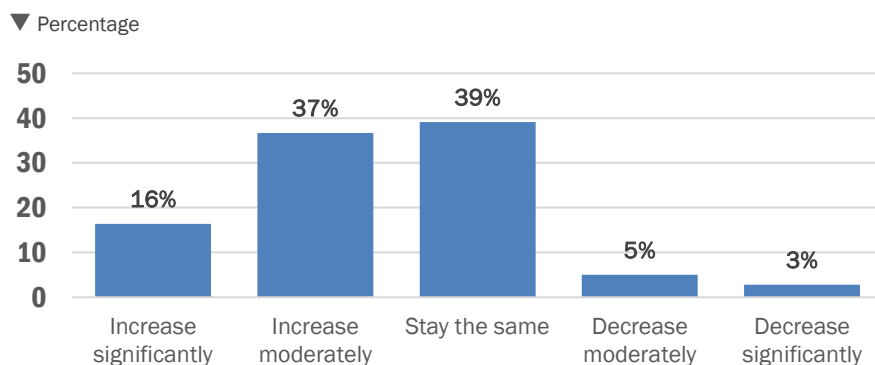


Figures do not sum to 100 due to computer roundings

**Q31: If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the availability of affordable housing would**

When asked about the impact on the availability of affordable housing in the County, the majority of respondents (53%) were clear that it would result in an increase in affordable housing as a higher premium would encourage more properties back into the local housing market. The largest proportion of respondents (37%) stated that the availability of affordable housing would increase moderately a further 16% stated that it would increase significantly. There was a further 39% who felt that it would not result in any change and the availability of affordable housing and stay the same. Only a small number of respondents felt that it would result in a decrease with 13 stating that it would decrease moderately and a further 13 stating that it would decrease significantly.

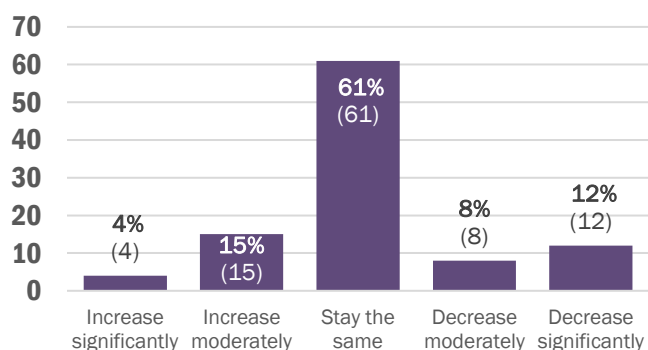
**Q31. If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the availability of affordable housing would**



There were some differences of opinion amongst respondents who own a long-term empty property in Ceredigion and those who do not. Amongst long-term empty property owners, the results were inconclusive with a majority of 61% stating that the availability would stay the same and a broadly even split between increase moderately/significantly (19%) and decrease moderately/significantly (20%). For respondents who do not own a long-term empty property, the trends were clearer – 58% stated that the impact would be a moderate or significant increase on the availability of affordable housing, with a further 36% stating neutral. A small number of 41 responses or 6% stated that the impact would be a moderate or significant decrease.

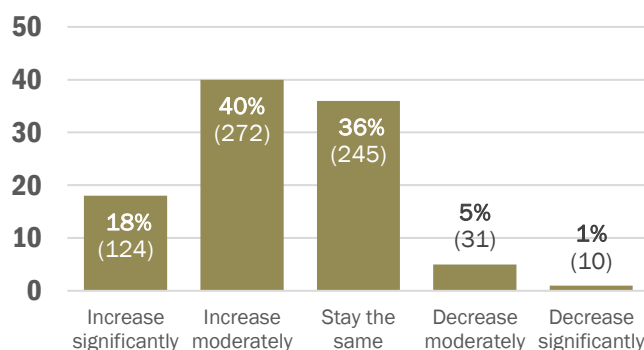
**Q31. Long Term Empty Property Owners Only:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on the availability of affordable housing would be

▼ Percentage (and number)



**Q31. Do Not Own a Long-Term Property:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on the availability of affordable housing would be

▼ Percentage (and number)

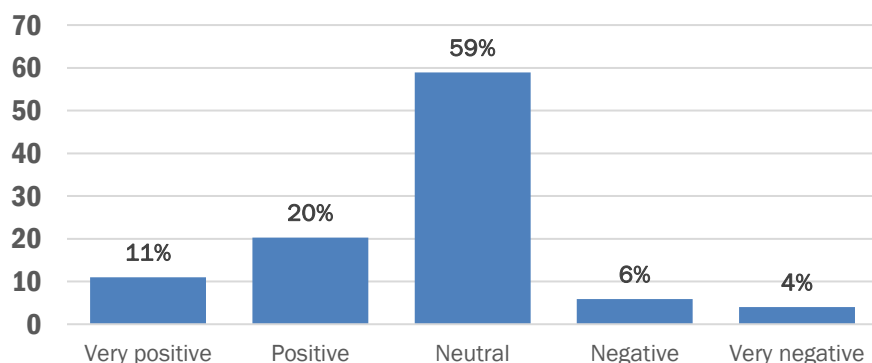


**Q32:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on opportunities for people to use the Welsh language and the status of the Welsh language in the community would be

The impact on the use and status of the Welsh language was less clear, with the majority of respondents (59%) stating that the impact would be 'Neutral'. There were 31% who said the impact would be either positive or very positive, and only a small number 10% or 48 respondents felt that the impact on the Welsh language would be negative or very negative.

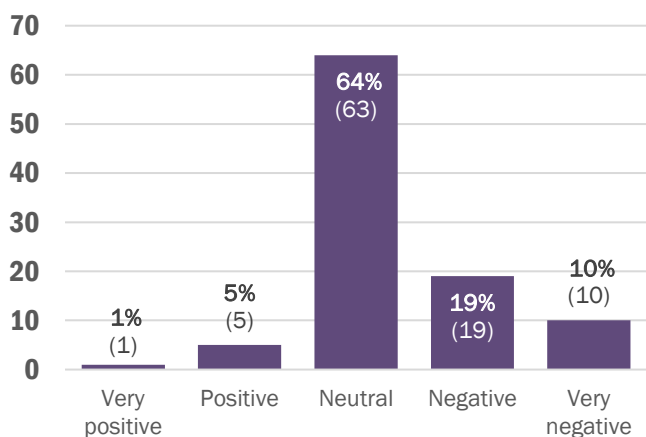
**Q32. If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on opportunities for people to use the Welsh language and the status of the Welsh language in the community would be**

▼ Percentage



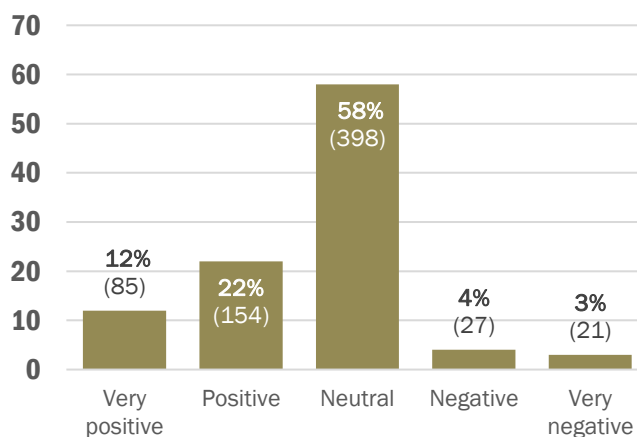
Both owners of long term-empty properties and those who do not own a long-term empty property felt that the impact would be neutral - 64% of long-term property owners and 58% of non-owners. However, amongst those who provided a positive or negative view there were differences of opinion. Long-term empty property owners were more likely to view the impact as negative while those respondents who do not own a long-term empty property were more likely to see the impact as positive, as shown in the charts below. 6% of long-term empty property owners in Ceredigion saw the impact as positive while 29% saw it as negative. Conversely, 34% of those who do not own a long-term empty property saw it as positive, compared to 7% who saw it as negative.

**Q32. Long Term Empty Property Owners Only:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the opportunities for people to use the Welsh language and the status of the Welsh language in the community



Figures do not sum due to computer roundings

**Q32. Do Not Own a Long-Term Property:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the opportunities for people to use the Welsh language and the status of the Welsh language in the community would



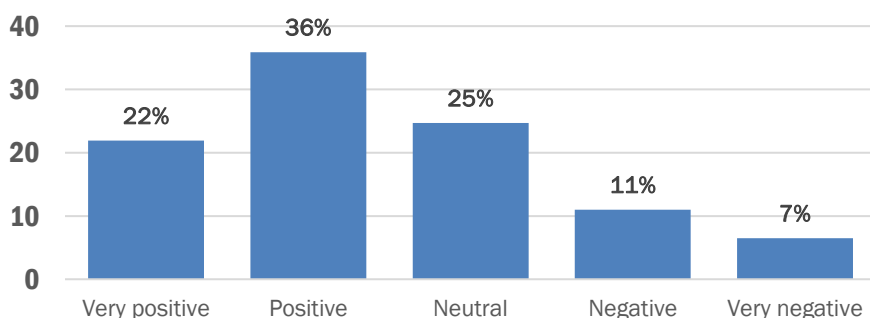
Figures do not sum due to computer roundings

**Q33: If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on the local community would be**

When asked about the impact on the local community, the majority (65%) stated that it would be either positive or very positive. There were almost a quarter (23%) who stated that it would be neutral and have no impact and a small number of responses (13%) stated that it would have a negative or very negative impact.

**Q33. If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on the local community would be**

▼ Percentage

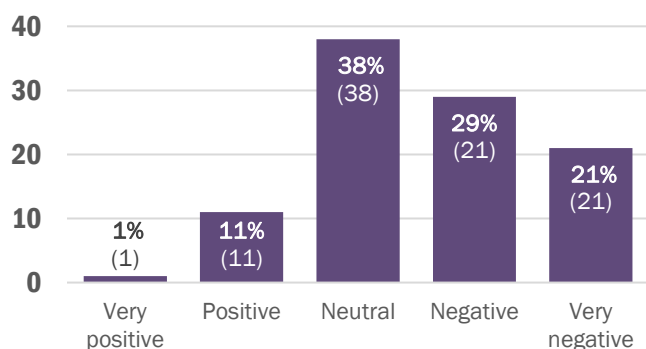


Figures do not sum to 100 due to computer roundings

There was a noticeable difference of opinion between those who own a long-term empty property in Ceredigion and those who do not. For long-term empty property owners, exactly half (50%) of respondents stated that the impact on local communities would be negative with a much lower proportion of 12% stating it would be positive/very positive, see charts below. Conversely, for respondents who do not own a long-term empty property, views were much more positive with 65% stating that the impact would be positive/very positive and a small proportion of 12% stating negative/very negative.

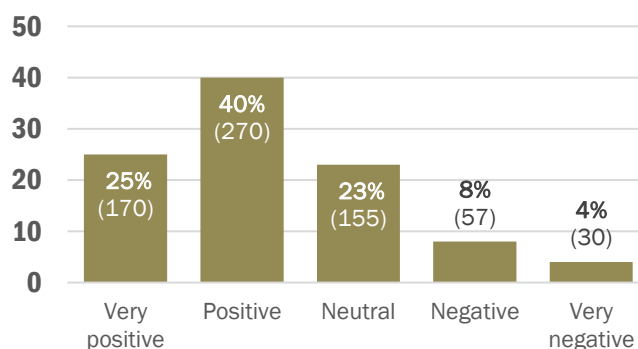
**Q33. Long Term Empty Property Owners Only:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on the local community would be

▼ Percentage (and number)



**Q33. Do Not Own a Long-Term Property:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on the local community would be

▼ Percentage (and number)

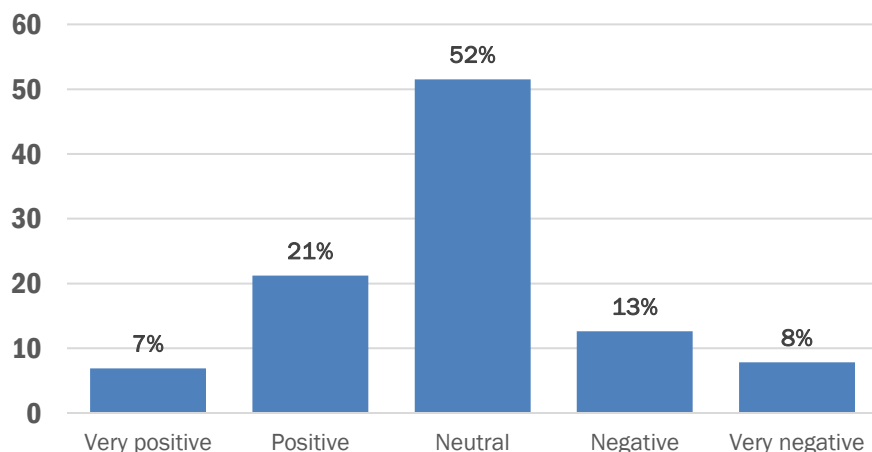


**Q34: If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on tourism would be**

However, when asked specifically about the effect on tourism in Ceredigion, the responses were much less clear with just over half of all respondents (52%) stating that the impact would be 'Neutral'. There were a further 30% who stated that the impact would be either be positive/very positive, and a smaller proportion of 21% who stated negative/very negative.

**Q34. If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on tourism would be**

▼ Percentage

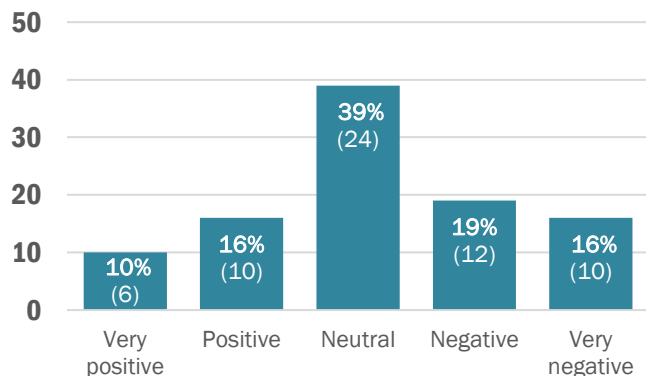


Figures do not sum to 100 due to computer roundings

Similar trends are seen in the split between business respondents, those who own long term empty properties in Ceredigion and those who do not. For all three groups, the neutral category attracted the most responses – 39% for businesses, 41% for owners of long-term empty properties and 53% for those who do not own a long-term empty property, see charts below. However, businesses and owners of long-term empty properties were more likely to see the effect as negative/very negative, while those who do not own a long-term empty property were more likely to see the effect as positive.

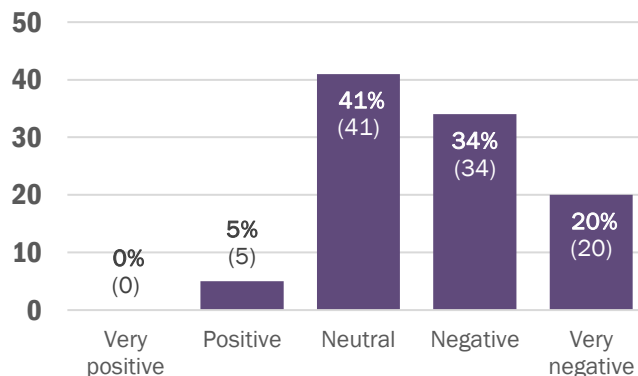
**Q34. Business Responses only:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on tourism would be

▼ Percentage (and number)



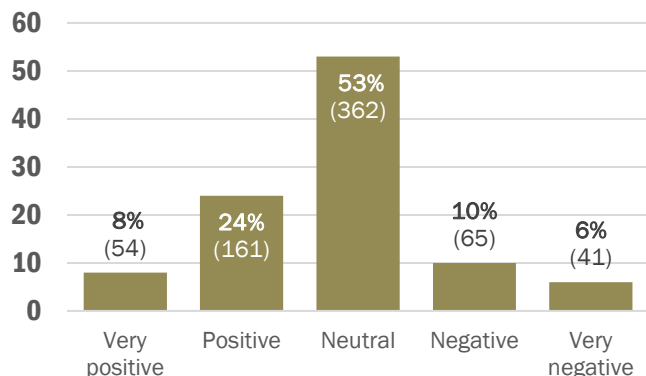
**Q34. Long Term Empty Property Owners Only:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on tourism would be

▼ Percentage (and number)



**Q34. Do Not Own a Long-Term Property:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on tourism would be

▼ Percentage (and number)



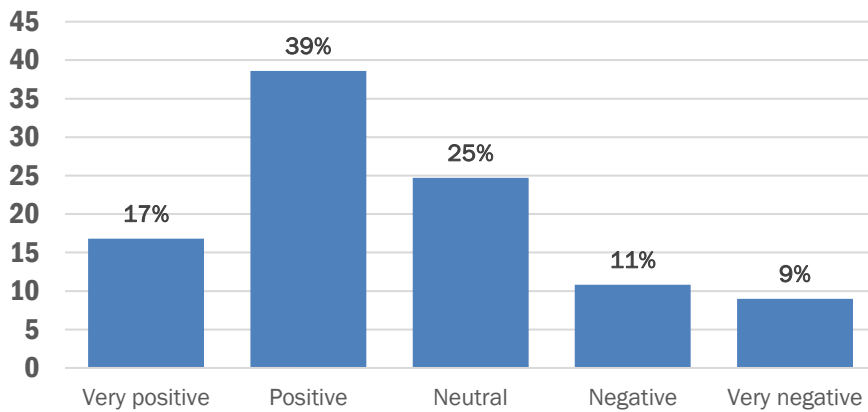
Figures do not sum to 100 due to computer roundings

**Q35:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on the local economy would be

Overall, the views on the impact on the local economy were positive with a small majority of 56% stating that they thought the impact would be either positive or very positive, compared to 20% who thought that the impact would be negative or very negative. Exactly one quarter of respondents stated that the effect would be 'Neutral'.

**Q35. If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on the local economy would be**

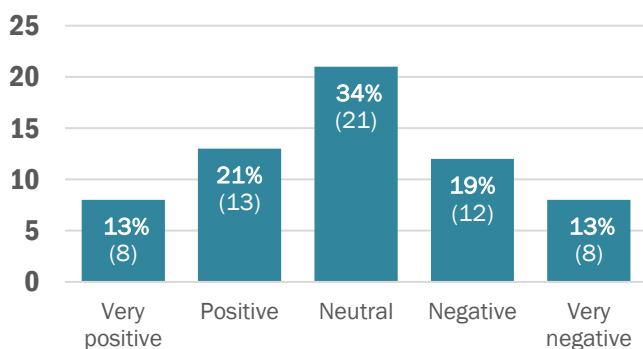
▼ Percentage



Again, the trends vary when the responses are split by different types of ownership, charts below. For example, responses from businesses were the most balanced with the largest proportion (21 or 34%) stating that the impact would be neutral, while there was a broadly even split between those stating positive/very positive (34%) and those stating negative/very negative (32%). Meanwhile, owners of long-term empty properties saw the effect as predominantly negative, with a majority of 57% stating either negative or very negative. For those who do not own a long-term empty property, there was a much more positive view of the impact, with 62% stating that the impact would be either positive or very positive. In all three groups there was a significant proportion of respondents who felt that the impact would be neutral.

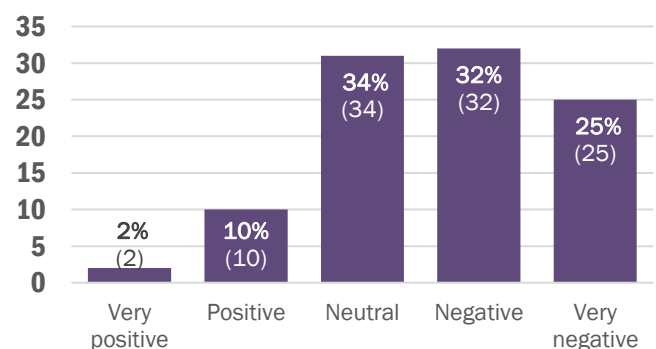
**Q35. Business Responses only:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on the local economy would be

▼ Percentage (and number)



**Q35. Long Term Empty Property Owners Only:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on the local economy would be

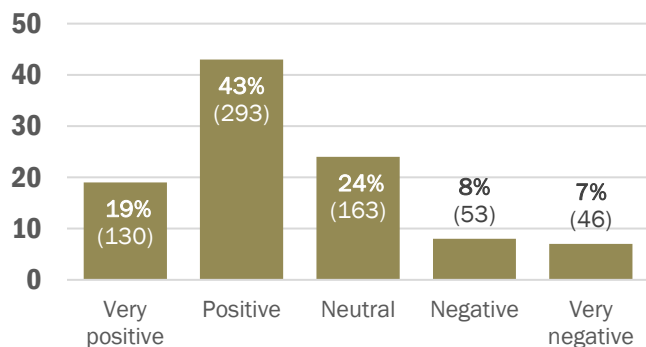
▼ Percentage (and number)





**Q35. Do Not Own a Long-Term Property:** If the level of the Council Tax Premium on long term empty properties were to be increased, do you think the effect on the local economy would be

▼ Percentage (and number)



**Q36: We welcome any other comments you may have in relation to Council Tax premiums on long term empty properties**

Respondents then had the opportunity to express any further comments in relation to council tax premiums on long-term empty properties that were not covered in the previous questions. A total of 343 responses were received covering a range of different views. The responses were categorised into broad themes to aid the analysis and the most prevalent are shown in the table below.

Theme	Number of mentions
There should be <b>exemptions for certain mitigating circumstances</b> such as going into long-term healthcare, obtaining planning permission, availability of tradespeople for renovation, difficulty selling the property or inheriting a property	46
The <b>reason why are they empty</b> should be explored as there are a variety of different circumstances which could attract a different course of action (e.g. financial constraints, going into hospital or care, or awaiting planning permission)	36
A lot of long-term empty properties require <b>renovation</b> which requires time to complete and bring the property back to a habitable state before they can be rented or sold, and allowance should be made for this	32
<b>General support</b> for raising the Council Tax Premiums	30
Long-term empty properties <b>do not contribute to the local economy</b> and serves no purpose for the local community	29
An increase in council tax premium could have <b>long-term negative consequences</b> such as making it more difficult and longer to bring them back into use, penalising local people renovating, putting off people looking to buy a property that requires work and making it more difficult to sell	25
Long-term empty properties are an <b>eyesore in local communities</b> and sometimes attract vandalism	22
The <b>Council should buy them</b> using compulsory purchase orders if they have been empty for a certain length of time and rent or sell them as affordable housing	15

Encourage and work positively with long-term empty property owners to bring them back into use, possibly through the use of grants	15
More should be done to bring empty properties back into use to create opportunities for local people to remain and live in their local area	13
Raising council tax premiums on long-term empty properties will have no effect particularly in relation to increasing the availability of affordable homes	9

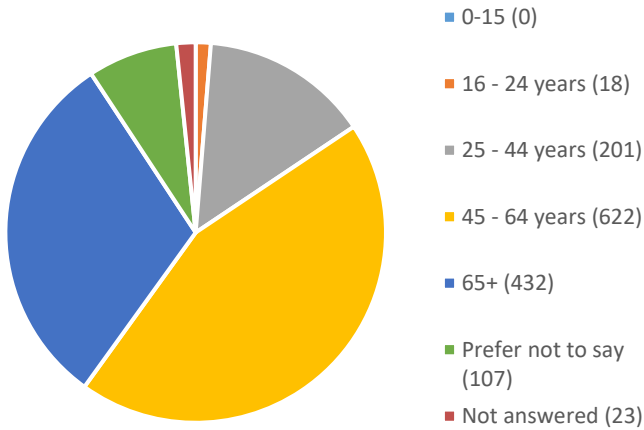
The following table provides a sample of the comments received.

Sample Comments	
<p>"Ceredigion currently has the lowest charging rate across Wales for Second Home and Long-Term Empty Premiums. This should at least be raised in line with other counties, and the Long-Term Empty rates should rise in phases for however long the property has remained empty."</p>	<p>"Again, many reasons for long term empty homes. If the home is empty because the resident has long term healthcare issues there should be exemptions, there should be consideration for mitigating situations."</p>
<p>"Reducing stock of long-term empty properties will no doubt have a positive effect on the local community and economy. However, it's possible a lot of the stock will be unaffordable housing, nevertheless these properties would eventually be bought for all sorts of different reasons, perhaps converted to HMOs providing valuable accommodation for those in need or supplementing stock for the furnished holiday let sector, which in turn would have a positive effect on tourism, the local communities and economy."</p>	<p>"Ceredigion needs outside investment. Making it harder for people to invest in the area means less tourism. That means less money in the local area which in turn means lower incomes in the area. All of this makes it harder for people to buy homes, not easier. Taxing the people that are propping up an otherwise economically underperforming area is not a good way to grow the economy. We need this money here, we should not be driving people with money away from the area but encouraging their investment."</p>
<p>"The empty homeowners should pay a 100% increase and second homeowners a 50% increase as second homeowners do contribute to the economy of the area while empty homes do nothing for the local economy. If the property is derelict/run down, then this has a negative impact on the area. Increasing council tax by 100% for empty homeowners would hopefully focus their minds and look at their options to sell, improve the property or make it available to rent so helping the local housing market."</p>	<p>"Properties seem to remain empty for a range of different reasons so it is difficult to say (above) what impact council tax premiums might have in practical terms. The most important factor in improving housing and community life is the availability of meaningful work that provides lifelong career prospects. It is very difficult to find roles and develop careers in Wales, much as those of us who were born here have tried to do. Retirement is a route home that I look forward to."</p>

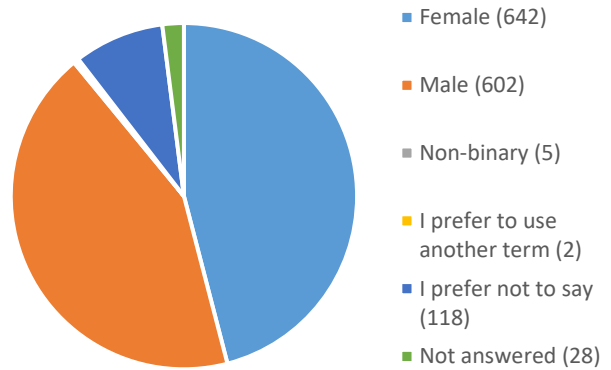
# Equality and Diversity Information

The Council's standard demographic and equalities monitoring questions were asked as part of the survey.

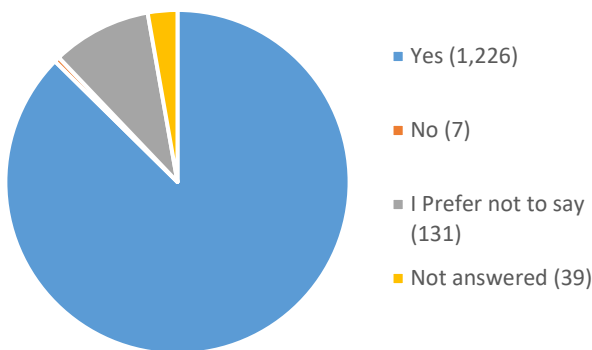
## 37. What is your age group?



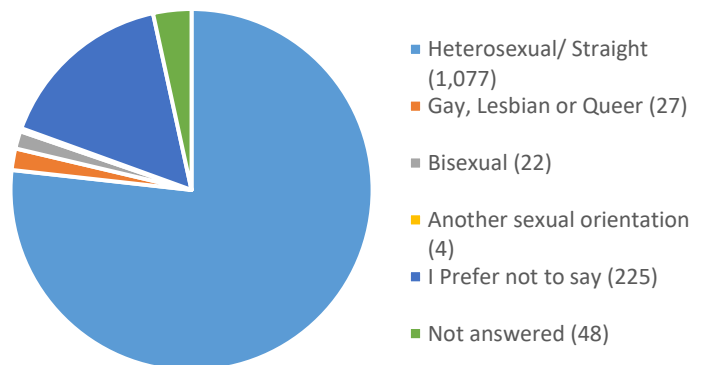
## 38. What is your gender?



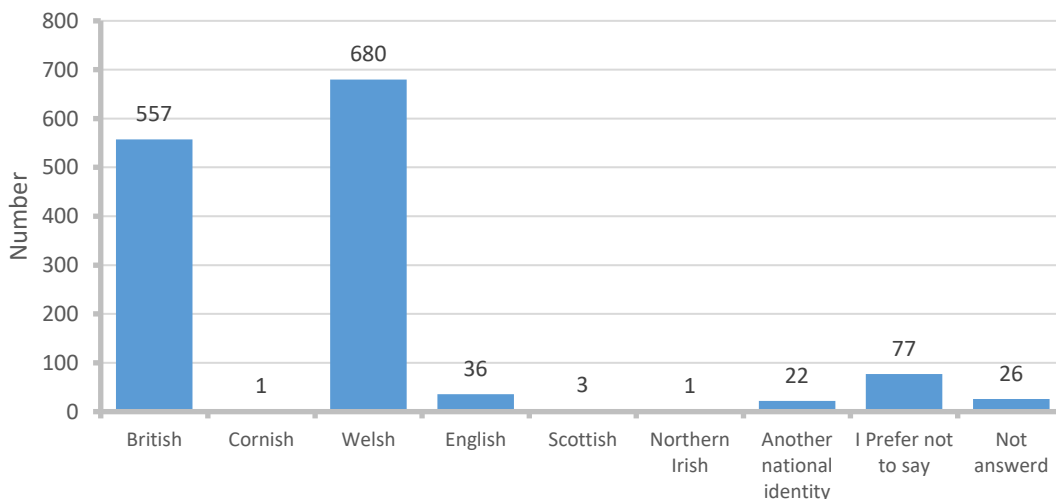
## 39. Is your gender the same as when it was assigned at birth?



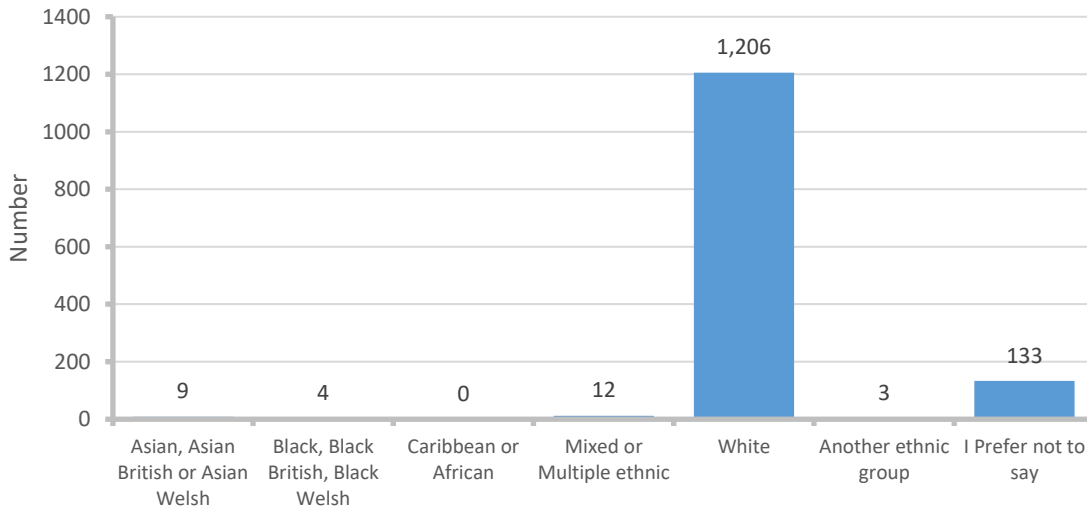
## 40. Which one of the following options best describes how you think of yourself?



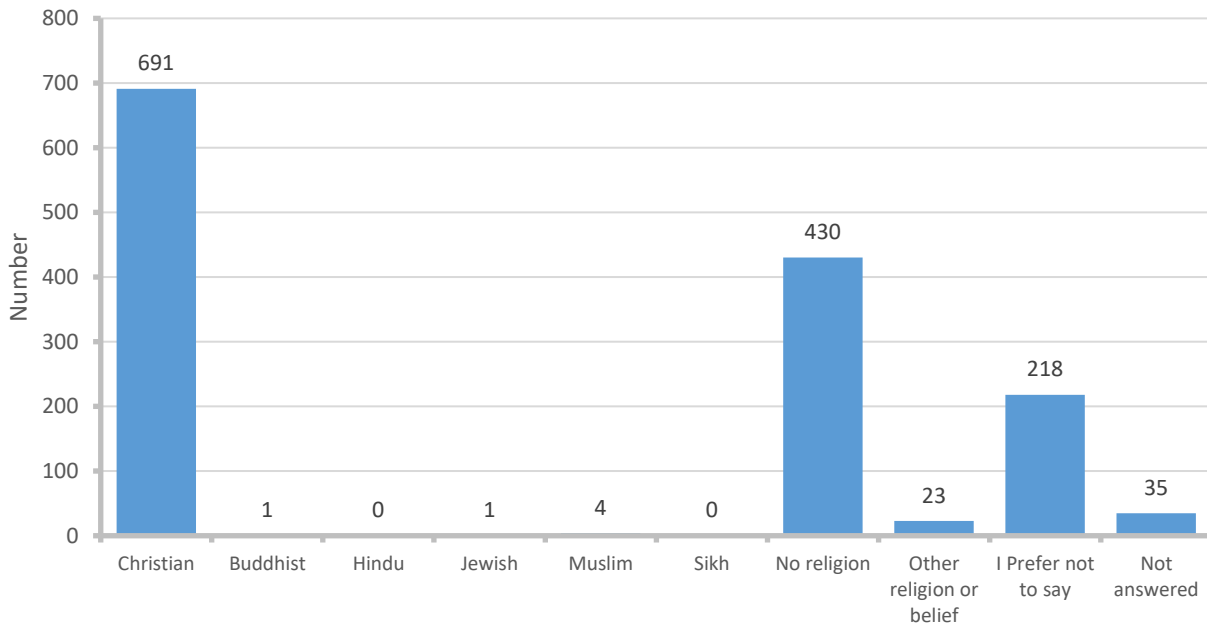
## 41. How would you describe your national identity?



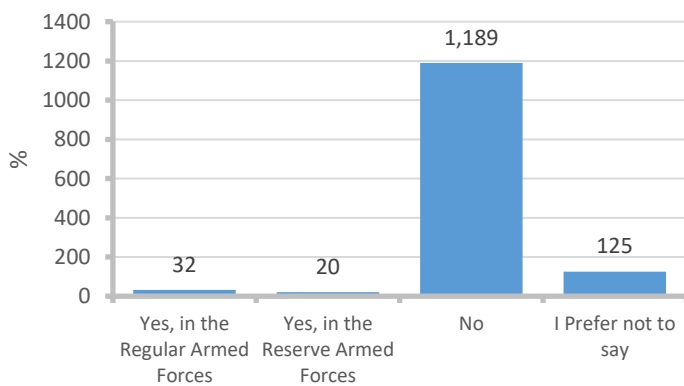
**42. What is your ethnic group? Choose one option that best describes your ethnic group or background.**



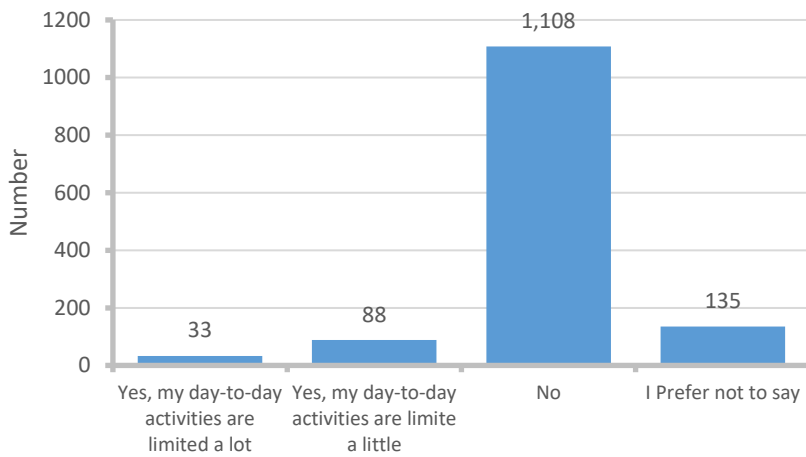
**43. What is your religion?**



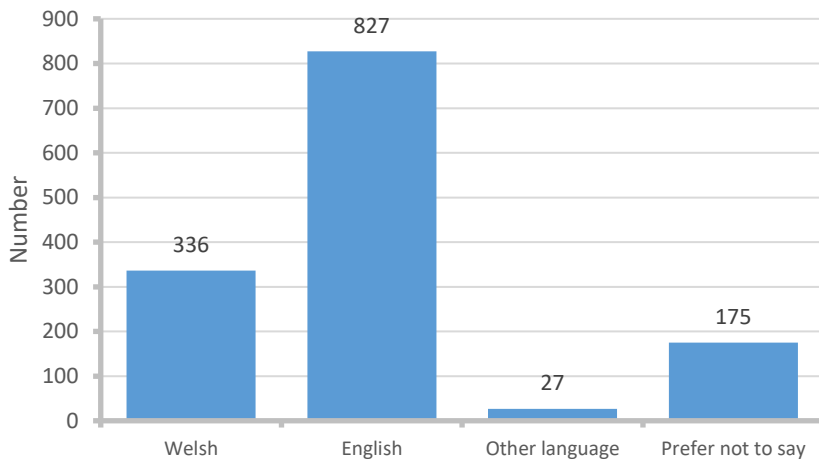
**44. Have you previously served in the UK Armed Forces? (current serving members should tick 'no')**



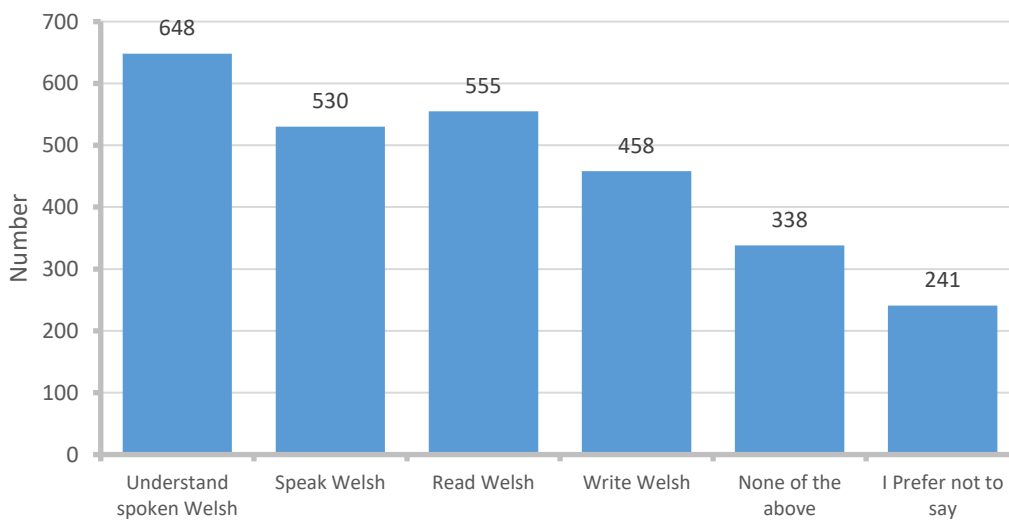
**45. Do have a long term physical or mental health condition or illness that reduces your ability to carry out day-to-day activities?**



**46. What is your preferred language?**



**47. Can you understand, speak, read or write Welsh?**



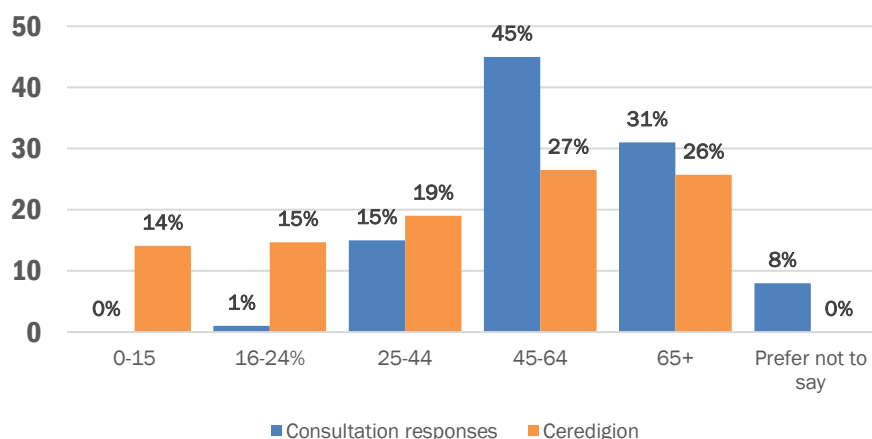
## Notes About Representation of the Responses

### Age

The largest proportion of respondents to the consultation were **aged 45 to 64** (622 or 45%). This is much higher than the proportion of the whole population aged 45 to 64 which is 27%, although this is likely driven, at least in part, by the demographics of second homeowners and long-term empty property owners. Council consultations also tend to produce a higher proportion of responses from older age groups.

### Consultation responses compared to Ceredigion's population: age

▼ Percentage



### Sex

There was a broadly even split between **male (43%)** and **female (46%)** respondents. In previous consultations, responses from females have been noticeably higher than males, but in this survey, they are more evenly balanced.

### Disability

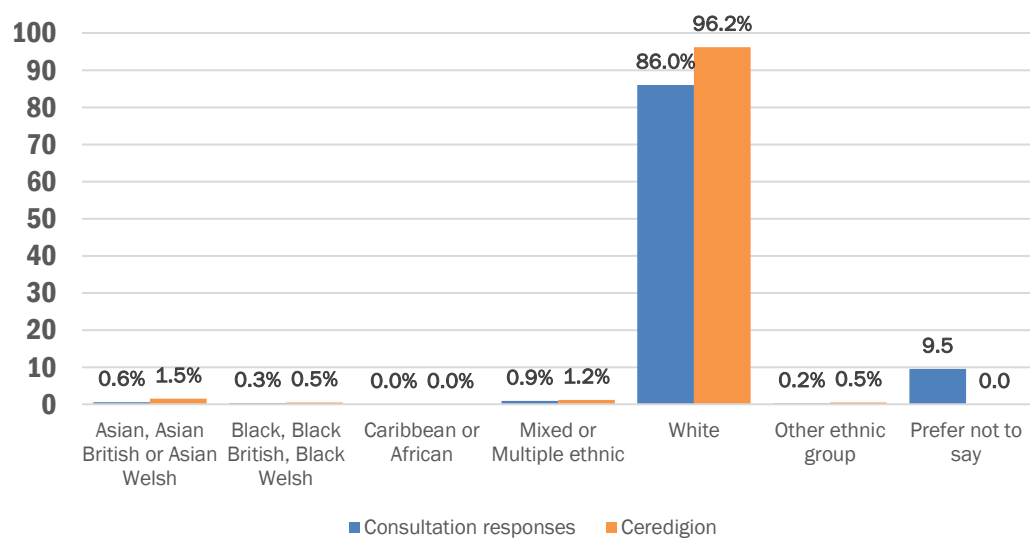
121 respondents (9%) noted that they had a long-term health problem or disability that limited their day-to-day activities **a little or a lot**. This is much lower than the 22% across Ceredigion as a whole.

### Ethnicity

The overwhelming majority (86.0%) of respondents to the consultation described their ethnic group as white. However, this is lower than the proportion of the white population across Ceredigion as a whole which is 96.2% according to the most recent census. Other ethnic groups including Asian, Black and Mixed accounted for a slightly higher proportion of respondents. There were a further 9.5% who did not state their ethnicity.

## Consultation responses compared to Ceredigion's population: ethnicity

▼ Percentage

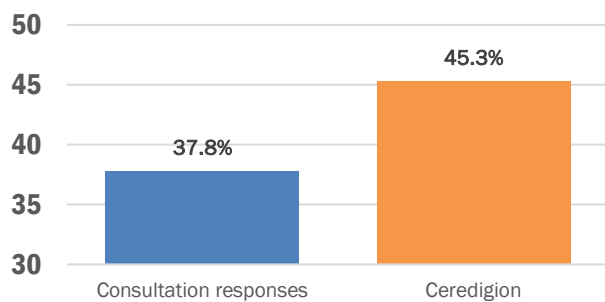


## Welsh Language

38% of respondents to the consultation stated that they could speak Welsh. According to the latest Census, 45.3% of the population of Ceredigion over the age of 3 can speak Welsh.

## Consultation responses compared to Ceredigion's population: can speak Welsh

▼ Percentage







# INTEGRATED IMPACT ASSESSMENT

## Proposal Details

<b>Title of Policy / Proposal / Initiative</b>	
Council Tax Premiums applicable to Long Term Empty Properties and Second Homes in Ceredigion.	
<b>Service Area</b>	<b>Officer completing IIA</b>
Finance and Procurement	Ann Ireland
<b>Corporate Lead Officer</b>	<b>Strategic Director</b>
Duncan Hall	Barry Rees
<b>Please give a brief description of the purpose of the proposal</b>	
To consider the matter of Council Tax Premiums applicable to Long Term Empty Properties and Second Homes in Ceredigion	
<b>Who will be directly affected by this proposal? <a href="#">HINT</a></b>	
Owners of Long Term Empty Properties and Second Homes in Ceredigion	
<b>Have those who will be affected by the proposal had the opportunity to comment on it?</b>	
<p>Yes. All property owners of Long Term Empty properties and Second Homes paying the current 25% Council Tax premiums were notified of the consultation.</p> <p>The Consultation was available on the Council's website with paper copies, easy read and large print versions also available in all Ceredigion Libraries (including mobile library vans) and Leisure Centres. The consultation was also promoted widely through the press and social media.</p>	

## Version Control

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

Version Number	Author	Decision making stage <a href="#">HINT</a>	Date Considered	Description of any amendments made <a href="#">HINT</a>
1	Ann Ireland	Cabinet	27.11.2023	

## Council Corporate Well-being Objectives

Which of the Council's Corporate Well-being Objectives does this proposal address and how? Click here to read a summary of our [Corporate Strategy 2022-27](#)

<b>Boosting the economy, supporting business, and enabling employment.</b>	Having properties in full time use, rather than Long Term Empty or Second Homes that are periodically used, would provide a more consistent positive impact on local supply chains, as they are more likely to contribute to the local economy. However some owners of Second Homes do reference the level of capital investment and ongoing benefit they provide to the local economy.
<b>Creating caring and healthy communities</b>	Adequate provision and availability of housing directly supports individuals and families in our communities who need a home. Good quality housing is an essential factor for an individual's health and wellbeing.
<b>Providing the best start in life and enabling learning at all ages</b>	N/A
<b>Creating sustainable, greener, and well-connected communities</b>	Addressing the issues of second homes, holiday homes ownership and the conversion of residential properties to holiday lets is a key priority within the strategy and increasing the supply and range of options for affordable housing in Ceredigion.  Bringing Long Term Empty properties back into use to provide safe, secure and affordable homes and to aim to increase the supply of affordable housing and to enhance the sustainability of local communities in Ceredigion.

## National Well-being Goal: A Prosperous Wales

**An innovative, productive, and low carbon society where everyone has decent work and there is no poverty.**

Click [here](#) for information about a prosperous Wales.

**Does the proposal contribute to this goal? Describe the positive or negative impacts. (Click [here](#) for information)**

The aim of the proposals is to address the demand for housing in the county. Having more available housing would encourage local residents and talent to stay in Ceredigion and contribute to future prosperity

**What evidence do you have to support this view?**

Local Housing Strategy – 2023-2028

Future monitoring of the impact of this proposal will determine if more housing becomes available.

**What action(s) can you take to mitigate any negative impacts or better contribute to this National Well-being Goal?**

## National Well-being Goal: A Resilient Wales

**A society where biodiversity is maintained and enhanced and where ecosystems are healthy and functioning.**

Click [here](#) for information about a resilient Wales.

**Does the proposal contribute to this goal? Describe the positive or negative impacts. (Click [here](#) for information)**

There could be a positive impact on Biodiversity and ecology.

**What evidence do you have to support this view?**

Bringing existing properties back into full time use instead of building new developments on land that could otherwise be used to promote biodiversity and protect ecology.

**What action(s) can you take to mitigate any negative impacts or better contribute to this National Well-being Goal?**

## National Well-being Goal: A Healthier Wales

**A society where people make healthy choices and enjoy good physical and mental health.**

Click [here](#) for information about a healthier Wales.

**Does the proposal contribute to this goal? Describe the positive or negative impacts.** (Click [here](#) for information)

Adequate provision and availability of housing directly supports individuals and families in our communities who need a home.

**What evidence do you have to support this view?**

Good quality housing is an essential factor for an individual's health and wellbeing.

**What action(s) can you take to mitigate any negative impacts or better contribute to this National Well-being Goal?**

## National Well-being Goal: A More Equal Wales

**A society where everyone has an equal chance whatever their background or circumstances.**

This section is longer because you are asked to assess the impact of your proposal on each group that is protected by the **Equality Act 2010**.

Click [here](#) for information about equality in Wales.

**Do you think this proposal will have a positive or a negative impact on people because of their age?** (Click [here](#) for information)

<b>Children and Young People up to 18</b>	None / Negligible
-------------------------------------------	-------------------

<b>People 18-50</b>	None / Negligible
---------------------	-------------------

<b>Older people 50+</b>	None / Negligible
-------------------------	-------------------

**Describe the positive or negative impacts.**

This will have a negligible impact.

**What evidence do you have to support this?**

A Council Tax Premium is a charge based on the use of the property i.e. a Long Term Empty or Second Home and **not** its ownership. It will, therefore, not have a negative impact on people because of their age.

**What action(s) can you to take to mitigate any negative impacts?**

**Is there an opportunity to use this proposal to eliminate unlawful discrimination, advance equality of opportunity or encourage good relations between people in this group and the rest of the population?**

N/A

**Do you think this proposal will have a positive or a negative impact on people because of their disability? (Click [here](#) for information)**

<b>Hearing Impairment</b>	None / Negligible
<b>Physical Impairment</b>	None / Negligible
<b>Visual Impairment</b>	None / Negligible
<b>Learning Disability</b>	None / Negligible
<b>Long Standing Illness</b>	None / Negligible
<b>Mental Health</b>	None / Negligible
<b>Other</b>	None / Negligible

**Describe the positive or negative impacts.**

This will have a negligible impact.

**What evidence do you have to support this?**

A Council Tax Premium is a charge based on the use of the property i.e. a Long Term Empty or Second Home and **not** its ownership. It will, therefore, not have a negative impact on people because of their disability.

**What action(s) can you to take to mitigate any negative impacts?**

**Is there an opportunity to use this proposal to eliminate unlawful discrimination, advance equality of opportunity or encourage good relations between people in this group and the rest of the population?**

N/A

**Do you think this proposal will have a positive or a negative impact on people who are transgender? (Click [here](#) for information)**

<b>Trans Women</b>	None / Negligible
<b>Trans Men</b>	None / Negligible
<b>Non-binary people</b>	None / Negligible

**Describe the positive or negative impacts**

This will have a negligible impact.

**What evidence do you have to support this?**

A Council Tax Premium is a charge based on the use of the property i.e. a Long Term Empty or Second Home and **not** its ownership. It will, therefore, not have a negative impact on people who are transgender.

**What action(s) can you to take to mitigate any negative impacts?**

**Is there an opportunity to use this proposal to eliminate unlawful discrimination, advance equality of opportunity or encourage good relations between people in this group and the rest of the population?**

N/A

**Do you think this proposal will have a positive or a negative impact on people with different sexual orientation? (Click [here](#) for information)**

<b>Bisexual</b>	None / Negligible
<b>Gay Men</b>	None / Negligible
<b>Gay Women/Lesbian</b>	None / Negligible
<b>Heterosexual/Straight</b>	None / Negligible

**Describe the positive or negative impacts**

This will have a negligible impact.

**What evidence do you have to support this?**

A Council Tax Premium is a charge based on the use of the property i.e. a Long Term Empty or Second Home and **not** its ownership. It will, therefore, not have a negative impact on people with different sexual orientation.

**What action(s) can you to take to mitigate any negative impacts?**

**Is there an opportunity to use this proposal to eliminate unlawful discrimination, advance equality of opportunity or encourage good relations between people in this group and the rest of the population?**

N/A

**Do you think this proposal will have a positive or a negative impact on people who are married or in a civil partnership? (Click [here](#) for information)**

**People who are married**

None / Negligible

**People in a civil partnership**

None / Negligible

**Describe the positive or negative impacts**

This will have a negligible impact.

**What evidence do you have to support this?**

A Council Tax Premium is a charge based on the use of the property i.e. a Long Term Empty or Second Home and **not** its ownership. It will, therefore, not have a negative impact on people who are married or in a civil partnership.

**What action(s) can you to take to mitigate any negative impacts?**

**Is there an opportunity to use this proposal to eliminate unlawful discrimination, advance equality of opportunity or encourage good relations between people in this group and the rest of the population?**

N/A

**Do you think this proposal will have a positive or a negative impact on people who are pregnant or on maternity leave? (Click [here](#) for information)**

**Pregnancy**

None / Negligible

**Maternity**

None / Negligible

**Describe the positive or negative impacts**

This will have a negligible impact.

**What evidence do you have to support this?**



A Council Tax Premium is a charge based on the use of the property i.e. a Long Term Empty or Second Home and **not** its ownership. It will, therefore, not have a negative impact on people who are pregnant or on maternity leave.

**What action(s) can you take to mitigate any negative impacts or better contribute to positive impacts?**

N/A

**Do you think this proposal will have a positive or a negative impact on people because of their ethnic origin? (Click [here](#) for information)**

**Asian / Asian British**

None / Negligible

**Black / African / Caribbean / Black British**

None / Negligible

**Mixed / Multiple Ethnic Groups**

None / Negligible

**White**

None / Negligible

**Other Ethnic Groups**

None / Negligible

**Describe the positive or negative impacts**

This will have a negligible impact.

**What evidence do you have to support this?**

A Council Tax Premium is a charge based on the use of the property i.e. a Long Term Empty or Second Home and **not** its ownership. It will, therefore, not have a negative impact on people because of their ethnic origin.

**What action(s) can you take to mitigate any negative impacts?**

**Is there an opportunity to use this proposal to eliminate unlawful discrimination, advance equality of opportunity or encourage good relations between people in this group and the rest of the population?**

N/A

**Do you think this proposal will have a positive or a negative impact on people with different religions, beliefs, or non-beliefs? (Click [here](#) for information)**

**Buddhist**

None / Negligible

<b>Christian</b>	None / Negligible
<b>Hindu</b>	None / Negligible
<b>Humanist</b>	None / Negligible
<b>Jewish</b>	None / Negligible
<b>Muslim</b>	None / Negligible
<b>Sikh</b>	None / Negligible
<b>Non-belief</b>	None / Negligible
<b>Other</b>	None / Negligible
<b>Describe the positive or negative impacts</b>	
This will have a negligible impact.	
<b>What evidence do you have to support this?</b>	
A Council Tax Premium is a charge based on the use of the property i.e. a Long Term Empty or Second Home and <b>not</b> its ownership. It will, therefore, not have a negative impact on people with different religions, beliefs, or non-beliefs.	
<b>What action(s) can you take to mitigate any negative impacts?</b>	
<b>Is there an opportunity to use this proposal to eliminate unlawful discrimination, advance equality of opportunity or encourage good relations between people in this group and the rest of the population?</b>	
N/A	

<b>Do you think this proposal will have a positive or a negative impact on men or women? (Click <a href="#">here</a> for information)</b>	
<b>Men</b>	None / Negligible
<b>Women</b>	None / Negligible
<b>Describe the positive or negative impacts</b>	
This will have a negligible impact.	
<b>What evidence do you have to support this?</b>	

A Council Tax Premium is a charge based on the use of the property i.e. a Long Term Empty or Second Home and **not** its ownership. It will, therefore, not have a negative impact on men or women.

**What action(s) can you to take to mitigate any negative impacts?**

**Is there an opportunity to use this proposal to eliminate unlawful discrimination, advance equality of opportunity or encourage good relations between men and women?**

N/A

**Do you think this proposal will have a positive or a negative impact on people from the Armed Forces Community? (Click [here](#) for information)**

<b>Members of the Armed Forces</b>	None / Negligible
<b>Veterans</b>	None / Negligible
<b>Spouses</b>	None / Negligible
<b>Children</b>	None / Negligible

**Describe the positive or negative impacts**

This will have a negligible impact.

**What evidence do you have to support this?**

A Council Tax Premium is a charge based on the use of the property i.e. a Long Term Empty or Second Home and **not** its ownership. It will, therefore, not have a negative impact on people from the Armed Forces Community.

**What action(s) can you to take to mitigate any negative impacts?**

N/A

### Socio-economic Duty

Socio-economic disadvantage means living on a low income compared to others in Wales, with little or no accumulated wealth, making it more difficult to access basic goods and services.

Family background or where a person is born still affects their life. For example, a child from a wealthy family often does better at school than a child from a poor family, even if the poorer child is more naturally academic. This is sometimes called socio-economic inequality.

<b>Do you think this proposal will have a positive or a negative impact on people experiencing socio-economic disadvantage?</b>	Positive
<b>Describe the positive or negative impacts</b>	
The proposal has the potential to increase the available housing stock supply for the benefit of those needing housing.	
<b>What evidence do you have to support this?</b>	
The increase in supply may stabilise prices which would be positive for those renting or buying.	
<b>What action(s) can you take to mitigate any negative impacts?</b>	
<b>Is there an opportunity to use this proposal to eliminate unlawful discrimination, advance equality of opportunity or encourage good relations between people in this group and the rest of the population?</b>	

## National Well-being Goal: A Wales of Cohesive Communities

**A society with attractive, viable, safe, and well-connected communities.**

Click [here](#) for information about cohesive communities.

<b>Does the proposal contribute to this goal? Describe the positive or negative impacts. <a href="#">HINT</a></b>
The proposal could have a positive impact by encouraging owners to bring empty properties back into use and help address housing needs.
<b>What evidence do you have to support this view?</b>
Properties that are lived in permanently rather than being left as Long Term Empty or Second Homes will ensure communities remain vibrant.
<b>What action(s) can you take to mitigate any negative impacts or better contribute to the goal?</b>

## National Well-being Goal: A Wales of Vibrant Culture and Thriving Welsh Language

**A society that that promotes and protects culture, heritage, and the Welsh language and which encourages people to take part in the arts, sports, and recreation.**

Click [here](#) for information about culture and the Welsh language

<b>Does the proposal contribute to this goal? Describe the positive or negative impacts.</b>	
Positive - Having more housing available for local people may mean able to retain more Welsh speakers. Having a higher percentage of properties being permanent residences will encourage the uptake, maintenance of the Welsh language in the community. Negative - More housing may become available and prices lower, but this may attract buyers from outside Wales who are less likely to be Welsh speakers.	
<b>What evidence do you have to support this view?</b>	
In coastal communities, such as those in Anglesey and along Cardigan Bay, if the number of second homes was to increase uncontrollably, what is left of the Welsh speaking population locally could be displaced. And there is always a risk that the problem would spread and escalate in nearby communities in the rural heartland which are currently strongholds of the Welsh language, undermining them linguistically.	
<b>What action(s) can you take to mitigate any negative impacts or better contribute to the goal?</b>	
None identified	
<b>With reference to the following, do you think this proposal will have a positive or negative effect on the Welsh language?</b>	
Click <a href="#">here</a> for information	
<b>Opportunities for people to use the Welsh language</b>	Positive
<b>Treating the Welsh language, no less favourably than the English language</b>	None / Negligible
<b>What evidence do you have to support this view?</b>	
Ensuring that there are affordable homes for local people so that they can remain in their communities and sustain the vitality of the language.	
<b>What action(s) can you take to increase the positive impact or mitigate any negative impact on the Welsh language?</b>	
None identified	

## National Well-being Goal: A Globally Responsible Wales

**A society that considers how our actions might impact on other countries and people around the world.**

Click [here](#) for information about global responsibility.

**Does the proposal contribute to this goal? Describe the positive or negative impacts. HINT**

There may be a negative impact here if people decide to holiday abroad rather than come and use their 2nd home. However, there may be a positive impact on local supply chains.

**What evidence do you have to support this view?**

Having properties in full time use, rather than Long Term Empty or Second Homes that are periodically used, would provide a more consistent positive impact on local supply chains, as they are more likely to contribute to the local economy.

**What action(s) can you take to mitigate any negative impacts or better contribute to the goal?**

None identified

## Strengthening the Proposal

If you have identified any negative impacts in the above sections, please provide details of any practical changes and actions that could help remove or reduce the negative impacts.

What will you do?	When?	Who is responsible?	Progress

**If no action is to be taken to remove or mitigate negative impacts, please justify why. (If you have identified any unlawful discrimination then the proposal must be changed or revised.)**

<b>How will you monitor the impact and effectiveness of the proposal?</b>

## Sustainable Development Principle: 5 Ways of Working

Describe below how you have implemented the five ways of working in accordance with the sustainable development principle of the Well-being of Future Generations (Wales) Act 2015

<p><b>Long term</b> Balancing short-term needs with long-term need and planning for the future.</p> <p><u>HINT</u></p>	<p>Long term is to improve affordability and availability of housing and lessen some of the impacts Second Homes and Long Term Empty properties can have on local communities.</p>
<p><b>Collaboration</b> Working together with other partners to deliver.</p> <p><u>HINT</u></p>	<p>The proposal is part of a Welsh Government approach to address the housing shortage. All Local Authorities have the opportunity to use these powers.</p>
<p><b>Involvement</b> Involving those with an interest and seeking their views.</p> <p><u>HINT</u></p>	<p>A 6-week public consultation was held between 18.09.23 and 29.10.23 to consult with residents and other stakeholders on what level of Council Tax Premiums should be charged on Long Term Empty Properties and Second Homes in Ceredigion. The consultation was promoted widely through the press and social media and all property owners paying the current 25% Council Tax premium were notified of the consultation. The views expressed were noted and considered as part of the decision making.</p>
<p><b>Prevention</b> Putting resources into preventing problems occurring or getting worse.</p> <p><u>HINT</u></p>	<p>Addressing the issues of second homes, holiday homes ownership and the conversion of residential properties to holiday lets is a key priority within the Council's approved 2022-2027 Corporate Strategy. This and increasing the supply and range of options for affordable housing in Ceredigion forms a key part of the Corporate Wellbeing Objective - 'Creating Sustainable, Green and Well-connected Communities'.</p> <p>Ceredigion's aspirations and policy objectives sit alongside WG's policy intention with the Council Tax</p>






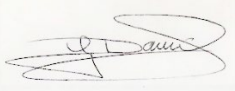
	(Long-term Empty Dwellings and Dwellings Occupied Periodically) (Wales) Regulations 2022 legislation to aim to bring Long Term Empty Properties back into use and to increase the supply of affordable housing and to enhance the sustainability of local communities.
<p><b>Integration</b> Considering the impact of your proposal on the four pillars of well-being (social, economic, cultural and environment) the objectives of other public bodies and across service areas in the Council.</p> <p><u>HINT</u></p>	Welsh Government legislation aims to help Local Authorities address the demand for affordable housing. The proposals are very much in line with our Corporate Strategy. By potentially bringing more properties back into full time use we expect to see a positive impact on local economies including the Welsh language and so supporting a sustainable and prosperous Ceredigion.

## Risk

Summarise the risk associated with the proposal.

	1	2	3	4	5
Impact Criteria	Very Low	Low	Medium	High	Very High
Likelihood Criteria	Unlikely to occur	Lower than average chance of occurring	Even chance of occurring	Higher than average chance of occurring	Expected to occur
<b>Risk Description</b>	<b>Impact</b>	<b>Probability</b>	<b>Score (Impact x Likelihood)</b>		
Fraud and Avoidance	3	3	9		
Impact on Property Market	3	3	9		
Reputational damage to the Council	3	3	9		

## Sign Off

Position	Name	Signature	Date
Corporate Manager	Ann Ireland		27/11/2023
Corporate Lead Officer	Duncan Hall		27/11/2023
Corporate Director	Barry Rees		27/11/2023
Portfolio Holder	Gareth Davies		27/11/2023

1

---

<sup>1</sup> Last updated 20/10/2023

Document is Restricted

This page is intentionally left blank

Document is Restricted

This page is intentionally left blank

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14 December 2023

**Title:** Approval of Teacher Pay Policies 2023/24

**Purpose of the report:** To approve the model Teachers' Pay Policy and to commend to School Governing Bodies within Ceredigion for adoption.

To gain approval of the model Unattached Teacher Pay Policy for centrally employed teachers

**For:** Decision

**Cabinet Portfolio and Cabinet Member:**

Councillor Gareth Davies, Cabinet Member for Finance and Procurement Services

### **Introduction**

The School Teachers' Pay and Conditions (Wales) Document 2023 was published on 5 October 2023 and confirms the teachers' pay arrangements in Wales for 2023/24. The statutory elements of the Document that are required to be implemented are as follows:

- A 5% uplift has been applied to all statutory scale points and allowances.
- All pay lifts will be payable from 1 September 2023.

The Model Pay Policy, which applies to school-based teachers, and the Model Unattached Teacher Pay Policy, which applies to centrally employed teachers, reflect these changes and adopt the requirements of the School Teachers' Pay and Conditions (Wales) Document 2023.

Both Pay Policies have been the subject of consultation with the teaching trade unions on a local basis.

### **Wellbeing of Future Generations:**

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

No, set by statutory guidance and legislation.

### **Summary of Integrated Impact Assessment:**

**Long term:**



**Collaboration:**  
**Involvement:**  
**Prevention:**  
**Integration:**

**Recommendation(s):**

To approve:

1. The Model School Pay Policy 2023/24 and to commend to Governing Bodies for adoption within schools in Ceredigion
2. The Model Unattached Teacher Pay Policy 2023/24 for centrally employed teachers

**Reasons for decision:**

To ensure compliance with the School Teachers' Pay and Conditions (Wales) Document 2023 and consistency across schools in Ceredigion.

**Overview and Scrutiny:**

Not considered

**Policy Framework:**

The School Teachers Pay & Conditions (Wales) Document (STPC(W)D) requires all schools to approve a Pay Policy. The pay policy is an updated version for commending to Governing Bodies that complies with the STPC(W)D 2023

**Corporate Well-being Objectives:**

- Boosting the economy, supporting businesses and enabling employment
- Creating caring and healthy communities
- Providing the best start in life and enabling learning at all ages
- Creating sustainable, green and well-connected communities

**Finance and Procurement implications:**

Delegated budget in schools

**Legal Implications:**

None

**Staffing implications:**

None

**Property / asset implications:**

None

**Risk(s):**

Risk of non-compliance with School Teachers Pay & Conditions (Wales) Document

**Statutory Powers:**

School Teachers Pay & Conditions (Wales) Document 2023

**Background Papers:**

**Appendices:**

Model Teachers' Pay Policy 2023/24

Model Unattached Teachers' Pay Policy 2023/24

**Corporate Lead Officer:**

Geraint Edwards, Corporate Lead Officer – People & Organisation

**Reporting Officer:**

Geraint Edwards

**Date:**

01/12/2023

This page is intentionally left blank



**Cyngor Sir CEREDIGION County Council**

**Model  
Teachers' Pay Policy**

**2023/2024**



<b>DOCUMENT CONTROL</b>	
<b>Policy Name</b>	Teachers' Pay Policy 2023/24
<b>Department</b>	People and Organisation
<b>Reviewing Officers</b>	HR Officers
<b>CONSULTATION PROCESS</b>	
<p>The following Trade Unions have been consulted in respect of this Policy:</p> <ul style="list-style-type: none"><li>• ASCL</li><li>• NAHT</li><li>• NASUWT</li><li>• NEU</li><li>• UCAC</li></ul>	

## MODEL TEACHERS' PAY POLICY 2023/24

The Governing Body of \_\_\_\_\_ School  
formally adopted this Policy on \_\_\_\_\_ .

### TABLE OF CONTENTS

1.	Introduction	4
2.	Statement of Intent	4
3.	Equalities	4
4.	Job Descriptions	5
5.	Appraisal	5
6.	Governing Body's Obligations	5
7.	Headteacher's Obligations	5
8.	Teachers' Obligations	6
9.	Differentials	6
10.	Safeguarding	6
11.	Capability and Pay Progression	6
12.	Pay Determination	7
13.	Headteacher Pay	7
14.	Deputy / Assistant Headteacher Pay	8
15.	Pay Progression for Leadership Group Members	9
16.	Classroom Teacher Pay	10
17.	Applications to be paid on the Upper Pay Range	12
18.	Leading Practitioner Role	14
19.	Unqualified Teachers	15
20.	Discretionary Allowances and Payments	16
21.	Part-Time Teachers' Pay and Time Calculations	19
22.	Teachers Employed on a Short Notice Basis (Supply)	19
Appendix 1:	2023/24 Pay Ranges	20
Appendix 2:	Annual Teachers' Pay Review Statement	24
Appendix 3:	Upper Pay Range Progression Criteria	25
Appendix 4:	Upper Pay Range Application Form	26
Appendix 5:	Flowchart of Pay Review Process	27
Appendix 6:	Leadership Group Salaries Guidance	28
Appendix 7:	Leadership Group Annual Review Form	36
Appendix 8:	Pay Appeals Process	37
Appendix 9:	Part-Time Teachers' Pay and Time Calculations	40
Appendix 10:	School Staffing Structure	41

**1. INTRODUCTION**

- 1.1. This Pay Policy provides a framework for making decisions on Teachers' pay. It has been developed to comply with the requirements of the School Teachers Pay and Conditions (Wales) Document (STPC(W)D) and has been subject to consultation with all recognised Teaching Associations.
- 1.2. This pay policy only applies to those directly employed by Local Authorities and does not apply to anyone employed via an agency.

**2. STATEMENT OF INTENT**

- 2.1. The primary statutory duty of Governing Bodies in Wales, as set out in paragraph 21(2) of the Education Act 2002 is to '...conduct the school with a view to promoting high standards of educational achievement at the school'. This Policy intends to support that statutory duty.
- 2.2. The procedures for determining pay in this School will be consistent with the principles of public life: objectivity, openness and accountability.
- 2.3. The Governing Body will act with integrity, confidentiality, objectivity and honesty in the best interest of the School in relation to the operation of this Policy.
- 2.4. The Governing Body will be open about pay decisions made and actions taken, and will be prepared to explain decisions and actions to the interested persons.
- 2.5. Any future revisions to this policy will comply with the STPC(W)D and will be subject to consultation with relevant parties, including recognised trade unions.

**3. EQUALITIES**

- 3.1. The School is committed to ensuring equality in everything that we do. The Equality Act 2010 has replaced and strengthened previous equality legislation. The Governing Body will comply with all relevant equalities legislation.
- 3.2. This Policy will be applied consistently to all employees irrespective of age, disability, race, gender (sex), gender reassignment, marriage / civil partnership, pregnancy / maternity, religion, belief and sexual orientation.
- 3.3. The Governing Body will promote equality in all aspects of school life, particularly in relation to all decisions on the advertising of posts, appointing, promoting and paying staff, training and staff development.
- 3.4. The Governing Body will ensure that pay processes are transparent and fair. All decisions made will be objectively justified and recorded. Reasonable adjustments will be made on a case-by-case basis to take account of individuals' circumstances such as long-term absence on the grounds of maternity or ill-health including any Covid related absences.



**4. JOB DESCRIPTIONS**

- 4.1. The Headteacher will ensure that each member of staff is provided with a job description in accordance with the School's staffing structure (**see Appendix 10**), as agreed by the Governing Body.

**5. APPRAISALS**

- 5.1. The Governing Body will comply with the School Teacher Appraisal (Wales) Regulations 2011 concerning the appraisal of Headteachers and Teachers through the application of the School's Performance Management Policy.

**6. GOVERNING BODY'S OBLIGATIONS**

- 6.1. The Governing Body will:
- fulfil its obligations as set out in the STPC(W)D and the Conditions of Service for School Teachers in England and Wales (the 'Burgundy Book');
  - establish a Pay Committee and Pay Appeals Committee;
  - determine relevant pay decisions, taking account of recommendations from the Headteacher;
  - ensure that it makes funds available to support pay decisions, in accordance with this Pay Policy and the School's spending plan;
  - ensure that Teachers, via the Headteacher, are informed about pay decisions which affect them, and that records are kept of recommendations and decisions made; and
  - monitor, on an annual basis, the outcomes of pay decisions, including the extent to which different groups of Teachers may progress at different rates. The outcome of the review will be shared with school-level trade union representatives.

**7. HEADTEACHER'S OBLIGATIONS**

- 7.1. The Headteacher will:
- ensure that appraisers (where not the Headteacher) provide accurate, relevant, complete and timely information about pay recommendations;
  - moderate performance assessments and initial pay recommendations to ensure consistency and fairness;
  - submit relevant pay recommendations to the Pay Committee and ensure the Pay Committee has relevant information upon which to make pay decisions;

- inform Teachers about the School's Pay Policy and ensure its accessibility;
- notify payroll and/or HR staff within the Local Authority about pay decisions to be implemented; and
- ensure that a report on the operation of the Pay Policy is presented to the Governing Body and the relevant Trade Unions on an annual basis.

### **8. TEACHERS' OBLIGATIONS**

#### 8.1. Teachers will:

- familiarise themselves with the provisions of this Pay Policy, the STPC(W)D, the relevant professional standards and all relevant school employment policies; and
- engage positively with the processes set out in this Policy.

### **9. DIFFERENTIALS**

- 9.1. Within the framework of the STPC(W)D, appropriate differentials will be created and maintained between posts within the School, recognising accountability and job weight, and the Governing Body's need to recruit and retain sufficient Teachers of the required quality at all levels.

### **10. SAFEGUARDING**

- 10.1. Where a pay determination leads, or may lead, to the start of a period of safeguarding, the Governing Body will comply with the relevant provisions of the STPC(W)D and will give the required notification as soon as possible and within no later than one month after the determination.

### **11. CAPABILITY AND PAY PROGRESSION**

- 11.1. Where the Teacher is subject to the formal stages of the School's Capability Procedure, the School's performance management processes will be suspended in relation to the Teacher concerned until the Capability Procedure has been concluded.
- 11.2. On conclusion of the Capability Procedure, the Teacher will resume performance management processes in accordance with the School's Policy.
- 11.3. Pay progression will not be permissible in accordance with this Pay Policy while a Teacher is subject to the formal stages of the School's Capability Procedure.
- 11.4. On conclusion of the Capability Procedure, the Teacher would re-enter the Performance Management cycle.

11.5. Pay progression will not be applied retrospectively in any case of formal capability.

## **12. PAY DETERMINATION**

12.1. The Governing Body has delegated its pay determination powers to the Pay Committee.

### **12.2. Annual Determination of Pay**

12.2.1. All teaching staff salaries, including those of the leadership group, will be reviewed annually to take effect from 1<sup>st</sup> September. The Governing Body will conclude Teachers' annual appraisals, and assessments of applications to progress to the Upper Pay Range, by 31<sup>st</sup> October; the Headteacher's annual appraisals will be concluded by 31<sup>st</sup> December.

12.2.2. Reviews may take place at other times of the year to reflect, for example, any changes in circumstances, changes in a job description that lead to a change in the basis for calculating an individual's pay.

12.2.3. The Governing Body will apply any future national pay awards as specified by the STPC(W)D.

### **12.3. Notification of Pay Determination**

12.3.1. A written statement will be given to each Teacher setting out the pay and any other financial benefits to which they are entitled following a determination. Where applicable, this will include information about the basis on which it was made. This will be done by 31<sup>st</sup> October for Teachers, 31<sup>st</sup> December for Headteachers, or by no later than one month following the determination.

### **12.4. Appeals Procedure**

12.4.1. The Governing Body has an appeals procedure in relation to pay. This is set out in **Appendix 8** of this Pay Policy.

## **13. HEADTEACHER PAY**

13.1. The Governing Body will ensure that the process of determining the remuneration of the Headteacher is fair and transparent.

13.2. The Governing Body will assign a seven-point leadership pay range which can be reviewed as necessary for the Headteacher based on the school group size and any permanent additional relevant factors as determined within the framework of the STPC(W)D (specifically paragraphs 9.2, 9.3 and 9.4).

13.3. Additional factors to be taken into account will include all permanent responsibilities of the post, challenges specific to the role and all other relevant considerations, alongside any factors relating to recruitment and retention.

- 13.4. The Governing Body may re-determine the Headteacher's pay range if it becomes necessary to change the Headteacher group (including where the Headteacher becomes responsible and accountable for more than one school in a federation on a permanent basis). The Headteacher's pay range may also be reviewed at any time if it considers it necessary to reflect a significant change in the responsibilities of the post.
- 13.5. Payments in respect of temporary responsibilities for the Headteacher will not be included in the pay range but will be determined in accordance with the STPC(W)D as explained in **Appendix 6**.
- 13.6. In this School, the Governing Body will apply discretionary reference pay points for leadership pay as indicated in **Appendix 1** and has agreed a seven step pay range of Lxxx to Lxxx (*details to be inserted here by the school*).
- 13.7. **Pay on Appointment**
- 13.7.1. For new appointments, the Governing Body will determine the leadership pay range to be advertised and will agree the starting pay on appointment, taking account of the full role of the Headteacher and the provisions of the STPC(W)D.
- 13.7.2. The Governing Body will adopt a three-stage process when setting the pay for new Headteacher appointments as set out in **Appendix 6**.
- 13.7.3. The Pay Committee will review the School's Headteacher group and the Headteacher's leadership pay range, as necessary, to ensure fair pay relativities within the School.
- 13.7.4. See **Appendix 6** of this Pay Policy for guidelines on leadership pay ranges and **Appendix 7** for the Annual Review Pay Statement.
- 13.8. **Headteachers responsible and accountable for more than one school on a permanent basis**
- 13.8.1. When a Headteacher is appointed to be permanently responsible and accountable for more than one school, the Governing Body should base the determination of the Headteacher group on the total number of pupil units across all schools, which will give a group size for the federation in accordance with **Appendix 6**.
- 13.8.2. Consideration also needs to be given to the remuneration of other Teachers who, as a result of the Headteacher's role, are taking on additional responsibilities. This will be based on any additional responsibilities attached to the post (not the Teacher), which is recorded. An increase in remuneration should only be agreed where the post accrues extra responsibilities as a result of the Headteacher's enlarged role, it is not automatic.
- 14. DEPUTY / ASSISTANT HEADTEACHER PAY**
- 14.1. In this School, the Governing Body will use the discretionary reference pay points for leadership pay as indicated in **Appendix 1**.

## MODEL TEACHERS' PAY POLICY 2023/24

---

- 14.2. The Governing Body will assign a five-point leadership pay range which can be reviewed as necessary for Deputy / Assistant Headteacher posts based on the school group size and any permanent additional relevant factors as determined within the framework of the STPC(W)D.
- 14.3. The range for individual posts will be determined according to the duties and responsibilities of the post and may vary between posts.
- 14.4. In this School, the Deputy Headteacher five-step pay range is Lxx to Lxxx (pay details to be inserted here by the school).
- 14.5. In this School, the Assistant Headteacher five-step pay range is Lxx to Lxxx (pay details to be inserted here by the school).
- 14.6. **Pay on appointment**
- 14.6.1. When a new appointment needs to be made, the Governing Body will determine the leadership pay range for the post to be advertised and will agree the starting pay on appointment.
- 14.6.2. The pay range will be determined in accordance with the STPC(W)D.
- 14.6.3. The Governing Body will adopt the three-stage process when setting the pay for new appointments to the wider leadership team as set out in **Appendix 6**.

## 15. PAY PROGRESSION FOR LEADERSHIP GROUP MEMBERS

- 15.1. The Governing Body must consider annually whether or not to increase the salary of members of the leadership group who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary within the relevant pay range determined in accordance with the STPC(W)D.
- 15.2. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 15.3. Pay progression should be on an annual basis from 1<sup>st</sup> September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 15.4. The Governing Body may award an additional point to any Headteacher, Deputy or Assistant Headteacher whose performance in the previous year was excellent, with particular regard to agreed objectives.

- 15.5. A decision may be made not to award progression where the Headteacher, Deputy or Assistant Headteacher is subject to formal capability proceedings.
- 15.6. The Pay Committee will record its decision regarding pay progression on the Annual Pay Review form contained at **Appendix 7**. A copy of this form will be provided to the member of staff.
- 15.7. Where pay progression is granted, the member of staff's salary will increase with effect from 1<sup>st</sup> September of the current academic year.
- 15.8. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Pay Review form. The member of staff has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.

## **16. CLASSROOM TEACHER PAY**

### **16.1. Pay on Appointment**

- 16.1.1. Advertisements for vacant posts in the School will be considered by the Headteacher [and the (*insert details of committee*) where appropriate]. All posts will be advertised either internally or externally, locally or nationally as appropriate.
- 16.1.2. The advertisement will include details of the pay range and any additional payments or allowances applicable to the post.
- 16.1.3. The Governing Body will determine the starting salary of a vacant classroom Teacher post, in accordance with the Main Pay Range and Upper Pay Range, detailed at **Appendix 1**.
- 16.1.4. The Governing Body will determine the starting salary of a vacant classroom teacher post. The Governing Body is committed to the principle of pay portability for Teachers who are currently paid in accordance with the provisions of the STPC(W)D or STCPD and will apply this principle in practice when making new appointments.
- 16.1.5. When determining the starting pay for an existing classroom Teacher in a Local Authority maintained school or academy in England or in Wales and paid under the STPC(W)D or STCPD, the Governing Body will pay the Teacher on the main pay range or upper pay range at a scale point, which at least maintains the Teacher's previous pay entitlement, plus any pay progression, which they would have received had they remained in their previous post.
- 16.1.6. In addition, if the successful applicant is a Teacher who has had a break in service, then the governing body may determine their scale point based on their previous final salary paid under the STPC(W)D or STCPD including any increment that the teacher would have been entitled to be awarded had they remained in their previous post at the time when the change in employment occurred. Governing Bodies can take into account any relevant experience gained from a teaching role in another

sector in Wales or jurisdiction or a period of employment in relevant sector outside teaching.

- 16.1.7. Pay portability must span a break in teaching service for health and social reasons such as maternity/paternity, medical or family reasons. In a situation where the new employer proposes to take a different view, the grounds for doing so must be non-discriminatory in relation to equality and other relevant legislation.
- 16.1.8. The Governing Body will not restrict the pay range advertised or starting salary and pay progression prospects available for classroom Teacher posts, other than the minimum of the Main Pay Range and the maximum of the Upper Pay Range.
- 16.2. Pay Progression for Existing Main Pay Range Teachers**
- 16.2.1. The Governing Body must consider annually whether or not to increase the salary of Teachers (excluding NQTs undertaking their induction year) who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary within the relevant pay range determined in accordance with the STPC(W)D.
- 16.2.2. Teachers in their induction year will be awarded pay progression on the successful completion of their induction.
- 16.2.3. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 16.2.4. The Governing Body must award a Teacher on scale points M2 to M5 of the Main Pay Scale progression of one point following completion of a year of employment completed as a qualified Teacher during the previous school year, unless the Teacher has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 16.2.5. Pay progression should be on an annual basis from 1<sup>st</sup> September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 16.2.6. The Governing Body may award an additional point to any Main Scale Teacher whose performance in the previous school year was excellent, with particular regard to classroom teaching.
- 16.2.7. A decision may be made not to award progression where the Teacher is subject to formal capability proceedings.



- 16.2.8. The Pay Committee will record its decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of this form will be provided to the Teacher.
- 16.2.9. Where pay progression is granted, the Teacher's salary will be increased with effect from 1<sup>st</sup> September of the current academic year.
- 16.2.10. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.

**16.3. Pay Progression for Existing Upper Pay Range Teachers**

- 16.3.1. The Governing Body must consider annually whether or not to increase the salary of Teachers (excluding NQTs undertaking their induction year) who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary within the relevant pay range determined in accordance with the STPC(W)D.
- 16.3.2. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 16.3.3. Pay progression on the upper scale should be in most cases on a two-yearly basis in line with requirements of paragraph 14 of the STPC(W)D unless capability procedures are underway in respect of that period.
- 16.3.4. The Pay Committee will record its decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of this form will be provided to the Teacher.
- 16.3.5. Where pay progression is granted, the Teacher's salary will be increased with effect from 1<sup>st</sup> September of the current academic year.
- 16.3.6. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.

**17. APPLICATIONS TO BE PAID ON THE UPPER PAY RANGE**

- 17.1. A qualified Teacher may apply once each year to be paid on the Upper Pay Range in accordance with the STPC(W)D and this School's Pay Policy.

## MODEL TEACHERS' PAY POLICY 2023/24

---

- 17.2. It is each Teacher's responsibility to decide whether to submit an application.
- 17.3. In order for the assessment to be robust and transparent, it will be an evidence-based process.
- 17.4. Personal objectives for the forthcoming appraisal cycle will be set, and agreed where possible, at a level which is sufficient to ensure that the criteria included in the STPC(W)D for progression to the Upper Pay Range can be met, including that the Teacher is highly competent in all elements of the relevant standards, and their achievements and contribution to the school are substantial and sustained.
- 17.5. Teachers who have been absent from work for sickness, disability or maternity-related reasons, along with those who are not subject to the Appraisal Regulations 2011 (i.e. a Teacher who is employed on a short-term contract of less than one term), may cite written evidence from a suitable and relevant period before the date of application in support of their application.
- 17.6. **Process**
- 17.6.1. The closing date for an application to be submitted by a Teacher to their appraiser is *(school to insert date here - normally prior to the end of the Summer Term i.e. 31<sup>st</sup> August)*.
- 17.6.2. Exceptions may be made in some specific circumstances, e.g. those Teachers who are on maternity leave or on sick leave as at the closing date for receipt of applications. In such circumstances, the Teacher may request - at least 2 weeks before the specified closing date - an extension of no more than half a term for the submission of an application.
- 17.6.3. The process for applications is:
- Teacher to inform appraiser in writing that they wish to be considered for progression to the Upper Pay Range and that their personal objectives for the forthcoming appraisal period should reflect this request.

Following completion of the relevant appraisal period:

- The appraiser will complete an assessment pro-forma as shown in **Appendix 4**, setting out the appraiser's recommendation in relation to progression to the Upper Pay Range, following completion of the relevant appraisal period.
- The Headteacher will consider the appraiser's recommendation and will make a recommendation to the Pay Committee.
- The Pay Committee will make a decision about pay progression, following receipt of advice from the Headteacher.
- The Teacher will receive written notification of the outcome of their application by 31<sup>st</sup> October in the relevant year.

- Where the application is unsuccessful, the written notification will set out details of the areas of the Teacher's performance which are not considered to have satisfied the relevant criteria set out in this Policy (see "Assessment" below).
- If requested, oral feedback will be provided by the Headteacher. Oral feedback will normally be given within 10 working days of the date of notification of the outcome of the application. Feedback will be given in a positive manner and will include advice and support about areas for improvement in order for the Teacher to meet the relevant criteria.
- Where the application is successful the Teacher will move to step 1 of the Upper Pay Range on 1<sup>st</sup> September in the relevant year i.e. following successful completion of objectives set in academic year to 31<sup>st</sup> August 2023, the Teacher will move to UPS1 on 1<sup>st</sup> September 2023.

17.6.4. Unsuccessful applicants may appeal the decision as outlined in **Appendix 8**.

### 17.7. **Assessment**

17.7.1. An application will only be successful where the Governing Body is satisfied that all of the requirements of the STPC(W)D have been met, including that:

- the Teacher is highly competent in all elements of the relevant standards; and
- the Teacher's achievements and contribution to an educational setting or settings are substantial and sustained.

17.7.2. For the purposes of this Pay Policy, the Pay Committee will be satisfied that the Teacher has met the Governing Body's expectations for progression to the Upper Pay Range where the Upper Pay Range criteria (see **Appendix 3**) have been satisfied as evidenced by a successful appraisal review.

17.7.3. Further information, including details about sources of evidence, is contained in the School's Performance Management Policy.

## 18. **LEADING PRACTITIONER ROLE**

18.1. The Governing Body may establish Leading Practitioner posts for Teachers whose primary purpose is the modelling and leading improvement of teaching skills.

18.2. Where the Governing Body wishes to establish such posts, it will determine the responsibilities and pay range for these posts. Consultation with relevant staff and trade unions will take place in relation to any such proposed changes to the staffing structure.

18.3. The Policy of the Governing Body will be to appoint any new Leading Practitioner Teacher to a 5-point range, as deemed appropriate by the Governing Body.

## MODEL TEACHERS' PAY POLICY 2023/24

---

- 18.4. The pay range for Leading Practitioners will be in accordance with the STPC(W)D, which is currently a minimum of £48,248 per annum (i.e. Leadership Pay Point 1) and a maximum of £73,347 per annum (i.e. Leadership Pay Point 18).
- 18.5. In this School, the Governing Body will use the discretionary reference pay points detailed at **Appendix 1**.
- 18.6. Pay progression for Leading Practitioners will be determined as per the process set out at 16.3.1 to 16.3.4 above.

### 19. UNQUALIFIED TEACHERS

- 19.1. A Teacher on the unqualified pay range will be paid an annual salary between £20,674 and £32,696 per annum. In this School, the Governing Body will use the statutory pay points detailed at **Appendix 1**.
- 19.2. Under the Education (Specified and Registration) (Wales) Regulations 2010 there are specific circumstances when those other than qualified Teachers who are registered with the Education Workforce Council may carry out 'specified work'.
- 19.3. The School will comply with these legal requirements and will only employ unqualified Teachers as specified in these Regulations.
- 19.4. The Governing Body may pay an additional allowance to an unqualified Teacher who meets the criteria as defined in the STPC(W)D.
- 19.5. The Governing Body must award a Teacher on scale points 1 to 56 of the Unqualified Teacher Pay Scale progression of one point following completion of a year of employment completed during the previous school year, unless the Teacher has been notified through the formal capability process that service was unsatisfactory in respect of that year.
- 19.6. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 19.7. Pay progression on the 6-point Unqualified Teacher Pay Scale should be on an annual basis from 1<sup>st</sup> September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 19.8. The Pay Committee will record its decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of the form will be provided to the unqualified Teacher.

## MODEL TEACHERS' PAY POLICY 2023/24

---

- 19.9. Where pay progression is granted, the unqualified Teacher's salary will be increased with effect from 1<sup>st</sup> September of the current academic year.
- 19.9.1. A decision may be made not to award progression where the Teacher is subject to formal capability proceedings.
- 19.10. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.
- 19.11. An unqualified Teacher who obtains qualified Teacher status will be paid on the pay ranges for qualified Teachers, in accordance with this Pay Policy and STPC(W)D.

## 20. DISCRETIONARY ALLOWANCES AND PAYMENTS

### 20.1. Teaching and Learning Responsibility Payments (TLRs)

- 20.1.1. The Governing Body will award TLR1 and TLR2 payments to post holders as indicated in the School's staffing structure (see **Appendix 10**).
- 20.1.2. These payments will be awarded to Teachers who undertake clearly defined and sustained additional responsibility in the context of the School's staffing structure for the purpose of ensuring the continued delivery of high-quality teaching and learning and for which the Teacher is made accountable.
- 20.1.3. All job descriptions will be regularly reviewed and will make clear the responsibility or package of responsibilities for which a TLR is awarded.
- 20.1.4. The criteria for awarding a TLR1 and TLR2 payment will be in accordance with the STPC(W)D.
- 20.1.5. The minimum and maximum range for a TLR1 is £9,436 to £15,965 per annum.
- 20.1.6. The minimum and maximum range for a TLR2 is £3,271 to £7,986 per annum.
- 20.1.7. In this School the value of TLRs currently in use is as follows
- TLR1** - (details of each TLR1 to be inserted here by school)  
**TLR2** - (details of each TLR2 to be inserted here by school)
- 20.1.8. The Governing Body may award a fixed-term TLR3 payment to a Teacher of between £650 and £3,225 per annum for a clearly time-limited school improvement project, or one-off externally driven responsibilities.
- 20.1.9. The duration of the fixed term, and the amount of annual payment will be established at the outset and will be paid on a monthly basis.

## MODEL TEACHERS' PAY POLICY 2023/24

---

20.1.10. Where the Governing Body wishes to make TLR3 payments, the proposed responsibilities, level of payment and the duration of payment will be set out clearly following consultation with relevant staff and union representatives.

20.1.11. A Teacher in receipt of either a TLR1 or 2 may also hold a concurrent TLR3.

20.1.12. No safeguarding will apply in relation to an award of a TLR3.

20.1.13. A TLR1 or 2 payment awarded to a part-time Teacher may be determined in accordance with the pro-rata principle and no less than contracted working hours or may be determined to be paid in full, if the Teacher undertakes the full duties associated with the allowance. The duties agreed should be capable of being undertaken within the normal hours of the part-time Teacher concerned. The appropriate level of allowance payment and duties should be agreed between the individual Teacher and the employer.

20.1.14. TLR3 allowances are paid in full, regardless of the hours that a part-time Teacher normally works under the contract of employment.

### 20.2. **Additional Learning Needs (ALN) Allowances**

20.2.1. The Governing Body will award ALN allowances in accordance with the criteria and provisions set out in the STPC(W)D.

20.2.2. An ALN Allowance of no less than £2,585 per annum, and no more than £5,098 per annum, will be payable to a classroom Teacher in accordance with STPC(W)D.

20.2.3. In this School, the ALN values are: (*details of each ALN Allowance / value to be inserted here by school*)

20.2.4. In deciding the ALN value, the Governing Body will take into account the structure of the School's ALN provision, whether any mandatory qualifications are required for the post, the qualifications or expertise of the Teacher relevant to the post, and the relative demands of the post.

### 20.3. **Acting Allowances**

20.3.1. Acting allowances are payable to Teachers who are assigned and carry out the duties of Headteacher, Deputy Headteacher or Assistant Headteacher in accordance with the STPC(W)D.

20.3.2. The Governing Body will, within a four-week period of the commencement of acting duties, determine whether or not the acting postholder will be paid an allowance. In the event of a planned and prolonged absence, an acting allowance may be agreed in advance and paid from the first day of absence.

20.3.3. Any Teacher who carries out the duties of Headteacher, Deputy Headteacher, or Assistant Headteacher, for a period of four weeks or more, will be paid at an appropriate point of the Headteacher's pay range, Deputy Headteacher pay range or Assistant Headteacher pay range, as determined by the Pay Committee.

Payment will be backdated to the commencement of the duties but will normally be paid a month in arrears.

20.3.4. Acting allowances may also apply to Teachers covering absent colleagues in receipt of a TLR and / or ALN allowance.

20.3.5. Additional allowances may be payable to unqualified teachers in line with STPC(W)D.

### 20.4. **Additional Payments**

20.4.1. With exception of those on the leadership range the Governing Body may make additional payments to a Teacher, in respect of:

- continuing professional development undertaken outside the school day;
- activities relating to the provision of initial Teacher training as part of the ordinary conduct of the School;
- participation in out-of-school hours learning activity agreed between the Teacher and the Headteacher; and
- additional responsibilities and activities due to, or in respect of, the provisions of services by the Teacher relating to the raising of educational standards to one or more additional schools.

### 20.5. **Recruitment or Retention Incentive Benefits**

20.5.1. The Governing Body can award lump sum payments, periodic payments, or provide other financial assistance, support or benefits for a recruitment or retention incentive. In deciding any such awards, the Governing Body will have regard to the STPC(W)D and specialist HR advice.

20.5.2. Headteachers, Deputy Headteachers and Assistant Headteachers may not be awarded such a payment other than as reimbursement of reasonably incurred housing or relocation costs.

20.5.3. All other recruitment and retention considerations in relation to a Headteacher, Deputy Headteacher or Assistant Headteacher post will be taken into account when determining the pay range.

20.5.4. The reason for the award of any additional payment, the expected duration of any such incentive or benefit, and the review date after which they may be withdrawn will be made clear at the outset, in writing.

20.5.5. The Governing Body will conduct an annual review of all such awards.

**21. PART-TIME TEACHERS' PAY AND TIME CALCULATIONS**

- 21.1. Teachers employed on an ongoing basis at the school but who work less than a full working week will be deemed to be part-time.
- 21.2. Part-time Teachers will be provided with a written statement detailing their working time obligations and the standard mechanism used to determine their pay, subject to the provisions of the statutory pay and working time arrangements and by comparison with the School's timetabled teaching week for a full-time Teacher in an equivalent post. This does not affect the TLR3 payment which is not pro rata for part-time staff. See **Appendix 9** for further information.

**22. TEACHERS EMPLOYED ON A SHORT-TERM NOTICE BASIS (SUPPLY)**

- 22.1. Teachers employed on a supply basis will be paid on a daily basis, calculated on the assumption that a full working year consists of 195 days; periods of employment for less than a day being calculated pro rata.
- 22.2. It is recommended that if the school is using an agency, the school enters into a voluntary supply agency pledge whereby they only procure from agencies identified on the NPS Framework Approved Supply Agencies and commit to a minimum daily rate of M2 ÷ 195 days. The exception will be that when agencies on the NPS framework are unable to supply a suitably skilled Teacher, the school will be able to approach alternative agencies but with a commitment to pay as a minimum, the M2 pay rate. If the Governing Body determines that they do not wish to enter into the Voluntary Supply Agency pledge, this paragraph will not apply.



**2023/24 PAY RANGES**

**Main Pay Range:**

<b>Point</b>	<b>Value</b>
MPR 2	£30,742
MPR 3	£33,212
MPR 4	£35,771
MPR 5	£38,587
MPR 6	£42,466

**Upper Pay Range:**

<b>Point</b>	<b>Value</b>
UPR 1	£44,024
UPR 2	£45,656
UPR 3	£47,340

**Leading Practitioner Pay Range:**

<b>Point</b>	<b>Value</b>
LP 1	£48,248
LP 2	£49,457
LP 3	£50,691
LP 4	£51,952
LP 5	£53,246
LP 6	£54,582
LP 7	£56,053
LP 8	£57,344
LP 9	£58,776

LP 10	£60,287
LP 11	£61,851
LP 12	£63,276
LP 13	£64,857
LP 14	£66,474
LP 15	£68,128
LP 16	£69,940
LP 17	£71,545
LP 18	£73,347

**Unqualified Teachers Pay Range:**

<b>Point</b>	<b>Value</b>
UNQ 1	£20,674
UNQ 2	£23,078
UNQ 3	£25,482
UNQ 4	£27,885
UNQ 5	£30,292
UNQ 6	£32,696

**Leadership Pay Range:**

<b>Point</b>	<b>Value</b>
L1	£48,012
L2	£49,213
L3	£50,441
L4	£51,697
L5	£52,985

L6	£54,316
L7	£55,776
L8	£57,064
L9	£58,488
L10	£59,990
L11	£61,547
L12	£62,966
L13	£64,540
L14	£66,148
L15	£67,794
L16	£69,598
L17	£71,195
<b>L18*</b>	<b>£72,263</b>
L18	£72,985
L19	£74,796
L20	£76,649
<b>L21*</b>	<b>£77,769</b>
L21	£78,547
L22	£80,497
L23	£82,490
<b>L24*</b>	<b>£83,699</b>
L24	£84,536
L25	£86,636
L26	£88,780
<b>L27*</b>	<b>£90,079</b>
L27	£90,980

L28	£93,236
L29	£95,545
L30	£97,923
<b>L31*</b>	<b>£99,347</b>
L31	£100,343
L32	£102,836
L33	£105,390
L34	£107,996
<b>L35*</b>	<b>£109,585</b>
L35	£110,681
L36	£113,420
L37	£116,240
L38	£119,117
<b>L39*</b>	<b>£120,811</b>
L39	£122,020
L40	£125,064
L41	£128,189
L42	£131,400
L43	£133,350

\* These points and Point L43 are the maximum scale points for the eight Headteacher Group Ranges

ANNUAL TEACHERS' PAY REVIEW STATEMENT

<b>Name:</b> .....	<b>Employee No.:</b> .....
<b>School:</b> .....	<b>Effective Date:</b> .....

**SALARY DETAILS**

Salary and Point - Main Pay Range (S2 - S6)	£	Point
Salary and Point - Upper Pay Range (S1 – S3)	£	Point
Salary and Point - Unqualified Range (S1 - S6)	£	Point
Salary and Leading Practitioner Range	£	Point

**ALLOWANCES**

Details e.g. temp  
(with dates), reason  
for allowance

Teaching and Learning Responsibility Payments (See Pay Policy Advice) TLR1 / TLR2 / TLR3	TLR____ £
Recruitment or Retention (See Pay Policy Advice)	£
Special Educational Needs Allowance (See Pay Policy Advice)	£
Other Allowances - Please specify (See Pay Policy Advice)	£
<b>SAFEGUARDING</b>	£
<b>TOTAL SALARY</b>	£

Pay Committee Meeting on: .....

Signature of Headteacher / Chair of Committee: ..... Date: .....

**UPPER PAY RANGE PROGRESSION CRITERIA**

**1. Professional Attributes**

- 1.1. Contribute significantly, where appropriate, to implementing workplace policies and practice and to promoting collective responsibility for their implementation.

**2. Professional Knowledge and Understanding**

- 2.1. Have an extensive knowledge and understanding of how to use and adapt a range of teaching, learning and behaviour management strategies, including how to personalise learning to provide opportunities for all learners to achieve their potential.
- 2.2. Have an extensive knowledge and well-informed understanding of the assessment requirements and arrangements for the subjects/curriculum areas they teach, including those related to public examinations and qualifications.
- 2.3. Have up-to-date knowledge and understanding of the different types of qualifications and specifications and their suitability for meeting learners' needs.
- 2.4. Have a more developed knowledge and understanding of their subjects/curriculum areas and related pedagogy including how learning progresses within them.
- 2.5. Have sufficient depth of knowledge and experience to be able to give advice on the development and wellbeing of children and young people

**3. Professional Skills**

- 3.1. Be flexible, creative and adept at designing learning sequences within lessons and across lessons that are effective and consistently well-matched to learning objectives and the needs of learners and which integrate recent developments, including those relating to subject/curriculum knowledge.
- 3.2. Have teaching skills which lead to learners achieving well relative to their prior attainment, making progress as good as, or better than, similar learners nationally.
- 3.3. Promote collaboration and work effectively as a team member.
- 3.4. Contribute to the professional development of colleagues through coaching and mentoring, demonstrating effective practice, and providing advice and feedback.

ASSESSMENT OF TEACHER APPLICATION TO PROGRESS TO UPPER PAY RANGE

For Completion by the Teacher's Appraiser

Teacher's Name:	
Post:	

**Evidence from most recent appraisal**  
Please state which appraisal statement is attached:

**\*Criteria Met**

**\*Criteria Not Met**

(\* Please delete as appropriate)

If criteria have not been met in full, please record details below (and continue overleaf, as necessary) about the areas of the Teacher's performance which do not satisfy the criteria:

Signed ..... (Appraiser)

Date: .....

TO BE SUBMITTED TO THE HEADTEACHER

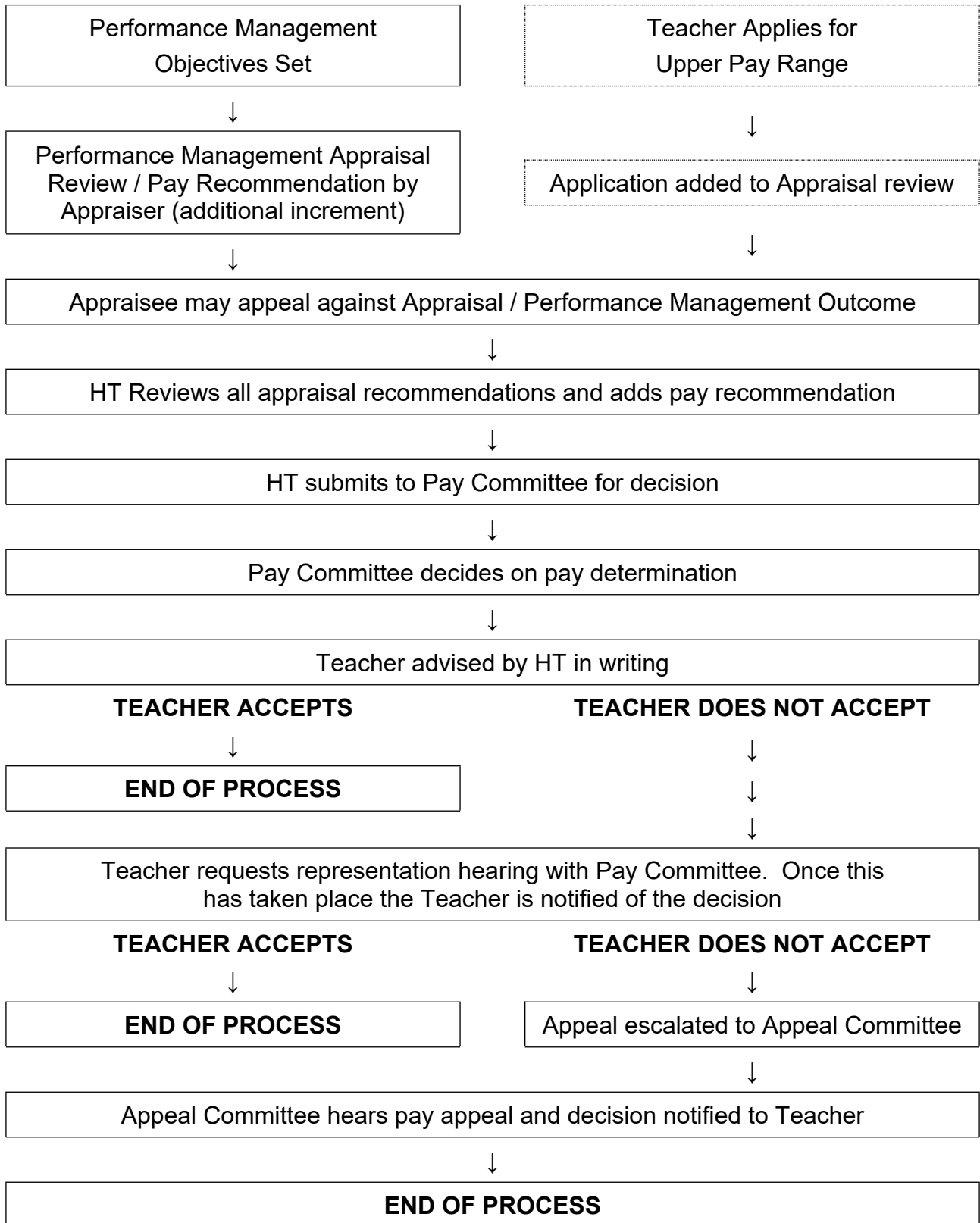
**School Use Only**

Application Form Received on: .....

Assessment made on: .....

By: .....

**FLOWCHART OF PAY REVIEW PROCESS  
(Not including Headteachers)**





**LEADERSHIP GROUP SALARIES GUIDANCE**

**1. Headteacher and Leadership Team (ALL SCHOOLS)**

A statutory 43 step Leadership Pay Scale has been reintroduced. Headteachers, Deputy Headteachers and Assistant Headteachers will be paid as determined by the Governing Body. These are set out below:

**2. School Groups (ALL SCHOOLS)**

There are eight school groups determined from the unit score of the school. The STPC(W)D specifies a maximum and minimum pay value for each group and the indicative pay rates published jointly by the employers and trade unions attach values to individual pay points within those ranges

The Governing Body has established a 7 point pay range for the Headteacher and a 5 point pay range for all other leadership posts.

**3. Unit Score of School**

**a. All Schools (excluding Special Schools)**

The unit score is calculated to determine the group of the School, using the formula in the STPC(W)D. In this Authority\*, the LA will recalculate the unit score annually and the results will be applied from 1<sup>st</sup> January each year. If a school has reasonable grounds to expect a change in pupil numbers, they should request a recalculation by the Authority at that time.

*\* Delete if not appropriate*

**Information on how the unit score is calculated:**

This is determined by pupil numbers as shown on the most recent STATS 1 (annual school census) return to the Welsh Government.

<b>For each pupil at the foundation phase/ KS1/KS2</b>	<b>7 units</b>
<b>For each pupil in the school at KS3</b>	<b>9 units</b>
<b>For each pupil in the school at KS4</b>	<b>11 units</b>
<b>For each pupil in the school at KS5</b>	<b>13 units</b>

Each pupil with a **statement of special educational needs** shall, if they are in a special class consisting wholly or mainly of such pupils, count three units more than they would otherwise count. If they are not in such a special class count three such units only where the relevant body so determine.

Each pupil who attends for no more than half a day on each day for which they attend the school shall count half as many units as they would otherwise count.

Total Unit Score	School Group
Up to 1,000	1
1,001 - 2,200	2
2,201 - 3,500	3
3,501 - 5,000	4
5,001 - 7,500	5
7,501 - 11,000	6
11,001 - 17,000	7
17,001 and over	8

**b. Modified Unit Score (Special Schools Only)**

The modified unit score is calculated to determine the group of the school, using the formula in the STPC(W)D. In this Authority\* the LA will recalculate the unit score annually and the results will be applied from 1<sup>st</sup> January each year. If a school has reasonable grounds to expect a change in pupil numbers, they should request a recalculation by the Authority at that time.

*\* Delete if not appropriate*

A special school must be assigned to a Headteacher group in accordance with the following table by reference to its modified total unit score calculated in accordance with sub-sections (i) and (ii) below:

Total Unit Score	School Group
Up to 2,200	2
2,201 - 3,500	3
3,501 - 5,000	4
5,001 - 7,500	5
7,501 - 11,000	6
11,001 - 17,000	7
17,001 and over	8

**(i) Information on how the staff-pupil ratio is calculated**

The proportion of staff to pupils at the school must be calculated and expressed as a percentage ('the staff-pupil ratio') in accordance with the following formula:

$$\frac{A}{B} \times 100$$

Where A is the number of Teachers and Support Staff weighted as provided at (a) below, and B is the number of pupils at the school weighted as provided at (b) below:

- a) The weighting for a Teacher is two units for each full-time equivalent Teacher, and the weighting for each Support Staff member is one unit for each full-time equivalent individual; and
- b) The weighting for a full-time pupil is one unit and the weighing for a part-time pupil is half a unit.

The staff-pupil ratio modifier must be calculated in accordance with the following table by reference to the staff-pupil ratio determined in accordance with the above:

Staff-Pupil Ratio	Staff-Pupil Ratio Modifier
1 - 20%	1
21 - 35%	2
36 - 50%	3
51 - 65%	4
66 - 80%	5
81% or more	6

**NB:** 'Support Staff member' means a member of the school staff who is not:

- A Teacher;
- A person employed in connection with the provision of meals;
- A person employed in connection with the security or maintenance of the school premises; or
- A person employed in a residential school to supervise and care for pupils out of school hours.

**(ii) Information on how the modified total unit score is calculated**

This is determined by pupil numbers as shown on the most recent STATS 1 (annual school census) return to Welsh Government.

The relevant body must determine the school's total unit score in accordance with the number of pupils on the school register calculated as follows:

<b>Key Stage</b>	<b>Units Per Pupil</b>
For each pupil in the Foundation Phase, KS1 and KS2	10
For each pupil in KS3	12
For each pupil in KS4	14
For each pupil in KS5	16

The relevant body must determine the school's modified total unit score by multiplying the school's total unit score determined under this section (i.e. as per the above table) by the staff-pupil ratio modifier calculated under section 3.

**NB:** Where the Headteacher is appointed as Headteacher of more than one school on a permanent basis, the relevant body of the Headteacher's original school or, under the Collaboration Regulations (5), the collaborating body must calculate the Headteacher group by combining the unit score of all the schools for which the Headteacher is responsible to arrive at a total unit score, which then determines the Headteacher group.

**4. New Leadership Appointments / Changes to existing Leadership Pay Structures - Three Stage Process (ALL SCHOOLS)**

The Governing Body should follow the three-stage process when setting the pay for **new appointments or revising existing pay structures in respect of headship or the wider leadership team.**

**Stage 1** - Defining the role and determining the Headteacher group

**Stage 2** - Setting the indicative pay range

**Stage 3** - Deciding the starting salary and individual pay range

All decisions and the reasons for them should be well documented at every stage. All pay decisions must be made on objective criteria so that there is no discriminatory effect of any group of Teachers with a particular protected characteristic under the Equality Act 2010.

It is suggested that schools seek advice when calculating and recording leadership pay structure decisions

**Stage 1 - Defining the Role and Determining the Headteacher Group**

The Governing Body should, at this stage, define the job and identify the broad pay range as a provisional guide to determining appropriate level of pay. The Governing Body will need to define and set out the specific role, responsibilities and accountabilities of the post as well as the skills and relevant competences required.

For Headteacher posts, the Governing Body will assign the School to a Headteacher group (as defined in 3 above) which will determine the appropriate broad pay range as outlined below:

Group Size	Range of Steps	Salary Range (STPC(W)D 2023)		
1	L6 - L18*	£54,316	-	£72,263
2	L8 - L21*	£57,064	-	£77,769
3	L11 - L24*	£61,547	-	£83,699
4	L14 - L27*	£66,148	-	£90,079
5	L18 - L31*	£72,985	-	£99,347
6	L21 - L35*	£78,547	-	£109,585
7	L24 - L39*	£84,536	-	£120,811
8	L28 - L43	£93,236	-	£133,350

For other leadership group posts, the Governing Body should consider how the role fits within the wider leadership structure of the School. The pay range for a Deputy Headteacher or Assistant Headteacher should only overlap the Headteacher's pay range **in exceptional circumstances**.

### **Stage 2 - Setting the Indicative Pay Range**

At this stage, the Governing Body will need to consider the complexity and challenge of the role in the particular context of the School and make a judgement on pay in light of this.

For Headteacher posts, it is expected that normally the Governing Body will conclude that the total unit score fully captures the complexity of the Headteacher role and that the relevant broad pay range accommodates appropriate levels of reward, in line with the STPC(W)D. The Governing Body will need to consider whether the indicative pay range should start at the minimum of the Headteacher group or whether they wish it to start at a higher level because of the level of challenge of the post.

There may be circumstances, however, in which there are additional factors that suggest the indicative pay range should be higher than would be provided by the basic calculation in Stage 1.

The following represent some examples of additional factors to be considered (this list is not exhaustive):

**APPENDIX 6.**

- The context and challenge arising from pupils' needs e.g. if there is a high level of deprivation in the community (Free School Meal entitlement and/or English as an Additional Language) or there are high numbers of looked after children or children with Additional Learning Needs and this affects the challenge in relation to improving outcomes;
- A high degree of complexity and challenge e.g. accountability for multiple schools or managing across several dispersed sites, which goes significantly beyond that expected of any Headteacher of similar-sized school(s) and is not already reflected in the total unit score used at stage 1;
- Additional accountability not reflected in stage 1, e.g. leading a teaching school alliance; and
- Factors that may impede the school's ability to attract appropriately qualified and experienced leadership candidates e.g. location, language medium, subject area / specialism and/or level of support from the wider leadership team.

The Governing Body may set the indicative pay range with a **maximum of up to 25% above the top of the relevant Headteacher group range.**

Above that limit, external independent advice must be sought and, should the advice suggest a range which exceeds this limit is appropriate, a business case must be made and agreed by the full Governing Body.

The Governing Body should ensure that no **double counting** takes place e.g. of things taken account of in stage 1, such as responsibility for an additional school already reflected in the total unit score; or from using overlapping indicators, such as FSM and the pupil premium.

The Governing Body **SHOULD NOT** increase base pay nor pay an additional allowance for regular local collaboration which is part of the role of all Headteachers.

For other leadership roles the process is broadly the same. The Governing Body will wish to consider how the other leadership roles should be set in accordance with the level set for the Headteacher and to ensure that there is sufficient scope for progression. Consideration should also be given to any teaching posts that carry additional allowances.

At the end of this stage, the Governing Body should decide where in the broad range to position the indicative pay range and set this out clearly when advertising the post. An overall judgement should be made on the position and breadth of range, allowing appropriate scope for progression over time.

There should be a clear audit trail for all decisions made and the reasoning behind them.

It is also expected where possible that the School will undertake a process of benchmarking of salaries before setting the pay range for the Headteacher or other leadership posts.

For those factors which are not expected to persist, such as temporary responsibility for an additional school, these should be reflected through an allowance rather than consolidated into the indicative pay range.

**Stage 3 - Deciding the starting salary and Individual Pay Range for new appointments**

The first two stages provide the means for determining the appropriate pay range. The third stage is essentially about deciding on the starting salary for the individual who is to be offered the post.

At this stage, the Governing Body will have a preferred candidate for the role and will wish to set the starting salary in the light of candidate-specific factors, such as the extent to which the candidate meets the specific requirements of the post.

It will be important to ensure there is scope for progression over time.

There must be a clear audit trail for any advice given and a full and accurate record of all decisions made and the reasoning behind them.

**5. Establishing a Pay Range above the School's Headteacher Group (ALL SCHOOLS)**

The expectation is that in most cases the pay range will be within the limits of the Headteacher group. However, in some cases e.g. where there may be significant difficulty in making an appointment or there is a need to incentivise a Headteacher to take on responsibility for a very large school or to lead multiple large schools, it may be appropriate to consider extending the individual pay range.

The Governing Body can, in such cases, decide that the maximum of the pay range may be above the maximum of the Headteacher group, **up to an additional 25%**.

If it is considered that there are exceptional circumstances that warrant an extension beyond that limit, a business case would be required. The Governing Body would need to seek external independent advice from an appropriate person or body who can consider whether it is justifiable to exceed the limit in a particular case.

There must be a clear audit trail for any advice given and a full and accurate record of all decisions made and the reasoning behind them.

**6. Temporary Payments for Headteachers (ALL SCHOOLS)**

The Governing Body may consider an additional payment to the Headteacher in respect of clearly temporary additional duties and responsibilities or duties that are in addition to the post for which their salary has been determined e.g. where they are providing services to other schools. Including where the Headteacher is appointed as a temporary Headteacher of one or more additional schools not included as a permanent factor in the calculation of the pay range.

**7. Salary Protection (ALL SCHOOLS)**

If the School is assigned to a lower group, or the Governing Body chooses to reduce the leadership pay range, the member of staff will be entitled to receive a safeguarded sum for a period of up to three years, subject to the STPC(W)D.



HEADTEACHER / DEPUTY HEADTEACHER / ASSISTANT HEADTEACHER  
ANNUAL REVIEW FORM  
(September 20\_\_)

<b>Name:</b> .....	<b>Employee No.:</b> .....
<b>School:</b> .....	

**\* Headteacher:**

School Group: ..... Headteacher Pay Range: £ ..... to £ .....

**\* Deputy / Assistant Headteacher:**

Pay Range: £ ..... to £ .....

Salary and Point at August 20\_\_ : £ ..... Point: .....

Rationale used for Pay Decision:

.....  
.....

Revised Salary and Point at August 20\_\_ : £ ..... Point: .....

Certified by Chair of Governors / Pay Committee: .....

Certified by Headteacher: ..... Date: .....

**\* Please delete as appropriate**

## PAY APPEALS PROCESS

The Governing Body is committed to ensuring that appeals against pay decisions are dealt with quickly, fairly and are consistent with equalities and other relevant legislation, as well as the STPC(W)D.

Teachers, including Headteachers, may appeal any determination in relation to their pay or any other decision taken by the Governing Body (or a Committee or individual acting with delegated authority) that affects their pay.

Reasons for appeal may include the following, which is not an exhaustive list. That the person or Committee making the decision:

- a) incorrectly applied any provision of the STPC(W)D;
- b) failed to have proper regard for statutory guidance;
- c) failed to take proper account of relevant evidence;
- d) took account of irrelevant or inaccurate evidence
- e) was biased; or
- f) or otherwise unlawfully discriminated against the Teacher.

For both the representation hearing and the appeal hearing, the Teacher is entitled to be accompanied by a work colleague or trade union representative.

This is not a cyclical process. A teacher may choose to go through all three stages or may choose to progress directly to Stage 3 Appeal. If an individual wishes to progress straight to stage 3 of the process then they are advised to take advice from a TU representative at the earliest opportunity.

### **Stage 1 - Informal Discussion**

A Teacher who is dissatisfied with a pay recommendation has the opportunity to discuss the recommendation with the Headteacher before the recommendation is actioned and confirmation of the pay decision is made by the School.

If, having had an informal discussion with the person making the pay recommendation, the Teacher believes that an incorrect recommendation has been made, they may choose to make representation to the Pay Committee of the Governing Body (see Stage 2 below).

### **Stage 2 - Representation Hearing**

1. The Teacher receives written notification of the pay determination and, where applicable, details of the basis on which the decision was made. The Pay Committee will ensure the Teacher is aware of the process for making representation and appealing against the decision, if appropriate.
2. If the Teacher wishes to make representation, they should do so by writing to the Clerk to Governors within 10 school days of receiving the decision. The decision to request a representation hearing rests with the teacher.

3. The Clerk to Governors will arrange for a representation hearing to take place as soon as possible, which will be chaired by the Pay Committee. The Headteacher may be required to attend the hearing to clarify the grounds for the pay recommendation.
4. The Teacher will be provided with between 5 and 10 school days' notice of the representation hearing. The Teacher may attend the hearing in order to present evidence, call witnesses and ask questions of the Pay Committee.
5. The Pay Committee will decide if the original pay determination is to be amended and will write to the Teacher about the outcome within 5 school days of the decision being reached.
6. Where the Teacher continues to be dissatisfied, they may appeal this decision within 10 school days of receiving the Committee's outcome letter by proceeding to Stage 3 of the process.

### **Stage 3 - Appeal Hearing**

1. The Teacher should clearly set out in writing the grounds for appealing the pay decision and send it to the Clerk to Governors within 10 school days of receipt of the written outcome.
2. The Clerk to Governors will arrange for an appeal hearing to take place as soon as possible, but normally within 20 school days of the receipt of the written appeal notification.
3. The Teacher should be provided with between 5 and 10 school days' notice of the hearing.
4. The appeal should be heard by the Pay Appeals Committee comprising of a minimum of three eligible governors who were not involved in the original decision, or where the original Pay Committee comprised of more than three members, a number at least equal to that of the Pay Committee.
5. The Pay Appeals Committee's decision is final.
6. Those required to attend the appeal hearing include:
  - Chair and other Appeal Committee members
  - The Teacher and their representative or work colleague (if the Teacher is accompanied)
  - Witnesses for the employee side (if appropriate)
  - a member of the original Pay Committee who will clarify the reasons for the original decision
  - Witnesses for the management side (if appropriate)
  - Clerk to the hearing
  - HR Adviser to give advice to the Appeal Committee (subject to the provisions of any Service Level Agreement)

**A model procedure for formal appeal meetings**

Chair introduces everyone and their role in the proceedings.

- The Teacher will present their case including any evidence to be considered and any witnesses they have called;
- Pay Appeals Committee members may ask questions of the Teacher, as may the Pay Committee representative;
- Pay Committee representative will state their case including the evidence on which the decision was based and call any witnesses to support the case, if appropriate
- Pay Appeals Committee members may ask questions of the Pay Committee representative, as may the Teacher;
- Both parties may make a closing statement if they wish (Teacher first, followed by Pay Committee representative). No new evidence can be introduced at this stage;
- Both parties leave the hearing;
- The Pay Appeals Committee may request advice from the HR Adviser (if applicable). Once this has been given, the HR Adviser will leave the hearing but may be recalled for further advice (if applicable);
- The Pay Appeals Committee will consider all the evidence and reach a final decision;
- The Pay Appeals Committee will call the parties back to inform the Teacher of the decision (if awaiting the decision) or instruct the Clerk to write to the Teacher on their behalf with their decision and the reasons for it; and
- The Clerk will notify the Local Authority of change of pay, if appropriate.

**PART-TIME TEACHERS' PAY AND TIME CALCULATIONS**

A **School's Timetabled Teaching Week** must be established and a part-time Teacher must be paid a proportion of the STTW.

Each school must establish a STTW week for each Teacher, this refers to school sessions hours that are timetabled for teaching, including PPA but excluding break times, registration and assemblies.

Part-time Teachers will then be paid on actual teaching time excluding registration assemblies and breaks.

For Example:

If the school day, excluding registration and assembly, runs from 9.00am to 12.15pm and again from 1.15pm to 3.30pm with one 15-minute break in the morning session and one 15 minute break in the afternoon session, the STTW for a full-time Teacher would be calculated as 25 hours. If a part-time Teacher were employed for mornings only working 9.00am to 12.15pm every day, their percentage of the timetabled teaching week would be calculated as 15 hours. This is shown below:

	Morning Session (less breaks, registration & assembly)	+	Afternoon Session (less breaks, registration & assembly)	x	No. of Days in Timetable	=	STTW	% of STTW
Full-Time	3 Hours	+	2 Hours	x	5 Days	=	25 Hours	100%
Part-Time	3 Hours			x	5 Days	=	15 Hours	60%

**PPA and Management Time** must be included when calculating class contact time.

**Directed Time** - a Headteacher may allocate directed time to part-time Teachers (subject to conditions) as a proportion of a FTE 1265. Part-time Teachers can now be directed to cover breaks, assemblies and registration as part of their directed duties.

Part-time Teachers cannot be required to be available for work (either for teaching or other duties) on days they do not normally work. However, they may attend by mutual agreement with the Headteacher. Any resultant additional hours should be paid at the Teacher's normal salary.

Part-time Teachers may be required to carry out duties, other than teaching pupils, outside school sessions on the day on which the Teacher is normally required to be available for work (whether the Teacher is normally required to be available for work for the whole or part of that day). This can form part of directed time.

**SCHOOL STAFFING STRUCTURE**

(School to enter details below as applicable at the time of this Pay Policy being adopted by the Governing Body)

This page is intentionally left blank



Cyngor Sir CEREDIGION County Council

**Model Unattached  
Teachers' Pay Policy  
2023/2024**





<b>DOCUMENT CONTROL</b>	
<b>Policy Name</b>	Unattached Teachers' Pay Policy 2023/24
<b>Department</b>	People and Organisation
<b>Reviewing Officers</b>	HR Officers
<b>CONSULTATION PROCESS</b>	
<p>The following Trade Unions have been consulted in respect of this Policy:</p> <ul style="list-style-type: none"><li>• ASCL</li><li>• NAHT</li><li>• NASUWT</li><li>• NEU</li><li>• UCAC</li></ul>	

**TABLE OF CONTENTS**

1.	Introduction	4
2.	Statement of Intent	4
3.	Equalities	4
4.	Job Descriptions	5
5.	Appraisal	5
6.	Local Authority's Obligations	5
7.	Line Manager's Obligations	5
8.	Teachers' Obligations	6
9.	Differentials	6
10.	Safeguarding	6
11.	Capability and Pay Progression	7
12.	Pay Determination	7
13.	Manager Pay	8
14.	Deputy / Assistant Manager Pay	9
15.	Pay Progression for the Leadership Team	9
16.	Classroom Teacher Pay	10
17.	Applications to be paid on the Upper Pay Range	12
18.	Leading Practitioner Role	13
19.	Unqualified Teachers	14
20.	Discretionary Allowances and Payments	15
21.	Part-Time Teachers' Pay and Time Calculations	17
22.	Teachers Employed on a Short Notice Basis (Supply)	17
Appendix 1:	2023/24 Pay Ranges	18
Appendix 2:	Annual Teachers' Pay Review Statement	22
Appendix 3:	Upper Pay Range Progression Criteria	23
Appendix 4:	Upper Pay Range Application Form	24
Appendix 5:	Flowchart of Pay Review Process	25
Appendix 6:	Leadership Team Salaries Guidance	26
Appendix 7:	Leadership Team Annual Review Form	34
Appendix 8:	Pay Review Process	31
Appendix 9:	Part-Time Teachers' Pay and Time Calculations	34
Appendix 10:	Service Area's Staffing Structure	35

**1. INTRODUCTION**

- 1.1. This Pay Policy provides a framework for making decisions on unattached Teachers' pay. It has been developed to comply with the requirements of the School Teachers Pay and Conditions (Wales) Document (STPC(W)D) and has been subject to consultation with all recognised Teaching Associations.
- 1.2. For the purpose of this policy, unattached Teachers refers to Teachers who do not fall under the control of School's Governing Bodies e.g. Peripatetic Teachers, Athrawon Bro, Centrally Employed Teachers etc.
- 1.3. This pay policy only applies to those directly employed by Local Authorities and does not apply to anyone employed via an agency.

**2. STATEMENT OF INTENT**

- 2.1. The procedures for determining pay in this service area will be consistent with the principles of public life: objectivity, openness and accountability.
- 2.2. Line Managers will act with integrity, confidentiality, objectivity and honesty in the best interest of the Local Authority in relation to the operation of this Policy.
- 2.3. Line Managers will be open about pay decisions made and actions taken, and will be prepared to explain decisions and actions to the interested persons.
- 2.4. Any future revisions to this policy will comply with the STPC(W)D and will be subject to consultation with relevant parties, including recognised trade unions.

**3. EQUALITIES**

- 3.1. The Local Authority is committed to ensuring equality in everything that we do. The Equality Act 2010 has replaced and strengthened previous equality legislation. The Local Authority will comply with all relevant equalities legislation.
- 3.2. This Policy will be applied consistently to all employees irrespective of age, disability, race, gender (sex), gender reassignment, marriage / civil partnership, pregnancy / maternity, religion, belief and sexual orientation.
- 3.3. The Local Authority will promote equality in all aspects of the service, particularly in relation to all decisions on the advertising of posts, appointing, promoting and paying staff, training and staff development.
- 3.4. The Local Authority will ensure that pay processes are transparent and fair. All decisions made will be objectively justified and recorded. Reasonable adjustments will be made on a case by case basis to take account of individuals' circumstances such as long-term absence on the grounds of maternity or ill-health including any Covid related absences.

**4. JOB DESCRIPTIONS**

- 4.1. The Local Authority will ensure that each member of staff is provided with a job description in accordance with the agreed staffing structure (**see Appendix 10**).
- 4.2. Job descriptions will identify key areas of responsibility and may be reviewed and changed from time to time in consultation and in agreement with the individual(s) concerned in order to make reasonable changes in light of the changing needs of the Local Authority.

**5. APPRAISALS**

- 5.1. The Local Authority will comply with the School Teacher Appraisal (Wales) Regulations 2011, concerning the appraisal of unattached Teachers through the application of the Local Authority's Performance Management Policy.

**6. LOCAL AUTHORITY'S OBLIGATIONS**

- 6.1. The Local Authority will:
- Fulfil its obligations as set out in the STPC(W)D and the Conditions of Service for School Teachers in England and Wales (the 'Burgundy Book');
  - establish a mechanism for dealing with pay decisions and pay appeals;
  - determine all pay progression decisions, taking account of recommendations from the Line Manager;
  - ensure that it makes funds available to support pay decisions, in accordance with this Pay Policy and the service area's spending plan;
  - ensure that Teachers, via their Line Manager, are informed about pay decisions which affect them, and that records are kept of recommendations and decisions made; and
  - monitor, on an annual basis, the outcomes of pay decisions, including the extent to which different groups of Teachers may progress at different rates. The outcome of the review will be shared with recognised trade union representatives.

**7. LINE MANAGER'S OBLIGATIONS**

- 7.1. The Line Manager will:
- ensure that all relevant factual information is considered during the appraisal process;

- ensure that all appraisers (where not the Line Manager) provide accurate, relevant, complete and timely information about pay recommendations;
- moderate performance assessments and initial pay recommendations to ensure consistency and fairness;
- submit pay recommendations to the appropriate Head of Service / Pay Panel and ensure the Head of Service / Pay Panel has relevant information upon which to make pay decisions;
- inform Teachers about the Local Authority's Pay Policy and ensure its accessibility;
- notify payroll and / or HR staff within the Local Authority about pay decisions to be implemented; and
- ensure that a report on the operation of the Pay Policy is made available for discussion at service area level with the relevant Trade Unions on an annual basis.

### **8. TEACHERS' OBLIGATIONS**

#### 8.1. Teachers will:

- familiarise themselves with the provisions of this Pay Policy, the STPC(W)D, the relevant professional standards and all relevant Local Authority employment policies; and
- engage positively with the processes set out in this Policy

### **9. DIFFERENTIALS**

- 9.1. Within the framework of the STPC(W)D, appropriate differentials will be created and maintained between posts within the service area, recognising accountability and job weight, and the Local Authority's need to recruit and retain sufficient Teachers of the required quality at all levels.

### **10. SAFEGUARDING**

- 10.1. Where a pay determination leads, or may lead, to the start of a period of safeguarding, the Local Authority will comply with the relevant provisions of the STPC(W)D and will give the required notification as soon as possible and within no later than one month after the determination.

**11. CAPABILITY AND PAY PROGRESSION**

- 11.1. Where a Teacher's performance has been assessed as being unsatisfactory and the Teacher is subject to the Local Authority's formal Capability Procedure, the Local Authority's performance management processes will be suspended in relation to the Teacher concerned until the Capability Procedure has been concluded.
- 11.2. On conclusion of the Capability Procedure, the Teacher will resume performance management processes in accordance with the Local Authority's Policy.
- 11.3. Pay progression will not be permissible in accordance with this Pay Policy while a Teacher is subject to the formal stages of the Local Authority's Capability Procedure.
- 11.4. On conclusion of the Capability Procedure, the Teacher would re-enter the Performance Management cycle.
- 11.5. Pay progression will not be applied retrospectively in any case of formal capability.

**12. PAY DETERMINATION**

- 12.1. The appropriate Head of Service / Pay Panel for their service area(s) will make pay decisions. For all Teachers pay they will be advised by the appropriate Line Manager.

**12.2. Annual Determination of Pay**

- 12.2.1. All teaching staff salaries, including those of the Manager, deputy or assistant Manager (where employed in line with the STPC(W)D), will be reviewed annually to take effect from 1<sup>st</sup> September. The Local Authority will conclude Teachers' annual pay reviews, and assessments of applications to progress to the Upper Pay Range, by 31<sup>st</sup> October; the Manager's annual pay review will be concluded by 31<sup>st</sup> December.
- 12.2.2. Reviews may take place at other times of the year to reflect, for example, any changes in circumstances, changes in a job description that lead to a change in the basis for calculating an individual's pay.
- 12.2.3. The Local Authority will apply any future national pay awards as specified by the STPC(W)D.

**12.3. Notification of Pay Determination**

- 12.3.1. A written statement will be given to each Teacher setting out the pay and any other financial benefits to which they are entitled following a determination. Where applicable, this will include information about the basis on which it was made. This will be done by 31<sup>st</sup> October for Teachers, 31<sup>st</sup> December for Managers, or by no later than one month following the determination.

**12.4. Appeals Procedure**

- 12.4.1. The Local Authority has an appeals procedure in relation to pay. This is set out in **Appendix 8** of this Pay Policy.

**13. MANAGER'S PAY (WHERE EMPLOYED IN LINE WITH STPC(W)D)**

- 13.1. The Local Authority will ensure that the process of determining the remuneration of the Manager is fair and transparent.
- 13.2. The Local Authority will assign a seven-point leadership pay range, which can be reviewed as necessary, for the Manager, based on any permanent additional relevant factors as determined within the framework of the STPC(W)D (specifically paragraphs 9.2, 9.3 and 9.4).
- 13.3. Additional factors to be taken into account will include all permanent responsibilities of the post, challenges specific to the role and all other relevant considerations, alongside any factors relating to recruitment and retention.
- 13.4. The Local Authority may re-determine the Manager's pay range if it becomes necessary to do so (including where the Manager becomes responsible and accountable for more than one setting on a permanent basis). The Manager's pay range may also be reviewed at any time if it considers it necessary to reflect a significant change in the responsibilities of the post.
- 13.5. Payments in respect of temporary responsibilities for the Manager will not be included in the pay range but will be determined in accordance with the STPC(W)D as explained in **Appendix 6**.
- 13.6. The Local Authority will apply discretionary reference pay points for leadership pay as indicated in **Appendix 1** and has agreed a seven step pay range of L xxx to L xxx (*details to be inserted here by the service area*).

**13.7. Pay on Appointment**

- 13.7.1. For new appointments, the Local Authority will determine the leadership pay range to be advertised and will agree the starting pay on appointment, taking account of the full role of the Manager and the provisions of the STPC(W)D.
- 13.7.2. The Local Authority will adopt a three-stage process when setting the pay for new Manager appointments as set out in **Appendix 6**.
- 13.7.3. The Local Authority will review the Manager's pay range, as necessary, to ensure fair pay relativities within the service area / Local Authority.
- 13.7.4. See **Appendix 6** of this Pay Policy for guidelines on leadership pay ranges and **Appendix 7** for the Annual Review Pay Statement.

**14. DEPUTY / ASSISTANT MANAGER PAY**

- 14.1. The Local Authority will use the discretionary reference pay points for leadership pay as indicated in **Appendix 1**.
- 14.2. The Local Authority will assign a five-point leadership pay range which can be reviewed as necessary for Deputy / Assistant Manager posts (where employed in line with the STPC(W)D), based on any permanent additional relevant factors as determined within the framework of the STPC(W)D.
- 14.3. The range for individual posts will be determined according to the duties and responsibilities of the post and may vary between posts.
- 14.4. In this Local Authority, the Deputy Manager five step pay range is L xx to L xxx (*pay details to be inserted here by the service area*).
- 14.5. In this Local Authority, the Assistant Manager five step pay range is L xx to L xxx (*pay details to be inserted here by the service area*).

**14.6. Pay on appointment**

- 14.6.1. When a new appointment needs to be made, the Local Authority will determine the leadership pay range for the post to be advertised and will agree the starting pay on appointment.
- 14.6.2. The pay range will be determined in accordance with the STPC(W)D.
- 14.6.3. The Local Authority will adopt the three-stage process when setting the pay for new appointments to the wider leadership team as set out in **Appendix 6**.

**15. PAY PROGRESSION FOR THE LEADERSHIP TEAM**

- 15.1. The Local Authority must consider annually whether or not to increase the salary of members of the leadership team who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary within the relevant pay range determined in accordance with the STPC(W)D.
- 15.2. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 15.3. Pay progression should be on an annual basis from 1<sup>st</sup> September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year.



- 15.4. The Local Authority may award an additional point to any Manager, Deputy or Assistant Manager whose performance in the previous year was excellent, with particular regard to agreed objectives.
- 15.5. A decision may be made not to award progression where the Manager, Deputy or Assistant Manager is subject to formal capability proceedings.
- 15.6. The Head of Service / Pay Panel will record its decision regarding pay progression on the Annual Pay Review form contained at **Appendix 7**. A copy of this form will be provided to the member of staff.
- 15.7. Where pay progression is granted, the member of staff's salary will increase with effect from 1<sup>st</sup> September of the current academic year.
- 15.8. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Pay Review form. The member of staff has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.

## **16. CLASSROOM TEACHER PAY**

### **16.1. Pay on Appointment**

- 16.1.1. Advertisements for vacant posts in the Local Authority will be considered by the Line Manager [and the *(insert details of panel)* where appropriate]. All posts will be advertised either internally or externally, locally or nationally as appropriate.
- 16.1.2. The advertisement will include details of the pay range and any additional payments or allowances applicable to the post.
- 16.1.3. The Line Manager, and the Head of Service where appropriate, will determine the starting salary of a vacant classroom Teacher post, in accordance with the Main Pay Range and Upper Pay Range, detailed at **Appendix 1**.
- 16.1.4. The Local Authority will determine the starting salary of a vacant classroom teacher post. The Local Authority is committed to the principle of pay portability for Teachers who are currently paid in accordance with the provisions of the STPC(W)D or STCPD and will apply this principle in practice when making new appointments.
- 16.1.5. When determining the starting pay for an existing classroom Teacher in a local authority maintained school or academy in England or in Wales and paid under the STPC(W)D or STCPD, the Local Authority will pay the Teacher on the main pay range or upper pay range at a scale point, which at least maintains the Teacher's previous pay entitlement, plus any pay progression, which they would have received had they remained in their previous post
- 16.1.6. In addition, if the successful applicant is a Teacher who has had a break in service, then the governing body may determine their scale point based on their previous final salary paid under the STPC(W)D or STCPD including any increment that the

teacher would have been entitled to be awarded had they remained in their previous post at the time when the change in employment occurred. Local Authorities can take into account any relevant experience gained from a teaching role in another sector in Wales or jurisdiction or a period of employment in relevant sector outside teaching.

- 16.1.7. Pay portability must span a break in teaching service for health and social reasons such as maternity/paternity, medical or family reasons. In a situation where the new employer proposes to take a different view, the grounds for doing so must be non-discriminatory in relation to equality and other relevant legislation
- 16.1.8. The Local Authority will not restrict the pay range advertised, or starting salary and pay progression prospects available for classroom Teacher posts, other than the minimum of the Main Pay Range and the maximum of the Upper Pay Range.

### **16.2. Pay Progression for Existing Main Pay Range and Upper Pay Range Teachers**

- 16.2.1. The Local Authority must consider annually whether or not to increase the salary of Teachers (excluding NQTs undertaking their induction year) who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary within the relevant pay range determined in accordance with the STPC(W)D.
- 16.2.2. Teachers in their induction year will be awarded pay progression on the successful completion of their induction.
- 16.2.3. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 16.2.4. The Local Authority must award a Teacher on scale points M2 to M5 of the Main Pay Scale progression of one point following completion of a year of employment completed as a qualified Teacher during the previous school year, unless the Teacher has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 16.2.5. Pay progression should be on an annual basis from 1<sup>st</sup> September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year.
- 16.2.6. The Local Authority may award an additional point to any Main Scale Teacher whose performance in the previous school year was excellent, with particular regard to classroom teaching.
- 16.2.7. A decision may be made not to award progression where the Teacher is subject to formal capability proceedings.

- 16.2.8. The Line Manager / Head of Service will record their decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of this form will be provided to the Teacher.
- 16.2.9. Where pay progression is granted, the Teacher's salary will be increased with effect from 1<sup>st</sup> September of the current academic year.
- 16.2.10. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.

### **16.3. Pay Progression for Existing Upper Pay Range Teachers**

- 16.3.1. The Head of Service /Line Manager must consider annually whether or not to increase the salary of Teachers (excluding NQTs undertaking their induction year) who have completed a year of employment since the previous pay determination and, if it determines to do so, to what salary within the relevant pay range determined in accordance with the STPC(W)D.
- 16.3.2. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 16.3.3. Pay progression on the upper scale should be in most cases on a two yearly basis in line with requirements of paragraph 14 of the STPC(W)D unless capability procedures are underway in respect of that period.
- 16.3.4. The Line Manager / Head of Service will record its decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of this form will be provided to the Teacher.
- 16.3.5. Where pay progression is granted, the Teacher's salary will be increased with effect from 1<sup>st</sup> September of the current academic year.
- 16.3.6. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.

## **17. APPLICATIONS TO BE PAID ON THE UPPER PAY RANGE**

- 17.1. A qualified Teacher may apply once each year to be paid on the Upper Pay Range in accordance with the STPC(W)D and this Pay Policy.

- 17.2. It is each Teacher's responsibility to decide whether to submit an application.
- 17.3. In order for the assessment to be robust and transparent, it will be an evidence based process.
- 17.4. Personal objectives for the forthcoming appraisal cycle will be set, and agreed where possible, at a level which is sufficient to ensure that the criteria included in the STPC(W)D for progression to the Upper Pay Range can be met, including that the Teacher is highly competent in all elements of the relevant standards and their achievements and contributions to the department are substantial and sustained.
- 17.5. Teachers who have been absent from work for sickness, disability or maternity-related reasons, along with those who are not subject to the Appraisal Regulations 2011 (i.e. a Teacher who is employed on a short-term contract of less than one term), may cite written evidence from a suitable and relevant period before the date of application in support of their application.

**17.6. Process**

- 17.6.1. The closing date for an application to be submitted by a Teacher to their appraiser is *(LA to insert date here - normally prior to the end of the Summer Term)*.
- 17.6.2. Exceptions may be made in some specific circumstances, e.g. those Teachers who are on maternity leave or on sick leave as at the closing date for receipt of applications. In such circumstances, the Teacher may request - at least 2 weeks before the specified closing date - an extension of no more than half a term for the submission of an application.
- 17.6.3. The process for applications is:
- Teacher to inform appraiser in writing that they wish to be considered for progression to the Upper Pay Range and that their personal objectives for the forthcoming appraisal period should reflect this request.

Following completion of the relevant appraisal period:

- The appraiser will complete an assessment pro-forma as shown in **Appendix 4**, setting out the appraiser's recommendation in relation to progression to the Upper Pay Range, following completion of the relevant appraisal period;
- The Line Manager will consider the appraiser's recommendation and will make a recommendation to the Head of Service / Pay Panel;
- The Head of Service / Pay Panel will make a decision about pay progression, following receipt of advice from the Line Manager;
- The Teacher will receive written notification of the outcome of their application by 31<sup>st</sup> October in the relevant year;

- Where the application is unsuccessful, the written notification will set out details of the areas of the Teacher's performance which are not considered to have satisfied the relevant criteria set out in this Policy (see 'Assessment' below);
- If requested, oral feedback will be provided by the Line Manager. Oral feedback will normally be given within 10 working days of the date of notification of the outcome of the application. Feedback will be given in a positive manner and will include advice and support about areas for improvement in order for the Teacher to meet the relevant criteria; and
- Where the application is successful the teacher will move to step 1 of the Upper Pay Range on 1<sup>st</sup> September in the relevant year i.e. following successful completion of objectives set in the academic year to 31<sup>st</sup> August 2023, the teacher will move to UPS on 1<sup>st</sup> September 2023.

17.6.4. Unsuccessful applicants may appeal the decision as outlined in **Appendix 8**.

### **17.7. Assessment**

17.7.1. An application will only be successful where the Head of Service / Pay Panel is satisfied that all of the requirements of the STPC(W)D have been met, including that:

- the Teacher is highly competent in all elements of the relevant standards; and
- the Teacher's achievements and contribution to an educational setting or settings are substantial and sustained.

17.7.2. For the purposes of this Pay Policy, the Head of Service / Pay Panel will be satisfied that the Teacher has met the Local Authority's expectations for progression to the Upper Pay Range where the Upper Pay Range criteria (see **Appendix 3**) have been satisfied as evidenced by a successful appraisal review.

17.7.3. Further information, including details about sources of evidence, is contained in the Local Authority's Performance Management Policy.

### **18. LEADING PRACTITIONER ROLE**

18.1. The Local Authority may establish Leading Practitioner posts for Teachers whose primary purpose is the modelling and leading improvement of teaching skills.

18.2. Where the Local Authority wishes to establish such posts it will determine the responsibilities and pay range for these posts. Consultation with relevant staff and trade unions will take place in relation to any such proposed changes to the staffing structure.

18.3. The Policy of the Local Authority will be to appoint any new Leading Practitioner Teacher to a 5-point range, as deemed appropriate by the Local Authority.

## MODEL UNATTACHED TEACHERS' PAY POLICY 2023/24

---

- 18.4. The pay range for Leading Practitioners will be in accordance with the STPC(W)D, which is currently a minimum of £48,248 per annum (i.e. Leadership Pay Point 1) and a maximum of £73,347 per annum (i.e. Leadership Pay Point 18).
- 18.5. The Local Authority will use the discretionary reference pay points detailed at **Appendix 1**.
- 18.6. Pay progression for Leading Practitioners will be determined as per the process set out at 16.3.1 to 16.3.4 above

### 19. UNQUALIFIED TEACHERS

- 19.1. A Teacher on the unqualified pay range will be paid an annual salary between £20,674 and £32,696 per annum. The Local Authority will use the discretionary reference pay points detailed at **Appendix 1**.
- 19.2. Under the Education (Specified and Registration) (Wales) Regulations 2010 there are specific circumstances when those other than qualified Teachers who are registered with the Education Workforce Council may carry out 'specified work'.
- 19.3. The Local Authority will comply with these legal requirements and will only employ unqualified Teachers as specified in these Regulations.
- 19.4. The Local Authority may pay an additional allowance to an unqualified Teacher who meets the criteria as defined in the STPC(W)D.
- 19.5. The Local Authority must award a Teacher on scale points 1 to 5 of the Unqualified Teacher Pay Scale progression of one point following completion of a year of employment completed during the previous school year, unless the Teacher has been notified through the formal capability process that service was unsatisfactory in respect of that year.
- 19.6. A person has completed a 'year of employment' if they have completed periods of employment amounting to at least twenty-six weeks in aggregate within the previous school year. For these purposes, a period of employment runs from the beginning of the week in which the employment commences to the end of the week in which the employment is terminated and includes any holiday periods and any periods of absence from work in consequence of sickness or injury, whether the person's service during that period has been full-time, part-time, regular or otherwise.
- 19.7. Pay progression on the 6-point Unqualified Teacher Pay Scale should be on an annual basis from 1<sup>st</sup> September, with an assumption in favour of progression unless an individual has been notified through formal capability procedures that service was unsatisfactory in respect of that year
- 19.8. The Head of Service / Pay Panel will record its decision regarding pay progression on the Annual Teachers' Pay Review Statement contained at **Appendix 2**. A copy of this form will be provided to the unqualified Teacher.

- 19.9. Where pay progression is granted, the unqualified Teacher's salary will be increased with effect from 1<sup>st</sup> September of the current academic year.
- 19.10. Where pay progression is not granted, the rationale for that decision will be recorded on the Annual Teachers' Pay Review Statement. The Teacher has the right to appeal against any decision not to grant pay progression. The appeals procedure is set out in **Appendix 8**.
- 19.11. An unqualified Teacher who obtains qualified Teacher status will be paid on the pay ranges for qualified Teachers, in accordance with this Pay Policy and STPC(W)D.

## **20. DISCRETIONARY ALLOWANCES AND PAYMENTS**

### **20.1. Teaching and Learning Responsibility Payments (TLRs)**

- 20.1.1. The Local Authority will award TLR1 and TLR2 payments to post holders as indicated in the staffing structure (see **Appendix 10**).
- 20.1.2. These payments will be awarded to Teachers who undertake clearly defined and sustained additional responsibility in the context of the service area's staffing structure for the purpose of ensuring the continued delivery of high quality teaching and learning and for which the Teacher is made accountable.
- 20.1.3. All job descriptions will be regularly reviewed and will make clear the responsibility or package of responsibilities for which a TLR is awarded.
- 20.1.4. The criteria for awarding a TLR1 and TLR2 payment will be in accordance with the STPC(W)D.
- 20.1.5. The minimum and maximum range for a TLR1 is £9,436 to £15,965 per annum.
- 20.1.6. The minimum and maximum range for a TLR2 is £3,271 to £7,986 per annum.
- 20.1.7. The value of TLRs currently in use is as follows
- TLR1** - (details of each TLR1 to be inserted here by LA)  
**TLR2** - (details of each TLR2 to be inserted here by LA)
- 20.1.8. The Local Authority may award a fixed-term TLR3 payment to a Teacher of between £650 and £3,225 per annum for a clearly time-limited school improvement project, or one-off externally driven responsibilities.
- 20.1.9. The duration of the fixed-term, and the amount of annual payment will be established at the outset and will be paid on a monthly basis.
- 20.1.10. Where the Local Authority wishes to make TLR3 payments, the proposed responsibilities, level of payment and the duration of payment will be set out clearly following consultation with relevant staff and union representatives.
- 20.1.11. A Teacher in receipt of either a TLR1 or 2 may also hold a concurrent TLR3.

20.1.12. No safeguarding will apply in relation to an award of a TLR3.

20.1.13. A TLR1 or 2 payment awarded to a part-time Teacher may be determined in accordance with the pro-rata principle and no less than contracted working hours or may be determined to be paid in full, if the teacher undertakes the full duties associated with the allowance. If the allowance is to be paid in full the duties agreed should be capable of being undertaken within the normal hours of the part-time teacher concerned. The appropriate level of allowance payment and duties should be agreed between the individual teacher and the Governing Body.

20.1.14. TLR3 allowances are paid in full, regardless of the hours that a part-time Teacher normally works under the contract of employment.

## **20.2. Additional Learning Needs (ALN) Allowances**

20.2.1. The Local Authority will award ALN allowances in accordance with the criteria and provisions set out in the STPC(W)D.

20.2.2. An ALN Allowance of no less than £2,585 per annum, and no more than £5,098 per annum, will be payable to a classroom Teacher in accordance with STPC(W)D.

20.2.3. The ALN values are: *(details of each ALN Allowance / value to be inserted here by LA)*

20.2.4. In deciding the ALN value, the Local Authority will take into account the structure of the ALN provision, whether any mandatory qualifications are required for the post, the qualifications or expertise of the Teacher relevant to the post, and the relative demands of the post.

## **20.3. Acting Allowances**

20.3.1. Acting allowances are payable to Teachers who are assigned and carry out the duties of Manager, Deputy Manager or Assistant Manager in accordance with the STPC(W)D.

20.3.2. The Local Authority will, within a four-week period of the commencement of acting duties, determine whether or not the acting post holder will be paid an allowance. In the event of a planned and prolonged absence, an acting allowance may be agreed in advance and paid from the first day of absence.

20.3.3. Any Teacher who carries out the duties of Manager, Deputy Manager, or Assistant Manager, for a period of four weeks or more, will be paid at an appropriate point of the Manager pay range, Deputy Manager pay range or Assistant Manager pay range, as determined by the Head of Service / Pay Panel. Payment will be backdated to the commencement of the duties but will normally be paid a month in arrears.

20.3.4. Acting allowances may also apply to Teachers covering absent colleagues in receipt of a TLR and / or ALN allowance.



20.3.5. Additional allowances may be payable to unqualified teachers in line with SCTP(W)D.

**20.4. Additional Payments**

20.4.1. With exception of those on the leadership range the Local Authority may make additional payments to a Teacher, in respect of:

- continuing professional development undertaken outside the working day;
- activities relating to the provision of initial Teacher training as part of the ordinary conduct of the service area;
- participation in out-of-school hours learning activity agreed between the Teacher and the Line Manager; and
- additional responsibilities and activities due to, or in respect of, the provisions of services by the Teacher relating to the raising of educational standards to one or more additional service areas / schools.

**20.5. Recruitment or Retention Incentive Benefits**

20.5.1. The Local Authority can award lump sum payments, periodic payments, or provide other financial assistance, support or benefits for a recruitment or retention incentive. In deciding any such awards, the Local Authority will have regard to the STPC(W)D and specialist HR advice.

20.5.2. Managers, Deputy Managers and Assistant Managers may not be awarded such a payment other than as reimbursement of reasonably incurred housing or relocation costs.

20.5.3. All other recruitment and retention considerations in relation to a Manager, Deputy Manager or Assistant Manager post will be taken into account when determining the pay range.

20.5.4. The reason for the award of any additional payment, the expected duration of any such incentive or benefit, and the review date after which they may be withdrawn will be made clear at the outset, in writing.

20.5.5. The Local Authority will conduct an annual review of all such awards.

**21. PART-TIME TEACHERS' PAY AND TIME CALCULATIONS**

21.1. Teachers employed on an ongoing basis but who work less than a full working week will be deemed to be part-time.

21.2. Part-time Teachers will be provided with a written statement detailing their working time obligations and the standard mechanism used to determine their pay, subject to the provisions of the statutory pay and working time arrangements and by

comparison with the service area's timetabled teaching week for a full-time Teacher in an equivalent post. This does not affect the TLR3 payment which is not pro rata for part-time staff. See **Appendix 9** for further information.

**22. TEACHERS EMPLOYED ON A SHORT-TERM NOTICE BASIS (SUPPLY)**

- 22.1. Teachers employed on a supply basis will be paid on a daily basis calculated on the assumption that a full working year consists of 195 days; periods of employment for less than a day being calculated pro rata.
- 22.2. It is recommended that if the school is using an agency, the school enters into a voluntary supply agency pledge whereby they only procure from agencies identified on the NPS Framework Approved Supply Agencies and commit to a minimum daily rate of M2 ÷ 195 days. The exception will be that when agencies on the NPS framework are unable to supply a suitably skilled teacher, the school will be able to approach alternative agencies but with a commitment to pay as a minimum, the M2 pay rate. If the Governing Body determines that they do not wish to enter into the Voluntary Supply Agency pledge, this paragraph will not apply.

**2023/24 PAY RANGES**

**Main Pay Range:**

<b>Point</b>	<b>Value</b>
MPR 2	£30,742
MPR 3	£33,212
MPR 4	£35,771
MPR 5	£38,587
MPR 6	£42,466

**Upper Pay Range:**

<b>Point</b>	<b>Value</b>
UPR 1	£44,024
UPR 2	£45,656
UPR 3	£47,340

**Leading Practitioner Pay Range:**

<b>Point</b>	<b>Value</b>
LP 1	£48,248
LP 2	£49,457
LP 3	£50,691
LP 4	£51,952
LP 5	£53,246
LP 6	£54,582
LP 7	£56,053
LP 8	£57,344
LP 9	£58,776

LP 10	£60,287
LP 11	£61,851
LP 12	£63,276
LP 13	£64,857
LP 14	£66,474
LP 15	£68,128
LP 16	£69,940
LP 17	£71,545
LP 18	£73,347

**Unqualified Teachers Pay Range:**

<b>Point</b>	<b>Value</b>
UNQ 1	£20,674
UNQ 2	£23,078
UNQ 3	£25,482
UNQ 4	£27,885
UNQ 5	£30,292
UNQ 6	£32,696

**Leadership Pay Range:**

<b>Point</b>	<b>Value</b>
L1	£48,012
L2	£49,213
L3	£50,441
L4	£51,697
L5	£52,985

L6	£54,316
L7	£55,776
L8	£57,064
L9	£58,488
L10	£59,990
L11	£61,547
L12	£62,966
L13	£64,540
L14	£66,148
L15	£67,794
L16	£69,598
L17	£71,195
<b>L18*</b>	<b>£72,263</b>
L18	£72,985
L19	£74,796
L20	£76,649
<b>L21*</b>	<b>£77,769</b>
L21	£78,547
L22	£80,497
L23	£82,490
<b>L24*</b>	<b>£83,699</b>
L24	£84,536
L25	£86,636
L26	£88,780
<b>L27*</b>	<b>£90,079</b>
L27	£90,980

L28	£93,236
L29	£95,545
L30	£97,923
<b>L31*</b>	<b>£99,347</b>
L31	£100,343
L32	£102,836
L33	£105,390
L34	£107,996
<b>L35*</b>	<b>£109,585</b>
L35	£110,681
L36	£113,420
L37	£116,240
L38	£119,117
<b>L39*</b>	<b>£120,811</b>
L39	£122,020
L40	£125,064
L41	£128,189
L42	£131,400
L43	£133,350

\* These points and Point L43 are the maximum scale points for the eight Head Teacher Group Ranges

ANNUAL TEACHERS' PAY REVIEW STATEMENT

<b>Name:</b> .....	<b>Employee No.:</b> .....
<b>Service Area:</b> .....	<b>Effective Date:</b> .....

**SALARY DETAILS**

Salary and Point - Main Pay Range (S2 - S6)	£	Point
Salary and Point - Upper Pay Range (S1 – S3)	£	Point
Salary and Point - Unqualified Range (S1 - S6)	£	Point
Salary and Leading Practitioner Range	£	Point

**ALLOWANCES**

Details e.g. temp  
(with dates), reason  
for allowance

Teaching and Learning Responsibility Payments (See Pay Policy Advice) TLR1 / TLR2 / TLR3	TLR____ £
Recruitment or Retention (See Pay Policy Advice)	£
Special Educational Needs Allowance (See Pay Policy Advice)	£
Other Allowances - Please specify (See Pay Policy Advice)	£
<b>SAFEGUARDING</b>	£
<b>TOTAL SALARY</b>	£

Head of Service / Pay Panel Meeting on: .....

Signature of Line Manager: ..... Date: .....

**UPPER PAY RANGE PROGRESSION CRITERIA**

**1. Professional Attributes**

- 1.1. Contribute significantly, where appropriate, to implementing workplace policies and practice and to promoting collective responsibility for their implementation.

**2. Professional Knowledge and Understanding**

- 2.1. Have an extensive knowledge and understanding of how to use and adapt a range of teaching, learning and behaviour management strategies, including how to personalise learning to provide opportunities for all learners to achieve their potential.
- 2.2. Have an extensive knowledge and well-informed understanding of the assessment requirements and arrangements for the subjects / curriculum areas they teach, including those related to public examinations and qualifications.
- 2.3. Have up-to-date knowledge and understanding of the different types of qualifications and specifications and their suitability for meeting learners' needs.
- 2.4. Have a more developed knowledge and understanding of their subjects/curriculum areas and related pedagogy including how learning progresses within them.
- 2.5. Have sufficient depth of knowledge and experience to be able to give advice on the development and wellbeing of children and young people

**3. Professional Skills**

- 3.1. Be flexible, creative and adept at designing learning sequences within lessons and across lessons that are effective and consistently well-matched to learning objectives and the needs of learners and which integrate recent developments, including those relating to subject/curriculum knowledge.
- 3.2. Have teaching skills which lead to learners achieving well relative to their prior attainment, making progress as good as, or better than, similar learners nationally.
- 3.3. Promote collaboration and work effectively as a team member.
- 3.4. Contribute to the professional development of colleagues through coaching and mentoring, demonstrating effective practice, and providing advice and feedback.



ASSESSMENT OF TEACHER APPLICATION TO PROGRESS TO UPPER PAY RANGE

For Completion by the Teacher's Appraiser

Teacher's Name:	
Post:	

**Evidence from most recent appraisal**  
Please state which appraisal statement is attached:

**\*Criteria Met**

**\*Criteria Not Met**

(\* Please delete as appropriate)

If criteria have not been met in full, please record details below (and continue overleaf, as necessary) about the areas of the Teacher's performance which do not satisfy the criteria:

Signed ..... (Appraiser)

Date: .....

TO BE SUBMITTED TO THE LINE MANAGER / HEAD OF SERVICE

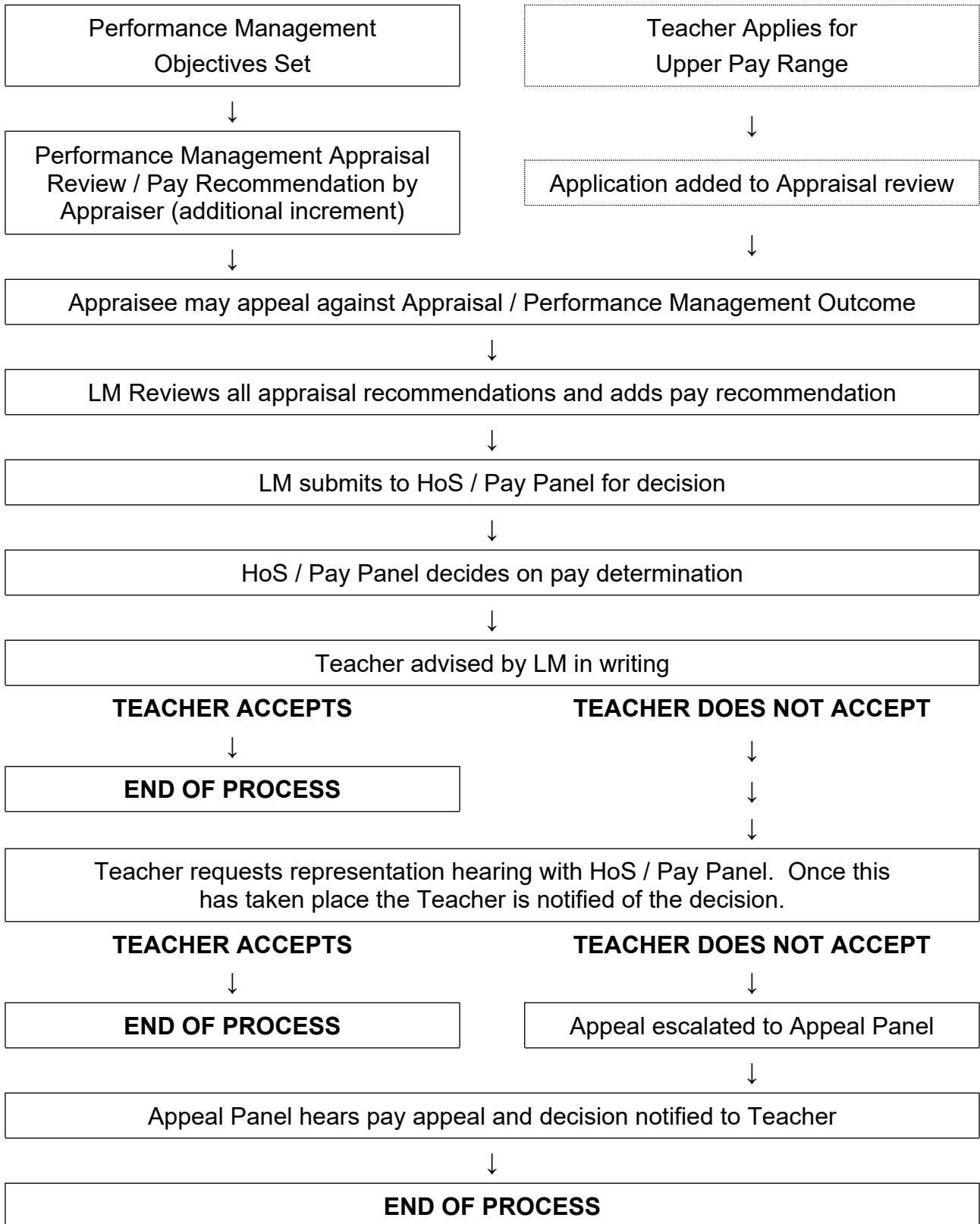
**Service Area Use Only**

Application Form Received on: .....

Assessment made on: .....

By: .....

**FLOWCHART OF PAY REVIEW PROCESS  
(Not including Manager)**



## LEADERSHIP TEAM SALARIES GUIDANCE

### 1. Manager and Leadership Team

A statutory 43 step Leadership Pay Scale has been reintroduced. Managers, Deputy Managers and Assistant Managers will be paid as determined by the Local Authority. These are set out below.

### 2. New Leadership Appointments / Changes to existing Leadership Pay Structures - Three Stage Process

The Local Authority should follow the three stage process when setting the pay for **new appointments or revising existing pay structures in respect of Managers or the wider leadership team.**

- Stage 1** - Defining the role
- Stage 2** - Setting the indicative pay range
- Stage 3** - Deciding the starting salary and individual pay range

All decisions and the reasons for them should be well documented at every stage. All pay decisions must be made on objective criteria so that there is no discriminatory effect of any group of Teachers with a particular protected characteristic under the Equality Act 2010.

It is suggested that Head of Service seek advice when calculating and recording leadership pay structure decisions

#### **Stage 1 - Defining the Role**

The Local Authority should, at this stage, define the job and identify the broad pay range as a provisional guide to determining appropriate level of pay. The Local Authority will need to define and set out the specific role, responsibilities and accountabilities of the post as well as the skills and relevant competences required.

For other leadership team posts, the Local Authority should consider how the role fits within the wider leadership structure of the service area. The pay range for a Deputy Manager or Assistant Manager should only overlap the Manager's pay range in **exceptional** circumstances.

#### **Stage 2 - Setting the Indicative Pay Range**

At this stage, the Local Authority will need to consider the complexity and challenge of the role in the particular context of the service and make a judgement on pay in light of this.

For Manager posts, it is expected that normally the Local Authority will conclude that the total unit score fully captures the complexity of the Manager role and that the relevant broad pay range accommodates appropriate levels of reward, in line with the

STPC(W)D. The Local Authority will need to consider whether the indicative pay range should start at the minimum of the Manager's pay scale or whether they wish it to start at a higher level because of the level of challenge of the post.

There may be circumstances, however, in which there are additional factors that suggest the indicative pay range should be higher than would be provided by the basic calculation in Stage 1.

The following represent some examples of additional factors to be considered (this list is not exhaustive):

- The context and challenge arising from pupils' needs e.g. if there is a high level of deprivation in the community (Free School Meal entitlement and / or English as an Additional Language) or there are high numbers of looked after children or children with Additional Learning Needs and this affects the challenge in relation to improving outcomes;
- A high degree of complexity and challenge e.g. accountability for multiple service areas / schools or managing across several dispersed sites, which goes significantly beyond that expected of any Manager of similar-sized service area / school(s) and is not already reflected in the pay range; and
- Factors that may impede the service area's ability to attract appropriately qualified and experienced leadership candidates e.g. location, language medium, subject area / specialism and / or level of support from the wider leadership team.

The Local Authority may set the indicative pay range with a **maximum of up to 25% above the top of the relevant Manager pay range.**

Above that limit, external independent advice must be sought and, should the advice suggest a range which exceeds this limit is appropriate, a business case must be made and agreed by the Head of Service.

The Local Authority **SHOULD NOT** increase base pay nor pay an additional allowance for regular local collaboration which is part of the role of all Managers.

For other leadership roles the process is broadly the same. The Local Authority will wish to consider how the other leadership roles should be set in accordance with the level set for the Manager and to ensure that there is sufficient scope for progression. Consideration should also be given to any teaching posts that carry additional allowances.

At the end of this stage, the Local Authority should decide where in the broad range to position the indicative pay range and set this out clearly when advertising the post. An overall judgement should be made on the position and breadth of range, allowing appropriate scope for performance-related progression over time, clearly linked to service / school improvement priorities and outcomes.

There should be a clear audit trail for all decisions made and the reasoning behind them.

It is also expected where possible that the Local Authority will undertake a process of benchmarking of salaries before setting the pay range for the Manager or other leadership posts.

For those factors which are not expected to persist, such as temporary responsibility for an additional service area / school, these should be reflected through an allowance rather than consolidated into the indicative pay range.

### **Stage 3 - Deciding the starting salary and Individual Pay Range for new appointments**

The first two stages provide the means for determining the appropriate pay range. The third stage is essentially about deciding on the starting salary for the individual who is to be offered the post.

At this stage, the Local Authority will have a preferred candidate for the role and will wish to set the starting salary in the light of candidate-specific factors, such as the extent to which the candidate meets the specific requirements of the post.

It will be important to ensure there is scope for performance-related progression over time.

There must be a clear audit trail for any advice given and a full and accurate record of all decisions made and the reasoning behind them.

### **3. Establishing a Pay Range above the Manager's Pay Scale**

The expectation is that in most cases the pay range will be within the limits of the Manager's pay scale. However, in some cases e.g. where there may be significant difficulty in making an appointment or there is a need to incentivise a Manager to take on responsibility for a very large service area / school or to lead multiple large service areas / schools, it may be appropriate to consider extending the individual pay range.

The Local Authority can, in such cases, decide that the maximum of the pay range may be above the maximum of the Manager's pay scale, **up to an additional 25%**.

If it is considered that there are exceptional circumstances that warrant an extension beyond that limit, a business case would be required. The Head of Service would need to seek external independent advice from an appropriate person or body who can consider whether it is justifiable to exceed the limit in a particular case.

There must be a clear audit trail for any advice given and a full and accurate record of all decisions made and the reasoning behind them.

### **4. Pay Progression for all Leadership Posts**

#### **Temporary Payments for Managers**

In addition, the Local Authority may consider an additional payment to the Manager in respect of clearly temporary additional duties and responsibilities or duties that are in

additional to the post for which their salary has been determined e.g. where they are providing services to other service areas / schools. Including where the Manager is appointed as a temporary Manager of one or more additional service areas / schools not included as a permanent factor in the calculation of the pay range.

**5. Salary Protection**

If the Local Authority chooses to reduce the leadership pay range, the member of staff will be entitled to receive a safeguarded sum for a period of up to three years, subject to the STPC(W)D.

MANAGER / DEPUTY MANAGER / ASSISTANT MANAGER  
ANNUAL REVIEW FORM  
(September 20\_\_)

<b>Name:</b> _____	<b>Employee No.:</b> _____
<b>Service Area:</b> _____	

**\* Manager:**

Pay Range:       £ \_\_\_\_\_ to   £ \_\_\_\_\_

**\* Deputy / Assistant Manager:**

Pay Range:       £ \_\_\_\_\_ to   £ \_\_\_\_\_

Salary and Point at August 20\_\_:   £ \_\_\_\_\_                      Point: \_\_\_\_\_

Rationale used for Pay Decision:  
\_\_\_\_\_  
\_\_\_\_\_

Revised Salary and Point at August 20\_\_:   £ \_\_\_\_\_                      Point: \_\_\_\_\_

Certified by Head of Service / Pay Panel: \_\_\_\_\_

Certified by Line Manager: \_\_\_\_\_                      Date: \_\_\_\_\_

**\* Please delete as appropriate**

**PAY REVIEW PROCESS**

The Local Authority is committed to ensuring that appeals against pay decisions are dealt with quickly, fairly and are consistent with equalities and other relevant legislation, as well as the STPC(W)D.

Teachers, including Managers, may appeal any determination in relation to their pay or any other decision taken by the Local Authority (or Pay Panel or individual acting with delegated authority) that affects their pay.

Reasons for appeal may include the following, which is not an exhaustive list. That the person or Panel making the decision:

- a) incorrectly applied any provision of the STPC(W)D;
- b) failed to have proper regard for statutory guidance;
- c) failed to take proper account of relevant evidence;
- d) took account of irrelevant or inaccurate evidence
- e) was biased; or
- f) otherwise unlawfully discriminated against the Teacher.

For both the representation hearing and the appeal hearing, the Teacher is entitled to be accompanied by a work colleague or trade union representative.

This is not a cyclical process. A teacher may choose to go through all three stages or may choose to progress directly to Stage 3 Appeal. If an individual wishes to progress straight to stage 3 of the process then they are advised to take advice from a TU representative at the earliest opportunity.

**Stage 1 - Informal Discussion**

A Teacher who is dissatisfied with a pay recommendation has the opportunity to discuss the recommendation with their appraiser or Line Manager before the recommendation is actioned and confirmation of the pay decision is made by the Local Authority.

If, having had an informal discussion with the person making the pay recommendation, the Teacher believes that an incorrect recommendation has been made, they may make representation to the Head of Service / Pay Panel (see Stage 2 below).

**Stage 2 - Representation Hearing**

1. The Teacher receives written notification of the pay determination and, where applicable, details of the basis on which the decision was made. The Head of Service / Pay Panel will ensure the Teacher is aware of the process for making representation and appealing against the decision, if appropriate.
2. If the Teacher wishes to make representation, they should do so by writing to the Head of Service / Pay Panel within 10 working days of receiving the decision. The decision to request a representation hearing rests with the teacher.



3. The Head of Service / Pay Panel will arrange for a representation hearing to take place as soon as possible, which will be chaired by them. The Line Manager may be required to attend the hearing to clarify the grounds for the pay recommendation.
4. The Teacher will be provided with between 5 and 10 working days' notice of the representation hearing. The Teacher may attend the hearing in order to present evidence, call witnesses and ask questions of the Head of Service / Pay Panel.
5. The Head of Service / Pay Panel will decide if the original pay determination is to be amended and will write to the Teacher about the outcome within 5 working days of the decision being reached.
6. Where the Teacher continues to be dissatisfied, they may appeal this decision within 10 working days of receiving the Head of Service / Pay Panel's outcome letter by proceeding to Stage 3 of the process.

### **Stage 3 - Appeal Hearing**

1. The Teacher should clearly set out in writing the grounds for appealing the pay decision and send it to the Line Manager or other designated person (as agreed) within 10 working days of receipt of the written outcome of the Stage 2 decision (see above).
2. The Line Manager will arrange for an appeal hearing to take place as soon as possible, but normally within 20 working days of the receipt of the written appeal notification.
3. The Teacher should be provided with between 5 and 10 working days' notice of the hearing.
4. The appeal should be heard by a Panel. The Panel will comprise of a Head of Service and a Manager who were not involved in the original decision. In a Pupil Referral Unit, the appeal will be heard by members of the PRU Management Team not involved in the original decision.
5. The Appeal Panel's decision is final and, as set out in Section 3, paragraph 7 of the STPC(W)D 2021, there is no recourse to the Local Authority's Grievance Procedure.
6. Those required to attend the appeal hearing include:
  - Chair and other Appeal Panel members
  - The Teacher and their representative or work colleague (if the Teacher is accompanied)
  - Witnesses for the employee side (if appropriate)
  - The Head of Service / Chair of Pay Panel who made the original decision, who will clarify the reasons for the original decision
  - Witnesses for the management side (if appropriate)
  - Clerk to the hearing
  - HR Adviser to give advice to the Appeal Panel (subject to the provisions of any Service Level Agreement)

**A model procedure for formal appeal meetings**

Chair introduces everyone and their role in the proceedings.

- The Teacher will present their case including any evidence to be considered and any witnesses they have called;
- Appeals Panel members may ask questions of the Teacher, as may the Head of Service / Pay Panel representative;
- Head of Service / Pay Panel representative will state their case including the evidence on which the decision was based and call any witnesses to support the case, if appropriate
- Appeals panel members may ask questions of the Head of Service / Pay Panel representative, as may the Teacher;
- Both parties may make a closing statement if they wish (Teacher first, followed by Head of Service / Pay Panel representative). No new evidence can be introduced at this stage;
- Both parties leave the hearing;
- The Appeals Panel may request advice from the HR Adviser (if applicable). Once this has been given, the HR Adviser will leave the hearing but may be recalled for further advice (if applicable);
- The Appeals Panel will consider all the evidence and reach a final decision;
- The Appeals Panel will call the parties back to inform the Teacher of the decision (if awaiting the decision) or instruct the Clerk to write to the Teacher on their behalf with their decision and the reasons for it; and
- The Clerk will notify the Payroll Department of change of pay, if appropriate.

**PART-TIME TEACHERS' PAY AND TIME CALCULATIONS**

A School's Timetabled Teaching Week must be established and a part time Teacher must be paid a proportion of the STTW.

The Local Authority must establish a STTW week for each Teacher, this refers to school sessions hours that are timetabled for teaching, including PPA but excluding break times, registration and assemblies.

Part-time Teachers will then be paid on actual teaching time excluding registration assemblies and breaks.

For Example:

If the school day, excluding registration and assembly, runs from 9.00am to 12.15pm and again from 1.15pm to 3.30pm with one 15 minute break in the morning session and one 15 minute break in the afternoon session, the STTW for a full-time Teacher would be calculated as 25 hours. If a part-time Teacher were employed for mornings only working 9.00am to 12.15pm every day, their percentage of the timetabled teaching week would be calculated as 15 hours. This is shown below:

	Morning Session (less breaks, registration & assembly)	+	Afternoon Session (less breaks, registration & assembly)	x	No. of Days in Timetable	=	STTW	% of STTW
Full-Time	3 Hours	+	2 Hours	x	5 Days	=	25 Hours	100%
Part-Time	3 Hours			x	5 Days	=	15 Hours	60%

**PPA and Management Time** must be included when calculating class contact time.

**Directed Time** - a Line Manager may allocate directed time to part-time Teachers (subject to conditions) as a proportion of a FTE 1265. Part-time Teachers can now be directed to cover breaks, assemblies and registration as part of their directed duties.

Part-time Teachers cannot be required to be available for work (either for teaching or other duties) on days they do not normally work. However, they may attend by mutual agreement with the Line Manager. Any resultant additional hours should be paid at the Teacher's normal salary.

Part-time Teachers may be required to carry out duties, other than teaching pupils, outside school sessions on the day on which the Teacher is normally required to be available for work (whether the Teacher is normally required to be available for work for the whole or part of that day). This can form part of directed time.

**SERVICE AREA'S STAFFING STRUCTURE**

(LA to enter details below as applicable at the time of this Pay Policy being adopted by the Local Authority)

This page is intentionally left blank

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14 December 2023

**Title:** Ceredigion County Council Petition Scheme to include e-petitions

**Purpose of the report:** To consider amendments to Ceredigion County Council Petition Scheme to include e-petitions

**For:** Decision

**Cabinet Portfolio and Cabinet Member:**

**Councillor Bryan Davies, Leader of the Council and Cabinet Member for Democratic Services, Policy, Performance and People and Organisation**

**Introduction**

Section 42, Chapter 4 of The Local Government and Elections (Wales) Act 2021 places a duty on local authorities to set out a petition scheme, including electronic petitions. The Welsh Government Statutory and Non-Statutory Guidance for Principal Councils in Wales, supporting provisions within the Local Government Act 2000, the Local Government (Wales) Measure 2011 and the Local Government and Elections (Wales) Act 2021 was finalised in June 2023.

The Council's current Petition Protocol is outlined in Document O of the Council's Constitution. This document has been reviewed to reflect the requirements of the legislation in relation to electronic petitions as well as the draft statutory guidance which includes:

- A clear explanation of the matters about which the council will accept petitions, including the criteria for making a decision to accept or reject a petition;
- How and where advice will be given to petitioners to enable them to engage productively with the process, including measures in place for disabled people and individuals with long term health conditions and neurodiversity;
- A clear understanding of the different stages in the petitions scheme, with an explanation of what thresholds will be used to determine the transition from one stage to another;
- How petitions fit in with other opportunities for the public to be involved – and signposting to other opportunities, either as complementary to a petition or instead of it, including connecting the potential petitioner with their ward councillor;
- The correct body to consider a given petition. It is right for petitions to be heard by a variety of different bodies, although the default is likely to be full Council unless it is seen as especially useful for the petition to be heard by a committee that focuses specifically on the subject matter of the petition itself;

- Petition schemes will need to consider where petitions are considered in scrutiny committees. These committees have no power to act on petitions but could (for example) adopt petitioners' arguments as formal recommendations;
- The rights of petitioners to speak in meetings, and how this engages with wider public speaking rights, and rights to make deputations;
- How and within what timeframe the council will provide feedback to the petitioner on the success or otherwise of their petition.

In addition to the above requirements, consideration has been given to the following:

**a) Petitions will not be acceptable from other in-line petition systems**

The Guidance document does not stipulate the requirements in relation to this however, the recommendation within the petition scheme is reflective of the Wales Senedd practice

**b) Electronic Petitions may collect signature for a maximum period of 3 months**

The Guidance document does not stipulate the requirements in relation to this. The Wales Senedd (Standing Order 23) stipulates a maximum period of 6 months, however it is proposed that Ceredigion stipulate a maximum period of 3 months, in order to reflect a quicker response to local matters

**c) Petitions that are the same or substantially similar to a petition which closed less than a year earlier are inadmissible**

The Guidance document does not stipulate the requirements in relation to this however, the recommendation within the petition scheme is reflective of the Wales Senedd practice

**d) The correct body to consider a given petition.**

The guidance states that *'it is right for petitions to be heard by a variety of different bodies, although the default is likely to be full Council unless it is seen as especially useful for the petition to be heard by a committee that focuses specifically on the subject matter of the petition itself'*. The Council's Constitution recommends that petitions are heard by Cabinet. The scheme does however provide for an opportunity for Members to refer matters to the relevant Overview and Scrutiny Committee for consideration.

**e) Opportunities of petitioners to speak at the Committee**

Currently, the Constitution does not stipulate a right for the petitioner to speak at Committee, however there is already a mechanism for members of the public to request permission to speak during Scrutiny meetings.

The above recommended amendments can be viewed in the draft revised Petition Protocol available in Appendix A.

The proposed scheme was considered by the Democratic Services Committee at its meeting dated 20 September 2023, and recommended for approval by Council. It has also been considered by the Constitution Cross Party Working Group.

**Wellbeing of Future Generations:**

**Has an Integrated Impact Assessment been completed? If, not, please state why.**  
No, this is to reflect amendments to legislation.

**Summary of Integrated Impact Assessment:**

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

**Recommendation(s):**

**That Council:**

- a) approves the draft revised Petition Protocol
- b) recommend that the current document in the Council's Constitution is replaced with the revised protocol.

**Reasons for decision:**

**To ensure compliance with statutory requirements**

**Overview and Scrutiny:**

N/A

Considered by the Democratic Services Committee

**Policy Framework:**

Ceredigion County Council's Constitution

**Corporate Well-being Objectives:**

N/A

**Finance and Procurement implications:**

N/A

**Legal Implications:**

Failure to comply with statutory requirements

**Staffing implications:**

The e-petition scheme will be managed within current resources

**Property / asset implications:**

N/A

**Risk(s):**

Failure to comply with statutory requirements

**Statutory Powers:**

Welsh Government Statutory and Non Statutory Guidance for Principal Councils in Wales;

The Local Government Act 2000;

The Local Government (Wales) Measure 2011;

The Local Government and Elections (Wales) Act 2021.



**Background Papers:**

N/A

**Appendices:**

- a) Draft Ceredigion County Council Petition Scheme
- b) Current Petitions Protocol as published in the Council's Constitution

**Corporate Lead Officer:**

Lowri Edwards, Corporate Lead Officer, Democratic Services

**Reporting Officer:**

Nia Jones, Corporate Manager, Democratic Services

**Date:**

14.11.2023

# Ceredigion County Council Petition Scheme

## Determination of the Proper Form of Petitions

Ceredigion Council has made the following determination of the proper form of public petitions submitted under Section 44 of the Local Government and Elections (Wales) Act 2021.

## Means and format for submissions

1. Petitions may be submitted on paper or electronically using the Ceredigion County Council online petition system, or a combination of the two.
2. People can only sign a petition once. If they sign the petition online, they will be asked to verify their e-mail address. People cannot sign both an online and a paper petition and may be removed if it is proven that a petitioner has signed twice.
3. Petitions will not be accepted from other on-line petition systems.
4. Electronic Petitions may collect signature for a maximum period of 3 months.
5. For a paper petition the petition wording should be set out in full on each sheet (or side of a sheet) where signatures and addresses are asked for

## Wording

1. Electronic petition wording must be set out bilingually in Welsh and in English.
2. Petitions should be submitted in good faith and addressed to Ceredigion County Council. They should call for Ceredigion County Council to take some specific action, for example:  
*'We call on Ceredigion County Council to...'*

## Information

The petition must clearly indicate:

1. The name of the petitioner, who may be an individual or an organisation. This includes anyone under the age of 18.
2. The petitioner's address, which must be in Ceredigion to which all communications concerning the petition should be sent.
3. A date for your petition to stop collecting signatures.

## Admissible Petitions

Petitions must relate to the matters which fall under the jurisdiction of Ceredigion County Council, with the exception of the inadmissible criteria below.

## Petitions that are not admissible

1. Petitions relating to anything which does not come under the Council's jurisdiction
2. Petitions that are the same, or substantially similar to a petition which was closed less than a year earlier
3. Petitions relating to planning or licensing applications

4. Statutory petitions, or petitions relating to Local Authority Referendums which falls under the Local Authorities (Referendums) (Petitions and Directions) (Wales) Regulations 2001
5. Petitions asking the Council to adjudicate, arbitrate or mediate personal or commercial interests this is the role of a court or tribunal)
6. Petitions on matters that are subject to legal proceedings in the courts
7. Petitions on matters that are already subject to determination by an ombudsman (or person with similar powers)
8. Petitions that are essentially Freedom of Information (FOI) requests, comments, compliments or complaints. Please see information on the Ceredigion County Council website as follows:  
**Freedom of Information Requests**  
<http://www.ceredigion.gov.uk/your-council/data-protection-freedom-of-information/freedom-of-information/>  
**Submitting Comments, Compliments and Complaints:**  
<http://www.ceredigion.gov.uk/your-council/comments-compliments-and-complaints/>
9. Petitions which raise issues of possible councillor misconduct will be taken as complains arising under the Local Government Act 2000 and will be reported to the Ethics and Standards Committee rather than considered under this petition scheme
10. Petitions relating to the jurisdiction of Town and Community Councils.

**Petitions must not contain**

1. Language which is offensive, intemperate or provocative. This not only includes obvious profanities, swear words and insults, but any language which a reasonable person would regard as offensive
2. Potentially false or potentially defamatory statements
3. Information which is prohibited from being published by an order of a court or a body or person with similar power
4. Materials which is potentially confidential, commercially sensitive, or which may cause personal distress or loss
5. Any commercial endorsement, promotion of any product, service or publication or statements that amount to advertisements;
6. The names of officials of public bodies, unless they are part of the senior management of those organisations;
7. The names of family members of elected representatives or officials of public bodies;
8. The names of individuals, or information where they may be identified, in relation to criminal charges;
9. Issues for which a petition is not the appropriate channel (for example, correspondence about a personal issue).

In the period immediately before an election or referendum we may need to deal with your petition differently. If this is the case we will explain the reasons and discuss the revised timescale which may apply.

### **Submitting an e-petition using the Council's online system.**

The Council's online petition system can be accessed here: [xxxxxxx](#)

You will be asked to input the following information:

- a) Title and the text of the petition
- b) Your name
- c) Your e-mail
- d) Your Address
- e) A date for your petition to stop collecting signatures. Petitions may collect signatures for a maximum period of 3 months. It might be worth bearing in mind that the Council will not consider your petition until after it has finished collecting signatures.

### **Acknowledging receipt of submission of an electronic petition**

Once you have submitted your petition, you will receive an e-mail confirming that it has been received. Democratic Services will then consider it against the rules for petitioning the Council as set out above.

If your petition is admissible as you have worded it, it be published on our website within 10 working days of receipt and can begin to collect signatures. We will confirm this by e-mail and send you the link to your petition.

If your petition is inadmissible, we will let you know and tell you the reason that it cannot go forward. It might be that the issue raised by your petition is admissible in principle, but there are some aspects of the wording which fall outside the rules. In these situations the Democratic Services team will contact you to suggest ways in which you can change the wording so that it complies fully with the rules. Once you are happy with the final wording, your petition will be published within 10 working days of confirmation of the revised wording and can begin collecting signatures.

If your petition is inadmissible as set out in the rules above and cannot be rectified by means of amending the wording, we will let you know and tell you the reason that it cannot go forward. The title and text of the petition will be published online as part of the list of inadmissible petitions, along with an explanation about why it wasn't admissible.

### **Handing in your petition**

For e-petitions, the first working day following the date stipulated to stop collecting signatures will be deemed to be the 'handing in' date. The e-petition will then be forwarded to the relevant Corporate Lead Officer, or in their absence, the relevant Corporate Director.

Any paper petition should be received by a Member, Chief Executive, Corporate Director or Corporate Lead Officer.

Any petition received should be immediately forwarded to the relevant Corporate Lead Officer, or in his / her absence, the relevant Corporate Director for the topic in question.

### **Acknowledging Receipt of all petitions**

A Democratic Services Officer will acknowledge receipt of the petition within 10 working days of the 'submission date'. The admissibility of electronic petitions are verified at the outset of the process, however if any paper petition is deemed to be inadmissible for the reasons outlined in the section above, you will be informed of the reason why it cannot go forward.

**NOTE** - Petitions should be acknowledged by writing to the first signatory to the petition, or to the person submitting the petition if it is accompanied by a covering letter, or if it is submitted electronically.

### **Steps taken by the Council in response to a petition received**

The Democratic Services Officer will forward a copy of the front sheet of the petition, together with an estimate of the number of signatories, to the relevant Corporate Lead Officer / Corporate Director / Chief Executive. The Head of Democratic Services shall maintain a register of all petitions received.

The Democratic Services Officer will report receipt of the petition to the next available Cabinet meeting and will retain custody of the original petition. The exact wording of the petition title will be reported to Cabinet, along with number of petitioners. This information will appear on the Cabinet agenda.

The relevant Corporate Director / Corporate Lead Officer will take the petition into account in making any delegated decision and will refer to it in any report to Cabinet regarding the topic in question.

The relevant Corporate Director / Corporate Lead Officer will notify the person submitting the petition of any outcome resulting from the petition.

### **Other Engagement Opportunities**

The relevant Cabinet Member will be made aware of the petition, and where the subject matter affects particular wards, the councillors representing those wards will also be notified of the receipt of the petition.

This will provide an opportunity for those Members to connect with the petitioner and to consider alternative or complimentary methods of dealing with the matter, such as submitting a letter requestion consideration of parking restrictions in a particular area or referring a matter to Scrutiny for consideration.

### **Equality and the Welsh Language**

In implementing the Petition Protocol, Ceredigion County Council will make regard to the statutory duties in respect of equalities, Welsh Language and the Well-being of Future Generations (Wales) Act 2015.

### **Data protection and GDPR**

We will keep all petitions for 6 years. After that time it will be safely and securely destroyed.

## **PETITIONS PROTOCOL**

1. Any petition (excluding a petition received in response to a Planning application or a Licensing matter) should be received by a Member, Chief Executive, Corporate Director or Corporate Lead Officer.
2. Any petition received by a member of staff or Member should be immediately forwarded to the relevant Corporate Director, or in his / her absence, the relevant Corporate Lead Officer for the topic in question.
3. The relevant Cabinet Member (and local Member where appropriate) should be made aware of the petition.
4. The relevant Corporate Director / Corporate Lead Officer will acknowledge receipt of the petition within two working days of receipt and forward a copy of the front sheet of the petition, together with an estimate of the number of signatories, to the Chief Executive and to the Head of Democratic Services. The Head of Democratic Services shall maintain a register of all petitions received.
5. The relevant Corporate Director / Corporate Lead Officer will report receipt of the petition to the next available Cabinet meeting and will retain custody of the original petition. The exact wording of the petition title will be reported to Cabinet, along with number of petitioners. This information will appear on the Cabinet agenda.
6. The relevant Corporate Director / Corporate Lead Officer will take the petition into account in making any delegated decision and will refer to it in any report to Cabinet or Council (as appropriate) regarding the topic in question.

### **NOTE**

Petitions should be acknowledged by writing to the first signatory to the petition, or to the person submitting the petition if it is accompanied by a covering letter.

This page is intentionally left blank

## CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14<sup>th</sup> December 2023

**Title:** Amendments to the Constitution

**Purpose of the report:** To consider amendments to the Constitution  
**For:** Decision

**Cabinet Portfolio and Cabinet Member:** Cllr Matthew Vaux, Cabinet Member for Partnerships, Housing, Legal and Governance 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 currently published version (19/7/23) of the Council's Constitution is available at:

<https://www.ceredigion.gov.uk/media/9959/constitution-eng.pdf>

Most recently, changes to the Constitution were approved by Council on the 13<sup>th</sup> of July 2023. (meeting minutes – [Council Minutes 13.07.2023](#))

A meeting of the Cross-Party Constitution Working Group took place on the 26<sup>th</sup> September 2023 and 14<sup>th</sup> of November 2023 during which the amendments presented in this report were considered and approved.

### **Current position**

#### **Proposed Changes to the Constitution**

All changes are summarised below and are shown in the appendices using 'tracked changes'.

#### **1)Part 2 Articles**

##### **Article 6**

##### **Overview and Scrutiny Committee**

6.3.2.7.7: Add - Councillor Calls for Action

##### **Article 8**

Democratic services Committee -amend terms of reference update

##### **Article 9.1 - Ethics and Standard Committee –Terms of Reference**

Specify Vice-chair is a lay member

##### **Article 9.2 Governance and Audit Committee –amend Terms of Reference**

specify Vice-chair will be a lay member



### **New Article 9.3 Charity Trustee Committee**

- Terms of Reference
- Vice-Chairs-change to voting
- quorum 3 out of 10.

### **Joint Committee for the National Adoption Service;**

Article 16 – add

### **2) Part 3 Responsibility for Council Functions**

Minor changes e.g. replacement of ‘Chairman’ and ‘Vice-Chairman’ for Charity Trustee Committee with ‘Chair’ and ‘Vice Chair’

### **Part 3.2 (Table 2) – Responsibility of Council Functions**

#### **Add in new paragraph 26:**

Functions in respect of Section 108 – Local Government and Elections (Wales) Act 2021

- a) S91 (a) self-assessment: report
- b) section 91(8) (response to recommendations about report
- b) S91(8) response to report of panel performance assessment);
- c) S92(1) appointment of performance assessment panel;
- d) S93(1) response to recommendations about response to report of panel assessment
- e) S93(5) response to recommendations about response to report of panel;
- f) S96(1) Auditor General for Wales reports:  
response to recommendations from the Auditor General for Wales,
- g) S96(5) response to recommendations about response to the Auditor General for Wales,
- h) S102 request to the Welsh Ministers for support and assistance

### **Part 3.3 Table 3 -**

Democratic Services Committee-reference to remote pilot exercise  
Governance & Audit Committee-reference to remote pilot exercise

Charity Trustee Committee – New table

### **Scheme of Delegation to Officers**

#### **Part 3.5 Doc G** – CLO-Policy, Performance & Public Protection

Add Single Use Plastic Products to the table under the Environmental Protection (Single-Use Plastic Products) (Wales) Act 2023.

Doc K - CLO-Lifelong Learning - reviewed functions

Doc J – CLO-Porth Cynnal targeted Intervention Services  
-Amendment - Through Age Wellbeing

### **3) Part 4 Rules of Procedure**

**Contract Procedure Rules**

Doc G Tender Acceptance /Framework-align para 18.2 Update

**4) PART 5-** Codes & Protocols

DOCUMENT O E-Petitions Protocol update

Doc P Roles & Responsibilities of the Director of Social Services- Update

Doc R: Protocol for attendance at local Authority meetings & electronic broadcasts

**5) Part 6 Management Structure-**

amended

**6) Part 7-** Section 4

**Mid Wales CJC-Sub-Committee representation**

**Joint Committee for the National Adoption Service;**

Add new table

**PROPOSAL**

It is proposed that Council approves the changes to the Constitution as set out in Appendix 1-10

<b>Wellbeing of Future Generations:</b>	<p><b>Has an Integrated Impact Assessment been completed?</b>  <b>If, not, please state why</b>  <b>Summary:</b> This report does not represent a change in policy or strategy  <b>Long term:</b>  <b>Collaboration:</b>  <b>Involvement:</b>  <b>Prevention:</b>  <b>Integration:</b></p>
-----------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

**Recommendation(s):** That the Council resolves to:

1. Approve the changes to the Constitution (at **Appendices 1 – 10**); and
2. Authorise the Monitoring Officer to update the Council’s Constitution to reflect the above changes.

**Reasons for recommendations:**

- Adherence to legislation
- Ensuring that the Constitution is fit for purpose

**Overview and Scrutiny:** n/a  
**Policy Framework:** Constitution

**Corporate Priorities:** n/a

**Finance and Procurement implications:** None

**Legal Implications:** Compliance 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.

**Statutory Powers:** Local Government and Elections (Wales) Act 2021  
<https://www.legislation.gov.uk/asc/2021/1/contents>  
 Elections Act 2022  
<https://www.legislation.gov.uk/ukpga/2022/37/contents>

**Background Papers:** Report to Council – 13<sup>th</sup> July 2023 and Meeting Minutes available at:  
[Council Meeting Minutes 13.7.23](#)

**Appendices:**

**Corporate Officer:** **Lead** Elin Prysor – Corporate Lead Officer: Legal & Governance (& Monitoring Officer)

**Reporting Officer:** Elin Prysor

**Date:** 14.12.2023



This page is intentionally left blank

**PART 2**  
**ARTICLES OF THE CONSTITUTION**

# Contents

\_Toc115354100

ARTICLE 1 – THE CONSTITUTION.....	1
ARTICLE 2– MEMBERS OF THE COUNCIL.....	2
ARTICLE 3 – CITIZENS AND THE COUNCIL.....	4
ARTICLE 4 – THE FULL COUNCIL.....	6
ARTICLE 5 – CHAIRING THE COUNCIL.....	11
ARTICLE 6 – OVERVIEW AND SCRUTINY COMMITTEES.....	12
ARTICLE 7 – CABINET.....	17
ARTICLE 8 – REGULATORY COMMITTEES.....	20
ARTICLE 9 – THE ETHICS AND STANDARDS COMMITTEE, GOVERNANCE AND AUDIT COMMITTEE.....	24
<b>ARTICLE 9.3 - THE CHARITY TRUSTEE COMMITTEE.....</b>	<b>32</b>
ARTICLE 10 – JOINT ARRANGEMENTS.....	32
ARTICLE 11– OFFICERS.....	35
ARTICLE 12 – DECISION-MAKING.....	57
ARTICLE 13 – FINANCE, CONTRACTS AND LEGAL MATTERS.....	59
ARTICLE 14 – REVIEW AND REVISION OF THE CONSTITUTION.....	60
ARTICLE 15 – SUSPENSION, INTERPRETATION AND PUBLICATION OF THE CONSTITUTION.....	
ARTICLE 16 – CORPORATE JOINT COMMITTEES.....	68

## **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 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 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 approving, reviewing and amending the Council’s Petitions Protocol;
- 4.4.16 preparing an annual report on the extent to which the Council has met its performance requirements;
- 4.4.17 making arrangements for a panel performance assessment and responding to the panel’s report;

- 4.4.18 considering Chief Executive reports prepared pursuant to section 54(2)(b) of the Local Government and Elections (Wales) Act 2021, within 3 months of them being made;
- 4.4.19 considering annual reports received from the Ethics and Standards Committee, within 3 months of them being made;
- 4.4.20 performing the corporate joint committee functions set out in Article 16 of this Constitution, including the making of a corporate joint committee application and the giving of consent to corporate joint committee regulations being made;
- 4.4.21 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](http://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 CHAIR OF COMMITTEES**

The Chair of the Council shall not serve concurrently as Chair of any Committee of the Council.

Chairs and Vice-Chairs of Committees shall serve for a term of two municipal years and may hold one Committee Chair and one Committee Vice-Chair post concurrently and may not seek re-election for the succeeding term in relation to the relevant committee/s of which they hold 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.

<b>Committee</b>	<b>Scope</b>
<b>Co-ordinating Committee (10 Members)</b>	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
<b>Corporate Resources (13 Members)</b>	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.
<b>Healthier Communities (13 Members)</b>	Social Services, Integrated Care Services, Housing services, Leisure and Recreation Facilities, Environmental Health, Public Protection and Licencing.
<b>Learning Communities (13 Members)</b>	Lifelong Learning, Children and Young People, Schools, Training, Youth Services and Cultural Services.
<b>Thriving Communities (17 Members)</b>	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).
  - 6.3.2.7 review or scrutinise decisions made, or actions taken, by the Ceredigion Public Services Board. The Overview and Scrutiny Co-ordinating Committee may:
    - 6.3.2.7.1 review or scrutinise decisions made, or other action taken, by the Ceredigion Public Services Board;
    - 6.3.2.7.2 review or scrutinise the Ceredigion Public Services Board's governance arrangements;

- 6.3.2.7.3 make reports or recommendations to the Ceredigion Public Services Board with respect to the board's functions or governance arrangements;
- 6.3.2.7.4 consider such matters relating to the board as the Welsh Ministers may refer to it and to report to the Welsh Ministers accordingly; and
- 6.3.2.7.5 copy reports to the Ceredigion Public Services Board regarding the board's functions and governance arrangements to: -
  - (a) the Welsh Ministers;
  - (b) the Future Generations Commissioner for Wales; and
  - (c) the Auditor General for Wales.
- 6.3.2.7.6 require one or more of the attendees at the Ceredigion Public Services Board, or anyone designated by such a person, to attend a meeting of the Overview and Scrutiny Committee and provide it with explanations of such matters as it may specify.

#### 6.3.2.7.7 Consider Councillor Calls for Action

- 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**

Ceredigion County Council – Part 2 Articles of the Constitution  
ARTICLE 8 – REGULATORY COMMITTEES  
Updated November 2023

- 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.
- 1.1.1 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.
- 1.1.2 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.

## 8.4 Democratic Services Committee

8.4.1 See Part 3.3 (Table 3) (Committees of the Council) of this Constitution for functions of the Democratic Services Committee.

8.4.2 The Committee shall comprise of 6 politically balanced Councillor Members. It should consist solely of councillors, and cannot include more than one member of the executive or assistant to the executive. Any executive member must not be the Council Leader.

8.4.3 The Council shall appoint Members to the Democratic Services Committee in accordance with the political balance rules.

8.4.4 The Chair will be appointed by the Council and will serve for a term of two consecutive municipal years (in accordance with Article 5.2 of Part 2 of the Constitution). The Chair must not be a member of any of the political groups represented in the executive. The exception to this is when a council has no opposition groups. In this case, any member of the Democratic Services Committee can be appointed as chair provided the member is not a member of the executive.

### 8.4.5 Co-option

The Measure does not provide the Committee with powers to co-opt persons onto the Committee.

### 8.4.6 Sub-committees

The Committee may appoint sub-committees as and when required and delegate functions to them. The Committee will appoint the Chairman of any sub-committee.

### 8.4.7 Attendance to answer questions

The Committee (and any sub-committee) has the power to require the attendance of any Members or Officers of the Council to answer questions and can invite anyone else it likes to do so also. If a member or officer is required to attend they must answer any questions unless the question is one which they would be entitled to refuse in a court.

### 8.4.8 Access to information

The Committee's proceedings are subject to the Council Access to Information Rules as found in Document B Part 4 of the Constitution.

### 8.4.8 Frequency of meetings

The Committee is required to meet at least once in any municipal year, however the Democratic Services Committee will aim to meet at least three times in any municipal year

A meeting of the Committee can also be convened if the full Council so decides or at least a third of the members of the Committee demands a meeting. There is no limit on the maximum number of meetings a Democratic Services Committee may hold.

#### 8.4.10 Welsh Government Guidance

The Committee must have regard to guidance from Welsh Ministers when exercising its functions.

#### 8.4.11 Reports of the Head of Democratic Services

Any report presented to the Committee by the HDS must be considered by the Committee within three months. Similarly, any report made by the Committee must be considered by the full Council within three months

### **OTHER COMMITTEES**

- 8.5 The Council will appoint such other Committees as it considers appropriate to the exercise of its functions.
- 8.6 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 and the Vice Chair must be a Lay-Member.

**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** description of how the Ethics and Standards Committee has discharged its functions;

**9.1.7.14.3a** 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** 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** 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

**9.1.7.14.7** 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**

Ceredigion County Council – Part 2 Articles of the Constitution

ARTICLE 9 – JOINT ARRANGEMENTS

Updated November 2023

27

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:

**9.2.2.1.1** The Chair of the Governance and Audit Committee shall be a lay person

**9.2.2.1.2** The Deputy Chair of the Governance and Audit Committee shall be a lay member

9.2.2.1.3 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 Cabinet, or an assistant to 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.

### 9.3 – THE CHARITY TRUSTEE COMMITTEE

See also Part 3.3 (Table 3)

#### **Role:**

- To act as trustee in respect of all trusts that the Council is the trustee of
- To make decisions in relation to charitable assets in the best interests of the charity.
- 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.

Charitable trustees are required to act in the best interests of the charity when making decisions in respect of it and must exercise reasonable skill and care in doing so. The decisions of the Committee and responsibility for them will be collective. Members of the Committee will benefit from the general indemnity granted by the Council to Members and Officers, provided that they act honestly, within their powers and that of the charity, and in good faith.

#### **Membership:**

The 5 Chairs of the Council's Overview and Scrutiny Committees will be members of the Committee, with voting rights.

The 5 Vice-Chairs of the Council's Overview and Scrutiny Committees will be members of the Committee, with voting rights.

The Chair and Vice-Chair of the Council's Overview and Scrutiny Coordinating Committee shall be the Chair and Vice-Chair of the Charity Trustee Committee.

#### **Quorum**

Charity Trustee Committee quorum is 3 (of all voting members).

#### **Meetings:**

Meetings of the Charity Trustee Committee be provisionally scheduled to take place following each Overview and Scrutiny Co-ordinating Committee but not held if there is no trustee business to attend to.

#### **Delegation of trustee responsibilities:**

A power is delegated to the Chair of the Charity Trustee Committee (or the Vice-Chair in the Chair's absence) to decide on any matters arising which require authorisation within a timeframe of 10 working days subject to the following conditions:

- a) The relevant power is to be exercised exclusively by the Chair (or Vice-Chair during the Chair's absence);
- b) No expenditure may be incurred on behalf of the charity unless it relates to emergency works on a trust asset to include, but not be limited to, making the same safe or avoiding harm to the public or neighbouring land;
- c) The Chair (or Vice-Chair, where they Chair was absent during the time when the decision was taken) must report back the decision at the next meeting of the Charity Trustee Committee; and

The trustees should keep the decision to delegate under constant review

## **ARTICLE 10 – JOINT ARRANGEMENTS**

### **10.1 ARRANGEMENTS TO PROMOTE WELL BEING**

Ceredigion County Council – Part 2 Articles of the Constitution

ARTICLE 9 – JOINT ARRANGEMENTS

Updated November 2023

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 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"> <li>• Acting Returning Officer for UK Parliamentary General Elections</li> <li>• Counting Officer for Referenda</li> <li>• Electoral Registration Officer</li> <li>• If appointed by the Lord Chancellor, to act as Secretary to the Lord Chancellor's Advisory Committee on Magistrates for Ceredigion.</li> <li>• Overall corporate management and operational responsibility (including overall management responsibility for all officers);</li> <li>• Representing the Council on partnership and external bodies (as required by statute or the Council); and</li> <li>• Returning Officer for Local Government Elections including Community Councils and Senedd Cymru Elections</li> <li>• Service to the whole Council, on a politically neutral basis.</li> <li>• 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;</li> <li>• To act as Joint Clerk to the Lord Lieutenancy for their activities in Ceredigion.</li> <li>• To be Proper Officer for the Coroner Service.</li> <li>• Together with the Proper Officer responsibility for a system of record keeping for all the Council's decisions (Executive or otherwise);</li> <li>• Police Area Returning Officer</li> </ul>

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
Corporate Directors		<ul style="list-style-type: none"> <li>• Deputy Electoral Registration Officer</li> </ul> <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><b>Principal Accountabilities</b></p> <p><b>1. Strategic Leadership</b></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><b>2. Thematic Performance</b></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><b>3. Political Engagement</b></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><b>4. Stakeholder Engagement</b></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><b>5. Communication</b></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>
--	--	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	<p>Corporate Lead Officer <b>Lifelong Learning*</b></p> <p><b>*Chief Education Officer</b></p> <p>Corporate Lead Officer <b>Schools*<sup>1</sup></b></p> <p><b>*<sup>1</sup>Deputy Chief Education Officer</b></p>	<ul style="list-style-type: none"> <li>• School Improvement, including use of statutory notices within mainstream schools and pupil referral units.</li> <li>• Curriculum Support</li> <li>• Additional Learning Needs</li> <li>• Assessment, pupil progress and accountability measures</li> <li>• Leadership in Schools</li> <li>• Post 16 education &amp; training</li> <li>• Early years Education in non-maintained settings</li> <li>• Childcare provision</li> <li>• School Improvement Services including advisory service</li> <li>• Governing Body support</li> <li>• Welsh in Education Strategic Plan</li> <li>• Canolfannau Iaith</li> <li>• English/Welsh as an additional language</li> <li>• Additional Learning Needs including pre-school</li> <li>• Inclusion and well-being</li> <li>• Behaviour Support</li> <li>• EOTAS (Education Otherwise than at School)</li> <li>• School exclusion appeals</li> <li>• Monitoring of elective home education</li> <li>• Pupil admissions &amp; appeals</li> <li>• Pupil voice</li> <li>• Child Performance Licences</li> <li>• School attendance</li> <li>• Pupil Referral Units</li> <li>• School Counselling</li> <li>• Lifelong Learning and Skills</li> <li>• Employability Support Service</li> <li>• School modernisation Programme</li> <li>• Infrastructure and Resources</li> <li>• Catering Service</li> <li>• Music Service</li> <li>• Theatr Felin Fach</li> <li>• Cered</li> <li>• Museum</li> </ul>

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer <b>Porth Cymorth Cynnar</b>	<ul style="list-style-type: none"> <li>• Leisure</li> <li>• Active Young people</li> <li>• NERS</li> <li>• Disability Sport</li> <li>• Youth Work &amp; Engagement</li> <li>• NEETs</li> <li>• Flying Start</li> <li>• Pathfinder Project</li> <li>• Play</li> <li>• Carers</li> <li>• Team Around the Family</li> <li>• Tim Teulu</li> <li>• Penparcau Family Centre</li> <li>• Families First</li> <li>• Community Youth Work &amp; Prevention</li> <li>• Community Connectors</li> <li>• Housing</li> <li>• Common Housing Register</li> <li>• Homelessness and Housing Options</li> <li>• Disabled Facilities Grants</li> <li>• Home Energy Efficiency</li> <li>• Housing Standards (HMO's, Landlord Accreditation and Letting Agencies)</li> </ul>

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer <b>Finance &amp; Procurement</b>  <b>* Section 151 Officer</b>	<b>Core Finance (Deputy 151)</b> <ul style="list-style-type: none"> <li>• Medium Term Financial Planning</li> <li>• Statement of Accounts</li> <li>• Capital Programme</li> <li>• Financial Information Systems</li> <li>• Insurances</li> <li>• Sundry Debtors</li> <li>• Community Grants</li> <li>• Taxation</li> <li>• Treasury Management &amp; Income Accounting</li> <li>• Care Home charging</li> </ul> <b>Service Finance</b> <ul style="list-style-type: none"> <li>• Financial Management</li> <li>• Accountancy</li> <li>• Budget setting and control</li> <li>• Final Accounts</li> <li>• Grant claims</li> <li>• Financial Management support to Schools</li> <li>• External funding</li> </ul> <b>Revenues &amp; Financial Assessment</b> <ul style="list-style-type: none"> <li>• Council Tax Billing, Collection and Recovery</li> <li>• NNDR Billing, Collection and Recovery</li> <li>• Discretionary rates and Hardship relief</li> <li>• Council Tax Support</li> <li>• Housing Benefits</li> <li>• Financial Assessments</li> <li>• Revenues systems</li> <li>• Discretionary Housing Payments</li> <li>• Free School Meals &amp; Pupil Access Grant</li> </ul> <b>Procurement and Payments</b> <ul style="list-style-type: none"> <li>• Ordering</li> <li>• Quotations and tenders</li> <li>• Payments</li> <li>• Procurement advice and control</li> <li>• Commissioning of service contracts</li> <li>• Proceeds of Crime Act 2002</li> </ul>



Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer <b>Democratic Services</b> <b>*Head of Democratic Services</b>	<ul style="list-style-type: none"> <li>• Cabinet Support</li> <li>• Democratic Services</li> <li>• Deputy Electoral Registration Officer</li> <li>• Deputy Acting Returning Officer for Parliamentary Elections</li> <li>• Deputy Returning Officer for Local Government Elections including Community Councils and Senedd Cymru Elections</li> <li>• Police Area Deputy Local Returning Officer</li> <li>• Member Support</li> <li>• Scrutiny Support</li> <li>• Translation Services</li> <li>• Communication and Engagement</li> <li>• Electoral Services</li> <li>• Corporate Services Support</li> <li>• Welsh Language Standards</li> </ul>

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer <b>People &amp; Organisation</b>	<ul style="list-style-type: none"> <li>• Authorised and Authorising Officer: Regulation of Investigating Powers Act 2000</li> <li>• Human resources (HR) Advice and Administration</li> <li>• Payroll and Benefits</li> <li>• HR Systems</li> <li>• Organisational Development</li> <li>• Corporate Learning and Development</li> <li>• Corporate Health and Safety.</li> <li>• Staff engagement and well-being</li> <li>• Employee Equality</li> </ul>

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	<p>Corporate Lead Officer  <b>Porth Cynnal Specialist Through Age Services</b></p> <p><b>* Statutory Director of Social Services</b></p> <p><b>*Responsible Individual</b></p>	<ul style="list-style-type: none"> <li>• Adoption</li> <li>• Disabled Children and Adults</li> <li>• Care leavers</li> <li>• Looked After Children</li> <li>• Adults Planned Care Services</li> <li>• Safeguarding Service Children and Adults to include Independent Reviewing Service</li> <li>• Children in Need of Care and Support</li> <li>• Substance Misuse Service</li> <li>• Contracts Monitoring.(Social Care) &amp; Quality Assurance</li> <li>• Regional Partnerships arrangements (Social Services and Well-being Act 2014)</li> <li>• Authorised and Authorising Officer: Regulation of Investigatory Powers Act 2000</li> <li>• Mental Well-being Services</li> <li>• Agency Decision Maker - Children</li> <li>• Channel Panel – Safeguarding (Channel Chair)</li> </ul>

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer <b>Porth Gofal Targeted Intervention Services</b>  <b>Deputy Statutory Director of Social Services</b>	<ul style="list-style-type: none"> <li>• Porth Gofal Intake &amp; Triage</li> <li>• Integrated Community Equipment Stores</li> <li>• Targeted Intervention Services Adults and Children</li> <li>• Assessment of Care and Support needs Adults and Children</li> <li>• Direct Services (In-House Residential Care/Home Care/Equipment)</li> <li>• Domicilliary Care Co-ordination</li> <li>• Porth Gofal</li> <li>• Fostering Services</li> <li>• Emergency Out of Hours Services</li> </ul>

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	<p data-bbox="528 262 762 477"><b>Corporate Lead Officer Policy, Performance &amp; Public Protection</b></p> <p data-bbox="528 555 751 730">*Proper Officer – Public Health Control of Disease Act 1984</p>	<ul data-bbox="826 262 1437 1594" style="list-style-type: none"> <li>• Civil Contingency/Business Continuity and Local Resilience Forum</li> <li>• Strategic Partnerships, including Public Service Board and Community Safety.</li> <li>• Engagement and Equalities</li> <li>• Policy, Risk Management and Community Cohesion</li> <li>• Freedom of Information, Corporate Complaints, Compliments and Improvements</li> <li>• Business Planning and Improvement</li> <li>• Corporate Performance and Research</li> <li>• Licensing</li> <li>• Public Protection Services</li> <li>• Animal Health</li> <li>• Food Safety and Food Standards</li> <li>• Trading Standards)</li> <li>• Health &amp; Safety (Regulatory)</li> <li>• Environmental Control</li> <li>• Statutory Nuisance</li> <li>• Dyfed Area Planning Board (Substance Misuse)</li> <li>• Public Health</li> <li>• Senior Authorising Officer for Proceeds of Crime Act 2002</li> <li>• Authorised and Authorising Officer: Regulation of Investigatory Powers Act 2000</li> <li>• Public Health Funerals</li> <li>• Private burials</li> <li>• Filthy and verminous premises</li> <li>• Drainage</li> <li>• Private Water Supplies</li> <li>• Air Quality</li> <li>• Refugee Re-settlement</li> </ul>

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer <b>Highways and Environmental Services</b>	<ul style="list-style-type: none"> <li>• Central Wales Infrastructure Collaboration /North and Mid Wales Trunk Road Agent</li> <li>• Climate Change</li> <li>• Design Services (Highways)</li> <li>• Flooding and Coastal</li> <li>• Highways/Bridges</li> <li>• Operational Delivery in the areas of Highways, &amp; Waste</li> <li>• Public Transport</li> <li>• Regional Transport Collaboration (TraCC)</li> <li>• Road Safety</li> <li>• Traffic Management</li> <li>• Civil parking Enforcement</li> <li>• Transport (to include Corporate Passenger Transport Unit)</li> <li>• Transport Planning (Local and Regional)</li> <li>• Waste</li> <li>• Highways Maintenance</li> <li>• Local Environment Services</li> <li>• Highways Development</li> <li>• Transport Services</li> </ul>

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer <b>Economy &amp; Regeneration</b>	<ul style="list-style-type: none"> <li>• Economic Development</li> <li>• Economic and Community Regeneration;</li> <li>• Funding and Grants;</li> <li>• Business Grants;</li> <li>• Food Centre Wales</li> <li>• Farmers Market &amp; Markets</li> <li>• Planning Policy</li> <li>• Growing Mid Wales Partnership</li> <li>• Regional Engagement</li> <li>• Regional Planning</li> <li>• Tourism and marketing:</li> <li>• Tourist Information Centres; Wildlife, Coast and Countryside</li> <li>• Footpaths, bridleways and byways</li> <li>• Proper Officer – s78 Building Act 1984 (dangerous buildings)</li> <li>• Development Control (Planning)</li> <li>• Town &amp; Country Planning</li> <li>• Conservation</li> <li>• Planning Enforcement &amp; Building Control</li> <li>• Estates/ Development</li> <li>• Property Services</li> <li>• Asset Management</li> <li>• Project Management</li> <li>• All Buildings &amp; Buildings Maintenance</li> <li>• Civil Enforcement</li> </ul>

Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer <b>Customer Contact</b> <b>*SIRO</b> <b>*Proper Officer for Civil Registration</b>	<ul style="list-style-type: none"> <li>• Archives &amp; Modern Records</li> <li>• Corporate &amp; Education ICT Support &amp; Development</li> <li>• Customer Information Centres</li> <li>• Customer Contact / Community Well-being</li> <li>• Data Protection inc GDPR</li> <li>• ICT</li> <li>• CLIC, inc Family info support Services</li> <li>• DEWIS</li> <li>• Civil Registration</li> <li>• Public Access Requests</li> <li>• Information Management</li> <li>• Library Services</li> <li>• Reprographics Unit</li> <li>• Senior Information Risk Owner</li> </ul>



Chief Officer Post	Deputy Chief Officer Post	Functions and Areas of Responsibility
	Corporate Lead Officer <b>Legal &amp; Governance Services</b> <b>*Monitoring Officer</b>	<ul style="list-style-type: none"> <li>• Head of Legal Services / Chief legal Officer Coroner Service</li> <li>• Internal Audit</li> <li>• External Audit &amp; Regulators</li> <li>• Welsh Audit Office Relationship</li> <li>• Corporate Governance</li> <li>• Constitution</li> <li>• Access to Information</li> <li>• Deputy Electoral Registration Officer</li> <li>• Ethics and Standards</li> <li>• Monitoring Officer</li> <li>• Notices of Motion</li> <li>• Code of conduct &amp; PSOW Referrals/Investigations</li> <li>• Senior Responsible Officer: Regulation of Investigating Powers Act 2000</li> </ul>

#### 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

- 1.1.1 **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.
- 1.1.2 **The Chief Executive must keep the following matters under review:**
- 11.2.2.1 The manner in which the exercise by the Council of its different functions is co-ordinated;
  - 11.2.2.2 The Council's arrangements in relation to:
    - 11.2.2.2.1 Financial planning,
    - 11.2.2.2.2 Asset management, and
    - 11.2.2.2.3 Risk Management
  - 11.2.2.3 The number and grades of Staff required by the Council for the exercise of its functions;
  - 11.2.2.4 The organisation, appointment and management arrangements of the Council's Staff including for training and development).
- 1.1.3 If the Chief Executive considers it appropriate to do so, they must make a report to the Full Council setting out their approach to these matters. As soon as possible after preparing a report, the Chief Executive must arrange for a report to be sent to each Member of the Council.
- 1.1.4 **Acting as one of the Council's Representatives on the Public Services Board.** The Chief Executive shall be one of the Council's two representatives at meetings of the Public Services Board.
- 1.1.5 **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

- 1.1.6 **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.

- 1.1.7 **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.
- 1.1.8 **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.
- 1.1.9 **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.
- 1.1.10 **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
- 1.1.11 **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
- 1.1.12 **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.
- 1.1.13 **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.
- 1.1.14 **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.

<b>Word, phrase or term</b>	<b>Meaning</b>
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

<b>Word, phrase or term</b>	<b>Meaning</b>
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
Constitution Guide	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.
Contract Procedure Rules	The Contract Standing Orders and Procurement Rules set out in Part 4 of the Constitution
Corporate Joint Committee	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.
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
Data Protection Legislation	The Data Protection Act 2018 and UK General Data Protection Regulation (UK GDPR)
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

<b>Word, phrase or term</b>	<b>Meaning</b>
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  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.
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, 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.
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

<b>Word, phrase or term</b>	<b>Meaning</b>
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 deemed to be the Proper Officer
Public Services Board	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
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



<b>Word, phrase or term</b>	<b>Meaning</b>
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

- 1.1 The Council is a member of the following Corporate Joint Committees:
- 16.1.1 The Mid Wales Corporate Joint Committee ('the Mid Wales CJC') pursuant to
  - 16.1.2 The Mid Wales Corporate Joint Committee Regulations 2021
  - 16.1.3 The Corporate Joint Committee (General) (Wales) Regulations 2021; and
  - 16.1.4 The Corporate Joint Committees (General) (Wales) Regulations 2022.

- 1.2 The Mid Wales Corporate Joint Committee has established the following Sub-Committees, the membership of which includes Council Members and lay members (see Part 7 section 4):

- 16.2.1 The Joint Overview and Scrutiny Committee;
- 16.2.2 The Joint Governance and Audit Committee; and
- 16.2.3 The Joint Standards Committee

### 16.3. The National Fostering and Adoption Joint Committee

See part 7 section 4

**PART 3**  
**RESPONSIBILITY FOR COUNCIL**  
**FUNCTIONS**

# Contents

Part 3.1 (Table 1).....RESPONSIBILITY FOR COUNCIL FUNCTIONS	1
Part 3.2 (Table 2) .....RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS	20
Part 3.3 (Table 3) COMMITTEES OF THE COUNCIL .....	33
Part 3.4 (Table 4) RESPONSIBILITY FOR CABINET FUNCTIONS .....	47
Part 3.5 SCHEME OF DELEGATION TO OFFICERS .....	60

**Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS**

<b>A. Functions relating to town and country planning and development control</b>			
<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>1.</b> 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,
<b>2.</b> Power to determine applications to develop land without compliance with conditions previously attached.	Section 73 of the Town and Country Planning Act 1990.		
<b>3.</b> Power to grant planning permission for development already carried out.	Section 73A of the Town and Country Planning Act 1990.		
<b>4.</b> Power to decline to determine application for planning permission.	Section 70A of the Town and Country Planning Act 1990.		
<b>5.</b> 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.		
<b>6.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>7.</b> 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,
<b>8.</b> Power to enter into planning obligation, regulating development or use of land.	Section 106 of the Town and Country Planning Act 1990.		
<b>9.</b> 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.		
<b>10.</b> Power to serve a completion notice	Section 94(2) of the Town and Country Planning Act 1990.		
<b>11.</b> 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.		
<b>12.</b> Power to authorise entry onto land.	Section 196A of the Town and Country Planning Act 1990.		
<b>13.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>14.</b> 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,
<b>15.</b> Power to issue an enforcement notice.	Section 172 of the Town and Country Planning Act 1990.		
<b>16.</b> Power to apply for an injunction restraining a breach of planning control.	Section 187B of the Town and Country Planning Act 1990.		
<b>17.</b> 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).		
<b>18.</b> 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.		
<b>19.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>20.</b> 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,
<b>21.</b> 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.		
<b>22.</b> 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.		
<b>23.</b> 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.		
<b>24.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>25.</b> 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,
<b>26.</b> Power to apply for an injunction in relation to a listed building.	Section 44A of the Planning (Listed Buildings and Conservation Areas) Act 1990.		
<b>27.</b> Power to execute urgent works.	Section 54 of the Planning (Listed Buildings and Buildings in Conservation Areas) Act 1990.		
<b>28.</b> Power related to mineral working.	Schedule 9 of the Town and Country Planning Act 1990.		
<b>29.</b> Power related to footpaths and bridleways.	Section 257 of the Town and Country Planning Act 1990.		
<b>30.</b> Power as to certification of appropriate alternative development.	Section 17 of the Land Compensation Act 1961 (c. 33).		
<b>31.</b> Duties in relation to purchase notices.	Sections 137-144 of the Town and Country Planning Act 1990.		
<b>32.</b> 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><b>1.</b> 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><b>2.</b> 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><b>3.</b> Power to license hackney carriages and private hire vehicles.</p>	<p>(a) as to hackney carriages, the Town Police Clauses Act 1847 (10 &amp; 11 Vict. c. 89), as extended by section 171 of the Public Health Act 1875 (38 &amp; 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><b>4.</b> 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><b>5.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>6.</b> 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,
<b>7.</b> Power to grant track betting licences.	Schedule 3 to the Betting, Gaming and Lotteries Act 1963.		
<b>8.</b> Power to license inter-track betting schemes.	Schedule 5ZA to the Betting, Gaming and Lotteries Act 1963.		
<b>9.</b> Power to grant permits in respect of premises with amusement machines.	Schedule 9 to the Gaming Act 1968 (c. 65).		
<b>10.</b> Power to register societies wishing to promote lotteries.	Schedule 1 to the Lotteries and Amusements Act 1976 (c. 32).		
<b>11.</b> Power to grant permits in respect of premises where amusements with prizes are provided.	Schedule 3 to the Lotteries and Amusements Act 1976.		
<b>12.</b> Power to issue entertainments licences.	Section 12 of the Children and Young Persons Act 1933 (c. 12)		
<b>13.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>14.</b> Power to license performances of hypnotism.	The Hypnotism Act 1952 (c. 46).	Council	Corporate Lead Officer Policy, Performance and Public Protection,
<b>15.</b> 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.		
<b>16.</b> Power to license pleasure boats and pleasure vessels.	Section 94 of the Public Health Acts Amendment Act 1907 (c. 53).		
<b>17.</b> 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,	
<b>18.</b> 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,
<b>19.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>20.</b> 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,
<b>21.</b> Power to license scrap yards.	Section 1 of the Scrap Metal Dealers Act 1964 (c. 69).		
<b>22.</b> Power to issue, amend or replace safety certificates (whether general or special) for sports grounds.	The Safety of Sports Grounds Act 1975 (c. 52).		
<b>23.</b> 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).		
<b>24.</b> Duty to promote fire safety	Section 6 of the Fire and Rescue Services Act 2004 (c. 21)		
<b>25.</b> 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).		
<b>26.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
(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.
<b>27.</b> Power to register animal trainers and exhibitors.	Section 1 of the Performing Animals (Regulation) Act 1925 (c. 38).		
<b>28.</b> Power to license zoos.	Section 1 of the Zoo Licensing Act 1981 (c. 37)		
<b>29.</b> Power to license dangerous wild animals.	Section 1 of the Dangerous Wild Animals Act 1976 (c. 38).		
<b>30.</b> 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))		
<b>31.</b> 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
<p><b>32.</b> Power to approve premises for the solemnisation of marriages and the registration of civil partnerships.</p>	<p>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).</p>	<p>Proper Officer for Civil Registrations (Corporate Lead Officer Customer Contact)</p>	
<p><b>33.</b> 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 &amp; 9 Vict. c. 118).</p>	<p>Regulation 6 of the Commons Registration (New Land) Regulations 1969 (S.I. 1969/1843).</p>	<p>Development Management Committee</p>	<p>Corporate Lead Officer Economy &amp; Regeneration,</p>
<p><b>34.</b> Power to register variation of rights of common.</p>	<p>Regulation 29 of the Commons Registration (General) Regulations 1966 (S.I. 1966/1471).</p>	<p>Development Management Committee</p>	<p>Corporate Lead Officer Economy &amp; Regeneration</p>
<p><b>35.</b> Power to issue a permit to conduct charitable collections.</p>	<p>Section 68 of the Charities Act 1992.</p>	<p>Licensing Committee</p>	<p>Corporate Lead Officer Policy, Performance and Public Protection.</p>
<p><b>36.</b> Power to grant consent for the operation of a loudspeaker.</p>	<p>Schedule 2 to the Noise and Statutory Nuisance Act 1993 (c. 40).</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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>37.</b> 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,	
<b>38.</b> 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.
<b>39.</b> 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).		
<b>40.</b> Power to issue a licence to move cattle from a market.	Article 5(2) of the Cattle Identification Regulations 1998 (S.I. 1998/871).		
<b>41.</b> Power to sanction use of parts of buildings for storage of celluloid.	Section 1 of the Celluloid and Cinematograph Film Act 1922 (c. 35).		
<b>42.</b> 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.
<b>43.</b> Functions in respect of establishing a Licensing Committee.	Section 6 of the Licensing Act 2003 (c. 17).		

**Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd**

**C. Functions relating to health and safety at work**

Functions under any of the “relevant statutory provisions” within the meaning of Part I (health, safety and welfare in connection with work, and control of dangerous substances) of the Health and Safety at Work etc. Act 1974, to the extent that those functions are discharged otherwise than in the authority’s capacity as an employer	Part I of the Health and Safety at Work etc. Act 1974 (c. 37).	Delegated to the Corporate Lead Officer Policy, Performance and Public Protection.
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------	------------------------------------------------------------------------------------

**Part 3.1 (Table 1) RESPONSIBILITY FOR COUNCIL FUNCTIONS Cont'd**

**D. Functions relating to elections**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>1.</b> 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
<b>2.</b> Power to assign officers in relation to requisitions of the registration officer.	Section 52(4) of the Representation of the People Act 1983.		
<b>3.</b> Power to dissolve community councils.	Section 28 of the Local Government Act 1972.		
<b>4.</b> Power to make orders for grouping communities.	Section 29 of the Local Government Act 1972.		
<b>5.</b> Power to make orders for dissolving groups and separating community councils from groups.	Section 29A of the Local Government Act 1972.		
<b>6.</b> Duty to appoint returning officer for local government elections.	Section 35 of the Representation of the People Act 1983.		
<b>7.</b> Duty to provide assistance at European Parliamentary elections.	Section 6(7) and (8) of the European Parliamentary Elections Act 2002.		
<b>8.</b> Duty to divide constituency into polling districts.	Section 18 of the Representation of the People Act 1983.		
<b>9.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>10.</b> 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
<b>11.</b> Power to pay expenses properly incurred by electoral registration officers.	Section 54 of the Representation of the People Act 1983.		
<b>12.</b> Power to fill vacancies in the event of insufficient nominations.	Section 21 of the Representation of the People Act 1985.		
<b>13.</b> Duty to declare vacancy in office in certain cases.	Section 86 of the Local Government Act 1972.		
<b>14.</b> Duty to give public notice of a casual vacancy.	Section 87 of the Local Government Act 1972.		
<b>15.</b> Power to make temporary appointments to community councils.	Section 91 of the Local Government Act 1972.		
<b>16.</b> 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).		
<b>17.</b> 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**

<b>1.</b> Power to change the name of a county or county borough.	Section 74 of the Local Government Act 1972.	Council
<b>2.</b> Power to change the name of a community.	Section 76 of the Local Government Act 1972.	
<b>3.</b> Power to confer title of honorary alderman or to admit being an honorary freeman.	Section 249 of the Local Government Act 1972.	
<b>4.</b> Power to petition for a charter to confer county borough status.	Section 245A of the Local Government Act 1972.	
<b>F. Power to make, amend, revoke or re-enact byelaws</b>	Any provision of any enactment (including a local Act), whenever passed, and section 14 of the Interpretation Act 1978 (c. 300).	
<b>G. Power to promote or oppose private Bills.</b>	. Sections 52 and 53 Of the Local Government (Democracy ) (Wales) Act 2013	

**H. Functions relating to pensions etc.**

<b>1.</b> Functions relating to local government pensions, etc.	Regulations under section 7, 12 or 24 of the Superannuation Act 1972 (c. 11).	Council
<b>2.</b> Functions relating to pensions, allowances and gratuities.	Regulations under section 18 (3A) of the Local Government and Housing Act 1989 (c. 42).	
<b>3.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>1.</b> 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	
<b>2.</b> Functions relating to sea fisheries.	Sections 1, 2, 10 and 19 of the Sea Fisheries Regulation Act 1966 (c. 38).		
<b>3.</b> 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,
<b>4.</b> Powers relating to the protection of important hedgerows.	The Hedgerows Regulations 1997 (S.I. 1997/1160).		
<b>5.</b> Power to make standing orders.	Section 106 of, and paragraph 42 of Schedule 12 to, the Local Government Act 1972	Council	
<b>6.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>7.</b> Power to make standing orders as to contracts.	Section 135 of the Local Government Act 1972.	Council	
<b>8.</b> 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
<b>9.</b> 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	
<b>10.</b> 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.
<b>11.</b> Power to appoint officers for particular purposes (appointment of "proper officers").	Section 270(3) of the Local Government Act 1972 (c. 42).	Council	
<b>12.</b> 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)		
<b>13.</b> 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.		
<b>14.</b> 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**

<b>Function</b>	<b>Provision of Act or Statutory Instrument</b>	<b>Delegated to</b>	<b>Further delegated to</b>
<b>15.</b> Approval of annual investment strategy in accordance with guidance.	Section 15 of the Local Government Act 2003.	Council	
<b>16.</b> Duty to make arrangements for proper administration of financial affairs	Section 151 of the Local Government Act 1972 (c. 11).	Council	Section 151 Officer
<b>17.</b> 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)		
<b>18.</b> 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**

<b>Function</b>	<b>Decision-making body</b>	<b>Membership</b>	<b>Delegation of functions</b>
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	

<b>Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)</b>			
<b>Function</b>	<b>Decision-making body</b>	<b>Membership</b>	<b>Delegation of functions</b>
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.			

<b>Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)</b>			
<b>Function</b>	<b>Decision-making body</b>	<b>Membership</b>	<b>Delegation of functions</b>
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

<b>Part 3.2 (Table 2) RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS (Cont'd)</b>			
<b>Function</b>	<b>Decision-making body</b>	<b>Membership</b>	<b>Delegation of functions</b>
(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)**

<b>Function</b>	<b>Decision-making body</b>	<b>Membership</b>	<b>Delegation of functions</b>
(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)**

<b>Function</b>	<b>Decision-making body</b>	<b>Membership</b>	<b>Delegation of functions</b>
(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)**

<b>Function</b>	<b>Decision-making body</b>	<b>Membership</b>	<b>Delegation of functions</b>
(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)**

<b>Function</b>	<b>Decision-making body</b>	<b>Membership</b>	<b>Delegation of functions</b>
(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)**

<b>Function</b>	<b>Decision-making body</b>	<b>Membership</b>	<b>Delegation of functions</b>
(e) exercising functions under section 35 of the Wildlife and Countryside Act 1982 (limestone pavement orders); and	Cabinet	All Cabinet Members	Corporate Lead Officer Economy & Regeneration
(f) exercising functions under section 53 of the Wildlife and Countryside Act 1981 (duty to keep definitive map and statement under continuous review)			
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)**

<b>Function</b>	<b>Decision-making body</b>	<b>Membership</b>	<b>Delegation of functions</b>
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)**

<b>Function</b>	<b>Decision-making body</b>	<b>Membership</b>	<b>Delegation of functions</b>
(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>(iii) S.85 Approval, publication and implementation of Welsh in education strategic plans</p>	Cabinet	All Cabinet Members	
<p>26. Functions in respect of Section 108 – Local Government and Elections (Wales) Act 2021</p> <ul style="list-style-type: none"> <li>• a)S91 (a) self-assessment: report</li> </ul>	Cabinet	All Cabinet Members	
	Cabinet	All Cabinet Members	

<ul style="list-style-type: none"> <li>• b) section 91(8) (response to recommendations about report</li> </ul>	Cabinet	All Cabinet Members	
b)S91(8) response to report of panel performance assessment);	Cabinet	All Cabinet Members	
c)S92(1) appointment of performance assessment panel;	Cabinet	All Cabinet Members	
d)S93(1) response to recommendations about response to report of panel assessment	Cabinet	All Cabinet Members	
e)S93(5) response to recommendations about response to report of panel;	Cabinet	All Cabinet Members	
f)S96(1) Auditor General for Wales reports: response to recommendations from the Auditor General for Wales,	Cabinet	All Cabinet Members	
g)S96(5) response to recommendations about response to the Auditor General for Wales,	Cabinet	All Cabinet Members	
h) S102 request to the Welsh Ministers for support and assistance	Council	All Members of the Council	

**Part 3.3 (Table 3) COMMITTEES OF THE COUNCIL**

<b>Committee</b>	<b>Functions</b>	<b>Delegation of Functions</b>
<p><b>Development Management Committee</b></p> <p><b>(15 Members (may include Cabinet Members))</b></p>	<p>Development Management Committee – Terms of Reference</p> <ol style="list-style-type: none"> <li>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').</li> <li>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.</li> <li>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.</li> <li>4. To make planning decisions based on sound material planning considerations, and not personal circumstances, opinions or feelings.</li> <li>5. To take into account the sustainable development principle in determining planning applications.</li> <li>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.</li> <li>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.</li> <li>8. To deal with all applications:</li> </ol>	<p>See Part 3.1 Table 1(Part A) above ('Functions relating to town and country planning and development control')</p>

	<ul style="list-style-type: none"> <li>a. made by the Council as landowner;</li> <li>b. relating to major developments;</li> <li>c. made by a Member or close personal associates; or</li> <li>d. made by <ul style="list-style-type: none"> <li>I. Chief Officers (Chief Executive, Corporate Directors and Corporate Lead Officers);</li> <li>II. All staff employed by the Planning Service(s) including development management and Forward Planning; and</li> <li>III. Any other Staff closely linked to the planning services or a particular planning application or by their close personal associates.</li> </ul> </li> </ul> <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"> <li>○ Corporate Priority 1 – Boosting the Economy;</li> <li>○ Corporate Priority 2 – Investing in People's Future;</li> <li>○ Corporate Priority 3 – Enabling individual and Family Resilience; and</li> <li>○ Corporate Priority 4 – Promoting Environmental and Community Resilience.</li> </ul>	
--	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

<b>Committee</b>	<b>Functions</b>	<b>Delegation of Functions</b>
<p><b>Licensing Committee</b> <b>(11 Members)</b></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 &amp; 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>



<b>Committee</b>	<b>Functions</b>	<b>Delegation of Functions</b>
<b>Ethics and Standards Committee</b>  <b>(9 Members: 2 County Councillors, 2 Town and Community Members and 5 Independent Members)</b>	As set out in Article 9 of Part 2 to the Constitution	None

Committee	Functions	Delegation of Functions
<p><b>Governance and Audit Committee</b></p> <p><b>(3 Lay Persons and 6 County Councillors - 1/3 Lay Person composition )</b></p>	<p>Governance and Audit Committee – Terms of Reference 2018 <u>Statement of Purpose</u></p> <ol style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>3. On 26/10/23 Council resolved that meetings be held by remote-means only (18 Month pilot exercise)</li> </ol> <p><u>Governance Risk and Control</u></p> <ol style="list-style-type: none"> <li>4 To maintain an overview of the Council’s Constitution in respect of: Contract Procedure Rules, Finance Regulations and Code of Conduct.</li> <li>5 To review the Council’s corporate governance arrangements against the governance framework, including the ethical framework and consider the local code of governance.</li> <li>6 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.</li> </ol>	<p>None</p>

	<p>7 To consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.</p> <p>8 To consider the Council's framework of assurance and ensure that it adequately addresses the risks and priorities of the Council.</p> <p>9 To monitor the effective development and operation of risk management in the Council.</p> <p>10 To monitor progress in addressing risk-related issues reported to the Committee.</p> <p>11 To consider reports on the effectiveness of internal controls and the implementation of agreed actions.</p> <p>12 To review the assessment of fraud risks and potential harm to the Council from fraud and corruption.</p> <p>13 To monitor the counter-fraud strategy, actions and resources.</p> <p>14 To review the governance and assurance arrangements for significant partnerships or collaborations, where applicable.</p> <p>15 To consider the Corporate Risk Register.</p> <p>16 To consider the Council's Annual Improvement Report.</p> <p>17 To review and assess the performance assessment of the Council.</p> <p>18 To review and assess the Council's draft annual Self-Assessment Report and make any necessary recommendations to Council for changes to:</p> <p style="padding-left: 20px;">(a) the conclusions; or</p> <p style="padding-left: 20px;">(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>19 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>20 To consider any Auditor General Report following a special inspection of the Council, review and assess the Council's</p>	
--	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

	<p>draft response to any Auditor General Report and make any recommendations for changes to the statements made in the Council's draft response relating to what action, if any, the Council intends to take in response to the Auditor General's recommendations.</p> <p><u>Internal Audit</u></p> <p>21 To approve the Internal Audit Charter.</p> <p>22 To consider proposals made in relation to the appointment of any external providers of internal audit services.</p> <p>23 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>24 To approve significant interim changes to the risk-based Internal Audit Plan and resource requirements.</p> <p>25 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>26 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"> <li>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.</li> <li>b. Regular reports on the results of the Quality Assurance and Improvement Programme.</li> <li>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</li> </ul>	
--	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

	<p>that it must be included in the Annual Governance Statement.</p> <p>27 To consider the Head of Internal Audit's annual report regarding:</p> <ul style="list-style-type: none"> <li>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.</li> <li>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.</li> </ul> <p>28 To consider summaries of specific Internal Audit reports as requested.</p> <p>29 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>30 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>31 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>32 To support effective communication with the head of audit.</p> <p>33 To commission work from Internal Audit</p> <p><u>External Audit &amp; Regulators</u></p> <p>34 To consider the external auditor's annual letter, relevant reports and the report to those charged with governance.</p>	
--	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

	<p>35 To consider specific reports as agreed with the external auditor.</p> <p>36 To comment on the scope and depth of external audit work and to ensure it gives value for money.</p> <p>37 To commission work from external audit.</p> <p>38 To advise and recommend on the effectiveness of relationships between external and internal audit and other inspection agencies or relevant bodies.</p> <p>39 To consider reports from external regulators (including but not exclusive to: WAO, PSOW, GRO, CSIW, Estyn).</p> <p>40 Consider any Report received from the Auditor General, and the Council's draft response.</p> <p><u>Financial Reporting</u></p> <p>41 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>42 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>43 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>44 To report to full Council on the Audit Committee's performance in relation to the terms of reference and the effectiveness of the Committee in meeting its purpose.</p>	
--	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

	<p>45 To publish an annual report on the work of the Committee.</p> <p><u>Performance Reporting</u></p> <p>46 To consider reports on compliments, complaints and Freedom of Information activity.</p> <p>47 To review and assess the Council’s ability to handle complaints effectively.</p> <p>48 To make reports and recommendations in relation to the Council’s ability to handle complaints effectively.</p>	
--	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

Committee	Functions	Delegation of Functions
<b>Democratic Services Committee (6 members)</b>	<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> <p>On 26/10/23 Council resolved that meetings be held by remote-means only (18 Month pilot exercise)</p>	None
<b>Appeals Panel (3 Members out of a pool of 7 members)</b>	<p>To determine appeals by members of staff in accordance with the Council's policies and procedures save for those referred to in Part 4 Document H.</p>	
<b>Short-listing Committee (7 Members)</b>	<p>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.</p>	



Committee	Functions	Delegation of Functions
<p><b>Language Committee</b> <b>(7 Members)</b></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"> <li>• To set strategic direction in response to the Language Standards set by the Welsh Language Commissioner,</li> <li>• Monitor progress with the implementation of the Welsh Language Standards</li> <li>• Agree an annual report on progress with the Welsh Language Standards to the Welsh Language Commissioner</li> <li>• 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</li> <li>• To receive progress reports on the work of Cered (Menter Iaith Ceredigion) and Theatr Felinfach</li> <li>• To offer recommendations to promote and increase the use of the Welsh language in all aspects of the Council's work</li> <li>• To review the implementation of the Ceredigion Language Strategy, paying attention to the Council's work and any partnership work or joint working</li> <li>• Receiving information / consultations on matters relating to the Welsh Language as required and respond as appropriate.</li> <li>• Make recommendations to Cabinet and/or Council as appropriate</li> </ul>	<p>None</p>

Committee	Functions	Delegation of Functions
<p><b>Charity Trustee Committee</b></p> <p><b>(10 members)</b></p>	<p><b><u>Terms of reference of the Charity Trustee Committee</u></b></p> <p><b>Role:</b></p> <ul style="list-style-type: none"> <li>• To act as trustee in respect of all trusts that the Council is the trustee of.</li> <li>• To make decisions in relation to charitable assets in the best interests of the charity.</li> <li>• 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.</li> </ul> <p><b><u>Purpose:</u></b></p> <ul style="list-style-type: none"> <li>• Charitable trustees are required to act in the best interests of the charity when making decisions in respect of it and must exercise reasonable skill and care in doing so.</li> <li>• The decisions of the Committee and responsibility for them will be collective.</li> <li>• Members of the Committee will benefit from the general indemnity granted by the Council to Members and Officers, provided that they act honestly, within their powers and that of the charity, and in good faith.</li> </ul> <p><b><u>Membership:</u></b></p> <p>The 5 Chairs of the Council's Overview and Scrutiny Committees will be members of the Committee, with voting rights.</p> <p>The 5 Vice-Chairs of the Council's Overview and Scrutiny Committees will be members of the Committee, with voting rights.</p> <p><b><u>Quorum</u></b></p> <p>Charity Trustee Committee quorum is 3 (of all voting members).</p>	<p>See Art. 9.3 above</p>

	<p><b>Meetings:</b></p> <p>Meetings of the Charity Trustee Committee be provisionally scheduled to take place following each Overview and Scrutiny Co-ordinating Committee but not held if there is no trustee business to attend to.</p> <p><b>Delegation of trustee responsibilities:</b></p> <p>A power is delegated to the Chair of the Charity Trustee Committee (or the Vice-Chair in the Chair's absence) to decide on any matters arising which require authorisation within a timeframe of 10 working days subject to the following conditions:</p> <ul style="list-style-type: none"> <li>a) The relevant power is to be exercised exclusively by the Chair (or Vice-Chair during the Chair's absence).</li> <li>b) No expenditure may be incurred on behalf of the charity unless it relates to emergency works on a trust asset to include, but not be limited to, making the same safe or avoiding harm to the public or neighbouring land.</li> <li>c) The Chair (or Vice-Chair, where they Chair was absent during the time when the decision was taken) must report back the decision at the next meeting of the Charity Trustee Committee; and</li> <li>d) The trustees should keep the decision to delegate under constant review.</li> </ul>	
<b>Overview and Scrutiny Committees</b>	See Article 6 above	

## **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><b>Leader of the Council</b></p>	<p><b>Roles and responsibilities of the Leader</b></p> <p>a) To provide political leadership to the Council, including:</p> <ul style="list-style-type: none"> <li>• being the principal spokesperson for the Council</li> <li>• providing strong, clear leadership in the development and co-ordination of policies, strategies, plans and service delivery.</li> <li>• to recommend to Council the appointment of Member Champions</li> </ul> <p>b) Appointing the Cabinet, including:</p> <ul style="list-style-type: none"> <li>• choosing the number of Councillors to serve on the Cabinet and their respective portfolios.</li> <li>• designating a Deputy Leader</li> <li>• determining the executive functions delegated to the Cabinet, committees of the Cabinet, individual Cabinet Members, Officers and those undertaken via joint arrangements.</li> </ul> <p>c) To provide community leadership, including.</p> <ul style="list-style-type: none"> <li>• acting as a leader of the local community by demonstrating and promoting the Council’s Vision, aims and objectives.</li> <li>• providing leadership to local strategic partnerships in the pursuit of common aims and priorities, including the Ceredigion Public Service Board</li> </ul> <p>d) Representing the Council on external organisations, including:</p> <ul style="list-style-type: none"> <li>• representing the Council on the WLGA (including the Co-ordinating Committee) and LGA</li> <li>• representing the Council on the following local, regional and national organisations: <ul style="list-style-type: none"> <li>- Central and Southwest Wales WLGA Regional Partnership Board</li> <li>- Joint Council for Wales</li> </ul> </li> <li>• acting as the Council member of the Mid Wales Corporate Joint Committee. Where the Leader is unable to discharge their functions in respect of the Mid Wales Corporate Joint Committee,</li> </ul>

	<p>the Council shall appoint another member of the Cabinet to discharge those functions on behalf of the Council.</p> <ul style="list-style-type: none"> <li>• Acting as one of the Council's Representatives on the Ceredigion Public Services Board. <ul style="list-style-type: none"> <li>○ The Leader shall be one of the Council's two representatives at meetings of the Ceredigion Public Services Board.</li> <li>○ 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.</li> </ul> </li> </ul> <p>e) Managing and leading the work of the Cabinet, including:</p> <ul style="list-style-type: none"> <li>• chairing meetings</li> <li>• effectively managing the work of the Cabinet</li> <li>• ensuring that a Cabinet Forward Work Plan is in place.</li> </ul> <p>f) Providing portfolio leadership for the following:</p> <ul style="list-style-type: none"> <li>• Service delivery</li> <li>• Community leadership</li> <li>• Finance and budgetary control</li> <li>• Employee relations</li> <li>• Welsh Language Standards</li> </ul> <p>g) Working with others, including:</p> <ul style="list-style-type: none"> <li>• participating in the collective decision-making of the Cabinet</li> <li>• 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</li> </ul>
--	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------



<b>All Cabinet Members</b>	<b>Roles and responsibilities of the Cabinet members</b>
	<b>A - General</b>
	<p>a) Providing portfolio leadership, including:</p> <ul style="list-style-type: none"> <li>• reporting to the Cabinet, Leader, Council, Overview and Scrutiny Committees in respect of services within the portfolio</li> <li>• giving political direction to officers working within the portfolio</li> <li>• formulating and developing plans, policies and strategies in respect of services within the portfolio for adoption and revision by the Council</li> <li>• liaising with the Chairperson of the respective Overview and Scrutiny Committee in respect of services within the portfolio</li> <li>• having an overview of the performance management, efficiency and effectiveness of the services within the portfolio</li> </ul> <p>b) Working with others, including:</p> <ul style="list-style-type: none"> <li>• Participating in the collective decision-making of the Cabinet</li> <li>• 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</li> </ul> <p>c) Contributing towards community leadership, including;</p> <ul style="list-style-type: none"> <li>• promoting the Council’s Vision, aims and objectives within the community</li> <li>• representing the Council on local strategic partnerships and the promotion of common aims and priorities</li> </ul> <p>d) Representing the Council on external organisations, as appointed.</p>



	<b>B - Specific portfolio roles and responsibilities</b>
<p><b>Leader of the Council and Cabinet Member for:</b> Democratic Services, Policy, Performance and People and Organisation.</p>	<p><b>Services:</b> Democratic Services, Policy, Performance and People and Organisation.</p> <p><b>Internal panels/working groups/fora:</b> Asset Management Group, Development Group, Corporate Employee Forum, Housing Grants Panel, Equalities Group and Performance Management Board.</p> <p><b>Partnerships/Joint Committees/Agencies:</b> Ceredigion Public Service Board, Mid-Wales Corporate Joint Committee, Mid Wales Joint Committee for Health and Care, and Growing Mid Wales Partnership, and Growing Mid Wales Joint Committee.</p> <p><b>External bodies:</b> 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 &amp; Regeneration to deputise in Leader's absence).</p>

	<b>B - Specific portfolio roles and responsibilities</b>
<p><b>Deputy Leader of the Council and Cabinet Member for:</b> Through Age and Wellbeing</p>	<p><b>Services:</b> Through Age and Wellbeing.</p> <p><b>Internal panels/working groups/fora:</b> Corporate Employee Forum, Performance Management Board, Emergency and Business Continuity Management Group, Corporate Parenting Group, Housing Grants Panel and Development Group.</p> <p><b>Partnerships/Joint Committees/Agencies:</b> Aberystwyth-Shrewsbury Railway Line Liaison Committee, Corporate Passenger and Transport Unit Reference Group, Cinch Caron Project Board, Carers Alliance, West Wales Partnership Board, Youth Justice Management Board and Mid Wales Adoption Panel.</p> <p><b>External bodies:</b> WLGA, Ceredigion Sports Council</p>

	<b>B - Specific portfolio roles and responsibilities</b>
<b>Cabinet Member for:</b> Schools, Lifelong Learning and Skills.	<p><b>Services:</b> Schools, Lifelong Learning and Skills.</p> <p><b>Internal panels/working groups/fora:</b></p> <p><b>Partnerships/Joint Committees/Agencies:</b> Corporate Passenger and Transport Unit Reference Group.</p> <p><b>External bodies:</b></p>

	<b>B - Specific portfolio roles and responsibilities</b>
<b>Cabinet Member for:</b> Finance and Procurement Services.	<p><b>Services:</b> Finance and Procurement Services.</p> <p><b>Internal panels/working groups/fora:</b> Asset Management Group, Development Group, Housing Grants Panel, Community Grants Panel and Capital Monitoring Group.</p> <p><b>Partnerships/Joint Committees/Agencies:</b></p> <p><b>External bodies:</b> Ceredigion Sports Council.</p>

	<b>B - Specific portfolio roles and responsibilities</b>
<b>Cabinet Member for:</b> Culture, Leisure and Customer Services.	<p><b>Services:</b> Culture, Leisure and Customer Services.</p> <p><b>Internal panels/working groups/fora:</b></p> <p><b>Partnerships/Joint Committees/Agencies:</b> Growing Mid Wales Joint Committee</p> <p><b>External bodies:</b></p>

	<b>B - Specific portfolio roles and responsibilities</b>
<p><b>Cabinet Member for:</b> Partnerships, Housing, Legal &amp; Governance and Public Protection</p>	<p><b>Services:</b> Partnerships, Housing, Legal &amp; Governance and Public Protection</p> <p><b>Internal panels/working groups/fora:</b> Emergency and Business Continuity Management Group</p> <p><b>Partnerships/Joint Committees/Agencies:</b> Cylch Caron Project Board (non-voting right), Strategic Housing Partnership, West Wales Care &amp; Repair Board of Management and Growing Mid Wales Joint Committee.</p> <p><b>External bodies:</b></p>

	<b>B - Specific portfolio roles and responsibilities</b>
<p><b>Cabinet Member for:</b> Highways and Environmental Services and Carbon Management.</p>	<p><b>Services:</b> Highways and Environmental Services and Carbon Management.</p> <p><b>Internal panels/working groups/fora:</b> Asset Management Group, Waste Strategy Group, Corporate Health and Safety Forum and Carbon Management Group.</p> <p><b>Partnerships/Joint Committees/Agencies:</b> Trafnidiaeth Canolbarth Cymru (TraCC), Growing Mid Wales Partnership, Harbour Users Group, Traffic Management Consultative Group, Corporate Passenger and Transport Unit Reference Group, PATROL (Parking and Traffic Regulations Outside London Adjudication Joint Committee) and Growing Mid Wales Joint Committee.</p> <p><b>External bodies:</b> North and Mid Wales Trunk Road Agency, Penllyn and Sarnau Special Area of Conservation and Dyfi Biosphere Partnership.</p>

	<b>B - Specific portfolio roles and responsibilities</b>
<b>Cabinet Member for:</b> Economy and Regeneration	<p><b>Services:</b> Economy and Regeneration.</p> <p><b>Internal Panels/working groups/fora:</b> Asset Management Group, Community Grants Panel, Housing Grants Panel and Development Group.</p> <p><b>Partnerships/ Joint Committees/Agencies:</b> Enterprise &amp; Innovation Project Group ('PSB'), Trafnidiaeth Canolbarth Cymru (TraCC), Local Access Forum, Growing Mid Wales Partnership and Growing Mid Wales Joint Committee.</p> <p><b>External bodies:</b> Consortium Local Authorities Wales ('CLAW') (to deputise in Leader's absence) .</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 Corporate Lead Officer – Lifelong Learning
- L– Delegations to the Corporate Lead Officer Finance & Procurement (Section 151 Officer / Chief Finance Officer)
- M – Delegations to the Corporate Lead Officer Customer Contact, ICT and Digital.
- 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.

## **G DELEGATIONS TO THE CORPORATE LEAD OFFICER POLICY, PERFORMANCE & PUBLIC PROTECTION**

The following functions are to be delegated to the Corporate Lead Officer Policy, Performance & Public Protection including Strategic Partnerships, Engagement and Equalities, Complaints, Compliments and Freedom of Information, Public Protection Services, (including Environmental Health, Animal Health, Food Safety and Trading Standards, Licensing and related activities), Corporate Performance, Research, Policy and counter-terrorism, and to any officers authorised by the relevant Corporate Lead Officer from time to time as appropriate subject to such officers being suitably qualified for the discharge of those duties and functions. These powers can also be exercised by the Chief Executive and Corporate Directors as necessary.

### **Freedom of Information and Complaints**

1. To make suitable and appropriate payments in settlement of complaints against the Council and in local settlement of Ombudsman complaints, such payments to be made from the appropriate budget following consultation with the appropriate Corporate Lead Officer and Cabinet Member.
2. To take all appropriate action in relation to Reports by virtue of sections 16,17 and 21 of the Public Services Ombudsman (Wales) Act 2005.
3. Senior Officer with responsibility over the Internal Review process under FOI and EIR legislation and senior contact officer with the ICO and PSOW.
4. To undertake all relevant operational duties, responsibilities and functions contained in legislation or otherwise falling to Policy and Performance support to implement.

### **Public Protection Services**

1. Definitions
  - 1.1 For the purpose of the matters dealt with in this arrangement, the Corporate Lead Officer means the Corporate Lead Officer Policy, Performance & Public Protection.
  - 1.2 Any reference to an Act in these arrangements includes a reference any amendment thereto or re-enactment thereof or any secondary legislation under it.
2. General Delegation- Specific Powers
  - 2.1 The Corporate Lead Officer (having consulted with the relevant Cabinet Portfolio Holder where necessary and appropriate) is authorised to take any

action necessary to protect or promote the Council's interests, subject to the restrictions noted in Part A above.

- 2.2 Without prejudice to the generality of the above provisions, this includes exercising his/her professional judgement to take such decisions as are necessary to implement the Council's policies and to promote the management and delivery of the services which are his/her responsibility.
- 2.3 Any powers granted to the Corporate Lead Officer Policy, Performance & Public Protection may be discharged either in his/her absence by such officer(s) as may be authorised by him/her or in accordance with any general instructions or provisions made by him/her. In the absence of the Corporate Lead Officer Policy, Performance & Public Protection, any officer appointed by him/her to deputise on his/her behalf may also authorise the exercise of the delegated powers. Such authorisations may be granted to persons who are not officers of the Council in agreement with the relevant persons employing authority or organisation. If no such authority has been granted prior to the absence of the Corporate Lead Officer, then the Chief Executive or Corporate Director may authorise such other officer(s) or persons as she/he thinks fit to exercise the powers of the absent Corporate Lead Officer.
- 2.4 The Corporate Lead Officer may authorise his/her staff to exercise such powers as necessary to enter or inspect any land, buildings or properties and to provide any evidence or authority as necessary for discharging their duties in accordance with the Council's statutory powers,.
- 2.5 In relation to matters reserved to the Council, the Cabinet or other Committee or Sub-Committee, if the matter is urgent, the Corporate Lead Officer will be permitted to act in between meetings, in consultation with the relevant Cabinet Portfolio Holder or Chair/Vice Chair of the relevant regulatory committee as appropriate, on condition that any such action is consistent with the Council's general policies and that, if appropriate, a report on the action taken is presented to the next meeting of the Council, the Cabinet, Committee or Sub-Committee.
- 2.6 To determine the appointment of officers for specified purposes to undertake work as inspectors, proper officers, or other similar designations contained in existing or future legislation.
- 2.7 The Corporate Lead Officer Policy, Performance & Public Protection is authorised to act in relation to procurement and contracts within the approved budget and in accordance with the Contract Standing Orders including the power to remove contractors from the approved lists, where there has been a failure to meet Council criteria.

2.8 The Corporate Lead Officer Policy, Performance & Public Protection is authorised to act on financial matters, in accordance with the relevant Financial Regulations.

2.9 The Corporate Lead Officer Policy, Performance & Public Protection is authorised for the issuing of determinations, consents, licences or notices on behalf of the Council.

2.10 Authority to undertake work or provide services to third parties subject to resources being available, to there being no adverse impact on the provisions of Council operations, and appropriate charges being levied.

3 Specific powers and duties of Corporate Lead Officer Policy, Performance and Public Protection

3.1 To act within the scheme of delegation, exercise all the Council’s functions, duties, regulatory activity and powers, and any which become the Council’s responsibility in the future, in relation to:

- Public Protection Services;
- Regulatory offences;
- Trading standards;
- Licensing and Licensing Enforcement;
- Public Health Protection;
- Community Warden Services
- Proper maintenance of land; or
- Environmental offences

including, but not limited to the areas, functions and legislation referenced in the Table at 3.3 below.

3.2 The functions, duties, regulatory activity and powers referred to in 3.1 above include but are not limited to, enforcement powers e.g. taking steps, which may be deemed necessary to prevent offences, educating, issuing statutory notices, issuing simple cautions, prosecuting for offences, appointing inspector(s) under, granting/refusing/varying/suspending/revoking/reinstating licenses, arranging for submission of reports, or charging fees.

3.3 Responsibilities for the following functions and relevant legislation:

Area	Function	Legislation (including any other associated legislation)
Public Protection: This includes Environmental	Environmental Protection and Environmental Health: to include: • Dangerous Trees	European Union (Withdrawal Agreement) Act 2020 Freedom of Information Act 2000

<p>Health, Licensing and Trading Standards</p>		<p>Local Government (Miscellaneous Provisions) Act 1982  Local Government (Miscellaneous Provisions) Acts 1953 and 1976 / 1982  Local Government (Wales) Act 1994  Local Government Act 2010  Local Government Acts 1972/1978/1985/1988/1992 / 2000 / 2003  Local Government and Housing Act 1989  National Assistance Act 1948  National Health Service (Amendment) Act 1986  National Health Service Act 1977  Police &amp; Crime Act 2009  Public Interest Disclosure Act 1998</p>
	<p>Environmental Protection to include):</p> <ul style="list-style-type: none"> <li>• Local air quality,</li> <li>• Environmental Permitting</li> <li>• Contaminated land,</li> <li>• Private Water Supplies</li> <li>• Water quality,</li> <li>• Statutory nuisances</li> <li>• Removal and Disposal of Vehicles</li> <li>• Refuse Disposal</li> <li>• Single Use Plastic Products</li> </ul>	<p>Clean Air Act 1993  Climate Change Act 2008  Control of Pollution (Amendment) Act 1989  Control of Pollution act 1974  Energy Act 2004  Environmental Protection Act 1990  Environment Act 1995  Environmental &amp; Safety Information Act 1988  Environmental Protection Act 1990  Flood &amp; Water Management Act 2010  Highways Act 1980  Household Waste Recycling Act 2003  Housing Act 1985  Noise Act 1996  Noise and Statutory Nuisance Act 1993  Party Wall etc Act 1996  Planning Act 2008  Planning and Hazardous Substances Act 1990  Pollution Prevention and Control Act 1999  Prevention of Damage by Pests Act 1949</p>

		Prevention of Oil Pollution Act 1971 Town and Country Planning Act 1990 Waste Minimisation Act 1998 Water (Fluoridation) Act 1985 Water Acts 1945/1948/1973/1989 / 2003 Water Consolidation (Consequential Provisional) Act 1991 Water Industry Act 1991 Water Resources Act 1991 Wildlife & Countryside Act 1981 <b>Environmental Protection (Single-Use Plastic Products) (Wales) Act 2023</b>
	Food Hygiene <ul style="list-style-type: none"> <li>• Food Hygiene Ratings</li> <li>• Food Fraud</li> </ul>	Food Hygiene Rating (Wales) Act 2013 Food Safety Act 1990
	<ul style="list-style-type: none"> <li>• Health &amp; Safety</li> </ul>	Factories Act 1961 Fatal Accidents Act 1976 Fire and Safety of Places of Sport Act 1987 Health & Safety at Work etc Act 1974 Mines & Quarries Act 1954 Offices, Shops and Railway Premises Act 1963

	<ul style="list-style-type: none"> <li>Animal Health, Welfare and by products</li> </ul>	<p>Agriculture - (Safety, Health and Welfare Provisions) Act 1956  Agriculture (Miscellaneous Provisions) Act 1968  Animal Health Acts 1981 and 2002  Animal Health and Welfare Acts 1981/1984  Animal Welfare Act 2006  Animals Act 1971  Control of Horses (Wales) Act 2014  Protection Against Cruel Tethering Act 1988  Protection of Animals (Amendment) Act 1988  Protection of Animals (Anaesthetics) Act 1954/1964  Protection of Animals Act 1911  The Animal By-Products (Enforcement) (Wales) Regulations 2014</p>
	<p>Public Health</p> <ul style="list-style-type: none"> <li>Infectious Diseases</li> <li>Public Health Funerals</li> <li>Smoking in public places and other locations where restrictions apply</li> </ul>	<p>Aids Control Act 1987  Building Act 1984  Burial Act 1857  Burials Acts 1952-1906  Burials Law (Amendment) Act 1880  Cremation Act 1902  Cremation Act 1952  Defective premises Act 1972  Equality Act 2010  Health Act 2009  Health act 206  Health and Social Care Act 2008/2012  Health Services &amp; Public Health Act 1968  Part 5 (Intimate Piercing) of the Public Health (Wales) Act 2017  Public Health (Drainage of Trade Premises) Act 1937  Public Health (Wales act) 2017  Public Health Act 1936  Public Health Act 1961</p>
	<p>Anti-social behaviour</p>	<p>Anti- Social Behaviour Crime and Policing Act 2014  Anti-social Behaviour Act 2003  Clean Neighbourhoods and Environment Act 2005</p>

		Crime and Disorder Act 1998
	Food Standards (Composition & labelling)	Food Safety Act 1990 Food Act 1984 Food Safety Act 1990 Products Containing Meat etc (Wales) Regulations 2014 - Healthy Eating in Schools (Wales) Measure 2009 Tryptophan in Food (Wales) Regulations 2005 Condensed Milk and Dried Milk (Wales) Regulations 2018 Contaminants in Food (Wales) Regulations 2013 Fish Labelling (Wales) Regulations 2013 Food Additives, Flavourings, Enzymes and Extraction Solvents (Wales) Regulations 2013 Food Irradiation (Wales) Regulations 2009 Foods Intended for Use in Energy Restricted Diets for Weight Reduction Regulations 1997 Honey (Wales) Regulations 2015 Kava-Kava in Food (Wales) Regulations 2006 Novel Foods (Wales) Regulations 2017 Processed Cereal-based Foods and Baby Foods for Infants and Young Children (Wales) Regulations 2004 European Union (Withdrawal) Act 2018 as it continues to give effect to the following Regulations or Orders: Beef and Veal Labelling (Wales) Regulations 2011 Country of Origin of Certain Meats (Wales) Regulations 2015 Eggs and Chicks (Wales) Regulations 2010 Food for Specific Groups (Information and Compositional Requirements) (Wales) Regulations 2016 Food Information (Wales) Regulations 2014



		<p>Fruit Juices and Fruit Nectars (Wales) Regulations 2013</p> <p>Genetically Modified Food (Wales) Regulations 2004</p> <p>Genetically Modified Organisms (Traceability and Labelling) (Wales) Regulations 2005</p> <p>General Food Regulations 2004</p> <p>Infant Formula and Follow-on Formula (Wales) Regulations 2020</p> <p>Materials and Articles in Contact with Food (Wales) Regulations 2012</p> <p>Natural Mineral Water, Spring Water and Bottled Drinking Water (Wales) Regulations 2015</p> <p>Official Controls (Animals, Feed and Food, Plant Health Fees etc.) (Wales) Regulations 2020</p> <p>Official Controls (Animals, Feed and Food, Plant Health Fees etc.) Regulations 2019</p> <p>Official Feed and Food Controls (Wales) Regulations 2009</p> <p>Olive Oil (Marketing Standards) Regulations 2014</p> <p>Organic Products Regulations 2009</p> <p>Poultry meat (Wales) Regulations 2011</p> <p>Products of Animal Origin (Disease Control) (Wales) Regulations 2008</p> <p>Quick Frozen Foodstuffs (Wales) Regulations 2007</p> <p>Scotch Whisky Regulations 2009</p> <p>Specified Products from China (Restriction on First Placing on the Market) (Wales) Regulations 2008</p> <p>Spirit Drinks Regulations 2008</p> <p>Trade in Animals and Related Products (Wales) Regulations 2011</p> <p>Wine Regulations 2011.</p>
	<p>Agricultural standards including Feed Hygiene and fertilisers</p>	<p>Agriculture (Miscellaneous Provisions) Act 1968; Agriculture Act 1970</p> <p>Animal Feed (Composition, Marketing and Use) (Wales) Regulations 2016</p>

		<p>Medicines Act 1968  European Union (Withdrawal) Act 2018 as it continues to give effect to the following Regulations or Orders:  Animal Feed (Hygiene, Sampling etc. and Enforcement) (Wales) Regulations 2016;  Official Controls (Animals, Feed and Food, Plant Health Fees etc.) (Wales) Regulations 2020;  Official Feed and Food Controls (Wales) Regulations 2009;  Official Controls (Animals, Feed and Food, Plant Health Fees etc.) Regulations 2019;  EC Fertilisers (England and Wales) Regulations 2006;  Quality Schemes (Agricultural Products and Foodstuffs) Regulations 2018.</p>
Community Warden Services	Pest Control	Prevention of Damage by Pests Act 1949
	Fair Trading	<p>Accommodation Agencies Act 1953 (&amp; 1957)  Administration of Justice Act 1970  Birmingham Commonwealth Games Act 2020  Cancer Act 1939  Christmas Day Trading Act 2004  Companies Act 2006  Consumer Credit Act 2006  Consumer Rights Act 2015  Copyright, Designs and Patents Act 1988  Criminal Justice Act 1988  Criminal Justice and Police Act 2001  Customs and Excise Management Act 1979  Education Reform Act 1988  Energy Act 2011 - Energy Efficiency (Private Rented Property)(England and Wales) Regulations 2015; Enterprise Act 2002  Estate Agents Act 1979  Forgery and Counterfeiting Act 1981  Fraud Act 2006</p>

		<p>Hallmarking Act 1973; Knives Act 1997  Legal Services Act 2007  Lifts Regulations 1997  Olympic Symbol (Protection) Act 1995  Pet Animals Act 1951 (S.2 prohibit pet sales in a street or public place)  Police and Criminal Evidence Act 1984  Prices Act 1974 - Price Marking Order 2004  Public Health (Minimum Price for Alcohol) (Wales) Act 2018  Registered Designs Act 1949  Renting Homes (Fees etc.) (Wales) Act 2019  Climate Change Act 2008 (Single Use Carrier Bags Charge (Wales) Regulations 2010)  Sunday Trading Act 1994  Theft Act 1968  Theft Act 1978  Trade Description Act 1968  Trade Marks Act 1994  Unsolicited Goods and Services Acts 1971 and 1975  Video Recordings Act 1984  Vehicles (Crime) Act 2001  European Union (Withdrawal) Act 2018 as it continues to give effect to the following Regulations or Orders:-  Advanced Television Services Regulations 2003;  Biofuel Labelling Regulations 2004;  Business Protection from Misleading Marketing Regulations 2008;  Cat and Dog Fur (Control of Import, Export and Placing on the Market) Regulations 2008;  Consumer Contracts (Information, Cancellation and Additional Charges) Regulations 2013;  Consumer Protection from Unfair Trading Regulations 2008;  Consumer Rights (Payment Surcharges) Regulations 2012;</p>
--	--	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

		<p>Eco-design for Energy-Related Products Regulations 2010;  Energy Information Regulations 2011;  Energy Performance of Buildings (England and Wales) Regulations 2012;  Financial Services (Distance Marketing) Regulations 2004;  Footwear (Indication of Composition) Labelling Regulations 1995;  Household Appliances (Noise Emission) Regulations 1990  Package and Linked Travel Arrangements Regulations 2018;  Packaging (Essential Requirements) Regulations 2015  Passenger Car (Fuel Consumption and CO2 Emissions Information) Regulations 2001;  Rights of Passengers in Bus and Coach Transport (Exemptions and Enforcement) Regulations 2013;  Textile Products (Labelling and Fibre Composition) Regulations 2012;  Timeshare, Holiday Products, Resale and Exchange Contracts Regulations 2010.</p>
	Age Restricted Sales	<p>Anti-social Behaviour Act 2003 (aerosol paint)  Licensing Act 2003 (alcohol)  Children and Young Persons Act 1933  Children and Young Persons (Protection from Tobacco) Act 1991  Children and Families Act 2014  The Nicotine Inhaling Products (Age of Sale and Proxy Purchasing) Regulations 2015  Protection from Tobacco (Sales from Vending Machines) (Wales) Regulations 2011  The Pyrotechnic Articles (Safety) Regulations 2015 (fireworks)  Video Recordings Act 1984 (films etc)  Criminal Justice Act 1988 (knives)</p>

		<p>Psychoactive Substances Act 2016</p> <p>The Sunbed (Regulation) Act 2010 (sunbeds)</p> <p>Gambling Act 2006</p> <p>Offensive Weapons Act 2019</p>
	Consumer & Product Safety	<p>Botulinum Toxin and Cosmetic Fillers (Children) Act 2021</p> <p>Clean Air Act 1993 (Motor Fuel (Composition and Content) Regulations 1999 &amp; Biofuel (Labelling) Regulations 2004)</p> <p>Consumer Protection Act 1987</p> <p>Environmental Protection Act 1990 - Environmental Protection (Microbeads) (Wales) Regulations 2018;</p> <p>Motor Vehicles (Safety Equipment for Children) Act 1991</p> <p>Medicines and Medical Devices Act 2021</p> <p>Motor Cycle Noise Act 1987</p> <p>Road Traffic Acts 1988 and 1991</p> <p>Tobacco Advertising and Promotion Act 2002</p> <p>Violent Crime Reduction Act 2006</p> <p>Violent Crime Reduction Act 2006 (Realistic Imitation Firearms) Regulations 2007</p> <p>Aerosol Dispensers Regulations 2009</p> <p>European Union (Withdrawal) Act 2018 as it continues to give effect to the following Regulations or Orders:-</p> <p>Construction Products Regulations 2013;</p> <p>Cosmetic Products Enforcement Regulations 2013 and the EU Cosmetic Products Regulation 1223/2009;</p> <p>Crystal Glass (Descriptions) Regulations 1973;</p> <p>Detergents Regulations 2010;</p> <p>Electrical Equipment (Safety) Regulations 2016;</p> <p>Electromagnetic Compatibility Regulations 2016;</p> <p>Fluorinated Greenhouse Gases Regulations 2015;</p>

		<p>Gas Appliances (Enforcement) and Miscellaneous Amendments Regulations 2018;  General Product Safety Regulations 2005;  Medical Devices Regulations 2002; Ozone-Depleting Substances Regulations 2015;  Personal Protection Equipment (Enforcement) Regulations 2018;  Pressure Equipment (Safety) Regulations 2016;  Radio Equipment Regulations 2017;  REACH Enforcement Regulations 2008;  Recreational Craft Regulations 2017;  Simple Pressure Vessels (Safety) Regulations 2016;  Supply of Machinery (Safety) Regulations 2008;  Tobacco and Related Products Regulations 2016;  Toys (Safety) Regulations 2011;  Volatile Organic Compounds in Paints, Varnishes and Vehicle Refinishing Products Regulations 2012;  Specific legislation made under the Health &amp; Safety at Work Act etc. 1974:  The Ammonium Nitrate Materials (High Nitrogen Content) Safety Regulations 2003;  The Biocidal Products and Chemicals (Appointment of Authorities and Enforcement) Regulations 2013;  The Chemical (Hazard Information and Packaging for Supply) Regulations 2009;  The Dangerous Substances and Explosive Atmospheres Regulations 2002;  The Explosives Regulations 2014.</p>
	<p>Legal Metrology (Weight &amp; Measures)</p>	<p>Weights and Measures Act 1985  Measuring Instruments (Beltweighers) Regulations 2006  Measuring Instruments (Capacity</p>

		<p>Serving Measures) Regulations 2006</p> <p>Measuring Instruments (Liquid Fuel and Lubricants) Regulations 2006</p> <p>Police Reform Act 2002 (S.41A)</p> <p>European Union (Withdrawal) Act 2018 as it continues to give effect to the following Regulations or Orders:</p> <p>Measuring Container Bottles (EEC Requirements) Regulations 1977;</p> <p>Measuring Instruments Regulations 2016;</p> <p>Non-automatic Weighing Instruments Regulations 2016;</p> <p>Weights &amp; Measures (Packaged Goods) Regulations 2006;</p> <p>Measuring Instruments (EEC Requirements) Regulations 1988</p> <p>Enforced exclusively by officers appointed as Weights and Measures Inspectors</p>
Proper maintenance of land		
	<p>Licensing of premises and personal registrations to carry out acupuncture, piercings and tattooing, semi-permanent skin colouring, cosmetic piercing, electrolysis</p>	<p>Public Health (Wales) Act 2017 – Part 5</p> <p>Local Government (Miscellaneous Provisions) Act 1982</p>
	<p>Licensing of Petroleum sites</p>	<p>Health and Safety at Work etc Act 1974 - Petroleum (Consolidation) Regulations 2014</p>
	<p>Licensing of scrap metal dealers</p>	<p>Scrap Metal Dealers Act 2013</p>
	<p>Power to issue, amend or replace safety certificates</p>	<p>The Safety of Sports Grounds Act 1975 (c. 52)</p>

	(whether general or special) for sports grounds.	
	Power to issue, cancel, amend or replace safety certificates for regulated stands at sports grounds.	Part III of the Fire Safety and Safety of Places of Sport Act 1987 (c. 27).
	Licensing and regulating all form of gambling (covers arcades, betting, bingo, casinos, gaming machines, society lotteries, and remote gambling (including online gambling))	Gambling Act 2005
	Licensing and regulating the sale and supply of alcohol, the provision of entertainment and the provision of late night refreshment	Licensing Act 2003
	Entertainment and alcohol licensing including premises licensing, Temporary Event Notices, Club Premises Certificates, Sex Establishments, Personal Licences, Licensing Act reviews, etc	Section 12 of the Children and Young Persons Act 1933 (c. 12); Crime and Disorder Act 1998, Criminal Justice and Police Act 2001 (s.19-25); Fire Safety & Safety at Places of Sports Act 1987; Hypnotism Act 1952; Licensing Act 2003; Local Government (Miscellaneous Provisions) Act 1982; Policing and Crime Act 2017; Theatres Act 1968;
	Animal related licensing including animal health and welfare	Animal Boarding Establishments Act 1963; Animal By Products (Wales) Regulations 2003; Animal Health and Welfare Acts 1981/1984; Animal Welfare Act 2006; Breeding of Dogs Act 1973; Game Act 1831; Guard Dogs Act 1975; Local Government Act 1988; Pet



		Animals Act 1951; Pet Animals (Amendment) Act 1983; Protection Against Cruel Tethering Act 1988; Protection of Animals (Amendment) Act 1988; The Riding Establishments Acts 1964 and 1970; Wild Animals and Circuses (Wales) Act 2020; Wildlife & Countryside Act 1981
	Power to register animal trainers and exhibitors	Performing Animals (Regulations) Act 1925
Licensing and Licensing Enforcement	Licensing premises for the breeding of dogs	The Animal Welfare (Breeding of Dogs) (Wales) Regulations 2014
	Licensing pet shops and other establishments where animals are bred or kept for the purposes of carrying on a business	Section 1 of the Pet Animals Act 1951 (c. 35) Section 1 of the Animal Boarding Establishments Act 1963 (c. 43) The Riding Establishments Acts 1964 and 1970 (c. 1964 c. 70 and 1970 c. 70) The Animal Welfare (Licensing of Activities Involving Animals) (Wales) Regulations 2021
	Animal Welfare/Licensing	Animal Welfare Act 2006 (including any subsequent legislation, to include (but not limited to): The Animal Welfare (Breeding of Dogs) (Wales) Regulations 2014; and The Animal Welfare (Licensing of Activities Involving Animals (Wales) Regulations 2021).
	Licensing of zoos and dangerous wild animals	Section 1 of the Zoo Licensing Act 1981 (c. 37) Section 1 of the Dangerous Wild Animals Act 1976 (c. 37)

	<p>Licensing premises for manufacturing, storing and selling fireworks and explosives (enforcement of these laws carried out by Trading Standards)</p>	<p>Pyrotechnic Articles (Safety) Regulations 2015 (as amended by the Product Safety and Metrology etc (Amendment etc)(EU Exit) Regulations 2019); Fireworks Act 2003; Fireworks Regulations 2004; Explosives Act 1875; Consumer Protection Act 1987; Explosives Regulations 2014; Product Safety Amendment and Revocation Regulations 2012; Health and Safety at Work Act etc 1974; Public Health Acts 1936 and 1961; Health &amp; Safety and Nuclear (Fees) Regulations 2021.</p> <p>Enforcement carried out by Trading Standards.</p>
	<p>Licensing of Hackney Carriages and Private Hire Vehicles, including licensing of drivers of hackney carriages and private hire vehicles, and licensing of operators of hackney carriages and private hire vehicle.</p> <p>Note: In certain circumstances it will be necessary for the Chair/ Vice Chair of the Council's Licensing Committee to be consulted upon to confirm whether or not an applicant, an existing licence holder should be referred to the Licensing Sub-Committee for determination.</p>	<ul style="list-style-type: none"> <li>i. As to hackney carriages – the Town Police Clauses Act 1847 (10 &amp; 11 Vict. c. 89), as extended by section 171 of the Public Health Act 1875 (38 &amp; 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);</li> <li>ii. As to private hire vehicles - sections 48, 57, 58, 60 and 79 of the Local Government (Miscellaneous Provisions) Act 1976.;</li> <li>iii. As to drivers of hackney carriages and private hire vehicles - Sections 51, 53, 54, 59, 61 and 79 of the Local Government</li> </ul>

		<p>(Miscellaneous Provisions) Act 1976.</p> <p>iv. As to operators of hackney carriages and private hire vehicles - Sections 55 to 58, 62 and 79 of the Local Government (Miscellaneous Provisions) Act 1976.</p> <p>Also include: Town Police Clauses Act 1889; Road Traffic Act 1991 and 1988;</p>
--	--	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

- 3.4 Authorised to Act as an Authorised and Authorising Officer for the purposes of the Regulation of Investigatory Powers Act 2000, the Monitoring Officer as Senior Responsible Officer, to be notified of any such application.
- 3.5 Authorised to Act as Authorising Officer for the purposes of the Protected Food Name Scheme: The Quality Schemes (Agricultural Products and Foodstuffs) Regulations 2018.
- 3.6 To act as Proper Officer for the management of outbreaks of notifiable infectious and communicable disease and to appoint and authorise Alternative Proper Officers to act on behalf of the authority in respect of legislative provisions relating to the prevention and control of outbreaks of disease or infection
- 3.7 To sign issue and serve Statutory Notices under all relevant legislation listed below together with all future legislation within the remit of Policy & Performance including requisitions for information.
- 3.9 To initiate and make arrangements for the execution of works in default in the event of any non-compliance or contravention of the terms of any Statutory Notice served under delegated powers.
- 3.10 To instruct the Legal Services in relation to proceedings for non-compliance with any provision of legislation falling to Policy & Performance to enforce.
- 3.11 To undertake all relevant operational and administrative duties, responsibilities and functions contained in legislation or otherwise falling to Policy, Performance & Public Protection to implement.
- 3.12 To undertake inspections, investigations, interviews, sampling, prohibitions, seizures, detentions, recording, monitoring (the issue of fixed penalty notices), service of notices, (including suspension notices), notifications, waivers, transfers, authorisations, licensing, registrations

and legal proceedings under any legislation that falls within the remit of Policy & Performance, together with any regulations made thereunder, and any amendments or additions thereto together with all future legislation within the remit of Policy, Performance & Public Protection and to exercise all other relevant powers, including powers of entry provided under such legislation.

3.13 To undertake all duties relating to Public Health (Coronavirus) associated legislation, as amended, including but not limited to:

3.13.1 The Health Protection (Coronavirus Restrictions) (Wales) Regulations; and

3.13.2 The Health Protection (Coronavirus Restrictions) (Functions of Local Authorities) (Wales) Regulations.

3.14 To act as the Senior Responsible Officer (Proceeds of Crime Act 2002).

3.15 Responsible for ensuring compliance with the Armed Forces Covenant Duty pursuant to section 343AB of the Armed Forces Act 2006 and any guidance issued under section 343AE of the same act.

### **Civil Contingencies & Business Continuity**

To exercise all the Council's functions and powers and to take all appropriate action in relation to civil contingencies and business continuity including but not limited to:

1. The Civil Contingencies Act 2004.

### **Community Safety and Counter Terrorism**

To exercise the Council's powers, duties and functions relating to the Crime and Disorder Act 1998, the Counter Terrorism and Security Act 2015 and the CONTEST strategy.

### **CHIEF INSPECTOR OF WEIGHTS AND MEASURES**

The following functions are to be delegated to the current post holder: Trading Standards & Licensing Manager:

1. To act as the Council's Chief Inspector of Weights and Measures under Section 72 of the Weights and Measures Act 1985 (including any associated subsequent legislation).

### **Proper Officer Responsibilities- Public Health (Control of Disease) Act 1984**

The Corporate Lead Officer Policy, Performance and Public Protection is designated Proper Officer in relation to Public Health (Control of Disease) Act 1984 (as amended by the Health and Social Care Act 2008) and any subordinate Regulations or legislative provisions.

The Proper Officer can authorise and delegate to competent persons as necessary to act on behalf of the Council.

### **3.5 J DELEGATIONS IN RESPECT OF CORPORATE LEAD OFFICER - PORTH CYNNAL SPECIALIST THROUGH AGE WELLBEING SERVICES (STATUTORY DIRECTOR OF SOCIAL SERVICES/RESPONSIBLE INDIVIDUAL) AND CORPORATE LEAD OFFICER – PORTH GOFAL TARGETED INTERVENTION (DEPUTY DIRECTOR OF SOCIAL SERVICES)**

Functions delegated to Corporate Lead Officer - Porth Cynnal Specialist Through Age Wellbeing Services

1) STATUTORY DIRECTOR OF SOCIAL SERVICES- Corporate Lead Officer - Porth Cynnal Specialist Through Age Wellbeing Services

The Corporate Lead Officer - Porth Cynnal Specialist Through Age Wellbeing Services is designated and appointed Statutory Director of Social Services in accordance with Section 6 of the Local Authority Social Services Act 1970 and the Social Services and Well-Being (Wales) Act 2014. The role and accountabilities of the Director of Social Services is set out in the Protocol, 'Role and Accountabilities of the statutory Director of Social Services', which is Document P in Part 5 of this Constitution. The Protocol was formally adopted by the Council on 23/1/18.

2) Authorised to Act as an Authorised and Authorising Officer for the purposes of the Regulation of Investigatory Powers Act 2000, the Monitoring Officer as Senior Responsible Officer, to be notified of any such application.

3). To exercise the Council's powers, duties and functions relating to the Channel Panel under the Counter Terrorism and Security Act 2015 including designation of appropriate Officers to be Channel Chair and Deputy Channel Chair.

4) to carry out the functions of the Council as appointed Deputy under any Deputyship Order granted to the Council by the Court of Protection under Section 16 of the Mental Capacity Act 2005

Functions delegated to the Corporate Lead Officer - Porth Cynnal Specialist Through Age Wellbeing Services and Corporate Lead Officer - Porth Gofal Targeted Intervention

1. The following functions are delegated to the:

- Corporate Lead Officer - Porth Cynnal Specialist Through Age Wellbeing Services;
- Corporate Lead Officer - Porth Gofal Targeted Intervention; and
- In their absence, to any officers duly authorised by the said Corporate Lead Officers from time to time as appropriate subject to such officers being suitably qualified for the discharge of those duties and functions: -

1.1 To represent the Council at the West Wales Regional Partnership Board and/or the West Wales Care Partnership and, through such representation, make associated relevant decisions on behalf of the

Council, and exercise the Council's functions, powers and duties, as appropriate.

1.2 The following functions, under relevant legislation (as amended) and to any officers authorised by them from time to time as appropriate, subject to such officers being suitably qualified for the discharge of those duties and functions (see below): (including but not limited to), under relevant legislation (in so far as they are still in force and/or subsequently amended), and delegated to any officers authorised by them from time to time as appropriate, subject to such officers being suitably qualified for the discharge of those duties and functions (see below):

#### Through Age Wellbeing /Social Services Functions

- Social Services and Well-Being (Wales) Act 2014
- Local Authority Social Services Act 1970
- Children & Young Persons Act 1933
- National Assistance Act 1948
- Mental Health (Scotland) Act 1984
- Health & Social Care Act 2001
- Health Services and Public Health Act 1968
- Adoption Act 1976
- Children Act 1975
- Children Act 1989
- Children Act 2004
- National Health Service (Wales) Act 2006
- Mental Health Act 1983
- Housing Act 1996
- Care Act 2014
- Children and Families Act 2014
- Public Health (Control of Disease) Act 1984
- Adoption (Intercountry Aspects) Act 1999
- Disabled Persons (Services, Consultation and Representation) Act 1986
- Health and Care Act 2022,
- Mental Capacity (Amendment) Act 2019

#### DEPUTY DIRECTOR OF SOCIAL SERVICES

The Corporate Lead Officer - Porth Gofal Targeted Intervention is the designated Deputy Director of Social Services.

## **K - DELEGATIONS TO THE CORPORATE LEAD OFFICER - SCHOOLS AND THE CORPORATE LEAD OFFICER - LIFELONG LEARNING (& CHIEF EDUCATION OFFICER)**

The Corporate Lead Officer - Lifelong Learning is designated and appointed Chief Education Officer and also Lead Director for Children and Young People's Services role, in accordance with Section 27 Children Act 2004.

The Corporate Lead Officer - Schools is designated and appointed Deputy Chief Education Officer.

### **Functions Delegated to the Corporate Lead Officer - Schools and the Corporate Lead Officer - Lifelong Learning**

The following functions are to be delegated to both the Corporate Lead Officer - Schools and the Corporate Lead Officer - Lifelong Learning, and to any officers authorised by either Corporate Lead Officer from time to time as appropriate subject to such officers being suitably qualified for the discharge of those duties and functions:

#### **1. Representing at judicial proceedings, tribunals and panels**

To authorise the attendance of nominated Officers at judicial proceedings, tribunals and panels to represent the interests of the Council.

#### **2. Admissions**

- 2.1 To implement and administer the procedures and arrangements for the admission of pupils to schools, in accordance with Council policies and national statutory regulations and guidance.
- 2.2 To approve or otherwise individual arrangements for "education otherwise" and, if necessary, initiate legal action.
- 2.3 To supervise the employment of children.

#### **3. Attendance at school**

- 3.1 To exercise the powers and duties of the Council in respect of children excluded from school and to make suitable arrangements for the continuing education of pupils who are excluded or otherwise unable to attend school, in accordance with Council policy and national statutory regulations and guidance.

#### **4. To undertake the powers and duties of the Council regarding Education**



## **Supervision Orders in conjunction with the Corporate Lead Officer Porth Cynnal Specialist Through Age Curriculum**

- 4.1 To promote high standards in primary and secondary education in accordance with the requirements of legislation including the School Standards and Framework Act 1998 and the practice advocated in the Welsh Office Code of Practice on LEA - School Relations.
- 4.2 To investigate complaints relating to curriculum and assessment matters under the provision of the Education Act 1996.
- 4.3 To secure and determine Community Education provision in accordance with Council policy and in consultation with the Cabinet Member.

### **5. Special educational needs**

To determine special education provision for individual pupils, including initiation of assessment, the maintenance and review of statements of special educational needs.

### **6. Staffing**

- 6.1 To make arrangements for staffing appointments in schools subject to the provisions of the Articles of Government and/or relevant legislation.
- 6.2 To appoint persons selected by Governing Bodies to fill vacant posts in schools, unless the person so recommended does not meet the staff qualification requirements applicable to the appointment.
- 6.3 To determine applications for leave of absence for teachers employed by the Council (other than those appointed by Governing Bodies) to work in schools and other establishments.
- 6.4 In the case of aided schools to exercise any advisory rights relating to the appointments of Head teachers, Deputy Head teachers or other teaching or ancillary staff conferred by agreement or legislation.
- 6.5 In the case of Community and voluntary controlled schools, to nominate persons to fill vacancies in other teaching posts in schools where Governing Bodies have notified their intention to fill those vacancies.
- 6.6 To operate redeployment procedures in accordance with County Council procedures.
- 6.7 To act on the determination of Governing Bodies relating to potential dismissals and any subsequent appeals against such dismissals, which are within the Council's powers to determine and in accordance with the Council policy.
- 6.8 To implement and administer, as appropriate, the procedures determined by the Council for dealing with the Conduct and Performance of staff.

6.9 To exercise the powers of the Local Education Authority in respect of the Licensed Teacher Scheme.

6.10 To operate the Head-teacher Performance Management Scheme.

6.11 To determine applications for attendance at conferences and for external professional duties of staff approved by the Council to work in schools and other establishments (but not appointed by Governing Bodies).

6.12 To decide on the provision and implementation of the INSET programme.

## **7. In relation to governing bodies**

7.1 To ensure that the Governing Bodies of the Council's schools are properly constituted.

7.2 To design and implement a training programme for Governors.

## **8. Finance**

8.1 To determine and authorise the payment of boarding awards, grants towards tuition fees and expenses at schools where fees are payable, major further education awards, maintenance allowances and tuition fees for correspondence courses and requests for the refund of grants.

8.2 To initiate action in respect of the recovery of grant payments in consultation with the Cabinet Member.

8.3 To decide on individual applications for discretionary awards in accordance with Council policy.

8.4 To determine applications for assistance towards travelling expenses from further education students.

8.5 To approve the payment of recoupment charges for pupils and students at out of County establishments and to recoup fees, where appropriate.

8.6 To allocate and monitor grants obtained from time to time.

8.7 To determine applications for free school meals in accordance with the policy adopted by the Council.

8.8 To determine applications for grants under the Coe Memorial and Cardiganshire Intermediate Funds in consultation with the Cabinet Member.

## **9. Welsh in Education**

The preparation of the Council's Welsh in education strategic plan under S.84 School Standards and Organisation (Wales) Act 2013 including any review, revision or consultation required and the carrying out of any assessment of the demand among parents in its area for Welsh medium education for their children

required by the Welsh Ministers under S.86 School Standards and Organisation (Wales) Act 2013.

### **Functions Delegated to the Corporate Lead Officer - Lifelong Learning**

The following functions are to be delegated to the Corporate Lead Officer Schools, and in their absence to any officers authorised by the Corporate Lead Officer from time to time as appropriate subject to such officers being suitably qualified for the discharge of those duties and functions:

#### **1. Grants**

To secure and determine the allocation of County Council grant support for arts and culture.

# PETITIONS PROTOCOL

---



Cyngor Sir  
**CEREDIGION**  
County Council

Author and service:

Date approved by Council:

Publication date:

Review Date:

**Petitions Protocol**

**Table of Contents**

PETITIONS PROTOCOL..... 2

## **Ceredigion County Council Petition Scheme**

### **Determination of the Proper Form of Petitions**

Ceredigion Council has made the following determination of the proper form of public petitions submitted under Section 44 of the Local Government and Elections (Wales) Act 2021.

### **Means and format for submissions.**

1. Petitions may be submitted on paper or electronically using the Ceredigion County Council online petition system, or a combination of the two.
2. People can only sign a petition once. If they sign the petition online, they will be asked to verify their e-mail address. People cannot sign both an online and a paper petition and may be removed if it is proven that a petitioner has signed twice.
3. Petitions will not be accepted from other on-line petition systems.
4. Electronic Petitions may collect signature for a maximum period of 3 months.
5. For a paper petition the petition wording should be set out in full on each sheet (or side of a sheet) where signatures and addresses are asked for

### **Wording**

1. Electronic petition wording must be set out bilingually in Welsh and in English.
2. Petitions should be submitted in good faith and addressed to Ceredigion County Council. They should call for Ceredigion County Council to take some specific action, for example:

*'We call on Ceredigion County Council to...'*

### **Information**

The petition must clearly indicate:

1. The name of the petitioner, who may be an individual or an organisation. This includes anyone under the age of 18.
2. The petitioner's address, which must be in Ceredigion to which all communications concerning the petition should be sent.
3. A date for your petition to stop collecting signatures.

### **Admissible Petitions**

Petitions must relate to the matters which fall under the jurisdiction of Ceredigion County Council, with the exception of the inadmissible criteria below.

### **Petitions that are not admissible**

1. Petitions relating to anything which does not come under the Council's jurisdiction
2. Petitions that are the same, or substantially similar to a petition which was closed less than a year earlier
3. Petitions relating to planning or licensing applications

4. Statutory petitions, or petitions relating to Local Authority Referendums which falls under the Local Authorities (Referendums) (Petitions and Directions) (Wales) Regulations 2001
5. Petitions asking the Council to adjudicate, arbitrate or mediate personal or commercial interests this is the role of a court or tribunal)
6. Petitions on matters that are subject to legal proceedings in the courts
7. Petitions on matters that are already subject to determination by an ombudsman (or person with similar powers)
8. Petitions that are essentially Freedom of Information (FOI) requests, comments, compliments or complaints. Please see information on the Ceredigion County Council website as follows: **Freedom of Information Requests** <http://www.ceredigion.gov.uk/your-council/data-protection-freedomofinformation/freedom-of-information/>  
**Submitting Comments, Compliments and Complaints:** <http://www.ceredigion.gov.uk/your-council/comments-compliments-andcomplaints/>
9. Petitions which raise issues of possible councillor misconduct will be taken as complains arising under the Local Government Act 2000 and will be reported to the Ethics and Standards Committee rather than considered under this petition scheme
10. Petitions relating to the jurisdiction of Town and Community Councils.

**Petitions must not contain**

1. Language which is offensive, intemperate or provocative. This not only includes obvious profanities, swear words and insults, but any language which a reasonable person would regard as offensive
2. Potentially false or potentially defamatory statements
3. Information which is prohibited from being published by an order of a court or a body or person with similar power
4. Materials which is potentially confidential, commercially sensitive, or which may cause personal distress or loss
5. Any commercial endorsement, promotion of any product, service or publication or statements that amount to advertisements;
6. The names of officials of public bodies, unless they are part of the senior management of those organisations;
7. The names of family members of elected representatives or officials of public bodies;
8. The names of individuals, or information where they may be identified, in relation to criminal charges;
9. Issues for which a petition is not the appropriate channel (for example, correspondence about a personal issue).

In the period immediately before an election or referendum we may need to deal with your petition differently. If this is the case we will explain the reasons and discuss the revised timescale which may apply.

### **Submitting an e-petition using the Council's online system.** The

Council's online petition system can be accessed here: [xxxxxxx](#) You will be asked to input the following information:

- a) Title and the text of the petition
- b) Your name
- c) Your e-mail
- d) Your Address
- e) A date for your petition to stop collecting signatures. Petitions may collect signatures for a maximum period of 3 months. It might be worth bearing in mind that the Council will not consider your petition until after it has finished collecting signatures.

### **Acknowledging receipt of submission of an electronic petition**

Once you have submitted your petition, you will receive an e-mail confirming that it has been received. Democratic Services will then consider it against the rules for petitioning the Council as set out above.

If your petition is admissible as you have worded it, it will be published on our website within 10 working days of receipt and can begin to collect signatures. We will confirm this by e-mail and send you the link to your petition.

If your petition is inadmissible, we will let you know and tell you the reason that it cannot go forward. It might be that the issue raised by your petition is admissible in principle, but there are some aspects of the wording which fall outside the rules. In these situations the Democratic Services team will contact you to suggest ways in which you can change the wording so that it complies fully with the rules. Once you are happy with the final wording, your petition will be published within 10 working days of confirmation of the revised wording and can begin collecting signatures.

If your petition is inadmissible as set out in the rules above and cannot be rectified by means of amending the wording, we will let you know and tell you the reason that it cannot go forward. The title and text of the petition will be published online as part of the list of inadmissible petitions, along with an explanation about why it wasn't admissible.

### **Handing in your petition**

For e-petitions, the first working day following the date stipulated to stop collecting signatures will be deemed to be the 'handing in' date. The e-petition will then be forwarded to the relevant Corporate Lead Officer, or in their absence, the relevant Corporate Director.

Any paper petition should be received by a Member, Chief Executive, Corporate Director or Corporate Lead Officer.

Any petition received should be immediately forwarded to the relevant Corporate Lead Officer, or in his / her absence, the relevant Corporate Director for the topic in question.



### **Acknowledging Receipt of all petitions**

A Democratic Services Officer will acknowledge receipt of the petition within 10 working days of the 'submission date'. The admissibility of electronic petitions are verified at the outset of the process, however if any paper petition is deemed to be inadmissible for the reasons outlined in the section above, you will be informed of the reason why it cannot go forward.

**NOTE** - Petitions should be acknowledged by writing to the first signatory to the petition, or to the person submitting the petition if it is accompanied by a covering letter, or if it is submitted electronically.

### **Steps taken by the Council in response to a petition received**

The Democratic Services Officer will forward a copy of the front sheet of the petition, together with an estimate of the number of signatories, to the relevant Corporate Lead Officer / Corporate Director / Chief Executive. The Head of Democratic Services shall maintain a register of all petitions received.

The Democratic Services Officer will report receipt of the petition to the next available Cabinet meeting and will retain custody of the original petition. The exact wording of the petition title will be reported to Cabinet, along with number of petitioners. This information will appear on the Cabinet agenda.

The relevant Corporate Director / Corporate Lead Officer will take the petition into account in making any delegated decision and will refer to it in any report to Cabinet regarding the topic in question.

The relevant Corporate Director / Corporate Lead Officer will notify the person submitting the petition of any outcome resulting from the petition.

### **Other Engagement Opportunities**

The relevant Cabinet Member will be made aware of the petition, and where the subject matter affects particular wards, the councillors representing those wards will also be notified of the receipt of the petition.

This will provide an opportunity for those Members to connect with the petitioner and to consider alternative or complimentary methods of dealing with the matter, such as submitting a letter request consideration of parking restrictions in a particular area or referring a matter to Scrutiny for consideration.

### **Equality and the Welsh Language**

In implementing the Petition Protocol, Ceredigion County Council will make regard to the statutory duties in respect of equalities, Welsh Language and the Well-being of Future Generations (Wales) Act 2015.

**Data protection and GDPR**

We will keep all petitions for 6 years. After that time it will be safely and securely destroyed.

This page is intentionally left blank

## Contract Procedure Rules

---



Author and service: George Ryley - Procurement  
Date approved by Council: 22 March 2018  
Publication date:  
Review Date: March 2021

# CONTRACT PROCEDURE RULES

	Page
<b>Table of Contents</b>	
Table of Contents .....	2
DEFINITIONS.....	4
1.INTRODUCTION.....	13
2.BASIC PRINCIPLES .....	15
3.OFFICERS' RESPONSIBILITIES .....	16
4.BEFORE COMMENCING A PROCUREMENT.....	17
5.RETENTION OF RECORDS AND NOTIFICATION TO CANDIDATES .....	18
6.FRAMEWORK AGREEMENTS .....	22
7.DYNAMIC PURCHASING SYSTEMS.....	23
8.COMPETITION REQUIREMENTS FOR THE AWARD OF CONTRACTS.....	28
9.EXEMPTIONS.....	32
10.PRE-TENDER MARKET RESEARCH AND CONSULTATION .....	33
11.REQUEST FOR QUOTATION (RFQ) OR INVITATION TO TENDER (ITT).....	34
12.OPEN OR RESTRICTED TENDERING PROCEDURE.....	40
13.NEGOTIATED TENDERING PROCEDURES .....	40
14.LIGHT TOUCH REGIME.....	43
15.SUBMISSION, RECEIPT AND OPENING OF TENDERS.....	44
16.CLARIFICATION PROCEDURES.....	45
17.EVALUATION AND AWARD OF CONTRACT.....	45
18.CONTRACT DOCUMENTS AND CONTRACT FORMALITIES.....	46
19.PARENT COMPANY GUARANTEES (PCG) AND PERFORMANCE BONDS .....	50
20.PREVENTION OF CORRUPTION.....	51
21.CONTRACT MANAGER .....	51

Ceredigion County Council Constitution - Part 4 Rules of Procedure 2

PART 4 DOCUMENT G Contract procedure Rules

Approved by Council xxxxxx

22.AMENDMENTS.....51  
23.COMMUNITY BENEFITS.....52

## DEFINITIONS

Agent	A person or organisation acting on behalf of the Council or on behalf of another organisation.
All-Wales Framework Agreement	An agreement that has been awarded by a public sector body in Wales available for use by the Council.
<u>Appropriate Framework Agreement</u>	<u>A framework other than an All-Wales agreement which is available for the Council to use because it has been named in the OJEU Contract Notice.</u>
Approved List	<u>An unofficial list of preferred contractors. Approved lists are not permissible under these Rules.</u>
Award Criteria	The criteria by which the successful Quotation or Tender is to be selected
Award Procedure	The procedure for awarding a contract.
Award Team	Those persons responsible for selecting a successful Quotation or Tender (to be determined by the Total Value).
Bidder	A Candidate that has submitted a Tender or Quotation.
Performance Bond	An insurance policy: if the contractor does not do what it has promised under a contract with the Council, the Council may claim from the insurer the sum of money specified in the Bond (often 10% of the contract value). A Bond is intended to protect the Council against a level of cost arising from a contractor's failure.
Cabinet	The Council's Cabinet as defined in the Constitution.

Call-Off	A contract that covers a list of defined products or services where the price structure is also defined.
Candidate	Any person who asks or is invited to submit a Quotation, or Tender.
CardiNet	The Council's intranet site.
Chief Officer	The officers defined as such in the Constitution.
Code of Conduct	The Code of conduct for Local Government officers
Constitution	<p>The constitutional document adopted by the Council which</p> <ul style="list-style-type: none"> <li>• allocates powers and responsibility within the Council</li> <li>• delegates authority to act to the Cabinet, Committees, Portfolio Holders and Officers; and regulates the behaviour of individuals and groups through rules of procedure, codes and protocols.</li> <li>• Sets out how the Council operates, how decisions are made, and the procedures to be followed.</li> </ul>
Consultant	Someone with specialist knowledge and skills, lacking in the Council's workforce, employed for a specific length of time to work to a defined project brief with clear outcomes to be delivered.
Contracting Decision	<p>Any of the following decisions:</p> <ul style="list-style-type: none"> <li>• withdrawal of Invitation to Tender;</li> <li>• whom to invite to submit a Quotation or Tender;</li> <li>• short-listing;</li> <li>• award of contract;</li> <li>• termination of a contract.</li> </ul>



Contract Manager	The officer appointed to manage a contract to ensure its performance.
Corporate Contract	A contract let by the <b>Corporate Procurement Service</b> , to support the Council's aim of achieving Value for Money. A Corporate Contract must be used unless an exemption has been granted.
Council	Cyngor Sir Ceredigion County Council.
CPR	These Contract Procedure Rules.
Directive	Directive <u>2014/24/EU</u> for the award of Public Works Contracts, Public Supply Contracts and Public Service Contracts (implemented in the UK on <u>26.02.15</u> under the Public Contracts Regulations 2015)
Corporate Director	As defined in the Constitution.
<u>Dynamic Purchasing System (DPS)</u>	<u>A full electronic procurement process, consisting of a database of Candidates that have passed a selection process and are invited to tender for individual contracts during the life of the DPS.</u>
E-Procurement	The Council's Information Technology system integrating procurement orders, creditor payments and general ledger.
Exemption	The grant of immunity from following the usual procedure <u>set out in these Contract Procedure Rules.</u>
EU Threshold	The contract value at which the EU public procurement directives apply. See the Procurement Guidance for current values.
Framework Agreement	An agreement (defined by the Directive) between one or more contracting <u>public organisations</u> and/or one or more Candidates, the purpose of which is to establish the terms governing contracts to be

	awarded during a given period, in particular with regard to price and quantity.
Intellectual Property	All rights in patents, registered and unregistered designs, copyright, trade-marks, know-how and all other forms of intellectual property wherever in the world enforceable.
ITT	Invitation to tender documents in the form required by the Contract Procedure Rules.
Lead Officer	The officer of the Council with responsibility for the procurement as designated by the Chief Officer.
<u>Light Touch</u>	<u>The tendering approach that can be taken towards Schedule 3 Services only up to that specific EU Threshold.</u>
Line Manager	The Officer immediately above the Officer or the Officer appointed by the Chief Officer to fulfil the role given to the Line Manager in these CPR.
Low Value	Contracts of value £500 or under
Matters not related to Value for Money	<p>Except as provided below, the following are Matters not related to Value for Money (s.17(5) Local Government Act 1988):</p> <ul style="list-style-type: none"> <li>(a) the terms and conditions of employment by contractors of their workers or the composition of, the arrangements for or the promotion, transfer or training of, or the other opportunities afforded to, their workforces ('Workforce Matters');</li> <li>(b) whether the terms on which contractors contract with their sub-contractors constitute, in the case of contracts with individuals, contracts for the provision by them as self-</li> </ul>

- employed persons of their services only;
- (c) any involvement of the business activities or interests of contractors with irrelevant fields of Government policy; the conduct of contractors or workers in industrial
- (d) the conduct of contractors or workers in industrial disputes between them or any involvement of the business activities of contractors in industrial disputes between other persons;
- (e) the country or territory of origin of supplies to, or the location in any country or territory of the business activities or interests of, contractors;
- (f) any political, industrial or sectarian affiliations or interests of contractors or their directors, partners or employees;
- (g) financial support or lack of financial support by contractors for any institution to or from which the authority gives or withholds support;
- (h) use or non-use by contractors of technical or professional services provided by the authority under the Building Act 1984 or the Building (Scotland) Act 2003.

MEAT

Most Economically Advantageous Tender.

National Procurement Website

A website where officers can advertise contracts free of charge and suppliers can receive email notification of relevant opportunities (sell2wales.gov.wales).

Negotiated Procedure

The method of negotiating a Tender with selected.

Nominated Supplier and Sub-contractor

Those persons specified in a main

	contract for the discharge of any part of that contract.
Officer	The Officer designated by the Chief Officer to deal with the contract in question.
OJEU	Official Journal of the European Union.
Open Procedure	The procedure whereby all Candidates are invited to bid in response to an open call for competition (advertisement/contract notice).
Parent Company Guarantee	A contract which binds the parent of a subsidiary company so that if the subsidiary company fails to do what it has promised under a contract with the Council, the Council may require the parent company to do it instead.
<u>Schedule 3 Services</u>	<u>See Appendix I</u>
Portfolio Holder	A member of the Cabinet to whom political responsibility is allocated in respect of specified functions.
Pre-Qualification Questionnaire	A questionnaire used during a restricted tendering exercise to select candidates that will be invited to tender.
Procurement Guidance	This is to be found on CardiNet.
Project Board	Corporate Project Management Panel
Procurement Service	<u>The Corporate team</u> within Financial Services and responsible for supporting the Council in its procurement process.
Purchase Card	A card issued to an Officer by the Council, to be used for procuring goods or services from suppliers that are not on the corporate payments system, or to any supplier at the discretion of the Payments Manager.
Quotation	A quotation of price and any other relevant matter (without the formal issue of an ITT).

Regulations	The Public Contracts Regulations 2015 and all subsequent amendments thereto.
RFQ	Request for Quotation.
Restricted Procedure	Following advertisement, only those Candidates that meet the pre-qualification criteria are invited to tender.
Short-listing	Where Candidates are selected: <ul style="list-style-type: none"> <li>• to quote or bid;</li> <li>• or to proceed to final evaluation.</li> </ul>
Standstill Period	A period of not less than 10 working days after announcing the intention to award a contract to provide unsuccessful Candidates an opportunity to challenge the decision before the Officer awards the contract.
Supervising Officer	The Line Manager's immediate superior.
Tender	A Candidate's proposal submitted in response to an ITT.
Tender Record <u>Database</u>	The <u>database</u> kept by the <u>Chief Finance Officer</u> to record details of Tenders.
Total Value	<ul style="list-style-type: none"> <li>• The whole of the value or estimated value (in money or equivalent) for a single purchase or disposal</li> <li>• whether or not it comprises several lots or stages</li> <li>• to be paid or received by the Council.</li> </ul> <p>The Total Value shall be calculated as follows:</p> <p>(a) where the contract is for a fixed period, by taking the total price to be paid or which might be paid during the whole of the period.</p> <p>(b) where the purchase involves recurrent transactions for the same type of item, by aggregating the</p>

- value of those transactions in the coming 12 months;
- (c) where the contract is for an uncertain duration by multiplying the monthly payment by 48;
- (d) for feasibility studies, the value of the study only may be taken unless a positive assessment automatically leads to the follow-on work;
- (e) for Nominated Suppliers and Sub-contractors, the value of that part of the main contract to be fulfilled by the Nominated Supplier or Sub-contractor.

TUPE	Transfer of Undertakings (Protection of Employment) Regulations 2006 introduced to ensure the protection of employees when, for example, a business is taken over by another organisation. Broadly, TUPE regulations ensure that the rights of those employees transferred with the business are protected.
Value for Money	Not necessarily the lowest possible price but rather a combination of factors i.e. goods or services fully meeting the need at the quality required, delivered at the stipulated time and for an appropriate price.
Value Wales	Value Wales (Procurement) provides advice and support on best practice to the public sector in Wales.
Workforce Matters	Matters classed as 'non-commercial matters' under the Local Government Act 1988 s.17 (5) in the context of the contractual process. The following matters may, however, now be considered to the extent that they are relevant to the delivery of best value, or for the purposes of a TUPE transfer <ul style="list-style-type: none"> <li>• the terms and conditions of employment of suppliers in</li> </ul>

respect of their workers or the composition of, the arrangements for the promotion, transfer or training of or other opportunities afforded to, their workforces.

- the conduct of suppliers or workers in industrial disputes between them.

Restrictions on other non-commercial matters listed in s.17 of the 1988 Act remain in place.

Working Day

A day other than a Saturday, Sunday or Bank Holiday as defined by the Banking and Financial Dealing Act.

## 1. INTRODUCTION

These Contract Procedure Rules ('CPR') set out the procedure which must be followed for every contract made between the Council and a third party for the supply of goods, services and works. The CPR do not apply to contracts of employment or those for the acquisition or disposal of land but they do apply to services relating to recruitment and land transactions (e.g. the employment of agents).

Complying with the CPR is the best defence against allegations that a purchase has been made incorrectly or fraudulently.

Where, under the CPR, there is a requirement for a communication to be in writing, this shall be deemed to include e-mail and fax transmissions as well as hard-copy, unless stated otherwise.

Officers of the Council responsible for purchasing or disposal must comply with the CPR. The CPR set minimum requirements and a more thorough procedure may be appropriate for a particular contract,

e.g. where a Tender is to be invited instead of a Quotation. The CPR complement the Financial Procedure Rules which must also be followed.

Procurement Guidance may be found on CardiNet, including information on Corporate Contracts. Advice may also be sought from Corporate Procurement or the Internal Audit sections of the Finance Service. The flowchart in Appendix 1 should also be consulted.

In summary:

- Follow the CPR if you purchase goods or services or order construction works.
- Take all necessary professional advice.
- Declare any personal financial interest in a contract. Corruption is a criminal offence. Inform your line manager and complete the officers Declaration of Interest form online.



- Appraise the purchasing need and ensure that specifications are clear and do not discriminate either for or against a supplier or category of supplier.
- Consider whether to complete the template for submission to the Corporate Project Management Panel. Check in the following order whether there is:

1. an existing Corporate Contract

Or

2. All-Wales Framework Agreement

Or

3. another appropriate framework you can use before initiating a competitive process. If such a contract or agreement

exists it must be used (ignoring such a contract to purchase from an established source is a disciplinary matter).

- Normally allow four weeks for the submission of bids (not to be submitted by fax).
- Keep bids confidential.
- Complete a written contract or Council order before the supply of goods, services or works begin.
- Identify a Contract Manager with responsibility for ensuring the contract delivers as intended.
- Keep complete and accurate records of dealings with suppliers.
- Assess each contract afterwards to see how well it met the purchasing need and Value for Money requirements.
- Monitor and assess the performance of the supplier or contractor during and following completion of the contract.

All contracts must be subject to competition, as detailed in the table under Point 8.1.

Disposals: See Rule 8.2

## 2. BASIC PRINCIPLES

All procurements and disposals are to:

- Achieve Value for Money.
- Be awarded following open competition.
- Ensure fairness in allocating public contracts.
- Comply with all legal requirements and specifically with the Regulations.
- Be conducted proportionately, particularly with regard to the advertising of contracts and to the management of risk.
- Follow transparent procedures.
- Ensure that Considerations not related to Value for Money do not influence any Contracting Decision.
- Support the Council's corporate strategy and policies.
- Support Departmental aims and objectives.
- The basic principles apply equally to the use of E-procurement technology including but not limited to Purchase Cards, e-sourcing and e-tendering.
- Contracts for supplies, works and Schedule 3 services (see Appendix I) above the European tendering thresholds must be advertised in OJEU. Schedule 3 services and contracts below the EU threshold must be advertised sufficiently widely to ensure all suppliers who may be interested have an opportunity to tender. It must be decided on a case-by-case basis whether advertisements need to extend beyond UK boundaries taking into account, for example, value, type of service, location of the work, market characteristics etc. In the vast majority of cases this may be achieved by advertising on the National Procurement Website (see also Procurement Guidance).

### 3. OFFICERS' RESPONSIBILITIES

#### Officers must:

If a full tender exercise is undertaken, you must refer to the Corporate Procurement Service.

- a. have regard to the Procurement Guidance and the Council's procurement strategy. See Introduction para 1 above.
- b. check in order whether
  1. a suitable Corporate Contract  
or
  2. An All-Wales Framework Agreement  
or
  3. Another appropriate framework agreement  
exists before seeking to let another contract. Where such a suitable contract/framework exists it must be used. If a Corporate Contract is in place, this will be used rather than an All-  
Wales Framework Agreement, and if an All-Wales Framework Agreement exists this will be used rather than another appropriate framework agreement.
  4. Wales Framework Agreement, and if an All-Wales Framework Agreement exists this will be used rather than another appropriate framework agreement.
- c. keep full and accurate records.
- d. ensure that all architects, engineers, surveyors or any other consultants to be engaged in construction, building, engineering, highways, estates or property related works on behalf of the Council are appointed by or in agreement with the Corporate Lead Officer Highways and Environmental Services or Corporate Lead Officer Economy & Regeneration
- e. ensure that agents, consultants and contractual partners acting on the Council's behalf also comply with these CPR (but note that this provision does not apply to sub-contracts).
- f. ensure that all TUPE issues are considered and obtain legal, Human Resources or other appropriate professional advice before proceeding to invite tenders or quotations if any employee either of the Council or of a service provider may be affected by a transfer arrangement.

#### 4. BEFORE COMMENCING A PROCUREMENT

- 4.1 Every procurement exercise **needs to be appraised to ensure** it is conducted proportionately to the complexity, risk and value of the proposed contract and in accordance with the Procurement Guidance.
- 4.2 In identifying and appraising the need for the procurement and its priority the following elements must be taken into account:
- the requirements arising out of any relevant inspection or service review
  - the objectives of the procurement
  - the procurement method most likely to achieve the objectives, including (but not limited to) internal or external sourcing, sourcing through an All-Wales Framework Agreement or other appropriate framework agreement, contract packaging strategy, collaboration with other purchasers or partnering
  - The results of consulting users as appropriate on the proposed procurement method, contract standards, performance and user satisfaction monitoring.
- 4.3 If the Total Value is £100,000 or over, the appraisal must be in writing.
- 4.4 In order to secure Value for Money the Council may enter into collaborative procurement arrangements. Any contracts entered into through collaboration with other local authorities or public bodies, where a competitive process has been followed complying with the CPR of the lead organisation (but not necessarily with these CPR), will be deemed to comply with these CPR and no exemption is required. This will include All Wales Framework Agreements and other appropriate Framework Agreements subject to prior consultation with the Procurement Manager and/or the Chief Finance Officer.

## 5. RETENTION OF RECORDS AND NOTIFICATION TO CANDIDATES

The process must be recorded and records retained as evidence as specified below:

### 5.1 Contracts up to £4,999 Total Value

Where the total value is up to £4,999 the following documents shall be retained and kept safe:

- Written confirmation from suppliers which can include web pages advertisements, receipts, e-procurement order etc.

### 5.2 Contracts of £5,000 and above to £99,999 Total Value

Where the Total Value is under £100,000 and a quotation process is used, the following documents shall be retained and kept safe. If a full tender process is used the procedure to be followed is the same as for contracts of £100,000 and over:

- invitations to quote and quotations received
- a written or electronic record of any exemption(s) and the reasons for it or them
- to whom the contract was awarded and the reasons
- written or electronic records of communications with the successful contractor.

### 5.3 Contracts of £100,000 and over in Total Value

Where the Total Value is £100,000 or over the tender process is to be managed by the Procurement Manager. The Procurement Manager is responsible for the retention and safekeeping of the tendering evidence. The Lead Officer shall ensure the Procurement Manager has all of the following items and will provide electronic copies where necessary:

- identification and appraisal of need

- method of obtaining bids including decisions on the breadth of advertising required.
- any Contracting Decision and the reasons for it
- any exemption granted together with the reasons for it and relevant exemption category recorded
- the Award Criteria, including their relative weighting in descending order of importance
- tender documents sent to and received from Candidates
- pre-tender market research (where undertaken)
- clarification of procedures or documentation (to include minutes of meetings)
- contract documents including a list of those documents to be included in the contract award documentation / e-Procurement order
- details of the tender award team
- full details of the evaluation and award
- Tenders – contract and award notices (OJEU where applicable)
- post-contract evaluation and monitoring
- written or electronic records of communications with Candidates and with the successful contractor throughout the period of the contract
- names of the successful tenderer and Lead Officer and date of the contract award.
- Evidence of the tender acceptance sign-off

#### **5.4 Directors or Chief Officers must:**

- keep a register of contracts of Total Value £100,000 or over
- retain and safeguard original contracts

- be responsible for the safekeeping of all original contracts on Council premises
- record any exemptions using the form in the Procurement Guidance.

### 5.5 Retention of Documents

All records required by this Rule must be kept for six years after the end of the contract period, unless there is a requirement to retain them for a longer period such as contracts made under seal which must be retained for twelve years.

### 5.6 Disposal of Documents

The disposal of Tender and contract documentation must be done in accordance with the guidelines on records management available on CardiNet, e.g. General Disposal Guidelines for Local Authorities as presented by the Records Management Society of Great Britain's Local Government Group.

### 5.7 Notification to Candidates

Candidates that are excluded (not allowed to compete) must be informed. Candidates that fail to pre-qualify and are not invited to tender must be informed when they are deselected as opposed to the end of the tender exercise.

Contracts with a Total Value above the EU Threshold will be subject to the Standstill Period and potential challenges prior to contract award. (This does not apply to contracts awarded through frameworks and partially exempt contracts e.g. below threshold standard contract and Schedule 3 awards.) Notification of a decision to award a contract must be sent in writing to all Candidates simultaneously as soon as possible and must contain:

- the award criteria
- reasons for the decision, including the characteristics and relative advantages of the successful tender

- the score awarded to the recipient of the communication (for MEAT criteria)
- the name and the score of the winning Candidate (or those admitted to a framework)
- the expected end date of the Standstill Period

Templates of example letters that can be sent to successful and unsuccessful Candidates are available from Procurement Guidance.

Electronic notification must be used, and the Standstill Period ends at midnight on the 10<sup>th</sup> day after the sending date. When the last day of the Standstill Period is not a working day, the Standstill Period is extended to midnight at the end of the next Working Day.



## 6. FRAMEWORK AGREEMENTS

### 6.1 Procedure and Practice

6.1.1 The term of a Framework Agreement shall not exceed four years, except where approved in advance by Cabinet.

6.1.2 Whilst a Framework Agreement may be entered into with one contractor, where such an Agreement is concluded with several contractors, they must be at least three in number.

6.1.3 Contracts based on a Framework Agreement may be awarded either:

- In accordance with the terms of the Framework Agreement (where such terms are sufficiently precise to cover the particular Call-Off) without reopening competition; or
- Where the terms of the Framework Agreement are not precise enough or complete for the particular Call-Off, the

Council shall re-open competition between Bidders who are parties to the Framework Agreement in accordance with the following procedure:

- after consultation with Bidders, capable of performing the contract, invite them to submit written Tenders
- fix a reasonable time limit for submission of Tenders taking into account factors such as the complexity of the subject matter of the contract and estimated contract value
- invite Bidders to submit Tenders in writing (which will be by secure electronic communication), the content to remain confidential until the time stipulated for reply has expired
- award the contract to the Bidder who has submitted the best Value for Money Tender on the basis of the Award Criteria and as set out in the specifications of the Framework Agreement. The Award Criteria may be

adjusted with the prior agreement of the Procurement Unit to reflect the characteristics of the individual Call-Off contract.

## **6.2 Crown Commercial Services & Other Appropriate Frameworks**

Before commencing any procurement process utilising Crown Commercial Services or other appropriate Framework Agreements, the following procedures shall be observed:

- consult the Procurement Unit, and
- consider the terms and conditions of the relevant agreement, to ensure that they are appropriate, and the provisions of clause 6.1.3 above, and
- ensure that proper consideration, using all relevant documentation and literature, is given to the potential Bidders' capabilities to fulfil the contract satisfactorily.

## **7. DYNAMIC PURCHASING SYSTEMS**

### **7.1 Introduction**

It is not permissible to operate an Approved List, however a Dynamic Purchasing System (DPS) is a viable alternative.

European procurement legislation requires the value of ad hoc purchases of similar supplies, services and works to be aggregated for the purpose of determining whether the annual value of such purchases exceeds the relevant EU Threshold. If the EU Threshold is exceeded, the Council is required to comply fully with the legislation for each and every purchase irrespective of the value of the individual purchase.

For those supplies and services to which the aggregation rule is likely to apply, the Council will seek to establish a corporate Framework Agreement, will seek to utilise a collaborative arrangement such as an All-Wales Framework Agreement or establish a DPS.

### **7.2 General Features**

A DPS for commonly can be used for purchases the characteristics of which, as generally available on the market, meet their requirements.

- The DPS shall be operated as a completely electronic process, and shall be open throughout the period of validity of the purchasing system to any economic operator that satisfies the selection criteria.

- The DPS may be divided into categories of products, works or services that are objectively defined on the basis of characteristics of the procurement to be undertaken under the category concerned.
- Such characteristics may include reference to the maximum allowable size of the subsequent specific contracts or to a specific geographic area in which subsequent specific contracts will be performed.
- The period of validity of the DPS shall be stated in the call for competition. Lead officers must inform the Procurement Manager if the DPS is likely to be terminated early so necessary notifications can be made.
- No charges may be billed, prior to or during the period of validity of the DPS, to the economic operators which are interested in or party to the dynamic purchasing system.

### **7.3 Process**

Advice must be sought from the Procurement Unit before commencing the process, and the Unit will manage the initial tender. In order to procure under a DPS, the rules of the restricted procedure must be followed, subject to the following provisions:

- All the candidates satisfying the selection criteria shall be admitted to the system, and the number of candidates to be admitted to the system shall not be limited.
- Where the system is divided into categories of products, works or services the applicable selection criteria for each category must be specified.

### **7.4 Time Limits**

The minimum time limit for receipt of requests to participate shall be 30 days from the date on which—

the contract notice is sent, or where a prior information notice is used a means of calling for competition, the invitation to confirm interest is sent. No further time limits for receipt of requests to participate shall apply once

the invitation to tender for the first specific procurement under the dynamic purchasing system has been sent.

The minimum time limit for receipt of tenders may set by mutual agreement between the Council and all selected candidates, provided that all selected candidates have the same time to prepare and submit their tenders. This requirement also applies when new Candidates are admitted to the DPS during the course.

#### **7.5 Requirement to use Electronic Communication**

All communications in the context of a dynamic purchasing system shall only be made by electronic means.

#### **7.6 The Call for Competition etc.**

For the purposes of awarding contracts under a DPS, the following actions must be undertaken:

- publish a call for competition making it clear that a DPS system is involved; indicate in the procurement documents at least the nature and estimated quantity of the purchases envisaged, as well as all the necessary information concerning the DPS, including how the DPS operates, the electronic equipment used and the technical connection arrangements and specifications;
- indicate in the procurement documents any division into categories of products, works or services and the characteristics defining them;
- offer unrestricted and full direct access, as long as the system is valid, to the procurement documents.

#### **7.7 Requests to Participate and their Evaluation**

Any economic operator, throughout the entire period of validity of the DPS, shall be given the possibility of requesting to participate in the system under the following conditions:

- The restricted procedure process is followed, and new Candidates must complete the same PQQ selection process used in the original tender exercise.

- All the candidates satisfying the selection criteria shall be admitted to the system, and the number of candidates to be admitted to the system shall not be limited.
- Where the system is divided into categories of products, works or services the applicable selection criteria for each category must be specified.
- The evaluation of such requests in accordance with the selection criteria must be made within 10 working days following their receipt. That period may be prolonged to 15 working days in individual cases where justified, in particular because of the need to examine additional documentation or to otherwise verify whether the selection criteria are met.
- The Candidate shall be informed at the earliest possible opportunity of whether or not it has been admitted to the DPS.

### **7.8 Tendering and Award of Contract**

All admitted participants must be invited to submit a tender for each procurement under the DPS. Where the DPS has been divided into categories of works, products or services, all participants having been admitted to the category corresponding to the specific procurement concerned must be invited to submit a tender.

The contract shall be awarded to the tenderer that submitted the best tender on the basis of the award criteria set out in the contract notice for the DPS. Those criteria may, where appropriate, be formulated more precisely in the invitation to tender.

### **7.9 Means of Proof**

At any time during the period of validity of the DPS, the Council may require admitted participants to submit a renewed SQuID within five working days from the date on which that request is transmitted. During the tender process it is possible to seek clarification and copies of relevant documentation as necessary.

### **7.10 Contract Award Notices**

For all contracts awarded under a DPS either:-

A contract award notice must be sent within 30 days after the award of each contract based on a DPS, or group such notices on

a quarterly basis, in which case the grouped notices must be sent within 30 days of the end of each quarter.

It is the responsibility of the Lead Officer to ensure the Procurement Manager is provided with all the information necessary to post the notice within the timescale detailed above.

## 8. COMPETITION REQUIREMENTS FOR THE AWARD OF CONTRACTS

Determine the Total Value of the proposed contract (note that separate contracts must not be entered into nor a method of selecting the Total Value used which would have the effect of compromising or subverting these CPR).

Check whether there is an existing Corporate Contract, an All-Wales or another Appropriate Framework Agreement that can be used before initiating a competitive process.

The following procedures apply where there are no other procedures which take precedence, for example, agency agreements with government. If in doubt, Officers must seek the advice of the Procurement Unit.

### 8.1 Selection of the Award Process (Acquisition)

When the Total Value has been determined, the award process of either inviting tenders or requesting quotations can be selected. The table below summarizes the threshold values and the competition requirements together with the appropriate methods (see also the flowchart in Appendix 1). Records must be retained as specified in Section 5.

Thresholds and Advertising Requirements Estimated Value of Goods, Services or Works*	Number of Quotations/Tenders Required**	Method of Obtaining Quotations/Tenders
£0 - £4,999	Sufficient number to demonstrate best value and integrity of process.  Consideration of local	Verbal enquiry confirmed by email.  Internet searches including Sell2wales, trade paper etc.

	suppliers must be part of the process. The CPU should be contacted if you need advice on what to procure and/or where to source it	
£5,000 - £24,999	<p>A minimum of 4 quotations to be sought and at least 2 received.</p> <p>Consideration of local suppliers must be part of the process.</p> <p>Please refer to the Procedure Flowchart (Appendix 1) for the action to be taken if there are not enough suppliers to invite or if the minimum number of quotes has not been received.</p>	Formal written quotation. Sell2wales Quick Quotes to be considered.
£25,000 - £99,999	<p>A minimum of 5 quotations to be sought and at least 3 received.</p> <p>Consideration of local suppliers must be part of the process.</p> <p>Please refer to the Procedure Flowchart (Appendix 1) for the action to</p>	<p><u>Either</u></p> <p>a) Formal written quotation. Sell2wales Quick Quotes to be considered.</p> <p><u>Or</u></p> <p>b) A full tender process conducted through etenderwales and managed by the Corporate Procurement Team.</p>



	be taken if there are not enough suppliers to invite or if the minimum number of quotes has not been received.	
£100,000+ to below OJEU.	<p>A minimum of 5 formal tenders invited through an open call for competition or following an open call for competition (as in the case of a Restricted Tender process) and at least 3 received.</p> <p>Please refer to the Procedure Flowchart (Appendix 1) for the action to be taken regarding invitations to tender or if the minimum number of quotes has not been received.</p>	<p>In the first instance a check must be made to ensure the contract value over its proposed period of validity is under the OJEU threshold or not. This information can be found at: <a href="http://www.ojec.com/thresholds.aspx">http://www.ojec.com/thresholds.aspx</a></p> <p>A full electronic tender process is mandatory, and to be conducted through etenderwales. Below OJEU threshold a standard Contract Notice must be published and above the threshold an OJEU notice must be published. Both Notices are to be published through Sell2wales. The Corporate Procurement Team will manage this process.</p>
Above OJEU	<p>Where the estimated value of a contract exceeds current EU Threshold, then the contract must be tendered in accordance with the UK's Public Contract Regulations, and these CPR's. In all such circumstances appropriate advice must be sought from the Corporate Procurement Unit.</p> <p>The OJEU thresholds can be checked at: <a href="http://www.ojec.com/thresholds.aspx">http://www.ojec.com/thresholds.aspx</a></p>	

\*Buyers should satisfy themselves the Council's aggregated annual expenditure does not exceed the threshold they are looking at for an individual procurement.

\*\*It is important to appreciate that Contractors must be informed of how their quotations will be evaluated and this information should be set out when Contractors are asked to quote.

\*\*When contracting from frameworks it is important to follow the rules on further competition and contract award as set out in the over-arching framework agreement. Framework agreements will have already been through an open competitive process, and so the minimum number of suppliers to be invited to quote/tender as set out in the framework rules takes precedence over the table above. However, the minimum number of quotes/tenders received remains as specified in the table, except in the case of single supplier frameworks.

European procurement legislation requires the value of ad hoc purchases of similar supplies, services and works to be aggregated for the purpose of determining whether the annual value of such purchases exceeds the relevant EU Threshold. If the EU Threshold is exceeded, the Council is required to comply fully with the legislation for each and every purchase irrespective of the value of the individual purchase.

Guidance on conducting tendering exercises (OJEU and non-OJEU) and requesting Quotations appears in the Procurement Guidance and the flowchart in Appendix I illustrates how the selection of the award process correlates with the EU Threshold.

Where it can be demonstrated that there are insufficient suitably qualified Candidates to meet the competition requirement, an Exemption is to be requested to the CPRs and if granted, all suitably qualified Candidates must be invited to bid.

## **8.2 Selection of the Award Process (Disposal)**

Assets for disposal shall be sent to public auction whether electronic auctions or to tender as appropriate.

Alternatively, low value items (under £500) may have a purchase price assigned to each of them and advertised for sale.

Value Added Tax must be added to sales as necessary, and an official Council invoice raised when dealing directly with buyers

## 9. EXEMPTIONS

There are 4 actions for which an exemption to the CPR can be sought as follows:

- Use of the Competitive Dialogue Procedure (12.3)
- Use of the Negotiated Procedure (13)
- Insufficient providers in the market to meet the requirements for competition
- Insufficient quotations/bids received to satisfy the requirement

The exemption form is available on the Procurement Guidance page of CardiNet. This form must be signed by the Procurement Manager indicating support of the request, the appropriate Director and the Chief Finance Officer.

The original signed form is to be kept on the project file by the Lead Officer, and copies provided to the Procurement Manager and the Council's Monitoring Officer. Note that for contract values above the EU Threshold the justification forms part of the annual returns for EU statistics on public procurement. The Exemption Justification categories are set out in Appendix III.

## 10. PRE-TENDER MARKET RESEARCH AND CONSULTATION

The Lead Officer:

- a. may consult potential Candidates prior to the issue of the RFQ or ITT in general terms on the nature, level and standard of the supply, contract packaging and other relevant matters provided this does not prejudice any potential Candidate, but
- b. must not seek or accept technical advice on the preparation of a RFQ or ITT from anyone who may have a commercial interest in

all potential Candidates or distort competition (and this shall be presumed to be discriminatory unless proven not to be), and

- C. shall seek advice from the Procurement Unit.

## 11. REQUEST FOR QUOTATION (RFQ) OR INVITATION TO TENDER (ITT)

### QUOTATIONS

The Lead Officer should check the table (8.1) and seek quotations from at least the minimum specified number of suitable candidates. Inviting Local suppliers should always be considered, and the use of the Sell2wales Quick Quotes system is recommended because it manages the workflow and provides an audit trail.

Compliance with the following principles is required (as for all public contracts regardless of value):

1. Equal Treatment
2. Transparency
3. Non-discrimination
4. Mutual Recognition
5. Proportionality

11.1 The RFQ must include a specification (including for the Schedule 3 Services in Appendix II). The specification must describe clearly the Council's requirements in sufficient detail to enable the submission of competitive offers. In preparing specification the Officer should consult the Procurement Guidance.

11.2 The Lead Officer must have regard to the relevant British, European or International standards that apply to the subject matter of the contract to be included in the specification, including those standards necessary to describe the required quality.

Note: Further detail on the use of technical specifications in the contract documents is provided in Section 5 of the Regulations.

11.3 The RFQ must state that the Council is not bound to accept any Quotation (the Procurement Guidance contains some model documents and other sources of guidance).

11.4 All Candidates invited to Tender or quote must be issued with the same information.

11.5 Every RFQ shall include:

- A description of selection process, methodology and the Award Procedure
- In the Award Criteria, designed to secure Value for Money for the Council, the basic criteria shall be:
  - ‘highest price’ if payment is to be received from a disposal of goods, or
  - ‘most economically advantageous’ offer in providing goods, services or works as set out in a price/quality weighted scoring matrix.

Scoring used in the award of a contract shall use criteria linked to the subject matter of the contract to determine the most economically advantageous Tender including any, or all, of the following:

- Quality
- Price
- Technical Merit
- Aesthetic and Functional Characteristics
- Running Costs
- Environmental Characteristics
- Period of Completion
- After Sales Service
- Technical Assistance
- Delivery Date and Delivery Period

Where feasible, the price component of Value for Money should reflect the whole life cost of the purchase taking into account, for example, relevant operating, maintenance and disposal costs. Where these are not part of the tendered price, reasonable estimates may be made and added to the tendered price.

- Award Criteria that do not transgress any of the Basic Principles

If insufficient Quotations are received and the contract value is between £5k and £24,999 more must be requested until the minimum is satisfied. For

contracts between £25k and £99,999 an open process must be conducted. In the event there are insufficient suppliers in the market to meet the requirements specified in the table an Exemption must be sought.

## **Tenders**

Tenders below the OJEU must have a standard Contract Notice published through sell2wales. Below the OJEU threshold there is flexibility on the regions where the contract opportunity is advertised and the tendering timescales. However, above the threshold the contract opportunity must be advertised in OJEU through Sell2wales and the stipulated timescales strictly adhered to. The principles of open, fair and transparent process apply equally above and below the OJEU threshold.

11.6 Every ITT must be managed by the Procurement Unit and conducted electronically using the corporate system. In the event of a technical failure the Chief Finance Officer has the authority to direct the Procurement Unit to conduct an alternative exercise which meets all the requirements set out in these CPRs. If such an alternative exercise is conducted the full details of the exercise must be uploaded to the corporate electronic system at the earliest opportunity after the functionality is restored.

11.7 Compliance with the following principles is required (as for all public contracts regardless of value):

- Equal treatment
- Non-discrimination
- Proportionality
- Transparency
- Mutual Recognition

11.8 The ITT must include a specification (including for the Schedule 3 Services in Appendix II). The specification must describe clearly the Council's requirements in sufficient detail to enable the submission of competitive offers. In preparing specification the Officer should consult the Procurement Guidance.

11.9 The Lead Officer must have regard to the relevant British, European or International standards that apply to the subject matter of the contract to be included in the specification, including those standards necessary to describe the required quality.

Note: Further detail on the use of technical specifications in the contract documents is provided in Part 5 of the Regulations.

11.10 The ITT must state that the Council is not bound to accept any Tender (the Procurement Guidance contains some model documents and other sources of guidance).

11.11 All Candidates invited to Tender must be issued with the same information at the same time and subject to the same conditions, other than in the case of ITT by Open Procedure where tenderers may request Tender documentation at any time during the Tender period. All supplementary information must be given to all Candidates on the same basis.

11.12 Every ITT shall include (unless the information has been specifically requested in the Pre-Qualification Questionnaire):

- A description of the Award Procedure, unless defined in a prior advertisement.
- A prohibition of submitting Tenders by fax.
- A definition of the Award Criteria in objective terms and, if possible, in descending order of importance, unless defined in a prior advertisement.
- In the Award Criteria, designed to secure Value for Money for the Council, the basic criteria shall be:
  - ‘highest price’ if payment is to be received from a disposal of goods, or
  - ‘most economically advantageous’ offer in providing goods, services or works as set out in a price/quality weighted scoring matrix.

Scoring used in the award of a contract shall use criteria linked to the subject matter of the contract to determine the most economically advantageous Tender including any, or all, of the following:

- Quality
- price
- technical merit
- aesthetic and functional characteristics
- running costs
- environmental characteristics



- period of completion
- after sales service
- technical assistance
- delivery date and delivery period

Where feasible, the price component of Value for Money should reflect the whole life cost of the purchase taking into account, for example, relevant operating, maintenance and disposal costs. Where these are not part of the tendered price, reasonable estimates may be made and added to the tendered price.

- Award Criteria that do not transgress any of the Basic Principles.
- A form of Tender, non-collusive tendering certificate and instructions to Candidates using appropriate paragraphs from the Procurement Guidance.
- A requirement for Candidates to declare that the Tender content, price or any other figure or particulars concerning the Tender have not been disclosed by the Candidate to any other party (except where such a disclosure is made in confidence for a necessary purpose).
- A statement that no Tender will be considered unless it is received by the date and time stipulated and that any Tender received in contravention of this clause shall not be considered.
- The procurement timetable including the Tender return date and time, which shall allow a reasonable period for the applicants to prepare their tenders.
- Pricing mechanism and instructions for completion.
- Whether the Authority is of the view that TUPE1 may apply.
- Form and content of method statements to be provided.
- Instructions for submitting Tenders electronically.
- Any further information which will inform or assist Candidates in preparing Tenders.
- A condition that the contractor may not assign or sub-contract without prior written consent.
- Any insurance requirements.
- Health and safety requirements.
- Ombudsman requirements if relevant.

- Data protection requirements if relevant.
- That charter standards are to be met if relevant.
- .
- Equality Act requirements.
- Freedom of Information Act requirements.
- Welsh Language Standards.
- (Where agents are used to let contracts) that agents must comply with the Council's CPR relating to contracts.
- A right of access to relevant documentation and records of the contractor for monitoring and audit purposes if relevant.
- A clause stating that "The Council may terminate this contract and recover all its loss if the Contractor, its employees or anyone acting on the Contractor's behalf do any of the following things:
  - (a) offer, give or agree to give to anyone any inducement or reward in respect of this or any other Council contract (even if the Contractor does not know what has been done); or
  - (b) commit an offence under the Prevention of Corruption Acts 1889 to 1916 or Section 117(2) of the Local Government Act 1972; or
  - (c) commit any fraud in connection with this or any other Council contract whether alone or in conjunction with Council members, contractors or employees.

Any clause limiting the Contractor's liability shall not apply to this clause".

If insufficient Tenders are to meet the requirements specified (8.1) an Exemption must be sought.

1 If the \_\_\_\_\_ Council is of the view that TUPE may apply, it should seek legal advice as appropriate on what information to include in the ITT. If it is likely that there will be a contractor to contractor TUPE transfer, then the Council will need to consider what information will be required to pass on to tenderers in respect of current contractual arrangements. The Council should ask prospective tenderers to sign a confidentiality undertaking before providing any details on any other contractual arrangements.

Existing contractors should be notified by the Council of any details provided to prospective tenderers.

## **12. OPEN OR RESTRICTED TENDERING PROCEDURE**

- 12.1 If the Open Procedure is used, all Candidates requesting Tender documents receive them without the need of a prior selection process. The personal situation, economic and financial standing and capability and capacity of candidates (as defined in the Regulations) must, however be evaluated through the Tender process. All Tenders returned correctly following an invitation to Tender using this procedure must be evaluated in accordance with the Procurement Guidance.
- 12.2 If the Restricted Procedure is used, a minimum of 5 candidates must be selected to be invited to Tender provided there are 5 suitable candidates. The criteria for selection must have regard to Candidates' personal situation, economic and financial standing and capability and capacity (as defined in the Regulations). This information will be provided by Candidates through the submission of the Pre-Qualification Questionnaire as provided for in the Procurement Guidance
- 12.3 The use of any other tendering procedure, i.e. the Negotiated Procedure with call for competition, or the competitive dialogue procedure, must be sanctioned by the **Chief Finance Officer**.

## **13. NEGOTIATED TENDERING PROCEDURES**

Justification for using a Negotiated Procedure must be recorded using the CPR Exemption Form available from the Procurement Guidance. The procedure applies in full above the EU Threshold; below this the Basic Principles under Rule 2 apply.

- 13.1 The Council may use the Negotiated Procedure, with prior publication of a contract notice, in the following circumstances:
- (a) with regard to works, supplies or services fulfilling one or more of the following criteria:—
- (i) the needs of the Council cannot be met without adaptation of readily available solutions;
  - (ii) they include design or innovative solutions;
  - (iii) the contract cannot be awarded without prior negotiation because of specific circumstances related to the nature, the complexity or the legal and financial make-up or because of risks attaching to them;
  - (iv) the technical specifications cannot be established with sufficient precision by the contracting authority with reference to a standard, European

Technical Assessment, common technical specification or technical reference;

- (b) with regard to works, supplies or services where, in response to an open or a restricted procedure, only irregular or unacceptable tenders are submitted.

Once the Negotiated Procedure has been justified as evidenced by the signed CPR Exemption Form, the Council shall publicise its intention to seek offers by inviting requests to be selected to negotiate.

To reduce the number of tenders to be negotiated, the Council may provide for the Negotiated Procedure to take place in successive stages by applying the award criteria in the contract documents (compare the Restricted Procedure).

If the Council provides for the Negotiated Procedure to take place in successive stages in accordance with the previous paragraph, it shall ensure that the number of Candidates to be invited to negotiate the contract at the final stage is sufficient to ensure genuine competition. The minimum number of Candidates to receive an invitation to negotiate is 3, provided there are 3 suitable candidates.

13.2 The Council may use the Negotiated Procedure without prior publication of a contract notice in the following circumstances:

1. In the specific cases and circumstances laid down in the Regulations, the Council may award public contracts by a negotiated procedure without prior publication.

General grounds

The negotiated procedure without prior publication may be used for public works contracts, public supply contracts and public service contracts in any of the following cases:—

where no tenders, no suitable tenders, no requests to participate or no suitable requests to participate have been submitted in response to an open procedure or a restricted procedure, provided that the initial conditions of the contract are not substantially altered and that a report is sent to the Commission where it so requests;

where the works, supplies or services can be supplied only by a particular economic operator for any of the following reasons:—

the aim of the procurement is the creation or acquisition of a unique work of art or artistic performance;

competition is absent for technical reasons;

the protection of exclusive rights, including intellectual property rights;

but only, in the case of paragraphs (ii) and (iii), where no reasonable alternative or substitute exists and the absence of competition is not the result of an artificial narrowing down of the parameters of the procurement;

insofar as is strictly necessary where, for reasons of extreme urgency brought about by events unforeseeable by the contracting authority, the time limits for the open or restricted procedures or competitive procedures with negotiation cannot be complied with.

For the purposes of paragraph (2) (a)—

a tender shall be considered not to be suitable where it is irrelevant to the contract, being manifestly incapable, without substantial changes, of meeting the contracting authority's needs and requirements as specified in the procurement documents;

a request to participate shall be considered not to be suitable where the economic operator concerned—

is to be or may be excluded under regulation 57, or

does not meet the selection criteria.

For the purposes of paragraph (2)(c), the circumstances invoked to justify extreme urgency must not in any event be attributable to the contracting authority.

*Additional grounds relevant to public supply contracts*

The negotiated procedure without prior publication may be used for public supply contracts—

where the products involved are manufactured purely for the purpose of research, experimentation, study or development, but contracts awarded in reliance on this sub-paragraph shall not include quantity production to establish commercial viability or to recover research and development costs;

for additional deliveries by the original supplier which are intended either as a partial replacement of supplies or installations or as the extension of existing supplies or installations where a change of supplier would oblige the contracting authority to acquire supplies having different technical characteristics which would result in incompatibility or disproportionate technical difficulties in operation and maintenance;

for supplies quoted and purchased on a commodity market;

for the purchase of supplies or services on particularly advantageous terms, from either a supplier which is definitively winding up its business activities, or

the liquidator in an insolvency procedure, an arrangement with creditors, or a similar procedure under national laws or regulations.

In the case of paragraph (5)(b), the duration of the contract, as well as that of recurrent contracts, shall not, save in exceptional circumstances, exceed three years.

*Additional ground relevant to public service contracts that follow a design contest*

The negotiated procedure without prior publication may be used for public service contracts where the contract concerned—

follows a design contest organised in accordance with this part in the Regulations, and is to be awarded, under the rules provided for in the design contest, to—

the winner of the design contest, or one of the winners of the design contest.

Where paragraph (7)(b)(ii) applies, all winners must be invited to participate in the negotiation.

*Additional ground relevant to new works or services which repeat similar ones*

The negotiated procedure without prior publication may be used for new works and services consisting of the repetition of similar works or services entrusted to the economic operator to which the same contracting authority awarded an original contract, provided that such works or services are in conformity with a basic project for which the original contract was awarded following a procedure in accordance with Regulation 26(1) and (2).

The basic project shall indicate the extent of possible additional works or services and the conditions under which they will be awarded.

As soon as the first project is put up for tender, the possible use of this procedure shall be disclosed and the total estimated cost of subsequent works or services shall be taken into consideration by the contracting authority when it applies regulation 5.

This procedure may be used only during the three years following the conclusion of the original contract.

## **14. LIGHT TOUCH REGIME**

This Rule applies only to those services listed under Schedule 3 of the Regulations (See Appendix II). All the Basic Principles apply including the requirements of Equal Treatment, Non-Discrimination, Proportionality, Transparency and Mutual Recognition. However there is no need to advertise the opportunity in OJEU if the contract value is below the threshold specified for Schedule 3 Services unless there is a clear indication for cross EU border

interest. This allows more flexibility in the procurement process, including the timescales.



## **15. SUBMISSION, RECEIPT AND OPENING OF TENDERS**

- 15.1 Candidates invited to respond must be given an adequate period in which to prepare and submit a proper Tender, consistent with the urgency of the contract requirement. Normally at least 4 weeks should be allowed for submission of Tenders. If the Tender is sufficiently valuable to be advertised in OJEU there are specific minimum pre-award time periods to be observed during the process (see Procurement Guidance).
- 15.2 Tenders shall be conducted electronically using the corporate system except in the event of technical failure (See 10.1) The corporate system is hosted on a secure website and tenders can't be opened until the deadline for receipt has expired.
- 15.3 Tenders shall not be opened until the time limit for their submission has expired.
- 15.4 All Tenders of potential Total Value £100,000 or over must be returned to the Chief Finance Officer electronically to the relative ITT on the corporate system (In the event of system failure 10.1 applies, otherwise tenders received by any other means will be rejected). Quotations are to be returned to the appropriate departments and the Sell2wales Quick Quote system should be used for this purpose if deemed appropriate by the Lead Officer for the particular exercise
- 15.5 The names of Candidates must not be disclosed.
- 15.6 In the event of system failure the Chief Finance Officer shall be responsible for the safekeeping of tenders.
- 15.7 On receipt, each hard-copy Quotation must be:
- 15.7.1 date stamped
  - 15.7.2 initialled by the receiving Officer.
- This rule will apply to Tenders in the event of technical failure.
- 15.8 The Chief Finance Officer must ensure that all Tenders are opened at the same time, when the period for their submission has expired, in the presence of at least one other officer.
- 15.9 If there appears to be an error in a bid or supporting information, the Candidate must be invited to confirm or withdraw the bid. Where the error relates to the Tender total as calculated from tendered rates and variable quantities, the rates will be regarded as the offer and the Tender total adjusted accordingly for a re-measurement contract. For a fixed-price contract, the Tender total will be regarded as the offer and the rate adjusted accordingly. The Candidate will be invited to confirm or withdraw the adjusted bid in both cases.

## **16. CLARIFICATION PROCEDURES**

Providing clarification of an ITT to potential or actual Candidates, or seeking clarification of a Tender from a Candidate, whether in writing or by way of a meeting, is permitted. Any additional information requested by Candidates shall be provided in writing. All written correspondence must be conducted using the secure messaging facility within the corporate e-Tendering system (In the event of technical failure see 10.1) Reference should also be made to the Procurement Guidance.

## **17. EVALUATION AND AWARD OF CONTRACT**

17.1 Subject to the notification procedure under Rule 5.6:

- confidentiality of Quotations, Tenders and the identity of Candidates must be preserved at all times
- information about one Candidate's response must not be given to another Candidate.

17.2 Contracts must be evaluated and awarded in accordance with the Award Criteria.

17.3 Candidates must be notified according to Rule 5.6

17.4 Where the Total Value of the contract is over the EU Threshold, the Officer must publish a contract award notice in OJEU within 30 days of the award of contract.

## **18. CONTRACT DOCUMENTS AND CONTRACT FORMALITIES**

### **18.1 Contract Documents**

18.1.1 Contracts must be recorded in writing or placed using E-procurement or a Purchase Card and must state clearly:

- what is to be supplied (description and quality)
- payment provisions (amount and timing).
- Contracts of Total Value of £25,000 and over must state clearly:
- when the Council will have the right to terminate the contract
- that the contract is subject to the law as to prevention of corruption (in accordance with Rule 18)
- how the contract would be varied if necessary
- how Intellectual Property rights will be treated
- that the contractor may not assign or sub-contract without prior written consent
- any insurance requirements
- health and safety requirements.

18.1.2 In addition to the above, contracts of Total Value £100,000 and over must state clearly:

- ombudsman requirements if relevant
- data protection requirements if relevant
- that charter standards are to be met if relevant
- race relations requirements
- Disability Discrimination Act requirements
- Freedom of Information Act requirements
- (where agents are used to let contracts) that agents must comply with the Council's CPR relating to contracts
- a right of access to relevant documentation and records of the contractor for monitoring and audit purposes if relevant.

## 18.2 TENDER ACCEPTANCE

Value of Standard Contract	Authority to Sign Off Tender Acceptance
Up to £24,999	An Officer designated by the appropriate Service.
From £25,000 to £99,999	<ul style="list-style-type: none"> <li>• An Officer designated by the appropriate Service</li> </ul> <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> <li>• their Line Manager.</li> </ul> <p style="text-align: right;">Two signatures required</p>
From £100,000 Up to £249,999	<ul style="list-style-type: none"> <li>• An Officer designated by the appropriate Service,</li> </ul> <p style="text-align: center;">AND one of the following;</p> <ul style="list-style-type: none"> <li>• Chief Executive</li> <li>• a Corporate Director</li> <li>• a Corporate Lead Officer</li> </ul> <p style="text-align: right;">Two signatures required</p>
£250,000 and up to £1m	<p>One of the following;</p> <ul style="list-style-type: none"> <li>• The Chief Executive</li> <li>• a Corporate Director</li> <li>• a Corporate Lead Officer</li> </ul> <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> <li>• The appropriate Cabinet Member,</li> </ul> <p style="text-align: right;">Two signatures required .</p>

• Above £1m	Cabinet approval is required.
-------------	-------------------------------

<b>Value of Framework Agreements and Individual Call-off Contracts</b>	<b>Authority to Sign Off Tender Acceptance</b>
Up to £24,999	<ul style="list-style-type: none"> <li>an Officer designated by the appropriate Service</li> </ul> <p style="text-align: right;">One signature required</p>
From £25,000 to £99,999	<ul style="list-style-type: none"> <li>an Officer designated by the appropriate Service AND</li> <li>their Line Manager</li> </ul> <p style="text-align: right;">Two signatures required</p>
From £100,000 Up to £249,999	<ul style="list-style-type: none"> <li>an Officer designated by the appropriate Service AND one of the following: <ul style="list-style-type: none"> <li>Chief Executive</li> <li>a Corporate Director</li> <li>a Corporate Lead Officer</li> </ul> </li> </ul> <p style="text-align: right;">Two signatures required</p>
£250,000 and up to £1m	<p>One of the following:</p> <ul style="list-style-type: none"> <li>Chief Executive</li> <li>a Corporate Director</li> <li>a Corporate Lead Officer</li> </ul> <p>AND</p> <ul style="list-style-type: none"> <li>the appropriate Cabinet Member for the Service</li> </ul>

	Two signatures required
£1m and up to £3m	<ul style="list-style-type: none"> <li>• Chief Executive OR</li> <li>• a Corporate Director AND</li> <li>• Corporate Lead Officer Finance &amp; procurement/Chief Finance Officer AND</li> <li>• Cabinet Member (responsible for Financial &amp; Procurement Services)</li> </ul> <p style="text-align: right;">Three signatures required</p>
Above £3 Million	<ul style="list-style-type: none"> <li>• Cabinet approval is required</li> </ul>

18.2.1 Contracts and Framework Agreements shall be completed as follows:

<b>Total Value</b>	<b>Method of completion</b>	<b>By</b>
Up to <u>£99,999</u>	<u>Signature/E- Procurement authorisation</u>	Officer designated by the appropriate Department
£100,000 and over	sealing	see Rule 18.2.2

All contracts must be concluded formally in writing before the supply, service or construction work begins, except in exceptional circumstances, and then only with the written consent of the Corporate Lead Officer Legal & Governance Services.

The Officer responsible for securing signature of the contract must ensure that the person signing for the other contracting party has authority to do so.

#### 18.2.2 Sealing

Where contracts are completed by each side affixing their formal seals, the Council's seal must be affixed in the presence of an authorised officer. Every Council sealing will be consecutively numbered, recorded and signed by the person witnessing the seal. The seal must not be affixed without the appropriate authority of the Council which may be delegated as appropriate. A contract or Framework Agreement must be sealed where:

- it is desirable that a contract or Framework Agreement remain enforceable more than six years after its end; or
- the price paid or received under the contract is a nominal price and does not reflect the value of the goods or services; or
- there is any doubt over the authority of the person purporting to sign for the other contracting party; or
- the Total Value is £100,000 or over.

## 19. PARENT COMPANY GUARANTEES (PCG) AND PERFORMANCE BONDS

19.1 The Lead Officer shall consider whether to seek a Parent Company Guarantee when a Candidate is a subsidiary of a parent company and:

- the Total Value is £100,000 or over, or
- the award is based on evaluation of the parent company, or
- there is some concern over the stability of the Candidate.

If the Lead officer decides not to seek a PCG, this decision shall be recorded and reasons given.

### 19.2 Performance Bonds

The relevant Corporate Lead Officer shall consider whether a performance bond is necessary for the performance of a contract of Total Value £250,000 or over and shall either:

- certify that no such security is necessary giving reasons for such opinion, or
- in consultation with appropriate officers, specify in the conditions of Tender the nature and amount of the security to be given. In this

case the Council shall require and take a bond or other sufficient security for the due performance of the contract.

- The relevant Corporate Director shall have the right to require a bond for any contract which is estimated to be less than £250,000 Total Value where it is felt that special circumstances make this prudent and reasons recorded.

19.3 The Bond shall be discharged by the Corporate Lead Officer where /when appropriate, and reasons recorded.



## **20. PREVENTION OF CORRUPTION**

**20.1** The Code of Conduct must be complied with and an invitation to provide, or the acceptance of any gift or reward in respect of the award or performance of any contract, will not be tolerated. High standards of conduct are obligatory. Corrupt behaviour will lead to dismissal and is a crime under the statutes referred to in Rule 18.2.

**20.2** The following clause must be included in every Council contract:

'The Council may terminate this contract and recover all its loss if the Contractor, its employees or anyone acting on the Contractor's behalf do any of the following things:

- a. offer, give or agree to give to anyone any inducement or reward in respect of this or any other Council contract (even if the Contractor does not know what has been done); or
- b. commit an offence under the Prevention of Corruption Acts 1889 to 1916 or Section 117(2) of the Local Government Act 1972; or
- c. commit any fraud in connection with this or any other Council contract whether alone or in conjunction with Council members, contractors or employees.

Any clause limiting the Contractor's liability shall not apply to this clause".

## **21. CONTRACT MANAGER**

**21.1** Directors in sponsoring departments shall name a Contract Manager for each new contract who shall act in that capacity for the duration of the contract.

**21.2** Contract Managers must follow the procedures set out in the Council's Procurement Guidance.

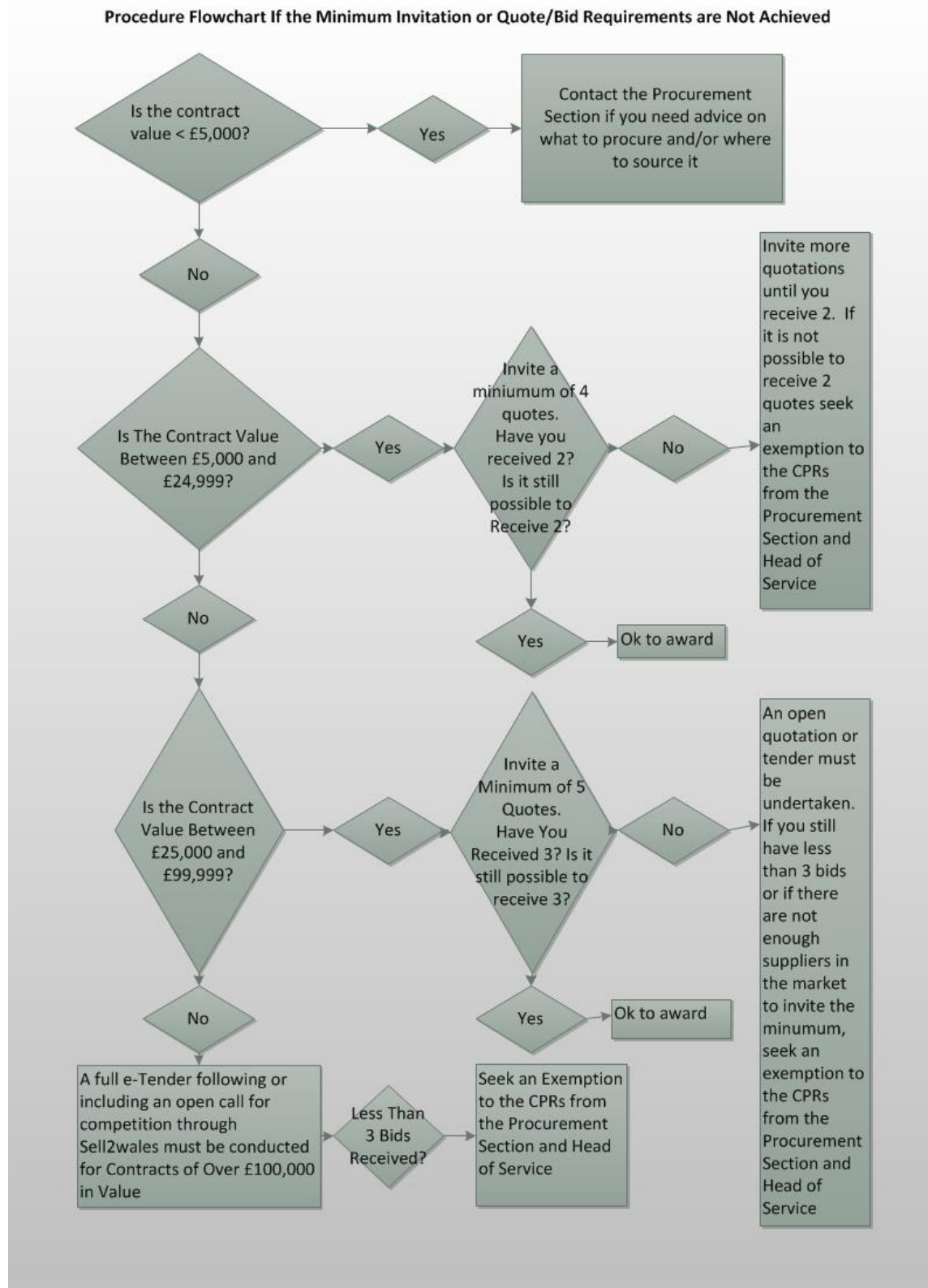
## **22. AMENDMENTS**

**22.1** In accordance with the Financial Procedure Rules and the CPR, the Chief Finance Officer (in consultation with the Monitoring Officer, and the Corporate Lead Officer Legal & Governance Services) shall have the power to make amendments from time to time to these CPR. Such amendments to be formally adopted by Council.

## **23. COMMUNITY BENEFITS**

- 23.1** Community Benefits must be a consideration for all contracts for goods, services and works, and incorporated into works contracts of greater than £2.0m in value, see also Procurement Guidance.

# APPENDIX I; SELECTION PROCEDURE FOR ITT OR RFQ IN THE AWARD OF CONTRACTS



## APPENDIX II: SCHEDULE 3 SERVICES

SCHEDULE 1 Regulations 5(1)(d) and 74

### SOCIAL AND OTHER SPECIFIC SERVICES

CPV Code	Description
75200000-8; 75231200-6; 75231240-8; 79611000-0; 79622000-0 [Supply services of domestic help personnel]; 79624000-4 [Supply services of nursing personnel] and 79625000-1 [Supply services of medical personnel] from 85000000-9 to 85323000-9; 98133100-5, 98133000-4; 98200000-5; 98500000-8 [Private households with employed persons] and 98513000-2 to 98514000-9 [Manpower services for households, Agency staff services for households, Clerical staff services for households, Temporary staff for households, Home-help services and Domestic services]	Health, social and related services
85321000-5 and 85322000-2, 75000000-6 [Administration, defence and social security services], 75121000-0, 75122000-7, 75124000-1; from 79995000-5 to 79995200-7; from 80000000-4 Education and training services to 80660000-8; from 92000000-1 to 92700000-8 79950000-8 [Exhibition, fair and congress organisation services], 79951000-5 [Seminar organisation services], 79952000-2 [Event services], 79952100-3 [Cultural event organisation services], 79953000-9 [Festival organisation services], 79954000-6 [Party organisation services], 79955000-3 [Fashion shows organisation services], 79956000-0 [Fair and exhibition organisation services]	Administrative social, educational, healthcare and cultural services
75300000-9	Compulsory social security services
75310000-2, 75311000-9, 75312000-6, 75313000-3, 75313100-4, 75314000-0, 75320000-5, 75330000-8, 75340000-1	Benefit services

98000000-3; 98120000-0; 98132000-7; 98133110-8 and 98130000-3	Other community, social and personal services including services furnished by trade unions, political organisations, youth associations and other membership organisation services
98131000-0	Religious services
55100000-1 to 55410000-7; 55521000-8 to 55521200-0 [55521000-8 Catering services for private households, 55521100-9 Meals-on-wheels services, 55521200-0 Meal delivery service] 55520000-1 Catering services, 55522000-5 Catering services for transport enterprises, 55523000-2 Catering services for other enterprises or other institutions, 55524000-9 School catering services 55510000-8 Canteen services, 55511000-5 Canteen and other restricted-clientele cafeteria services, 55512000-2 Canteen management services, 55523100-3 School-meal services	Hotel and restaurant services
79100000-5 to 79140000-7; 75231100-5;	Legal services, to the extent not excluded by regulation 10(1)(d)
75100000-7 to 75120000-3; 75123000-4; 75125000-8 to 75131000-3	Other administrative services and government services
75200000-8 to 75231000-4	Provision of services to the Community
75231210-9 to 75231230-5; 75240000-0 to 75252000-7; 79430000-7; 98113100-9	Prison related services, public security and rescue services to the extent not excluded by regulation 10(1)(h)
79700000-1 to 79721000-4 [Investigation and security services, Security services, Alarm-monitoring services, Guard services, Surveillance services, Tracing system services, Absconder-tracing services, Patrol services, Identification badge release services, Investigation services and Detective agency services] 79722000-1 [Graphology services], 79723000-8 [Waste analysis services]	Investigation and security services

98900000-2 [Services provided by extra-territorial organisations and bodies] and 98910000-5 [Services specific to international organisations and bodies]	International services
64000000-6 [Postal and telecommunications services], 64100000-7 [Post and courier services], 64110000-0 [Postal services], 64111000-7 [Postal services related to newspapers and periodicals], 64112000-4 [Postal services related to letters], 64113000-1 [Postal services related to parcels], 64114000-8 [Post office counter services], 64115000-5 [Mailbox rental], 64116000-2 [Post-restante services], 64122000-7 [Internal office mail and messenger services]	Postal services
50116510-9 [Tyre-remoulding services], 71550000-8 [Blacksmith services]	Miscellaneous services

## Appendix III Contract Exemption Justification Codes.

### JUSTIFICATION FOR THE USE OF THE NEGOTIATED PROCEDURE

Contracting Authorities should indicate in their return the justification for non-advertisement of a contract by reference to the appropriate letter (A-I) which relate to the specific provisions shown below, taken from regulation 32 of the Public Contract Regulations (2015).

#### Use of the negotiated procedure without prior publication of a contract notice

**Regulation 32.** —(1) In the specific cases and circumstances laid down in this regulation, contracting authorities may award public contracts by a negotiated procedure without prior publication.

#### *General grounds*

(2) The negotiated procedure without prior publication may be used for public works contracts, public supply contracts and public service contracts in any of the following cases:—

#### A

(where no tenders, no suitable tenders, no requests to participate or no suitable requests to participate have been submitted in response to an open procedure or a restricted procedure, provided that the initial conditions of the contract are not substantially altered and that a report is sent to the Commission where it so requests.

#### B

where the works, supplies or services can be supplied only by a particular economic operator for any of the following reasons:—

(i) the aim of the procurement is the creation or acquisition of a unique work of art or artistic performance,

(ii) competition is absent for technical reasons,

(iii) the protection of exclusive rights, including intellectual property rights,

but only, in the case of paragraphs (ii) and (iii), where no reasonable alternative or substitute exists and the absence of competition is not the result of an artificial narrowing down of the parameters of the procurement;

## C

insofar as is strictly necessary where, for reasons of extreme urgency brought about by events unforeseeable by the contracting authority, the time limits for the open or restricted procedures or competitive procedures with negotiation cannot be complied with. The circumstances invoked to justify extreme urgency must not in any event be attributable to the contracting authority.

### **Supplies Only – The negotiated procedure without prior publication may be used for public supply contracts—**

## D (supplies only)

where the products involved are manufactured purely for the purpose of research, experimentation, study or development, but contracts awarded in reliance on this subparagraph shall not include quantity production to establish commercial viability or to recover research and development costs;

## E (supplies only)

for additional deliveries by the original supplier which are intended either as a partial replacement of supplies or installations or as the extension of existing supplies or installations where a change of supplier would oblige the contracting authority to acquire supplies having different technical characteristics which would result in incompatibility or disproportionate technical difficulties in operation and maintenance;

## F (supplies only)

for supplies quoted and purchased on a commodity market;



## G (supplies only)

for the purchase of supplies or services on particularly advantageous terms, from either a supplier which is definitively winding up its business activities, or the liquidator in an insolvency procedure, an arrangement with creditors, or a similar procedure under national laws or regulations.

### ***Additional ground relevant to public service contracts that follow a design contest***

The negotiated procedure without prior publication may be used for public service contracts where the contract concerned—

## H

(a) follows a design contest organised in accordance with this Part, and

(b) is to be awarded, under the rules provided for in the design contest, to—

(i) the winner of the design contest, or

(ii) one of the winners of the design contest.

### **Additional ground relevant to new works or services which repeat similar ones**

## I

The negotiated procedure without prior publication may be used for new works and services consisting of the repetition of similar works or services entrusted to the economic operator to which the same contracting authority awarded an original contract, provided that such works or services are in conformity with a basic project for which the original contract was awarded following a procedure in accordance with regulation 26(1) and (2) of the Public Contract Regulations (2015).

# ROLE AND ACCOUNTABILITIES OF THE STATUTORY DIRECTOR OF SOCIAL SERVICES

---



Author and service: Elin Prysor, Monitoring Officer  
Date approved by Council: 14/12/23  
Publication date:  
Policy Review Date: October 2023

**ROLE AND ACCOUNTABILITIES OF THE STATUTORY DIRECTOR OF SOCIAL SERVICES**

# Contents

1: CONTEXT .....2

2: THE NEED FOR CLEAR WORKING ARRANGEMENTS .....3

3: IMPLICATIONS OF THE CODE OF PRACTICE.....4

4: THE STATUTORY DIRECTOR OF SOCIAL SERVICES’ ROLE AND ACCOUNTABILITIES.....8

5: ENSURING EFFECTIVE IMPLEMENTATION OF THE PROTOCOL .....16

## 1: CONTEXT

Local Authorities Social Services are responsible for supporting, meeting the needs of and Safeguarding children, young people and their families, people who are disabled, have a learning disability, experience poor mental health and older people.

The functions and responsibilities of local authorities are set out in the Local Authority Social Services Act 1970, as amended by Social Services and Well-Being (Wales) Act 2014 (“the 2014 Act”). A table of social services functions are set out in Schedule 2.

The Social Services Department is now known as the **Through Age Well-being service (TAW)** /model within the Council.

A local authority must appoint an officer to be known as the Statutory Director of Social Services (“DoSS”) for the purposes of its social services functions (Section 144 of the 2014 Act).

Welsh Government has produced a Code of Practice, “Social Services & Well-being (Wales) Act 2014 Part 8 (2016 Code of Practice on the Role of the Director of Social Services)” (“the Code”).

The Code sets out (Part 2) the governance and accountability of a director of social services, including the strategic leadership role which the DoSS must fulfil if the authority is to ensure the promotion of well-being, and the delivery of effective care and support services , which achieve the principles of the 2014 Act. In particular:

- Role in executive structure of the local authority
- Relationships with the Chief Executive and other senior officers
- Accountabilities
- Corporate Lead Officers

The Authority must act in accordance with the requirements and guidelines contained in the Code.

The DoSS must be the source of advice to the authority on all social services matters and be responsible for decision-making in relation to individuals in the Ceredigion area, in accordance with the requirements of legislation.

## **2: THE NEED FOR CLEAR WORKING ARRANGEMENTS**

The purpose of this Protocol is to ensure that the requirements of the Code have been incorporated into arrangements and structures within the Council, and are sufficiently robust to ensure that the DoSS can fulfil the accountabilities necessary, for the Council to deliver effectively on its social services responsibilities.

### 3: IMPLICATIONS OF THE CODE OF PRACTICE

#### Organisational arrangements:

- The Authority must be satisfied that the DoSS demonstrates the competencies specified in Section 6 of the Code of Practice;
  - The Code of Practice places emphasis on the strategic leadership role of the DoSS;
  - The authority must recognise the central importance of social services as a key local government responsibility;
  - services are often delivered in partnership with others, including health, housing, education, the third sector and private providers;
  - services must be able to respond to shifts in public expectation, rising demand and be transformed, to make services sustainable adaptable, and meet people's changing needs.
- 
- The DoSS will have an essential role in providing the strategic leadership required to deliver care and support services, including:
    - The DSS must focus on people, giving them a voice in how services are designed and delivered and support them in achieving the outcomes that are important to them;
    - success must be measured in outcomes;
    - they must focus on early intervention and prevention and on the promotion of well-being;
    - effective partnership working and cooperation between agencies and organisations will be essential;
    - people must be able to access information and advice irrespective of their needs;
    - models of service which are new and innovative must be developed.
  - The Authority must ensure that adequate staff are provided to assist the DoSS in fulfilling the Council's Social Services functions.

#### The DoSS must:

- have sufficient seniority to discharge the authority's social services functions and deliver its accountabilities;
- be a member of the Corporate Management Team/Leadership Group and have direct access to the Chief Executive, and to Councillors;
- be able to contribute to the vision and direction of the Council and ensure services promote the well-being of people with care and support needs.

In Ceredigion County Council, the DoSS:

Ceredigion County Council Constitution - Part 5 Codes and Protocols

PART 5 DOCUMENT P Role and accountabilities of the Statutory Director of Social Services

Approved by Council xxxxxx Updated November 2023

- 
- ~s supported by Corporate Lead Officers
- has direct access to the Chief Executive, Leadership Group, Portfolio holders for the service areas, and to other Councillors; and
- is a member of the Authority's Leadership Group

### **Relationships:**

The Code requires that:

- “Defined working arrangements must be put in place between the director of social services and other senior officers within the local authority to ensure that the accountabilities of the director of social services are met”
- “The relationship between the Chief Executive and the Director of Social Services must be properly agreed and appropriately communicated to councillors, officers and partners. This must be underpinned in governance and delegation documents and should be subject to periodic review”.

There is a need to establish clear working arrangements between the DoSS, the Chief Executive, Director of Education, Monitoring Officer, and other Senior Officers within the Social Services, and across the Authority.

### **Chief Executive:**

The Code emphasizes the importance of the relationship between the DoSS and the Chief Executive:

- Ensuring that the DoSS has a direct reporting line to the Chief Executive;
- Maintaining strong oversight of arrangements in place to enable the Director to fulfil the accountabilities as set out in the Protocol;
- Meeting with the DoSS on a regular basis in order to ensure that the arrangements are working effectively;
- Ensuring that social services are viewed as a corporate priority;
- Enabling the DoSS to deliver the Authority's social services functions;
- Ensuring that the corporate infrastructure supports the DoSS in fulfilling the statutory accountabilities;
- Ensuring that the nature and level of the DoSS's authority is understood by Officers and Councillors;
- Negotiating, setting out and communicating, both across the Authority and with partners, the detail of the relationship between the DoSS and the Chief Executive. This should be enshrined in governance and delegation documents;

- Ensuring these arrangements enable the Chief Executive to identify and correct any systemic and ongoing breakdowns in the service standards and quality;
- Undertaking periodic review of the effectiveness of these arrangements;
- Ensuring defined working arrangements are in place between the DoSS and other Chief Officers in the Authority which show how they contribute to the achievement of the DoSS's statutory accountabilities;
- Regularly evaluating the effectiveness of the arrangements set out in the Protocol and initiating further strengthening where necessary.

**To achieve this:**

- The DoSS is line-managed by a Corporate Director ;
- The DoSS has ready access to the Chief Executive whenever the need arises;
- The DoSS is responsible for keeping the Chief Executive informed about any potentially controversial matters that are likely to arise;
- The DoSS and meet on a programmed monthly basis to discuss strategic and operational issues, to include-
  1. steps that may need to be taken to ensure that the high profile of social services is maintained within the Authority;
  2. ways in which Councillors can be assisted in their consideration of complex and sensitive matters relating to social services.
    - the Chief Executive will provide regular opportunities for **the Leadership Group** to consider how well the Protocol is working and their contribution to the achievement of effective social services;
- The Chief Executive will, at regular intervals, initiate a formal review of the working of the Protocol and seek the agreement of the Corporate Management Team to any strengthening that may be required.

**Resolving Differences:** Differences of view will sometimes arise between the Director of Social Services and other Senior Officers. Where there are differences of view, the advice of the Director should be presented to Councillors alongside the view of the Chief Executive. The Authority is committed to ensuring that decisions arrived at upon completion of this process are corporately owned by the Authority as a whole

The Chief Executive, together with the Corporate Lead Officer-Finance & Procurement, has a responsibility for ensuring that Senior Officers and Councillors have clear advice on the financial position faced by the Authority and on the level of resources needed to meet the Council's statutory obligations and other policy aspirations. The DoSS must provide advice on the resources needed to fulfil the Authority's social services functions and this may pose a challenge within the overall financial situation that prevails.

Ceredigion County Council Constitution - Part 5 Codes and Protocols

PART 5 DOCUMENT P Role and accountabilities of the Statutory Director of Social Services

Approved by Council xxxxxx Updated November 2023



## **Monitoring Officer ('MO')**

There must be a clear working relationship between the DoSS and the Authority's Monitoring Officer. Disagreements which remain unresolved can have a detrimental effect on the Authority's ability to deal with difficult or sensitive issues. There must be mutual respect for both these statutory roles in- order that the DoSS can engage the MO in deliberations as necessary, and that the advice given by the MO can be used to inform decisions on appropriate courses of action.

Working together in this way should result in good decision making and avoid the need, except in the most extreme circumstances, for the Monitoring Officer to contemplate using powers under Section 5 of the Local Government and Housing Act 1989 to present a Report to the Council.

#### **4: THE STATUTORY DIRECTOR OF SOCIAL SERVICES' ROLE AND ACCOUNTABILITIES**

The Code of Practice sets out:

- The core accountabilities which must be fulfilled by the Director of Social Services;
- The part which the Chief Executive must play in ensuring that the Director is enabled to fulfil the accountabilities inherent in the role. This has been set out in preceding paragraphs;
- The part which other senior officers across the Authority will play in supporting the Director to fulfil those accountabilities;
- The contribution towards fulfilling those accountabilities which will be made by the Corporate Lead Officer within **Through Age Wellbeing Services**;
- Clear reciprocal arrangements showing how the Director will support colleagues within **Through Age Wellbeing Services** and across the Authority to enable them to contribute effectively towards the achievement of the core accountabilities.

**The Core Accountabilities:** This Council recognises that the DoSS must fulfil specific core accountabilities. To do so effectively, other Senior Officers, within the **Through Age Wellbeing Services** and across the Authority, must play their part in supporting their achievement. There are reciprocal arrangements by means of which the DoSS will enable these officers to contribute towards the achievement of the accountabilities.

**Managers within the Social Services service:** Responsibilities and Accountability: The DoSS is supported by the **Through Age Wellbeing Service** Management Team made up of Corporate Lead Officers, with responsibility for Adult Social Services, and for Social Services for Children. Where responsibilities are delegated, they are set out in the Approved Schemes of Delegation for the **Through Age Wellbeing Services** and for the Authority.

However, accountability cannot be delegated and this remains with the Director of Social Services.

#### **Lead Director for Children and Young People's Services (LDCYPS):**

In accordance with the requirements of Section 27 of the Children Act 2004, the Authority has identified a Lead Director for Children and Young People's Services: **(Corporate Lead Officer-Lifelong Learning (& Chief Education Officer))**

Ceredigion County Council Constitution - Part 5 Codes and Protocols

PART 5 DOCUMENT P Role and accountabilities of the Statutory Director of Social Services

**Approved by Council xxxxxxxx Updated November 2023**

The DoSS is responsible for coordinating and overseeing arrangements to improve the well-being of children in the area of the County Council and to be the champion of children's rights. This role sits well alongside the Chief Education Officer's responsibility for meeting the educational needs of the population of children and young people in the Authority.

The Code states:

"In authorities where the post of director of social services and lead director for children and young people's services are held separately, there will be an overlap between the two roles.

The lead director for children and young people's services will seek to address the well-being needs of all children.

The director of social services must focus on improving the well-being of children specifically with care and support needs and protecting children from harm"

The Authority must be clear about the particular focus of each role. Formal liaison will ensure effective partnership working.

The DoSS is a member of the Authority's Leadership Group, and will work to involve partners to strengthen support and provision for all children in Ceredigion, and to ensure that a wide range of services is accessible to children generally

### **Fulfilling the Statutory Director of Social Services' Core Accountabilities:**

The Chief Executive, Corporate Lead Officers within the Through Age Well-being Services, and Chief Education Officer will contribute in enabling the DoSS to fulfil the core accountabilities. The Council's Corporate Managers, will have an equally significant part to play.

Chief Officers will seek to work effectively together will strengthen the performance of the Authority while not compromising individual areas of responsibility.

The DoSS will call on the support of colleagues where specific inputs are needed e.g. policy and service development, joint working initiatives and in the production of reports dealing with the fulfilment of the social services accountabilities. The Director's Annual Report will require a significant contribution from Corporate Managers and other Chief Officers.

Other Chief Officers must be alert to the need to ensure that the Doss's view is sought on all matters that could have a bearing on the Authority's delivery of its social services functions and represented in any reports that are put forward for decision.

The DoSS will provide support for other Chief Officers in areas where the Director holds the lead responsibility. Providing advice and guidance on work to strengthen arrangements for safeguarding children and adults is a particularly important example of the reciprocal arrangements which must exist between the Director and other senior officers.

The Chief Executive must be satisfied that these arrangements are working effectively and that the Statutory Director of Social Services is able to fulfil the following expectations inherent in the role:

**Providing the professional leadership for staff and a clear sense of strategic direction for the effective delivery of care and support services.**

The Through Age Well-Being Corporate Lead Officers provide a significant resource of knowledge and experience in the planning and delivery of social services and this is drawn upon to support the Director's work.

Similarly, the DoSS is alert to opportunities to provide them with any assistance they might need in order to fulfil the Authority's expectations of them. The skills of other managers and operational staff are also utilised to ensure that Through Age Well-Being Services strives to achieve the highest professional standards in all that it does.

The DoSS will have in place a regular programme of meetings at all levels in the service, (as well as with the portfolio member) which provide opportunities to consider operational matters, identify areas for improvement, explore the potential for service initiatives and enable the Director to provide a clear sense of direction for services and for staff:

- to focus on the future direction of services and to consider the implications of legislation, of guidance and of the findings of Inspections; to evidence a commitment to engaging staff and enabling them to contribute to thinking on the future direction of services;
- 
- The Director plays a lead role in the development of Ceredigion's approach to meeting the Information, Advice and Assistance requirements of the Social Services and Well-Being (Wales) Act 2014. The DoSS seeks to ensure that assessment arrangements are sufficiently robust to ensure that

those in need of assistance from social services are identified and referred to the appropriate source of help.

**Advising the Council on the resources needed to fulfil its social services responsibilities and on the service implications of any budgetary reductions.**

The DoSS provides professional advice on all social services matters.

This will include presenting arguments, as and when required, to support the case for additional resources to enable the effective delivery of services to meet the needs of the population in the Authority's area and explaining the service impact of any possible budget reductions, to inform consideration of the resources needed to fulfil the Authority's social services functions.

The Chief Executive, DoSS and Chief Finance Officer have in place arrangements to consider financial performance of social services, at various levels of need to agree the levels and patterns of spend, and to

- review the use of resources and
- explore ways of increasing effectiveness, the potential for cost reduction and evidence to support case for additional resources.

The objective of working closely together is to seek a service led approach to financial planning which is rooted in service best practice.

**Being accountable for the quality and delivery of services in accordance with the Authority's social services functions and providing effective service and performance management.**

It is a priority to have strong Performance Management arrangements in place. These are coordinated by the Corporate Lead Officers.

Quality assurance and service improvement frameworks operate within in Adult Services. These arrangements:

- Seek to meet the whole 'Through Age Wellbeing Services' business needs;
- Continue to strengthen the focus given to service quality and to outcome measures;
- Provide the evidence base upon which Corporate Lead Officers can take responsibility for delivering and driving improvement in the services for which they are responsible;

- Enable the Director to pursue strengthened performance across the **Through Age Wellbeing Services** in its entirety;
- Contribute information to the Corporate Performance system;
- Meet the Performance Information requirements of the Welsh Government.

The DoSS draws upon the skills available within the service, and within the authority corporately strengthening Performance Information & Management.

The educational achievement/performance of Looked After Children, is monitored. Both the DoSS and Chief Education Officer are committed to supporting this arrangement.

### **Ensuring effective safeguarding arrangements are in place.**

The Code places great emphasis upon the importance of the safeguarding role:

“Safeguarding children and adults at risk of abuse or neglect is everyone’s responsibility. However, the DoSS must show leadership to ensure effective safeguarding arrangements are in place both within the authority and with relevant partners”

The Through Age Well-being Services Corporate Lead Officers are responsible for managing safeguarding practice in their service areas, and the DoSS requires regular assurance that practice and service arrangements meet the standards that are required.

The DoSS is also responsible for ensuring that arrangements are in place to provide good quality advice on safeguarding to each of the service areas and across the Authority as a whole.

Ceredigion County Council has adopted: “Policy and Guidelines for Safeguarding Children and Adults at Risk” in 2019. This now sets out the Authority’s expectations in respect of this work.

Effective safeguarding arrangements must be built on an extensive platform of training which extends from general awareness training for all staff and Councillors across the whole Authority to more specialised training for particular groups of staff and in specified service areas.

The DoSS and Corporate Lead officers are supported in this by Human Resources. All officers, councillors, Head Teachers, school staff and Governors must support the DoSS in fulfilling the lead role on safeguarding. The DoSS will utilise information from

various sources in order to arrive at an assessment of the strength of safeguarding arrangements in the Authority and to provide assurance.

The DoSS (and/or senior designated officers) will ensure that the authority supports and engages with relevant partner agencies which have a direct contribution to make to safeguarding vulnerable people. The DoSS “must support effective partnership working and ensure that safeguarding duties are effectively discharged collaboratively” The DoSS must ensure that this work is used to complement action being taken by the Council to strengthen its arrangements for safeguarding vulnerable children and adults.

#### Deputyship Orders

The DoSS is also responsible for carrying out the functions of the Council as appointed Deputy under any Deputyship Order granted to the Council by the Court of Protection under Section 16 of the Mental Capacity Act 2005 regarding any person who lacks capacity in relation to a matter or matters concerning their personal welfare or their property and affairs, and also for any such functions should the Statutory Director of Social Services be directly named on any such Deputy Order. In appropriate circumstances, it is also the responsibility of the DoSS to make applications to the Court of Protection for a Deputyship or such other order as is appropriate in the given circumstances. The Statutory Director of Social Services is also required to abide by the Mental Capacity Act 2005 Code of Practice.

#### **Securing the essential political and corporate support for Social Services.**

The DoSS holds overall accountability for ensuring that the social services functions of the Authority, as set out in statute, are fulfilled effectively.

The DoSS is the source of advice to the Authority on all social services matters and is responsible for the delivery and development of services to meet the needs of the population.

It is important that all Chief Officers and Councillors understand the range and nature of Through Age Well-being Services responsibilities and of the expectations placed upon them by the public and by Government. The DoSS must ensure that there is an understanding of this across the Authority and that there is regular reporting, at least on a quarterly basis, on the areas that are a prerequisite for the delivery of effective services.

The DoSS achieves this through:

Ceredigion County Council Constitution - Part 5 Codes and Protocols

PART 5 DOCUMENT P Role and accountabilities of the Statutory Director of Social Services

Approved by Council xxxxxx Updated November 2023

- attendance at and input to the Authority's Leadership Team meetings;
- regular briefing of appropriate Portfolio holders by the DoSS and by the Corporate Lead Officers;
- delivering workshops for Councillors to inform them about and to explore particular complex and challenging matters;
- reports to Cabinet;
- the Director's Annual Report to the Council.

In addition, the DoSS will report on sensitive issues and on matters of strategic direction as and when this may be appropriate.

The Chief Executive must support the DoSS in securing the necessary corporate and political support and ensure that social services are seen as a Corporate priority.

### **Fostering effective joint working relationships both within Through Age Well-being Social Services, across the Authority and with partners.**

The DoSS must provide the strong leadership necessary to ensure that services for Children and for Adults work together in an integrated **Through Age Wellbeing Services**. This must be capable of looking both at the particular needs of each service area and of recognising the cross cutting issues that need to be addressed in a coordinated way.

The DoSS must lead, to strengthen the contribution which other services, both within and outside the Authority, can make to the delivery of the social services functions.

The DoSS will participate in or directly influence a number of partnerships which function on a level wider than Ceredigion and where the Authority is an active partner:

- The DoSS must ensure that partners enable and promote cooperation to improve outcomes and promote the well-being of people in Ceredigion who need care and support,
- the DoSS will seek to secure an appropriate share of the resources to complement the Authority's own training resources.
- The DoSS must represent the interests of the Authority and make sure that the people of Ceredigion benefit from the experience, expertise, and access to resources and the potential for working in cooperation which they offer. The DoSS can influence other partnerships, although not a member, through the Chief Executive and other Ceredigion representatives who will be in a position to reflect social services views and advice.

However, it is important to recognise that the DoSS input to and the contribution made by these partnership forums does not in any way affect, weaken or cloud the



DoSS accountability to Ceredigion County Council for the effective fulfilment of its social services responsibilities.

**Fulfilling overall responsibility for workforce planning, training and development and for the recruitment and retention of a sufficient, suitably qualified and experienced workforce.**

The DoSS is responsible for ensuring that the social services workforce is sufficient in number and has the skills and experience necessary to meet the needs of people in the Authority's area. Having such a workforce in place is a prerequisite to the effective delivery of services and to the fulfilment of the Authority's social services responsibilities. The DoSS must be seen as the authoritative professional voice on all social services workforce matters.

The DoSS works alongside Human Resources to implement an approach that is designed to meet the particular needs of Social Services, whilst recognising that this must be within the broad framework provided by the Corporate Workforce Strategy.

The DoSS will seek to ensure that the training and development programmes offered on a partnership basis are informed by and responsive to the Ceredigion's needs.

**Producing an Annual Report at the end of each financial year which accounts for the exercise of the Authority's social services functions and sets objectives for the forthcoming year.**

The DoSS must prepare and publish an Annual Report as soon as practicable after the end of the Financial Year. It is the Authority's Report on the performance of its social services functions and must explain how the Authority's wider functions, have contributed and will continue to contribute to the achievement of individuals' well-being outcomes. Other Chief Officers must therefore contribute to the Report from their areas of responsibility.

The Report will evaluate performance in the year, including lessons learned, and set out the coming year's objectives relating to people who need care and support and carers who need support. It will also show how the needs of individuals have been assessed and how services have met the Quality Standards set out in the 2014 Act. The Report will provide:

- Assurance that structural arrangements for delivering and developing social services are strong;
- Assurance that partnership working is effective;
- Assurance that safeguarding arrangements are strong;

Ceredigion County Council Constitution - Part 5 Codes and Protocols

PART 5 DOCUMENT P Role and accountabilities of the Statutory Director of Social Services

Approved by Council xxxxxx Updated November 2023

- Information on the handling of representations and complaints and of the lessons learned from these;
- The response to any Inspections;
- The Authority's implementation of the Welsh Language Strategic Framework "Mwy Na Geiriau"/ "More Than Just Words".

The DoSS is responsible for ensuring that the Report reflects:

- The views of service users and carers, including children and their parents, on how the Authority has discharged its social services functions;
- The statutory social services performance information which is required must show how this has been secured;
- The views of partner agencies and providers on partnership working.

The Report must show how the Authority has engaged with people in its production and should reflect the views of service users and service providers.

The DoSS will be supported by Corporate Lead Officers and other managers in producing the Report and each will lead on ensuring that service users and partners have been able to contribute to the Report's production.

The DoSS takes personal responsibility for the production of the Report and for its presentation to the Authority's Leadership Team. Portfolio Holders, Cabinet, Scrutiny Committees and to the Council.

## **5: ENSURING EFFECTIVE IMPLEMENTATION OF THE PROTOCOL**

The effective operation of the Protocol must be considered on a regular basis, or as and when necessary, in meetings between the DoSS and the Chief Executive, and undertake a formal Review on an annual basis. Any immediate action needed to remedy defects must be agreed and implemented. Each Review must involve the Authority's Leadership Group and adopted by the Council for inclusion in the Council's Constitution.

This page is intentionally left blank

**CHIEF EXECUTIVE: EIFION EVANS**

**CORPORATE DIRECTOR : BARRY REES**

**CORPORATE DIRECTOR: JAMES STARBUCK**

- To ensure the development, implementation and evaluation of corporate strategic priorities and objectives which deliver high quality, safe, efficient and effective services to the residents of Ceredigion
- To work strategically and creatively to achieve the highest possible standards of performance in Council services

- To be Corporate Director and provide strategic leadership within the Council ensuring that all services comply with, and support, the Council's strategic objectives and standards.
- To deputise for the Chief Executive when required
- To provide leadership, guidance and performance management of up to six Corporate Lead Officers

**CORPORATE LEAD OFFICERS (7)**

**CORPORATE LEAD OFFICERS (6)**

- To be Corporate Lead Officer and lead advisor to the Council for all matters relating to their specific functions as listed below
- To provide a key link with Corporate Directors and work with other Corporate Lead Officers in ensuring that strategic and corporate objectives are effectively co-ordinated and implemented across all service areas

- Whilst Corporate Lead Officers have specific responsibility for the management and leadership of a portfolio of service areas, they have an overriding corporate responsibility to ensure that all service activities and actions comply with and support Council strategic objectives and standards
- To work creatively and strategically to achieve the highest possible standards of performance in Ceredigion County Council services

SCHOOLS AND LIFELONG LEARNING		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, ICT & DIGITAL	DEMOCRATIC SERVICES
LIFELONG LEARNING	SCHOOLS											
<b>Elen James</b> (Secondment)	<b>Clive Williams</b> (Secondment)	<b>Elin Prysor</b>	<b>Duncan Hall</b>	<b>Alun Williams</b>	<b>Russell Hughes-Pickering</b>	<b>Rhodri Llwyd</b>	<b>Audrey Somerton-Edwards</b> (Interim)	<b>Donna Pritchard</b>	<b>Greg Jones</b> (Secondment)	<b>Geraint Edwards</b>	<b>Alan Morris</b>	<b>Lowri Edwards</b>
*Chief Education Officer	Deputy Chief Education Officer	*Monitoring Officer	*Chief Finance Officer (s151 Officer)				*Statutory Director of Social Services	Deputy Director of Social Services			*SIRO *Proper Officer for Civil Registration	*Head of Democratic Services
<ul style="list-style-type: none"> <li>• Post-16 education</li> <li>• Attendance, inclusions &amp; behaviour support</li> <li>• Pupil welfare</li> <li>• Pupil Referral Units</li> <li>• EOTAS</li> <li>• Lifelong Learning, Skills &amp; Employment</li> <li>• Cultural Services</li> <li>• Catering</li> <li>• Pre-school provision</li> <li>• Childcare offer</li> <li>• Welsh Language Standards</li> </ul>	<ul style="list-style-type: none"> <li>• School Improvement</li> <li>• Attainment</li> <li>• Additional Learning Needs</li> <li>• Admissions and appeals</li> <li>• Governors</li> <li>• Sustainable Schools Programme</li> </ul>	<ul style="list-style-type: none"> <li>• Legal</li> <li>• Corporate Governance</li> <li>• Internal Audit</li> <li>• Coroners Service</li> </ul>	<ul style="list-style-type: none"> <li>• Procurement, Commissioning and Payments</li> <li>• Core Finance (Deputy 151)</li> <li>• Service Finance (Deputy 151)</li> <li>• Revenues &amp; Financial Assessment</li> </ul>	<ul style="list-style-type: none"> <li>• Strategic Partnerships, Engagement &amp; Equalities</li> <li>• Complaints, Compliments &amp; FOI</li> <li>• Public Protection</li> <li>• Corporate Performance &amp; Research</li> <li>• Refugee resettlement</li> <li>• Civil contingencies &amp; Business continuity</li> </ul>	<ul style="list-style-type: none"> <li>• Growth and Enterprise</li> <li>• Planning</li> <li>• Property</li> </ul>	<ul style="list-style-type: none"> <li>• Highways Maintenance</li> <li>• Highways Development</li> <li>• Local Environment Services</li> <li>• Transport Services</li> </ul>	Specialist through age services including: <ul style="list-style-type: none"> <li>• Strategic Safeguarding</li> <li>• Quality Assurance and Independent Review</li> <li>• Mental wellbeing and substance misuse</li> <li>• Planned care</li> <li>• Extended support</li> </ul>	<ul style="list-style-type: none"> <li>• Intake &amp; Triage Team</li> <li>• Targeted intervention services</li> <li>• Fostering Services</li> <li>• Residential and Day Care services (*Responsible Individual)</li> <li>• Integrated community equipment stores</li> <li>• Emergency Duty Team</li> </ul>	<ul style="list-style-type: none"> <li>• Wellbeing Centres</li> <li>• Support &amp; Prevention</li> <li>• Early Intervention</li> <li>• Housing Services</li> </ul>	<ul style="list-style-type: none"> <li>• HR Advice &amp; Admin</li> <li>• Pay, Benefits &amp; Systems</li> <li>• Learning &amp; Development</li> <li>• Health &amp; Safety</li> <li>• Employee engagement &amp; wellbeing</li> </ul>	<ul style="list-style-type: none"> <li>• ICT</li> <li>• Customer Contact</li> <li>• Archives &amp; Info Management</li> <li>• Library Services</li> <li>• Civil Registration</li> </ul>	<ul style="list-style-type: none"> <li>• Democratic Services</li> <li>• Translation</li> <li>• External Communication</li> <li>• Electoral Services</li> <li>• Corporate Service Support</li> <li>• Project Management</li> </ul>

\* denotes Statutory Roles

This page is intentionally left blank

**PART 7**  
**CONSULTATIVE AND ADVISORY**  
**FORA**

# Contents

Section 1	Consultative and advisory fora established .....	1
Section 2	Internal Policy Development / Monitoring Groups .....	5
Section 3	Partnerships within Ceredigion.....	7
Section 4	Regional Partnerships/Fora/Consortia/Joint Committees .....	8

## 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, updated 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

Ceredigion County Council Constitution PART 7 Consultative and Advisory Fora

Section 1 Consultative and Advisory Fora

Updated February 2022

3

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

Ceredigion County Council Constitution PART 7 Consultative and Advisory Fora

Section 1 Consultative and Advisory Fora

Updated February 2022

8

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

Ceredigion County Council Constitution PART 7 Consultative and Advisory Fora

Section 1 Consultative and Advisory Fora

Updated February 2022

9



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.

Ceredigion County Council Constitution PART 7 Consultative and Advisory Fora

Section 1 Consultative and Advisory Fora

Updated February 2022

10

Cabinet representation: None

## Section 4 **Statutory** 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**

**Sub-committees- representation:**

**Governance & Audit:**

**Scrutiny:**

**Standards: 1 Member & 2 lay members**

### **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

### **National Adoption Service and Foster Wales Joint Committee**

**Background:**

The National Adoption Service and Foster Wales was established in 2014 & is managed by a combined Joint Committee.

A Combined Governance Board shall act as an advisory group to the Joint Committee

The Joint Committee will, exercise its powers on behalf of the 22 Welsh Local Authorities for the provision of the collaborative arrangements and provide the mechanism for all Welsh local authorities to discharge an executive and oversight role for the National Adoption Service and Foster Wales.

It will be comprised of Council Members and lay members and will meet at least once annually.

**Council Representative:** Council/cabinet representative: Cabinet Member for Through Age Well-being

### **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

<b>Subject Area</b>
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

This page is intentionally left blank

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14 December 2023

**Title:** Chair's Announcements

**Purpose of the report:** For Council to consider the proposed amendment to the Council Agenda from 'Personal Matters' to 'Chair's Announcements'

**For:** Decision

**Cabinet Portfolio and Cabinet Member:**

**Councillor Bryan Davies, Leader of the Council and Cabinet Member for Democratic Services, Policy, Performance and People and Organisation**

**Introduction**

During a meeting of Group Leaders it was proposed that the 'Personal Matters' item on the Council Agenda is changed to 'Chair's Announcements'. This was considered by the Democratic Services Committee during its meeting dated 09/06/2023 and it was recommended for approval by Council. It was also considered by the Constitution Working Group during its meeting dated 26/09/2023.

The Democratic Services Committee considered a review of practice at other Local Authorities, and the consistency and appropriateness of matters raised.

**Review of practice by other Local Authorities**

A review of all Wales Local Authority practice was carried out during May of this year. The sample included one standard Council agenda per Local authority, published on the internet. It was noted that from this sample no other Local Authority include 'Personal Matters' as a Council agenda. Below are a sample of alternative agenda items noted:

- a) To receive announcements from the Chairman, Leader, Members of the Cabinet or the Chief Executive.
- b) to receive announcements from:
  - (i) Mayor (or Presiding Officer)
  - (ii) Cabinet Members
  - (iii) Chief Executive
- c) Chair's Announcements
- d) Reports from the Chair
- e) Announcements / Personal Issues
  - (i) Presiding Member
  - (ii) Chairman / Deputy Presiding President
- f) Announcements from the Leader or Chief Executive



### **Consistency and appropriateness of matters raised**

The Democratic Services Committee noted that a considerable amount of the Council's meeting is taken up with personal matters, with the majority of items relating to congratulations and condolences for residents on a ward by ward basis. It was noted that there are considerable inconsistencies, especially in relation to birthday wishes and wishing staff well upon their retirement.

### **Ceredigion County Council Constitution**

The Council's Constitution references Chair's announcements as follows:

#### Annual Meeting of the Council, 1.1 Timing and Business

*The annual meeting will:*

*1.1.6 receive any announcements from the Chairperson and/or Chief Executive*

#### Ordinary Meetings

*Ordinary Meetings will*

*2.4 receive any announcements from the Chairperson, Chief Executive, Leader and/or Cabinet Members*

Members of the Constitution Working Group considered the wording of the Constitution in relation to the proposed amendments during its meeting dated 26 September 2023 and concluded that no amendment was required.

### **Proposal**

It is therefore recommended that the Personal Matters agenda item is superseded by a 'Chair's Announcements' on all of the Council Meeting agendas. All Members will be asked to notify the Chair via the relevant Democratic Services Officer of any matters that they may wish to put forward for consideration by the Chair. All matters will need to be presented at least 2 clear working days prior to the meeting, and the Chair will consider these matters for inclusion in a summary of these announcements during the Council meeting.

The Chair will have the final discretion in considering the relevance of matters put forward, and whilst this is not an exhaustive list, it should provide a guide to Members. Items for the Chair's Announcements may include:

- Congratulating individuals selected to represent Wales or winning a National competition. Members should however try to avoid excessive duplication e.g. each time an individual is selected to the team, per game;
- Personal matters relating to Members, e.g. condolences on the death of a close relative, to wish them a speedy recovery or congratulations on a wedding, or the birth of a child or grandchild

It is recommended that the Chairman's Announcement avoids anything related to staff, except congratulations on winning awards related to the work of the Council, or condolences with Chief Officers if a member of staff has died in office. It is also recommended that the Announcements avoids local matters such as birthday congratulations, winning local competitions, passing examinations etc which are best dealt with at Ward level or by the relevant Town/Community Council.

It is acknowledged that some matters may arise at the last minute and that it may not be possible to provide 2 clear working days for presenting this information. In such

circumstances, it is proposed that the Member notify the relevant Democratic Services Officer at the earliest possible opportunity, prior to the commencement of the meeting, who will then discuss it with the Chair.

**Wellbeing of Future Generations:**

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

No, this is not a policy or change to strategy.

**Summary of Integrated Impact Assessment:**

**Long term:** N/A

**Collaboration:** N/A

**Involvement:** N/A

**Prevention:** N/A

**Integration:** N/A

**Recommendation(s):**

**For Council to approve the amendment to the Council Agenda from 'Personal Matters' to 'Chair's Announcements'**

**Reasons for decision:**

**To ensure consistency and appropriateness of matters raised, and reduce the amount of time spent on this item.**

**Overview and Scrutiny:** N/A

**Policy Framework:** Ceredigion County Council's Constitution

**Corporate Well-being Objectives:** N/A

**Finance and Procurement implications:** N/A

**Legal Implications:** N/A

**Staffing implications:** N/A

**Property / asset implications:** N/A

**Risk(s):** N/A

**Statutory Powers:** N/A

**Background Papers:** N/A

**Appendices:** N/A

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

**Reporting Officer:** Nia Jones, Corporate Manager, Democratic Services

**Date:** 01/10/2023

This page is intentionally left blank

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14<sup>th</sup> December 2023

**Title:** Single Transferable Vote

**Purpose of the report:** To consider the recently commenced powers for local authorities to vary their electoral system for County Council elections.

**For:** Decision

**Cabinet Portfolio and Cabinet Member:**

**Councillor Bryan Davies, Leader of the Council and Cabinet Member for Democratic Services, Policy, Performance and People and Organisation**

**Introduction**

All councillors in Wales are currently elected using a simple majority system, commonly known as first past the post (FPTP). Each Council will continue to use this method unless it decides to change to a system known as the Single Transferable Vote (STV) under the powers legislated in the Local Government and Elections (Wales) Act 2021 (the Act).

It should be noted that there are no provisions to change the voting system for Town and Community Council elections.

**Changing the voting system**

The Act sets out the steps (in sections 8 and 9) a local authority must take if it is minded to change its voting system. These sections commenced on 6 May 2022, immediately following the last round of local government elections. The steps required if the Council is minded to change the voting system are as follows:

- Before exercising the power to change the local authority must consult local government electors, community councils and any such persons as the local authority considers appropriate.
- A Special Meeting of Council would need to be convened, giving at least 21 days' notice. Such a change would require a resolution supported by a two-thirds majority of full Council.
- If a Council opts to change the voting system, it must use the new STV system for the next two rounds of ordinary elections, after which it could choose to revert back to FPTP.
- To change to STV for the next set of local government elections in 2027, a resolution to this effect must be made before 15 November 2024.
- If a decision is reached to change the voting system, the Council must notify Welsh Ministers and the Local Democracy and Boundary Commission for Wales.

Schedule 1 of the Act outlines the provisions for a boundary review to take place, which requires that if a Council adopts STV, the number of councillors for each electoral ward is to be no less than 3, but no more than 6. There is therefore, a

significant element of work that would need to be undertaken to progress to the point of adopting the alternative voting system, and a steer is required from Council as to if this is a matter that it is wish to be pursued before committing resources to this project.

Full details of FPTP and STV are included in Appendix A.

### **Conclusion**

Should Council wish to remain on the FPTP system then no further action is required at this stage by Council.

Should Council conclude they wish to consider the STV further then we will move to a period of public consultation before bringing a report back to a Special Council meeting, at which point Council will vote for whether to change the system to STV, but will need a two thirds majority to do so.

### **Wellbeing of Future Generations:**

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

No. An Integrated Impact Assessment will be completed if Council decides it wishes to move to a period of consultation and a further report is presented at a Special Council meeting.

### **Summary of Integrated Impact Assessment:**

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

### **Recommendation(s):**

**That Council remains on the First Past the Post (FPTP) voting system for Principal (County) Council elections in Ceredigion.**

### **Reasons for decision:**

**To inform Members of the newly commenced powers in the Local Government and Elections (Wales Act 2021) (the 'Act'), for local authorities to change their voting system, in preparation for the next ordinary local government elections, scheduled for 2027; and to seek instruction from Council in respect of future voting arrangements.**

### **Overview and Scrutiny:**

Not applicable.

### **Policy Framework:**

Local Government and Elections (Wales) Act 2021

### **Corporate Well-being Objectives:**

Not applicable.

**Finance and Procurement implications:**

The implementation of new voting arrangements would require additional financial resources to enable the Council to implement this significant change in election arrangements.

**Legal Implications:**

A decision is required in order to meet legislative requirements.

**Staffing implications:**

There will be staffing implications if the decision is taken to move to a Single Transferable Vote system due to the increased time needed to complete vote counting.

**Property / asset implications:**

There will be property implications if the decision is taken to move to a Single Transferable Vote system due to the increased time needed to complete vote counting.

**Risk(s):**

The implementation of new voting arrangements will have financial and staffing implications for the Council.

**Statutory Powers:**

[Local Government and Elections \(Wales\) Act 2021](#) (sections 8 and 9).

**Background Papers:**

[DRAFT rules for local government \(principal council\) elections using the single transferable vote system.](#)

**Appendices:**

Appendix A – How does First Past the Post and Single Transferable Vote work?

**Corporate Lead Officer:**

Lowri Edwards, Corporate Lead Officer: Democratic Services

**Reporting Officer:**

Lowri Edwards, Corporate Lead Officer: Democratic Services

**Date:**

23<sup>rd</sup> November 2023.

### How does First Past The Post (FPTP) work?

- In a poll which uses FPTP where one representative is to be elected, voters place a mark (usually a cross) on the ballot paper next to the name of the candidate they wish to vote for.
- In a two-member ward, voters are instructed at the top of the ballot paper to vote for up to two candidates.
- A candidate is elected if they receive one or more votes than the other candidates. In a two member ward the two individuals who receive the most votes are elected.
- Counting the votes for a FPTP contest is a simple process when there is only one candidate to be elected.
- Counting the votes for a two-member ward requires a system which records the votes given on each ballot paper – ballot papers are counted once.
- There are currently 4 Wards in Ceredigion that are multi-member Wards i.e. Aberporth and Y Ferwig, Aberystwyth Penparcau, Aberystwyth Morfa a Glais and Beulah and Llangoedmor.

### How does Single Transferrable Vote (STV) work?

- **Multi-member wards** - STV will require multi-member wards across the whole of the authority area. Welsh Government (WG) have stipulated that the number of councillors for each electoral ward is to be no less than three, but no more than 6.
- **STV rules** – The system of STV that is detailed below is in accordance with guidance issued by Welsh Government.
- **Ballot paper design** – candidates would appear on a STV ballot paper in alphabetical order according to surname, as is the case on the FPTP ballot paper. Voters are instructed at the top of the ballot paper to rank the candidates according to their order of preference.
- **Counting Votes** – there is no provision for electronic counting in the draft rules. Therefore, it is accepted that counting STV elections will be a lengthy process, with counts using STV taking up to 2 days to complete.
- **Quota (method of calculation)** – the method of counting is fundamental to any STV system. The method of counting provided for is the Droop quota (as used in elections in Northern Ireland and principal council elections in Scotland).

$$\text{Votes needed to win seat} = \frac{\text{number of valid ballot papers}}{\text{number of seats} + 1} + 1$$

- **Surplus transfer** – during the count, surplus ballots are transferred from the elected candidate pile to the next preference candidate, if the first choice candidate has votes in excess of the quota or has been eliminated.

When a candidate exceeds the quota, the surplus votes are examined to see if the next available preference candidate is still in the race (neither elected or eliminated). Ballot papers are transferred to the next available preference at a value which is calculated by taking the candidate's surplus and dividing it by the total number of ballot papers being transferred. This process continues until the appropriate number of candidates stand elected.

There is an additional step to ensure that the value of transferred votes is not greater than the value of the vote on the ballot paper when it was received by the candidate from whom it is now being transferred.

All calculations are done to 2 decimal places so are manageable for manual counting.

- **Exclusion of candidates** – if vacancies remain after the transfer process has taken place, the rules provide for the candidate with the lowest number of votes to be eliminated. The eliminated candidate's votes are then redistributed in stages.

The first stage involves the transfer of the excluded candidate's first preference votes. The Returning Officer examines the votes given to see if a next preference has been given, which is still available. Each ballot expressing a next available preference is transferred to the candidate for whom the preference is given, at a transfer value of 1.

- **Non-transferable ballot papers** – a ballot paper becomes non-transferable at the stage where the Returning Officer is unclear which candidate is next in the order of preference.
- **Last vacancies** – the draft rules provide for the filling of last vacancies which is intended to ensure that the returning office is not required to continue counting when it would be pointless to do so. For example, the rule provides that where the number of candidates still in the race is equal to the number of vacancies remaining, those candidates are treated as elected.
- **Recounts** – a crucial difference between the FPTP rules and the draft STV rules is the provision made for candidates or election agents to request a recount. Having to recount the entirety of the vote, meaning repeating every single stage, would be unreasonable. Therefore, where an election is conducted using STV, the provision is for a recount of that stage of the count only.



This page is intentionally left blank

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14 December 2023

**Title:** Recruitment of Independent Member to the Ethics and Standards Committee

**Purpose of the report:** To approve the appointment of an Independent Member to the Ethics and Standards Committee

**For:** Decision

**Cabinet Portfolio and Cabinet Member:**

Councillor Matthew Vaux, Cabinet Member for Partnerships, Housing, Legal and Governance and Public Protection

**Introduction**

The Ethics and Standards Committee comprises of nine members:

- 5 x independent members and,
- 4 councillors (2 x County councillors, and 2 x Town/Community councillors).

John Weston, was appointed by Council as an independent member to the Ethics and Standards Committee on 22/2/2018. Mr Weston did not seek reappointment once the initial six years appointment comes to an end on 21/2/2024.

Consequently, it was necessary to recruit a new independent member to the Ethics and Standards Committee to maintain the Committee's composition as set out in the Constitution, and as required by legislation.

Council agreed the recruitment process for a replacement independent member to the Ethics and Standards Committee on 13 July 2023.

Following a recruitment process, Llinos James was selected as Independent / Lay Member to the Ethics and Standards Committee.

**Proposal**

It is proposed that Council confirms the appointment of Llinos James as Independent / Lay Member to the Ethics and Standards Committee from 22 February 2024 for one term of 6 years (up to 21/2/2030).

There will be an option to reappoint for a second term of 4 years (up to 22 February 2034), up to no more than two consecutive administrative terms inclusive of the current term (totalling 10 years, up to 22 February 2034).

**Wellbeing of Future Generations:**

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

N/A

**Summary of Integrated Impact Assessment:**

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

**Recommendation(s):**

**To approve the appointment of Llinos James as Independent / Lay Member of the Ethics and Standards Committee, from 22 February 2024, for one term of 6 years up to 21/2/2030.**

**Reasons for decision:**

To ensure that appropriate appointments are in place, in accordance with the Constitution and relevant legislation

**Overview and Scrutiny:**

N/A

**Policy Framework:**

Ceredigion County Council's Constitution

**Corporate Well-being Objectives:**

Cross-cutting theme to ensure that services are fit for purpose

**Finance and Procurement implications:**

N/A

**Legal Implications:**

Without this decision the Committee will not comply with legislative requirements

**Staffing implications:**

N/A

**Property / asset implications:**

N/A

**Risk(s):**

Without this decision the Committee will not comply with legislative requirements on composition, becoming inquorate and not be able to function effectively

**Statutory Powers:**

- Local Government Wales: The Standards Committees (Wales) Regulations 2001 (2001/2283 Regulations)
- Local Government Wales: The Standards Committees (Wales) (Amendment) 2006 (2006/1849) & 2016 (2016/85) Regulations
- Local Government Act 1972
- Local Government Act 2000

- Local Government and Elections (Wales) Act 2021

**Background Papers:**

None

**Appendices:**

None

**Corporate Lead Officer:**

Elin Pryor, Corporate Lead Officer, Legal and Governance and Monitoring Officer

**Reporting Officer:**

Lisa Evans, Democratic Services Officer

**Date:**

20.11.2023

This page is intentionally left blank

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14 December 2023

**Title:** LA Representative on Governing Bodies

**Purpose of the report:** To confirm the nomination of LA Representative on Governing Bodies

**For:** Decision

**Cabinet Portfolio and Cabinet Member:**

Cllr Wyn Thomas, Cabinet Member Schools, Lifelong Learning & Skills

**Introduction**

**Llwyn yr Eos Community Primary School:** Nominate Councillor Shelley Childs as LA Governor at the request of the Governing Body of Llwyn yr Eos Community Primary School.

**Wellbeing of Future Generations:**

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

No, the report does not refer to a Policy or Service change

**Summary of Integrated Impact Assessment:**

**Long term:**

***Collaboration:***

***Involvement:***

***Prevention:***

***Integration:***

**Recommendation(s):**

Members are requested to confirm the nomination of the above named as LA representatives on the Governing Bodies of the relevant School.

**Reasons for decision:**

To nominate representatives of the LA on Governing Bodies

**Overview and Scrutiny:**

N/A

**Policy Framework:**

N/A

**Corporate Well-being Objectives:**

N/A

**Finance and Procurement implications:**

None

**Legal Implications:**

None

**Staffing implications:**

None

**Property / asset implications:**

None

**Risk(s):**

N/A

**Statutory Powers:**

N/A

**Background Papers:**

N/A

**Appendices:**

N/A

**Corporate Lead Officer:**

Clive Williams, Corporate Lead Officer, Schools Service

**Reporting Officer:**

Nia James, Corporate Manager, Learning Resources, Schools Service

**Date:**

01 December 2023.

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14<sup>th</sup> December 2023

**Title:** Statutory Director of Social Services Report 2022-2023

**Purpose of the report:** To report to Council on the performance of the Ceredigion County Council Social Services for the year 2022-2023 in accordance with the Performance measurement framework for local authorities

**For:** Information

**Cabinet Portfolio and Cabinet Member:**  
Councillor Alun Williams, Deputy Leader of the Council and Cabinet Member for Through Age and Wellbeing

### **Introduction**

The Annual Report of the Statutory Director of Social Services content is defined in Part 8 of the Social Services & Wellbeing (Wales) Act 2014 under the “Code of Practice on the Role of Directors of Social Services”.

The Annual Report aims to produce a rounded picture of the Social Services Department in Ceredigion which provides more timely feedback into planning and budgetary processes.

### **Structure and Content**

The report describes how the Social Services Department in Ceredigion has performed during the year 2022-2023.

The report will be used by the Care Inspectorate Wales (CIW) to help inform their independent evaluation of Ceredigion and their inspection work.

The report was presented for information to Cabinet at its meeting dated 5<sup>th</sup> December 2023.

### **Wellbeing of Future Generations:**

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

No. This is not a policy or strategy.

### **Summary of Integrated Impact Assessment:**

**Long term:** N/A

**Collaboration:** N/A

**Involvement:** N/A

**Prevention:** N/A

**Integration:** N/A



**Recommendation(s):**

To note the content of the report.

**Reasons for decision:**

N/A

**Overview and Scrutiny:**

Presented to Healthier Communities Overview and Scrutiny Committee on 22/11/23

**Policy Framework:**

N/A

**Corporate Well-being Objectives:**

Creating Caring and Healthy Communities

Providing the Best Start in Life and Enabling Learning at All Ages

Creating Sustainable, Green and Well-connected Communities

**Finance and Procurement implications:**

None

**Legal Implications:**

None

**Staffing implications:**

None

**Property / asset implications:**

None

**Risk(s):**

None

**Statutory Powers:**

The Director's report is a statutory requirement of the Social Services and Wellbeing (Wales) Act 2014.

**Background Papers:**

None

**Appendices:**

Appendix 1- Ceredigion Social Services – Statutory Director's Annual Report 2022/2023

**Corporate Lead Officer:**

Audrey Somerton-Edwards, Interim Corporate Lead Officer: Porth Cynnal

**Reporting Officer:**

Audrey Somerton-Edwards, Interim Corporate Lead Officer: Porth Cynnal

**Date:**

6 December 2023

Ceredigion County Council

**Audrey Somerton-  
Edwards**



**Ceredigion Social  
Services –  
Statutory Director’s  
Annual Report  
2022/2023**

<b>1. Introduction</b>	<b>3</b>
The Through Age and Wellbeing Integrated Service Delivery Model	5
<b>2 Summary of Performance</b>	<b>6</b>
Adult and Commissioning Services Summary	6
Children and Families Services Summary	15
<b>3 How Are People Shaping Our Services?</b>	<b>22</b>
Learning Disability Strategy 2018-2023 and Improvement Action Plan	23
Adverse Childhood Experiences	24
National Safeguarding Week	27
Carer Support and Engagement	27
Ceredigion Family Support and Early Help Services	30
Ceredigion Support and Prevention Services	33
Care Inspectorate Wales Activity	35
Complaints and Compliments	36
<b>4 Promoting and Improving the Well-being of Those We Help</b>	<b>46</b>
Ceredigion Local Authority Housing Services	48
What are our priorities for next year and why?	52
<b>5 How We Do What We Do</b>	<b>53</b>
How have we supported the professional development of the Social Care Workforce?	53
Our Financial Resources and How We Plan for The Future	59
Our Partnership Working, Political and Corporate Leadership, Governance and Accountability	60
<b>6 Accessing Further Information and Key Documents</b>	<b>63</b>

# 1. Introduction

It gives me great pleasure to publish the annual report for 2022-23. At the beginning of this fiscal year, Sian Howys was the Statutory Director for Social Services, and we thank her very much for her work before retiring in November 2022. I joined Ceredigion County Council in April 2022 and took over the role of Director of Social Services on an interim basis on 01 November 2022, whilst the recruitment of a permanent Director was undertaken.



In line with the expectations of the Social Services and Well-being (Wales) Act 2014, the Statutory Director of Social Services is required to publish a report on the Social Services duties within the Local Authority over the previous year, at the end of every fiscal year.

This is our opportunity to evaluate our performance and draw attention to lessons to be learnt and any required improvements. It is also an opportunity to highlight good practice and celebrate success.

The report provides a summary of what is in progress over the year to come.

The past few years have not been easy for the people of Ceredigion or for the Social Services workforce. The pandemic was incredibly challenging for our carers, our residential homes, those workers who visit people in their homes, and for all other workers. The impact of the pandemic continues, and we can see the challenges that have arisen as a result of the cost-of-living crisis. We have contended with significant workforce challenges that needed robust and decisive action to address.

Whilst I reflect on the last 12 months, I am struck by how challenging it has been across the whole of the Through Age Wellbeing services. The increased demand across our services has been significant and sustained. This reflects the pressures across our communities. The direct and indirect impact of meeting ever more complex needs, the cost-of-living challenges, post Covid issues are all having a significant impact on people’s lives as well as delays in people accessing treatment through the National Health Service. However, despite this I have witnessed the most outstanding force of goodwill and commitment from staff across the Through Age Well-being service to do their utmost to deliver for Ceredigion communities. Our performance for 2022-23, in the context of these pressures has been exceptional.

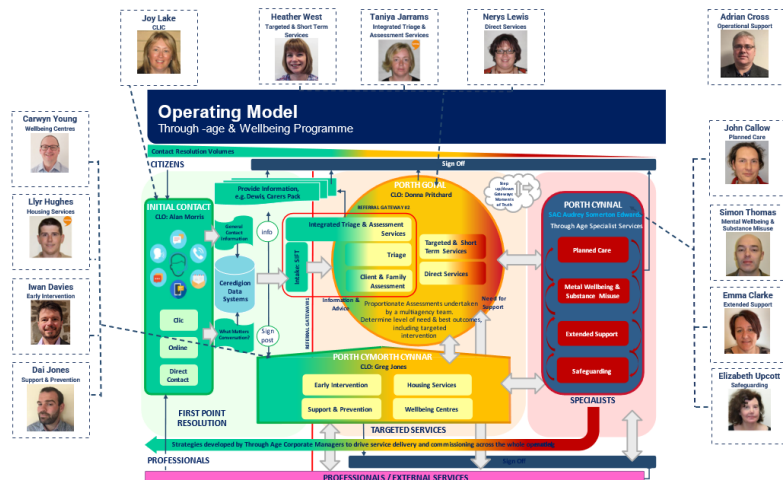
We have continued to work with families to keep children and young people safe at the heart of their families and communities. We are continuing to work with families to reduce the number of children who come into the care of the Local Authority. We have continued to support people to live at home independently and delay the need for admission to residential care. Despite significant challenges in the Domiciliary Care market, our workforce has worked additional hours and their days off to keep people at home, safe, whilst our commissioning team have been working with the market to reset and recruit. This continued to be an ongoing challenge. We have continued to embrace technology across our services to aid efficiency and safety for our communities.

During March 2023 Care Inspectorate Wales undertook a Performance Evaluation inspection which highlighted our strengths across the whole service. The final report recognised that the areas we are seeking to improve were aligned with their views on the requirements. It was satisfying to see our plans and developments endorsed by the regulator.

We welcome feedback from all stakeholders regarding this report.

It has been my pleasure to be the Director of Social Services in Ceredigion for the past 12 months.

# The Through Age and Well-being Integrated Service Delivery Model



For the year 2022 23 there has been significant progress in consolidating the implementation of our integrated Through Age Wellbeing Service model.

During 2021 the TAW Strategy 2021-27 was approved as an ambitious programme of change to achieve our five key Strategic Objectives:

- Promote positive health and wellbeing and support people to self support
- Provide proportionate approaches to managed care and support
- Protect individuals and keep them from abuse, harm and neglect
- Strengthen families so that children and young people remain within their family
- Enable individuals to live independently in their own communities

The model has been reviewed and some structural amendments made to ensure that the Through Age Wellbeing Services delivers services effectively and efficiently.

In March 2023 we received feedback from Care Inspectorate Wales recognising the value of the Through Age Wellbeing model as an innovative format to meet the needs of the community at all life stages. The report was published by CID on 18 May 2023.

The emphasis during the year has been to promote a climate of collaboration and cooperation across the three Porths to benefit the community. This has been achieved by engaging the workforce and elected members to understand our business and to contribute to plans and development as the integrated Through Age Wellbeing Service model matures.

*Audrey Edwards*

Audrey Somerton-Edwards  
 Interim Statutory Director of Social Services  
 Corporate Lead Officer – Porth Cynnal

## 2. Summary of Performance

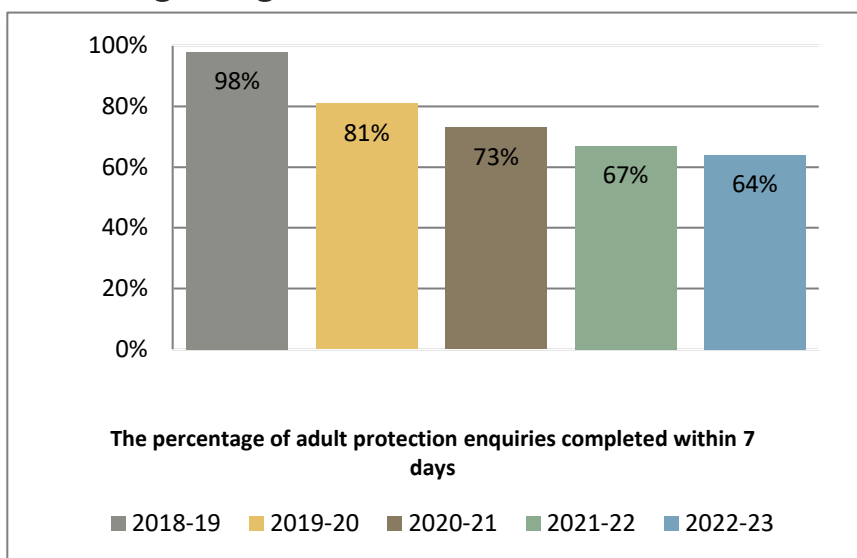
The Social Services and Wellbeing (Wales) Act 2014 Section 145 set out our duties to report on the performance of social services functions. You will see below how we have performed in the key areas of our service in the past year.

### Adult and Commissioning Services Summary

The performance of services for adults is satisfactory with priority given to adhering to local, regional, and national guidance, and protocols in collaboration with partner agencies to meet the needs of adults.

We continue to develop our key service areas such as CLIC for initial contact and signposting to Porth Gofal for advice and assistance, triage and proportionate assessment of need. Our early help approach to practice is becoming embedded into our Through Age Wellbeing Service model. Every opportunity to intervene at an early stage is utilised by deploying services from Porth Cymorth Cynnar continues to prevent the escalation of needs to levels where statutory intervention is needed.

#### Adult Safeguarding



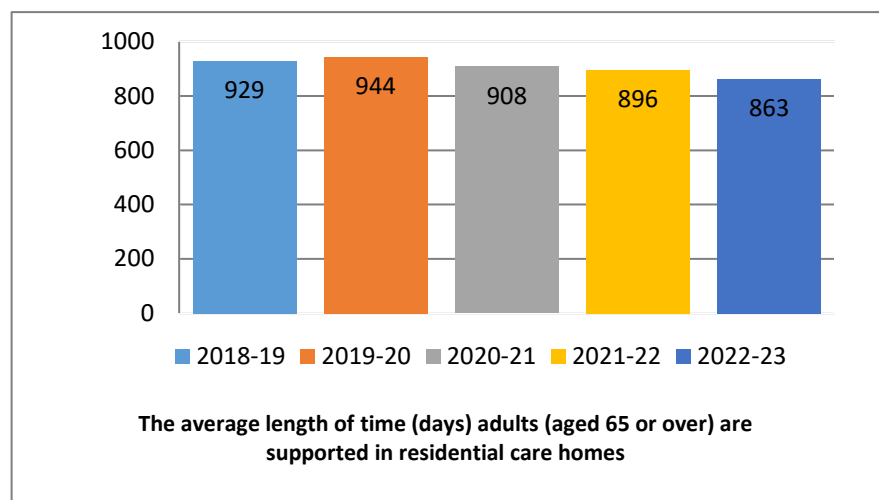
There has been a decrease in the percentage of Adult Protection enquiries completed within seven working days during 2022-2023.

The main reason for this has been that during this period, there was considerable service pressures and challenge with workforce capacity and the fact that as some of the staff are agency workers and do not live in the locality, there are some delays in staff going out to visit people in the community to speak to them as part of the

Safeguarding Enquiry. Nonetheless, high risk cases have been prioritized and timely action taken when required to ensure people’s safety.

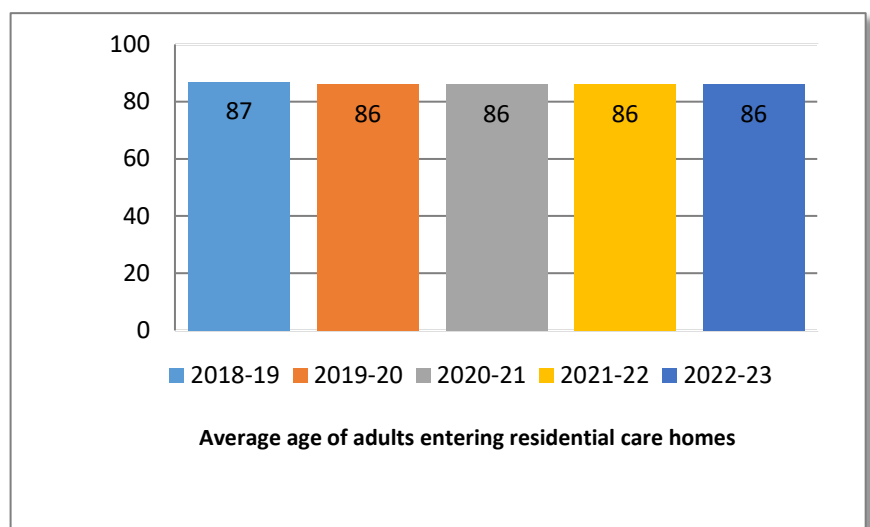


**Adults supported in residential care homes**



Residential care provides a range of options for individuals who require 24 hour care. These include short term, temporary and permanent placements. There are various residential care options available, depending on the needs of the individual. Ceredigion operates five residential care homes (as at March 2023) itself and commissions with several private companies both in Ceredigion and further

afield.



**Advice and Assistance for Adults**

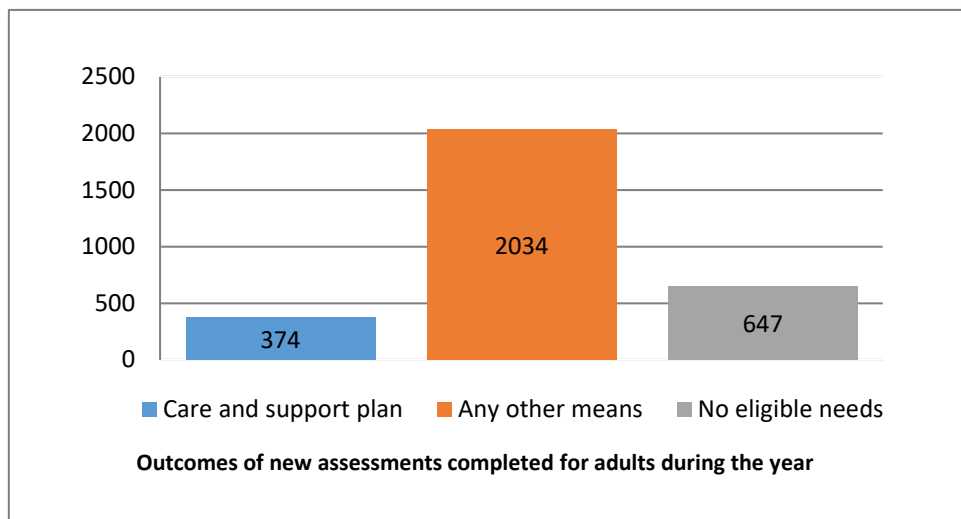
The PATHWAYS OF CARE DELAYS PILOT commenced November 2022 which was the start of a new framework for reporting delayed transfers of care from a hospital setting which had been suspended at the start of the pandemic. A pathways of care delay is experienced by an inpatient occupying a bed in an NHS hospital, who is ready to move on to the next stage of care but is prevented from doing so by one or more reasons. The revised definition for recording a delay is:

“any patient post 48 hours clinically optimised”

There has been a slight decrease in the number of delayed discharges between 2021-22 to 2022-23 but has not returned to the pre pandemic phase, the reason for this is the change in the definition and reporting of DTOC. The flow of patient discharges has improved due to increased capacity within domiciliary care and enablement service where by those with less complex needs

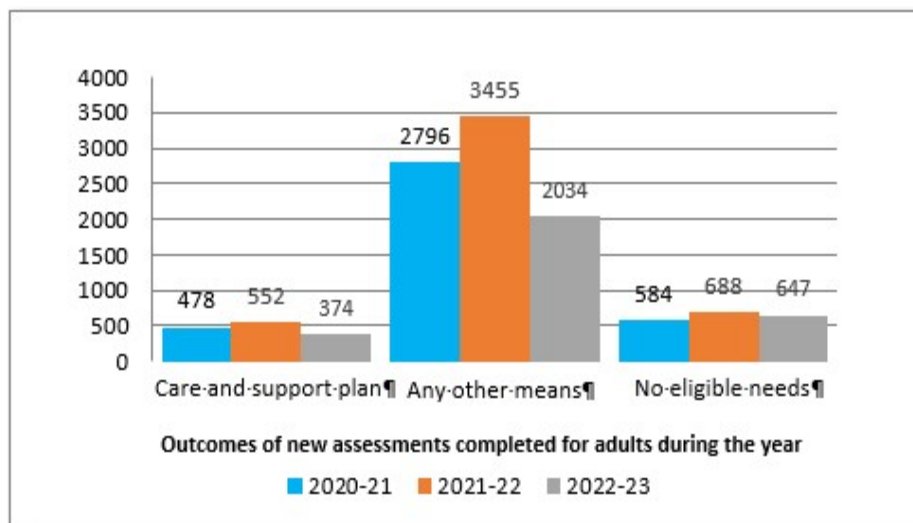


discharges are able to progress quickly due to availability of support. The step down beds in Cartref Tregerddan has also supported the flow of discharges for those who require 24hr support whilst recovering from an acute illness. The person is discharged to the step down bed for a period of up to 6 weeks. This has enabled for assessments to take place when the person fully recovered and functionally optimised.



All new adult referrals to the authority are progressed to Porth Gofal Integrated Triage and Assessment service when advice and assistance is required. Porth Gofal is an integrated Triage with Hywel Dda Health Board. The integrated Triage consist of a Senior Social Worker, nurse, Occupational Therapist and Physiotherapist who will undertake a holistic

proportionate assessment with a focus on Prevention, early intervention reducing escalation of need for long term statutory care and support.



- Any other means relates to the other national outcomes for assessment that are not for a care and support plan or no eligible needs.
- There are no care and support needs to meet. = There were no eligible needs to meet
- Needs can be met through the provision of information, advice, and assistance. = Needs were able to be met by any other means.
- Needs, can be met, through

the provision of preventative services. = Needs were able to be met by any other means.

- Needs, can be met, wholly or in part by the individuals themselves (with or without the assistance of others). = Needs were able to be met by any other means.
- Other matters can contribute to the achievement of the personal outcomes, or otherwise meet the needs. = Needs were able to be met by any other means.
- Needs can only be met through a care and support plan, or a support plan (needs are eligible). = Needs were only able to be met with a care and support plan.

Porth Gofal is the integrated decision making hub for Ceredigion that triages and determine the level of need of all cases and the best outcomes for those individuals. Porth Gofal is the heart of service provision that focuses on ensuring that Citizens receive the intervention that is best placed to meet their needs or where else to guide them to early help or specialist services.

**Porth Gofal aims:**

- Adults to remain in their own communities and in their homes, maximising their independence and improving their health outcomes and quality of life.

**What Porth Gofal provides:**

- A responsive service to Citizens living in Ceredigion.
- Applies a Strength based needs assessment focusing on service user choice and control using the Signs of Safety framework.
- A reduction in the time Social Care professionals spend in determining eligibility for statutory services.
- Legislatively compliant service that meets the statutory requirements of the SSWBA.
- A safe service that identifies vulnerable and at risk Citizens, that responds effectively.

**What Porth Gofal achieves:**

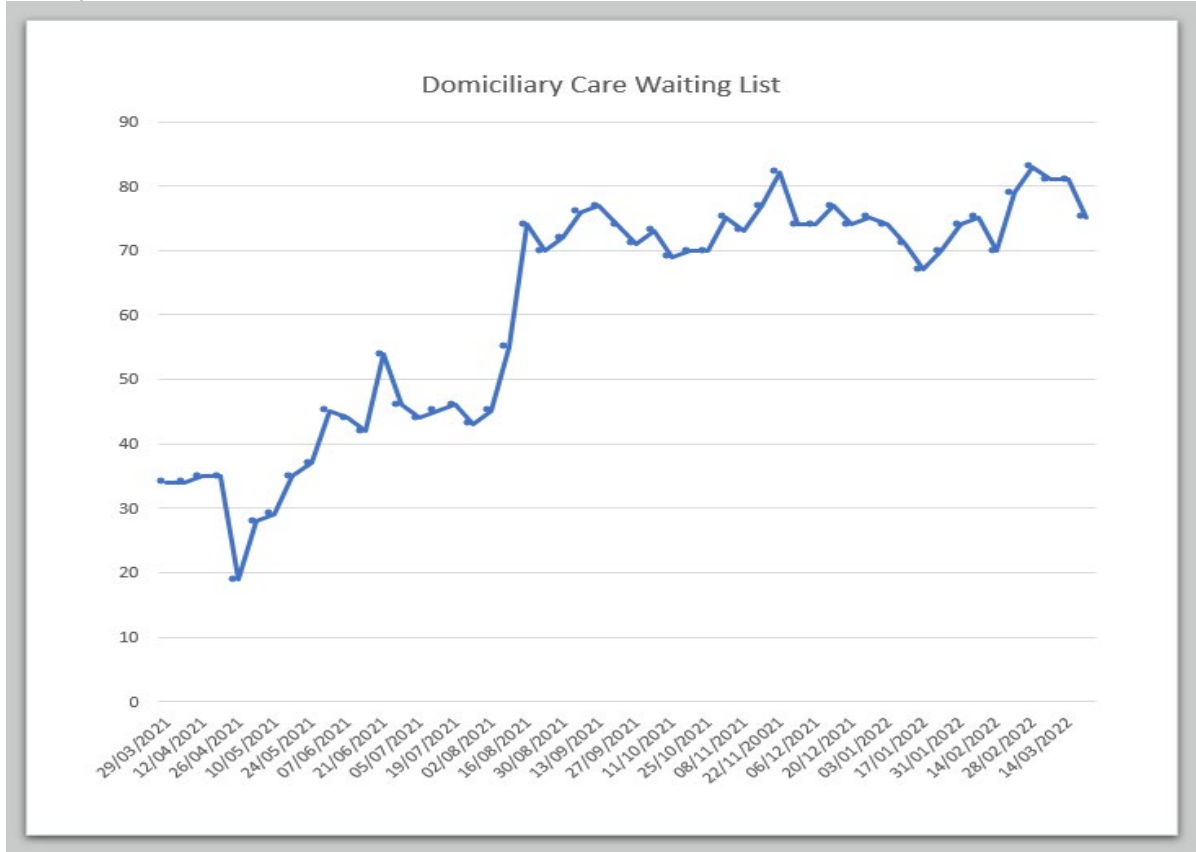
- Provides information, advice and assistance about community health and social care services for adults that improves the connection between people and their communities.
- Encourages a balanced approach to the assessment of need ensuring that citizens are at the centre of conversations, decisions and the “what matters” conversation takes place.
- Multidisciplinary triaging of referrals to identify the right professional to respond e.g. Physiotherapist, Occupational Therapist or Social Care Workers to ensure right response at the right time.
- Provide more consistent, co-ordinated assessment for care and support.
- Improve the flow of information between services, resulting in faster decisions being made about people’s needs and support.
- Reduces hospital admissions by providing rapid wrap around re-ablement response service.
- Provides an in-reach service to reduce delayed transfers of care by providing timely discharges from hospital.
- A commitment to integrated working with a focus on positive rehabilitation outcomes for the citizens is essential.

People continue to receive specialist advice at the point of receipt of referral, the signs of safety model is used as part of the conversations with individuals with a focus of building on the persons strengths and resilience. Through the process of completing a proportionate assessment information and advice is provided and discussions around rehabilitation as Porth Gofal works in close collaboration with Therapies. This has led to many referrals being able to be closed following a proportionate assessment due to IAA being provided, referrals to 3<sup>rd</sup> sector or de-escalated for therapy support for rehabilitation. For those who appear to have more complex needs a social care assessment is undertaken whereby a worker will undertake a comprehensive assessment. Following this assessment, the outcomes may be the same that following preventative support such as enablement the person may have regained their independence and will not require a care and support plan and the provision of a long-term service.

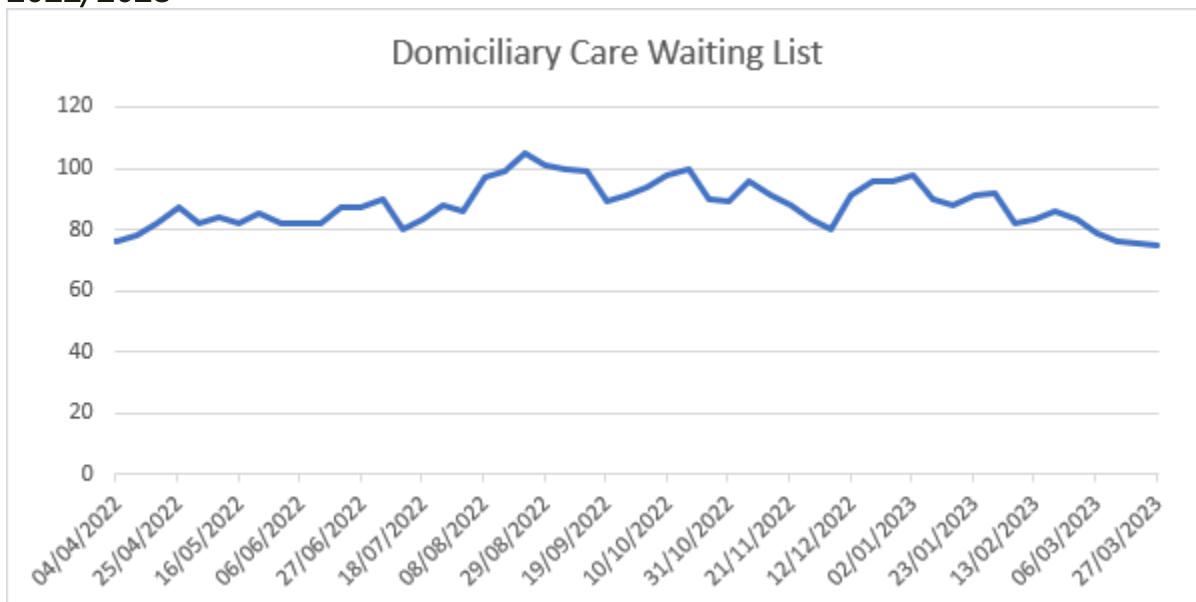
**Provision of Domiciliary Care**

During the period 2022-04-04 to 2023-03-27 the number of people waiting for domiciliary care fluctuated between a low of 70 and a high of 105.

**2021/2022**



**2022/2023**

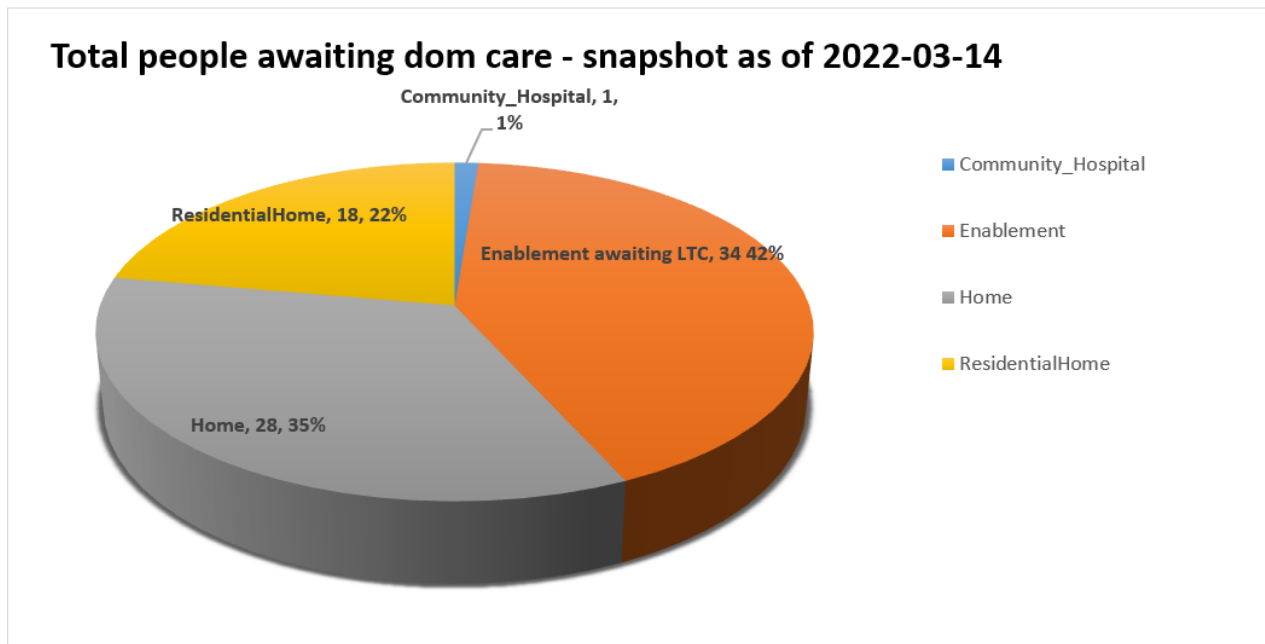


Providers reported that recruiting new staff continues to remain steady, unfortunately they are still losing some staff at a similar rate. The net staff loss/gain across the providers overall was often a negative figure. Staff were noting various reasons for leaving the service one of the highest being unable to maintain the cost of running a vehicle; followed closely by low pay; not suited to care work (physical/mental health impact), unaffordable childcare expenses and the impact of Covid 19.

Discussions in the regular providers/CCC meetings and the informal drop in continue discussions that took place over the summer, including all concerns and queries raised, were shared, and discussed at highest level including the Chief Executive. Providers were reassured that their voices were being heard at the highest levels.

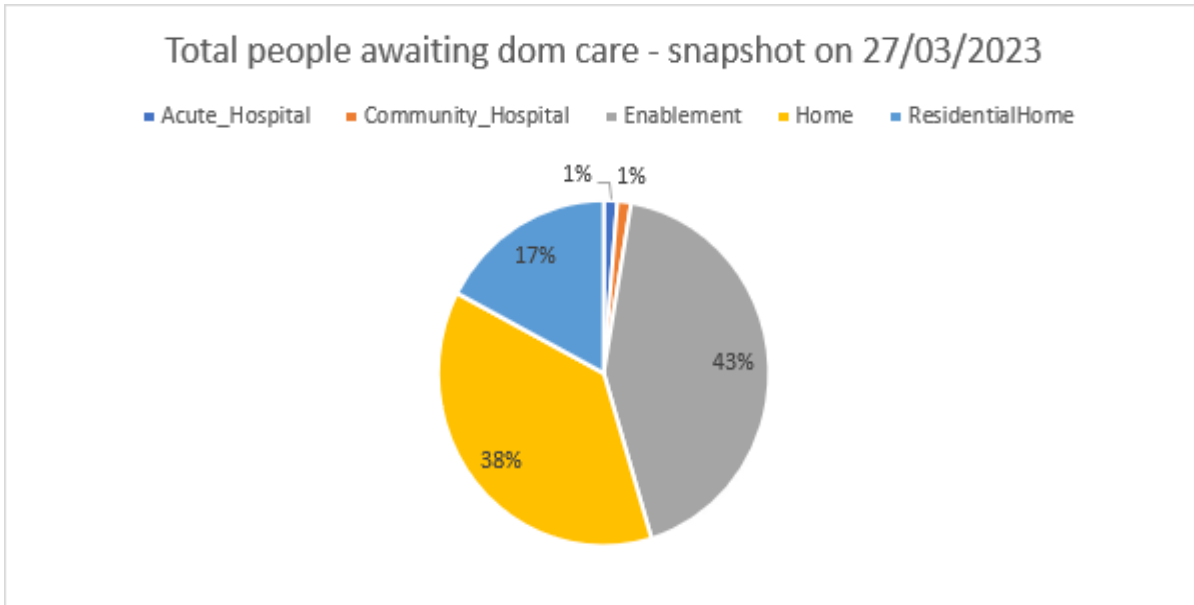
**2022 snapshot** of total Number of people in receipt of domiciliary care shown in graph below:

The total number of people in receipt of domiciliary care showed a decline in the period between March 2021 and March 2022 and remained static in the second half of the year at around 277

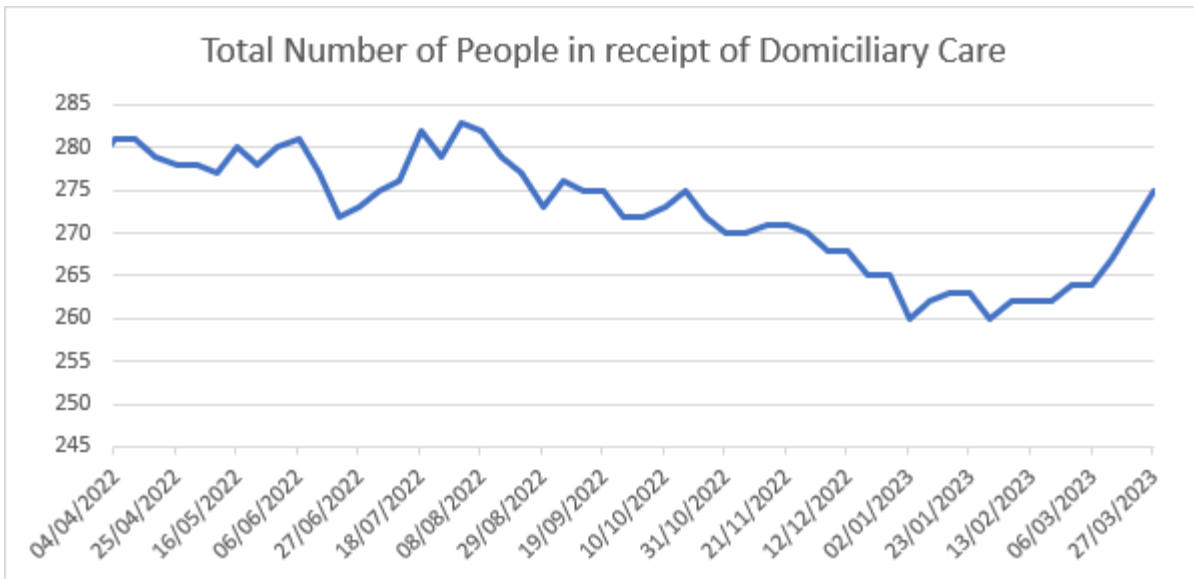


**2023 snapshot** of total Number of people in receipt of domiciliary care shown in graph below:

The total number of people in receipt of domiciliary care remained static at approx. 277 in the period between March 2022 and Dec 2022 and dropped to an average of 265 in the last quarter of the year.



2022/2023



	Total hours of home care purchased from independent sector	Individuals in receipt of commissioned care
2017/2018	239470.73	551
2018/2019	241300.18	571
2019/2020	234499.18	540
2020/2021	209780.61	487
2021/2022	192088.00	278
2022/2023	187068.4	275

**Enablement Team 2022/2023**

2022/23	Total referrals	enablement	Long Term	Closed	Started
Apr-22	60	41	19	15	45
May-22	43	28	15	18	25
Jun-22	40	29	11	18	22
Jul-22	54	41	13	26	28
Aug-22	57	36	21	34	23
Sep-22	35	20	15	6	29
Oct-22	48	33	15	18	30
Nov-22	33	22	11	12	21
Dec-22	27	19	8	16	11
Jan-23	42	28	14	16	26
Feb-23	52	42	10	33	19
Mar-23	23	27	6	4	19
<b>TOTAL</b>	<b>514</b>	<b>366</b>	<b>158</b>	<b>216</b>	<b>298</b>

We continue to enjoy good working relationships with providers which gives us a good basis on which to build, allowing us to work closely with the market through the peaks and troughs. Providers continue to feedback that their regular meetings with Ceredigion County Council are beneficial and informative. Providers can raise important issue and trends can be identified and escalated when necessary, ensuring their voices are heard regionally.

We have several remote, isolated areas in which it is very difficult to procure care. In order to facilitate the release of pressure in certain areas and to aide hospital discharges we continue to utilize our in-house Enablement team to support with domiciliary care bridging long term cases and discharges.

As of 27/03/2023, 12 commissioned providers were delivering around 3943.88 hours of care every week. CCC in house enablement were supporting 36 people with long term care needs.

Our domiciliary care providers have generally been able to work together to ‘patch’ their cover to parts of the county. Several of our providers offer care services to Pembrokeshire, Carmarthenshire and Powys and can fill the gaps in their rotas across county lines.

## Children and Families Services

Across the Through Age Wellbeing Service, we have continued to work collaboratively with the Schools Service and partner agencies to support vulnerable children and their families. Our aim has been to intervene and provide early help at the first opportunity. We have identified increased complexity of needs in the aftermath of the pandemic and the impact of the cost-of-living crisis on vulnerable families.

The number of children recorded on Ceredigion Child Protection Register has risen steadily during 2022-23 and stood at 52 children at the end of the year. This is an increase on the end of year figure for 2021-22 when there were 45 names recorded. Post pandemic society is once again more open and we have had greater visibility of and access to children, but also the pressure placed on families during that period continues to take its toll. The most frequent categories of risk identified were domestic abuse, parental mental health and substance abuse and emotional / psychological harm.

The number of Ceredigion Looked After Children increased to 132 children by 31 March 2023 compared to 101 at the end of the last year. The increase is being closely monitored to ensure we continue to work with the whole family as a means of achieving re-unification safely wherever possible. For those children who cannot safely be at home with their family we endeavour to support and guide them as responsible corporate parenting.

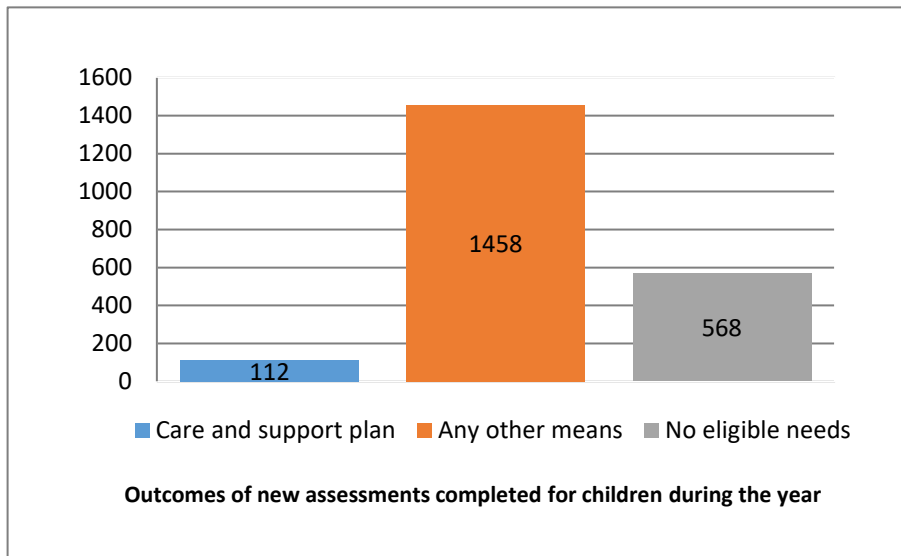
During the year 2022-23 we have had an increase in the number of unaccompanied asylum seeking children referred to Ceredigion through the National Transfer Scheme, which has contributed to the sharp increase in children in our care.

A lack of suitable placements for looked after children has once again been a consistent theme locally and across Wales. We aim to reduce our reliance on ‘for profit’ provision by focusing on good quality, cost effective local options. We have commenced work to expand and develop our own internal placement and support resources to ensure that children and young people remain in Ceredigion and close to their family, school, and home community,

We are developing residential care provision, supported lodgings and stepping up our recruitment of local foster carers.

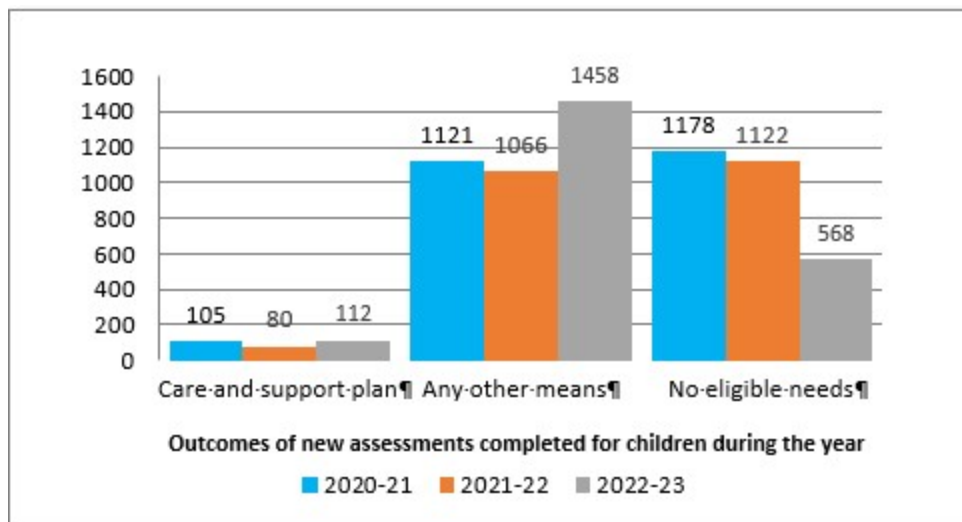
As ever our workforce and foster carers have come forward and offered exemplary support to children and their families over and above our expectation, for which we are extremely grateful.

### Outcome of Assessments



There have been 2,138 assessments completed in the last year, the vast majority requiring advise and assistance rather than any formal Care and Support Plan. Ceredigion Council has developed a Proportional Assessment, this allows us to use one form for enquiries that might be resolved by advice however if through a conversation it is identified that support for a family is required then this decision can be recorded. The

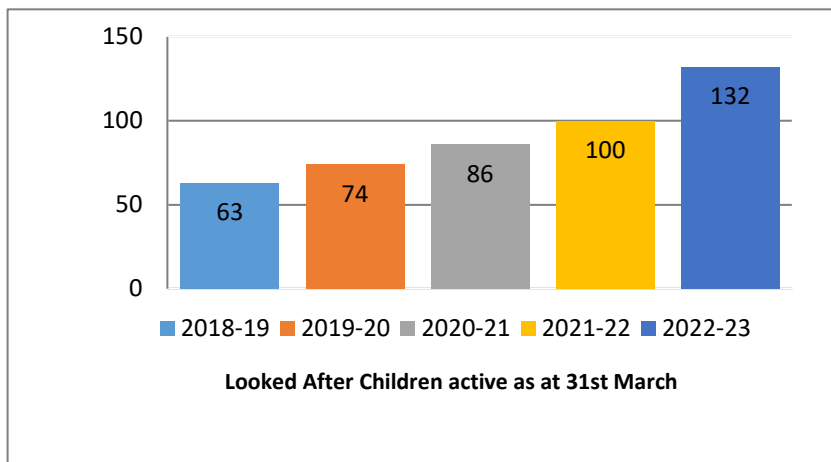
information then can be used to support a fuller assessment of a child’s needs without families having to repeat information that they have provided.



There is clear evidence of increased demand and alongside this an increase in complexity. This is not necessarily reflected in the chart however the number of new assessment where no eligible needs were identified has halved compared to previous years.

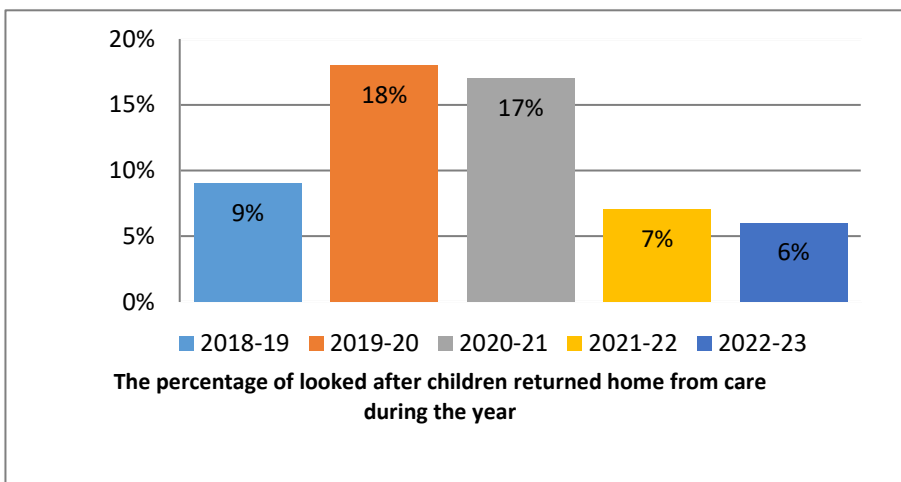


**Looked After Children**



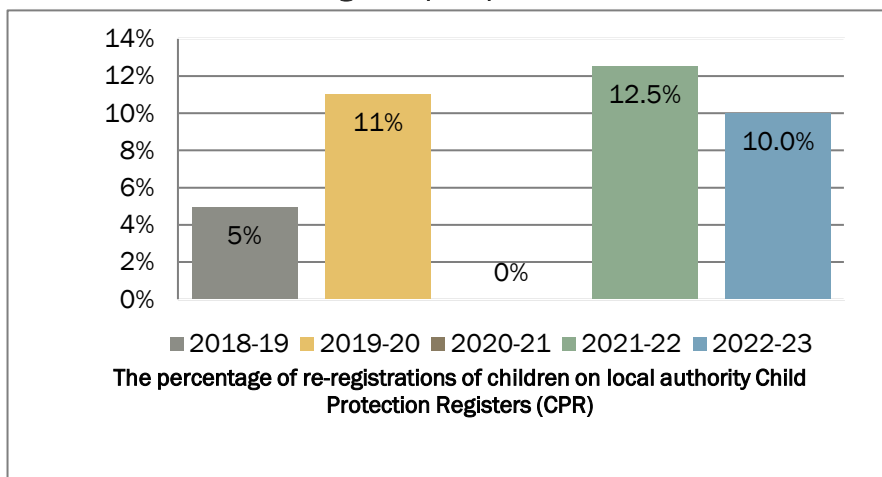
The number of Children Looked After continues to increase and in addition to our children from Ceredigion we are now part of the national transfer scheme for UASC. The increased numbers means many of our children live outside Ceredigion. This is due to placements being limited within Ceredigion and no residential placements within the county. The geography of Ceredigion often means that even with children in

neighbouring local authorities they still remain close enough to attend their school and be part of their community. There has been work on discharging care orders as a number of children are placed with family members and are thriving so we can confidently discharge care orders.



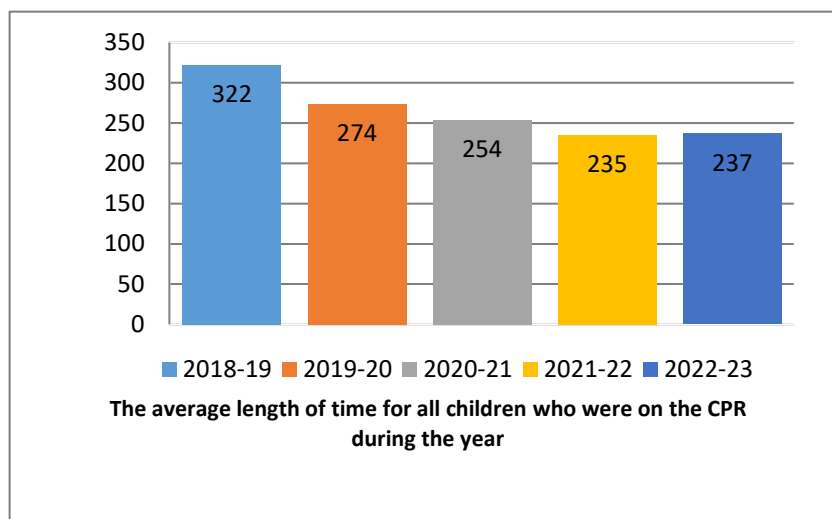
The percentage of children returned home remains low, this is explained by a number of factors from the decision making to bring children into care being the correct one. To the complexity around parents needs and that in order to establish permanency for children, the timeframe around parents making required changes does not fit the child’s needs.

### The Child Protection Register (CPR)



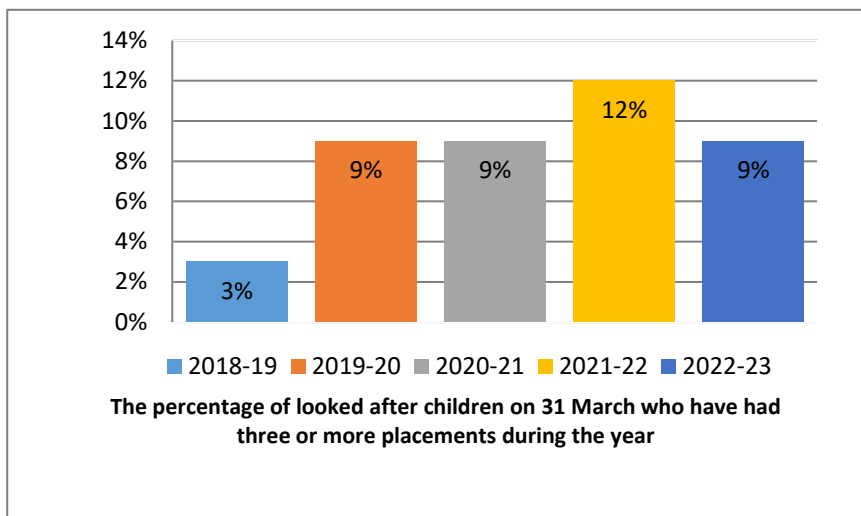
There has been a slight decrease from 12.5% in 20-21 to 10.0% in 22-23 in relation to the re-registration of children on the local authority’s Child Protection Register. Since COVID restrictions were more fully lifted in the 2021-22 period, and children/young people were returning to education and outside agencies and had more contact with children/young people, the

high percentage of re-registrations occurred and there were specifically larger families where a number or all the children within one family were re-registered. There has been a slight decrease in the percentage of re-registrations during 22-23, but it still remains high and on-going work is being undertaken to address this and to ensure that when children are being removed from the register, that the changes made in and by the family are more sustainable. Also, there is greater access to step down support for children and families, which would prevent the need for re-registration.



During 2022-23 period it was more possible to work with partner agencies to undertake actions with children and families who had been on the register for a longer period, and this has led to the decrease in the length of time children have been on the CPR in relation to 2020-21 but a slight increase from 21-22. However, the complexity of cases and level of overall risk to children being presented is still high and means that children are on the register for longer.

**Looked after children – stability of placements**



The number of children experiencing 3 or more placements remains too high, although a reduction from last year and back to previous years percentage it is an area that requires more work. The limited number of placements combined with placing older children with complex needs often means that a number of placements are required before a child can be found a suitable long term placement.

There is additional training with foster carers in order to equip them with the skills to meet the needs of children and in our matching meetings we identify some of the challenges we are aware of. The demand on placements especially foster placements has increasingly led to fewer offers for even younger children that previously would have automatically been placed in foster care. We are often having to use residential placements and then once there negotiating to find a foster placement. This alongside an emergency placement can then contribute to the figure of 3 placements.

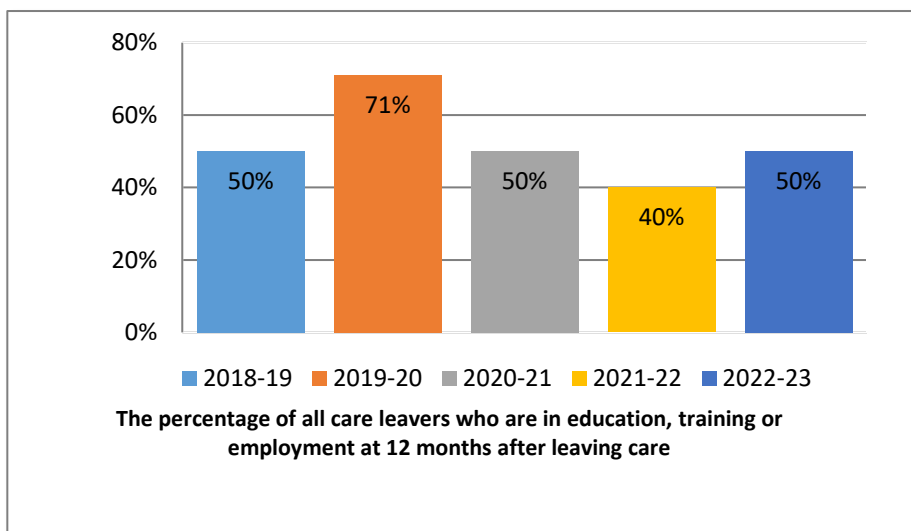
There is a need for more training of staff within residential placements as we have a range of providers and our experience, and the care of children does vary especially in how they respond to challenging behavior. We try to commission providers that are trauma-informed and use restorative approach however the care market is such that demand outstrips provision, so options are extremely limited when coming to identify placements.

The positive for our children is that the majority of Looked After Children have one placement and overall the vast majority of children remain settled in their placements, however the focus still needs to be on those that are unsettled for whatever reason.

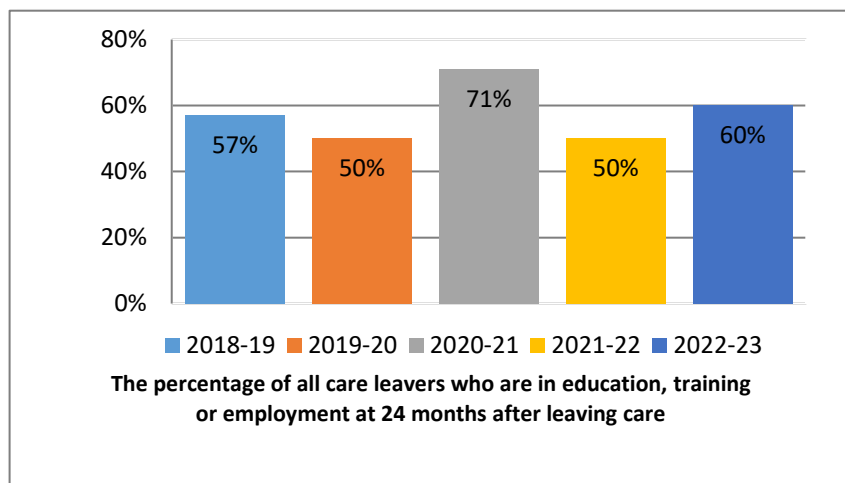
### Young People Leaving Care

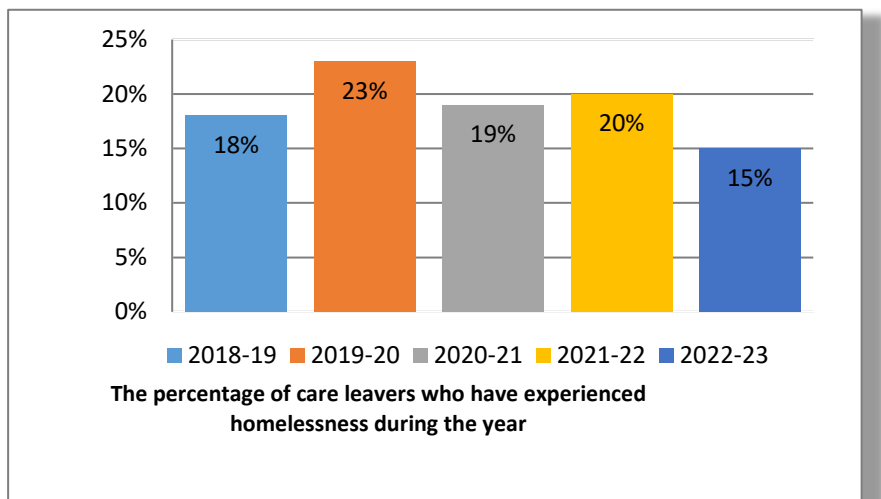
Leaving care is a term used to reference a group of children who are between 16 and 18 yrs. old and have previously been in care but are no longer legally “looked after” by the Local Authority. When children leave care, we still have a duty to support these people until the age of 21, or 25 if they are in full time education or have a disability.

Personal Advisors working with other professionals work hard to ensure that the children leaving care are in education, training or employment. It is important that these young people are able to obtain the skills to take them into adulthood. The challenges for these children are greater than those children from settled and supportive families, who equally face difficulties gaining employment or education.



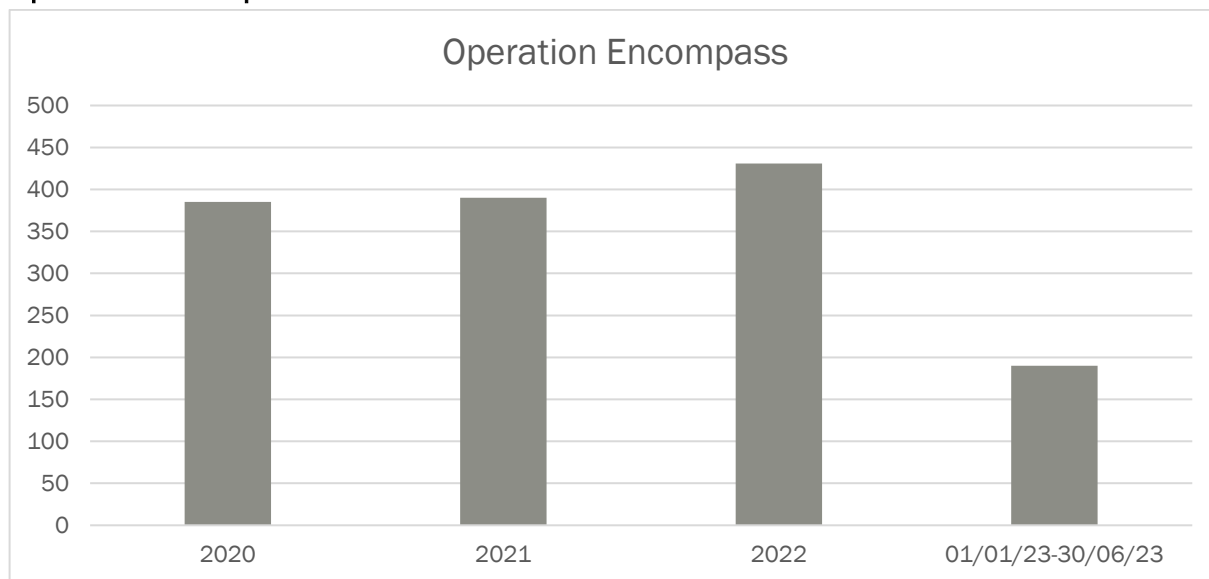
It is pleasing the percentage of young people that remain in education, training or employment. We fund practical support for these young people using the St David’s Day Grant.





Housing provision for all young people is a challenge however more so for our care leavers who often do not have settled supportive parents. There is ongoing work to improve provision for care leavers with our housing service and housing providers. The young people are supported when housing breaks down this can often be due to relationship breakdowns, unemployment and issues beyond the young person’s control. The initiative When I am Ready has provided additional support for young people reaching 18 and being able to live with their foster carers as lodgers until they are ready to transition to independence.

**Operation Encompass**



Operational Encompass became live in Ceredigion in November 2019. It has been working consistently well since its launch, with sharing of information on a daily basis with Schools (or as notifications are received). There have been a few notifications received from time to time regarding families from neighbouring authorities on the border of Ceredigion, however this information is also forwarded accordingly. Since lockdown, the sharing of information changed from telephone calls to emails, and the Information Sharing Protocol was then amended to accommodate this. It is noted however that the full email notification is not shared with schools in its entirety, each report is edited to include only the victim/alleged offender details. Children details, whether or not they were present, time/date and summary of the incident. Schools are fully briefed on the support services available for children who have been exposed to incidents either within their homes, or within their own relationships, these include Spectrum (Hafan Cymru) and West Wales Domestic Abuse Service. To ensure that Schools remain fully sighted on their pupil’s safety and wellbeing, the School’s Safeguarding Service continue to share notifications also throughout the School holidays, therefore is not limited to term time only. The figures within the above table reflect the number of referrals received, which show an annual increase since 2020.

### 3. How Are People Shaping Our Services?

Ceredigion County Council, Through Age Wellbeing Services have continued to work alongside all agencies and individuals to improve and transform our services with their input. We have engaged formally in partnership and through regional arrangements on an organisational level with:

- Hywel Dda University Health Board
- Dyfed Powys Police
- Mid and West Wales Regional Safeguarding Board
- Regional Partnership Board
- National Probation Service
- Care Inspectorate Wales
- Audit Wales
- Public Service Ombudsman Wales
- Social Care Wales
- Association of Director of Social Services Cymru
- Mid and West Wales Adoption Service

On an individual level we have facilitated a number of consultations and reviews to help guide and contribute to our plans to improve services on:

- Domiciliary Care
- Day and Respite Opportunities
- Care Inspectorate Wales Performance Evaluation Inspection
- Child Protection Rapid Review
- Regional Dementia Strategy Action Plan
- Audit Wales Unscheduled Care Review

To ensure participation we have helped people to access consultations by:

- Meeting with people in person with Welsh and English speakers according to need
- Meeting with people virtually
- Speaking to people on the phone
- We facilitated a survey both online and on paper. All surveys were available in Welsh and English as well as in easy read format.
- People sent us extra information such as reports by email
- We put posters around the community at places people visit
- Community Connectors from the Council helped members of the public with the survey

We strongly believe that this approach has promoted voice and control for the Ceredigion community.

During 2022-23 we continued to deliver advocacy services to vulnerable groups and to analyse the outcomes from complaint and compliments about our services.

## Learning Disability Strategy 2018-2023 and Improvement Action Plan

Ceredigion is an active participant in the Regional Lives Improvement Group (RLIP). This group ordinarily alternates bi-monthly between a business meeting and a meeting led and chaired by the Dream Team. The Dream Team is a group of service users, supported by Pembrokeshire Peoples First, who actively support the regional group, particularly with use of Integrated Care Funding.

Services for Disabled Children, Prevention and Transition were inspected by CIW in the 4<sup>th</sup> quarter of 2019-2020. A CIW inspection was held in March 2023 which looked at every team in the Through Age Well-Being model.

### Progress on the Action plan

**Ensure that children and their families can be clear about what support they can access, how and when and where.**

- Some staff have case loads which reflect the TAW model, others are still very much in their adult/child role. Training is being looked at as to how we can support the workforce to develop the necessary skills and knowledge to be confident in working in a TAW way.
- The website for information on disabilities has been started however this is in the very early days it is hoped that this will be an easy guide for people to see where they can go for help support which will include links to the 3<sup>rd</sup> sector.

**Equip and support staff to complete and record good quality assessments and care plans that meet all statutory requirements including the child’s communication needs**

- Monthly staff supervision is in place to quality assure live cases.
- Use of 1-page profiles for children on their WCCIS record.

**Equip and support staff to identify, assess and provide support when required for carers in accordance with statutory requirements.**

- Staff identify carers and offer carers support needs assessment
- Staff training re carers assessments has been completed.
- Staff will record reason for refusal of carers assessment if this is the case.
- The team work closely with the Through age carers and community support team to sign post carers in the right direction.

**Establish the Disability Register in compliance with SSWBA requirements and use it to inform future service development and strategic commissioning.**

- Register is now live and on Ceredigion County Council web site for families to enter their data.
- This will be reviewed on a quarterly basis to identify and inform future service developments and demands.

**Improved service delivery and range of support services available for disabled children and their families in accordance with their needs.**

- There is an ongoing public consultation about short breaks and respite to see what the needs of the service users in Ceredigion are. It is hoped that this will be delivered by the end of the year.



- DASH have been provided with the contract to offer respite weekends to some of the young people identified as in need of this provision. Respite provision has been affected due to shortage in staffing.
- Ceredigion will spot purchase further respite opportunities from DASH once the contracted amount of weekends purchased has come to an end.
- We have employed 2 project workers in the team to enable them to undertake direct work and offer further hands-on support to individuals and families according to their assessed needs.

**The Local Authority and the Health Board work effectively together in the provision of support and review and develop existing commissioning arrangements for disabled children and their families.**

- Service specification is implemented.
- Weekly tracking meeting are held between Extended Support and health colleagues to discuss cases and identify the most suitable person to work with the young person.
- Close working relationships continue with health with plenty of challenge when needed.

**Children and young people can receive greater support for independence.**

- RIF funding has been agreed to develop the use of assistive technology
- Close working with education and Lifelong Learning and Skills to develop a more enhanced package of support for young people who wish to leave school education at the age of 16.

**Develop an effective quality assurance framework, underpinned by effective managerial oversight of its core functions and processes.**

- SOS template and methods are being used in staff supervision.
- QA framework to be developed as an audit tool for managers to undertake random audit checks on cases.
- Managers have had training on supervision skills.
- IPC Programme of support for managers in Extended Support.

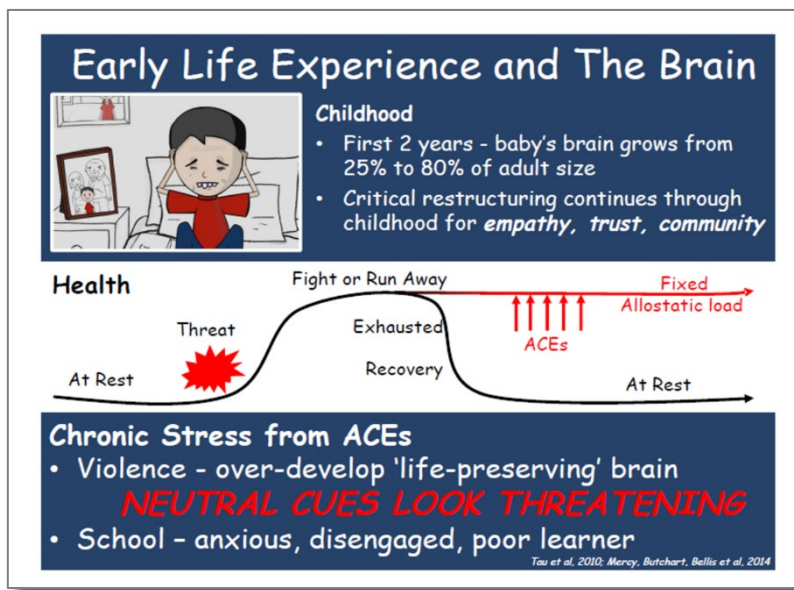
**People’s voice and choice is heard**

- Neurodivergent consultation meetings will be established in Ceredigion – the 1<sup>st</sup> is due to take place in September 2023. The aim of this is to ensure we have the voice of the people when looking at services being offered.
- A children’s group needs to be established to hear the voice of the child.

## Adverse Childhood Experiences

Adverse Childhood Experiences (ACEs) are traumatic events that affect children. These could happen whilst growing up, being abused or living in a household affected by domestic violence, substance misuse, mental illness or criminal problems. Children who suffer ACEs are more likely to develop a range of chronic diseases and suffer with poorer mental well-being.





In the year 2020-2021 training opportunities were offered to staff to ensure that we, in Ceredigion, were able to provide earlier interventions and help our professional care for and support children, young people and their families. This was a follow-on to the 1829 frontline staff who were made Ace aware the previous year following a training needs analysis across services.

Even though COVID-19 had a huge impact on training due to restrictions many staff were trained in ACEs to develop their understanding of the impact of trauma and the effects on

children and young people. Team Teach training (positive behaviour management) was done by many staff as was the STAR programme which covers domestic abuse and respectful relationships. Drawing and Talking therapy training was provided for 13 members of staff to be able to support children, young people and adults who may be suffering from trauma or poor mental health.

Self-Harm and Suicide Awareness was provided due to the nature of referrals being sent in for support for children and young people both in schools and the community.

Other courses included 'Creative Counselling', Trauma Recovery Model, (TRM was developed in a response to the complex needs of children and young people with multiple adverse childhood experiences).

During the year 2022-2023 Team Teach training was delivered to a number of schools both primary and secondary as they were responsible for arranging the training directly with Team Teach. Schools were asked to identify how many staff required Level 1 and Level 2 training and the number was in the region of 460 in March 2023.

A further 11 members of the Support and Prevention staff team received Trauma Recovery Model training in March continuing with the county's commitment to ensuring that staff are ACE aware and are able to respond to the complex needs of those children and young people.

Planned training for May 2022 was provided by Wales Restorative Approaches Partnership (WRAP) for Support and Prevention staff along with the Deputy Head Teacher of one primary and one secondary school in the county as part of a pilot scheme with a view to rolling out WRAP training in the coming year. It will be up to the schools to arrange directly with Wales Restorative Approaches Partnership.

During the year 2022-2023, Team Teach training was delivered to a number of schools both primary and secondary as they were responsible for arranging the training directly with Team Teach. Schools were asked to identify how many staff required Level 1 and Level 2 training and the number was in the region of 460 in March 2023.

During the last six weeks of the summer term funding became available with the view of supporting the staff who required the training to be able to receive it. During that time a total of 46 people which included foster carers, teaching assistants, head teachers, deputy head teachers & care assistants from residential facilities to name but a few, through Support Pathways, Porth Cymorth Cynnar working alongside Schools Service.

The remainder of the funding has meant that a number of training dates have been put onto the internal booking system for school staff to be able to arrange convenient dates for themselves. This will be done directly with the Learning and Development team and Schools Service. The target is for as many schools as possible to ensure their staff have received this training to ensure a consistent approach across the authority.

Due to the initial cohort including those within senior management posts the feedback has been extremely positive and all school staff are now able to book directly on to the any of the multiple dates available themselves.

The Learning and Development team arranged dates for the ‘Introduction to Adverse Childhood Experiences using Virtual Reality’ training. The training is aimed at frontline staff working with members of the community that may have experienced ACE’s. The authority has 14 VR headsets and by the end of July 2023 a total of 41 members had attended the training. (The L&D team will roll out further dates in line with demand.)

In addition to these dates 3 members of the Support and Prevention team complete a day’s ‘Train the Trainer’ and have since trained their teams, Community Youth Work and Preventions team, Youth Work and Engagement team & Support and Attainment team. A further 3 members of the Family & Parenting Support team also attended the ‘Train the Trainer’ day and have since trained their teams.

Two trainers attended the ‘Trauma Informed Communities’ conference which was held in Aberystwyth University and put on a workshop using the headsets there. Head teachers within the county are due to receive the training during September along with Team Managers.

There are also e-learning modules available to all staff within Ceredigion and one of these is ‘Ask and Act’ which is specifically for professionals to help them spot the signs that a child or young person may be experiencing VAWDASV (Violence Against Women, Domestic Abuse and Sexual Violence) , and how to ask & act on any disclosure and report accordingly. To the end of July 2023 190 staff had chosen to complete the e-learning module.

Since the start of this academic year there have been a total of 19 people trained in Team Teach de-escalation techniques. These include members of the Engagement and Attainment Team who work with vulnerable children and young people in schools and in the community, staff from some of the high schools and foster carers. The L&D team have arranged a number of dates for this training to be delivered during the next couple of months and it has been handed over to the schools and relevant departments for people to book themselves on to the course as and when they are able to. Support Pathways, within Porth Cymorth Cynnar, regularly liaise with Schools Service to ensure that the certificates and sent to the relevant people in a timely fashion. One of the largest schools in the county has arranged for twilight sessions for the training due to logistics of people having to drive across the county. Schools have, on the whole, given very positive feedback regarding the trainers.

Last term TAPPAS (Teams Around the Pupil, Parent, and Setting) meetings were piloted with 3 schools and the first meetings have been held this term. The purpose of these meetings is to identify pupils at an early age who are at risk of disengaging from their education, becoming NEET and requiring specific intervention. As a result of utilising the VAP information (Vulnerability Assessment Profile) a number of children and young people have been identified and have been discussed with professionals to ascertain what support could be offered earlier. These meetings will continue on a termly basis and are linked directly to the Welsh Government’s Youth Engagement & Progression Framework (YEPP).

## **National Safeguarding Week November 2022**

Ceredigion’s Operational Group collaborated with the Regional Safeguarding Board Business Unit to deliver a programme of activities to support National Safeguarding Week. Events and communications during the week were centered on particular themes.

A highlight of the week included a launch and celebration of a safeguarding training resource and video animation for professionals, which took place at Parc-y-Scarlets Stadium in Llanelli. The video animation had been created by children and young people from Pembrokeshire, Carmarthenshire, Ceredigion and Powys and was formally launched by the Children’s Commissioner for Wales, Rocio Cifuentes.

During the week, a variety of events including conferences and webinars that raised awareness and highlighted issues that affect children and adults at risk. This included a multi-agency conference on Domestic Abuse that was hosted by Dyfed Powys police, a webinar which revisited some of the themes associated with the Operation Jasmine Review into the neglect of older people in care homes and an event aimed specifically at schools and education staff, to promote the positive emotional health and well-being of children post pandemic. In other webinars, there was emphasis on learning from case reviews with an emphasis on safeguarding children living with Foster Carers, Adopters and Special Guardians, which identified why practitioners and managers must always “think family” and see both the adult and the child.

The regional program was also supported by national events taking place across the whole of Wales. This included the launch of new multi-agency training standards being led by Social Care Wales and an event was held, hosted by the National Independent Safeguarding Board in collaboration with the Violence Prevention Unit on shaping the future of Safeguarding in Wales. Several virtual seminars and workshops took place with attendance from Ceredigion officers throughout the week exploring these topics, complemented by a social media and website campaign.

## **Carer Support and Engagement**

During 2021-2022 as part of the transformation towards the Through Age and Wellbeing model, two small teams, the Carers Unit and Porth y Gymuned merged to become the Carers and Community Support Team. The work to support carers has developed and refined during 2022-23.

This year we produced a Carers and Community Support annual report. The report reflects the breadth of the work undertaken by the Carers and Community Support Team and it’s commissioned partner Gofalwyr Ceredigion Carers along with the positive impact on those receiving services.

At the centre of the team’s work is the provision of high-quality information to users of the service and it is encouraging to see that the numbers of unpaid carers registered on the Carers Information Service and Young Carers Information Service has increased, meaning that more of the county’s unpaid carers have access to information such as the Carers Magazine.

The team has also been pro-active in engaging with Ceredigion communities organising events, drop ins with our Community Connectors and have supporting the Warm Spaces initiatives, again providing up to date information to those attending.

Here is a flavour for how the services has developed during 2022-23:

## PROVIDE INFORMATION, ADVICE AND ASSISTANCE

### What did we do?

- Printed and distributed **4250** magazines across Ceredigion.
- Increased Carers Information Service membership by **14%** to **1888** carers.
- Welsh Government’s Charter for unpaid carers distributed to **100%** of the Carers Information Service.
- Increased the Young Carers Information Service membership by **144%** to **151** young carers.
- **3000** Information for Young Carer booklets distributed to schools across the county.
- Supported Gofalwyr Ceredigion Carers to deliver information advice and guidance to **805** adult carers and provide **2016** hours of replacement care to give carers a break from their caring role.
- Worked with Gofalwyr Ceredigion Carers to support **158** young carers to have a life outside their caring role.

### Public engagement across the county




2022-23 has been the first year, since the Covid pandemic, that the team have been able to arrange and attend public events. In total we have held and attended 96 events across Ceredigion.

- **49** community drop-in events
- **243** people attended community drop-in events
- **24** partner events attended
- **16** themed events organised by the team
- Participated in **7** tackling hardship groups










### Breakdown of Community Connector engagement 2022/23

- **607** enquiry referrals received by Community Connectors through CLIC

The top 3 reasons people contacted the Community Connectors were:

-  Loneliness and isolation (137)
-  Blue badge applications (108)
-  Cost of living related issues (68)



North Ceredigion – 177 referrals	Mid Ceredigion – 220 referrals	South Ceredigion – 210 referrals
 47  21  17	 53  38  21	 49  37  30

- Of the **137** clients who requested support due to loneliness and isolation **117** did not have any family members or friends who they could rely on for support.
- **78** unpaid carers contacted the Community Connectors for support
  - **49** of them were already members of the Carers Information Service before contacting the service and
  - **26** joined the Carers Information Service following contact with the Community Connectors.
- **13** unpaid carers were referred on to Porth Gofal for a carers needs assessment.

## DEVELOP SUSTAINABLE BREAKS FOR CARERS

### Ceredigion Carer Card

- Issued **189** new adult carer cards, an increase of **136%** from the previous year
- Issued **55** new young carer cards, a **500%** increase
- A total of **394** unpaid carers in Ceredigion are using a Ceredigion Carer Card to access free leisure facilities in the county.

### Ceredigion Carers Fund

Carers applied for up to £150 to improve their health and wellbeing.

- **£116,197** awarded
- **591** individual and family applications processed.
- **776** carers benefitted.

### What did carers spend the money on?

1. Short breaks and holidays (179)
2. Therapies and spa sessions (84)
3. Sport, fitness and outdoor activities (67)
4. Clothing (56)
5. Technology (52)
6. Gardening (42)

### Borth Multi Agency Team Multi Agency Team (MAT)

The Carers and Community Support Team have established good contacts and created strong working relationships amongst the MAT members who have been extremely approachable when further support has been required. We have got to know the surgery team well and from a learning perspective we now understand the roles of professionals such as Admiral Nurses, District Nurses, and other Allied Health Professionals. We also have a clearer idea of their involvement in a person’s care, where that person is in their journey both physically and mentally and it informs us in

our work to ensure the best positive outcomes. Any pre-existing barriers between our team and health colleagues have now been removed through participating in this project.

- **150** total number of patients seen by Borth and Tregaron MAT
- **19** patients directly referred to the Carers and Community Support Team
- **9 – 60+**, age range of patients supported

Patient outcomes:

- **58%** supported to join social groups in local area
- **21%** referred onto commissioned carer support service for in depth support
- **16%** supported to access mental health services
- **11%** were supported to access practical support at home from Red Cross and Age Cymru
- **11%** supported to access Citizens Advice Bureau surgeries.
- **5%** supported to access Country Cars for help with transport

### **Expanding social prescribing in Ceredigion**

In January 2023, following the widespread recognition of the Borth Multi Agency Team accomplishments, the GP surgery in Tregaron approached us with a proposal to establish a second, similar team. Currently, the team is in its initial phases, and we hold a positive outlook regarding the potential advantages it will offer to the patients and community of Tregaron throughout 2023 - 2024.

## **Ceredigion Family Support and Early Help Services**

Ceredigion Parenting and Family Support Team consists of –Team Around the Family (TAF), Parenting Support Workers, Family Group Meetings and Flying Start provide early help to the most vulnerable families & children in Ceredigion. These services work with the whole family network rather than focussing on one individual. Where a multi-agency approach is required, TAF can work with the family to identify and address the identified issues, using a strengths based approach to building family resilience.

### **Team Around the Family**

In 2022 - 23 Team Around Family (TAF) completed 192 JAFF assessments, of which 13 had indication of a child with a specific additional learning requirement or disability.

Annually, around 48% (approx. 94) of the requests are re referrals (often years later) when families are reaching a different life stage and considered TAF effective in the previous assistance and ask for our support again.

79 of all referrals received by TAF and Family Support were noted to have concerns with regards to Substance Misuse with a proportion of these also displaying other factors that would contribute to Adverse Childhood Experiences.

The number of requests being processed within five working days has increased to 57% and this reflects the planning and changes that have been implemented in the last year. Allocation meetings are now held on a weekly basis where referrals are discussed and allocated.

## Family Support

Our non-Flying Start Family Support provision consists of a small cohort of Family Worker who assist families by focussing on the provision of parenting support.

This year our Family Support workers received 358 referrals. Of the 358 referral received, 240 received parenting intervention within group settings or as bespoke one to one support packages. 6 families were signposted to more appropriate support and 22 declined support or the invite to attend a parenting programme.

In the year April 2022 – March 2023, approximately 20 evidence-based group parenting programmes were delivered either virtually or face to face throughout Ceredigion. We delivered programmes such as Family Links, Family Links for parents of children with a disability or additional need, Talking Teens, Incredible Years Baby and Incredible Years Toddler.

Other structured parenting programmes were delivered throughout the county including Language and Play, SPACE (Supporting Parents and Children Emotionally), Baby Massage, Blame it on the Brain, GroBrain Baby, GroBrain Toddler and Helping Me, Helping You.

54% of the families who received intervention reported an improvement in their well-being, resilience and parenting skills.

The majority of courses are now being delivered face-to-face-in locations around Ceredigion. Courses such as our ASC (Autism Spectrum Condition) Programme and Online Safety and Gaming Webinar continue to be delivered Virtually, due to their nature. The ASC Programme has weekly ‘guest speakers’ input. These professionals work to support families as part of the ASC assessment pathway and beyond, therefore, thus virtual delivery enables these professionals to take part. Virtual delivery also cuts travelling time, costs and enables any family who needs the support to attend no matter where they reside in Ceredigion. The ASC programme also provides a virtual peer support network for parents who are experiencing similar challenges with their children.

In Spring 2022, staff attended SPACE Training. It is a programme that support parents and children who have experienced trauma in their lives and gives strategies to support them. Since being trained to deliver the programme, four Space Programmes have been delivered in Ceredigion and parents’ feedback has been very positive. One comment stating, *“The course has helped me to off load and get advice from other members of the group and it was really helpful”*.

Family Workers continue to support families on a one-to-one basis and create a bespoke programme of parenting support to suit the needs of the individual family. There are plans in place to hold drop-in sessions in Penparcau Family Centre for families support them with their child’s challenging behaviours hardship, and create a safe space for parents to meet other parents in similar situations.

Family Workers continue to develop their knowledge and skills to support children, young people and their families through identifying gaps in training and thus receiving the relevant training.

Within the service we also have access to a Family Group Meeting Co-ordinator, whose role is to support families within the Early Intervention Hub. There are currently six open cases that are receiving support.



**Flying Start Provision**

The Flying Start Programme was launched in Wales in 2006/7 with the aim of making a decisive difference to the life chances of children under 4 in the areas in which it’s offered. The Flying Start scheme is postcode / LSOA based and delivers the following services to children under 4 and their families/ carers:

1. Quality part-time fully funded childcare (12.5 hours p/w) for 2-3 year olds
2. Enhanced Health Visiting
3. Access to parenting services
4. Speech, Language and Communication support.

During 22/23, we expanded the full Flying Start provision to the Penparc 1 LSOA (Llechryd area) and the take up of the offer has been positive and steady. During 22/23 permission was given by Welsh Government for us to expand to new postcodes in existing Flying Start LSOA’s in order that all postcodes in those LSOAs are Flying Start eligible. This has increased the number of children eligible for Flying Start services by 117.

Planning for additional expansion of the childcare element of Flying Start was also progressed during the year with new LSOAs being brought into this aspect of the programme in 23/24.

Flying start services were delivered from the Integrated Children’s Centres in Aberystwyth and Cardigan and were the bases for multi-agency staff.

**Maternity and Early Years Integration pathfinder pilot**

Our Maternity and Early Years Integration pathfinder pilot progressed well during 2022-2023 with provision in 5 areas of the county, linked in the main to third sector family centres. This is a place based approach targeted at supporting 0-7 year olds and their families. The support is similar to that provided by Flying Start, however, there is no funded childcare element. The approach brings together professionals from a variety of disciplines to form virtual teams to support families in their localities.

As part of the pathfinder pilot programme The West Wales Maternity and Early Years Strategy was written and consulted upon in the Hywel Dda region. The strategy which seeks to promote integration will be launched in 23/24.

**Penparcau Family Centre**

Penparcau Family Centre has been well utilised in 22/23. Activities included 6 after school activity sessions spread out over 2 months for children aged between 4 and 11 (primary school age). These activities were arranged following feedback received from families stating that they would like activities arranged for their older children. The sessions were well attended (on average 8 families attended). We also arranged Festive Craft Sessions that were open for parents to attend, these took place during December. They were unstructured sessions, cooking and craft activities were available if parents wanted to take part, or they could attend as a way of meeting other parents. These were also well attended and feedback was very positive.

Many parenting programmes took place in the Family Centre, for parents of children between the ages 0 to teenagers. These included Stori a Sbri, Family Links Nurture Programme and Additional Needs or Disability Family Links, Blame it on the Brain, Talking Teens and Space.

We have also supported partner organisation within the local authority and third sector by facilitating meetings in the Family Centre. These organisations included LAC Contact Team, Education Tutoring Services, Family Group Meetings and West Wales Domestic Abuse Service.

## Ceredigion Support and Prevention Services

The Support and Prevention Service is made up of multi-disciplined teams, with the overall aim of providing child, youth, and family-led approaches to enable children, young people, families, and wider communities to be empowered, to achieve, to develop personally, emotionally, socially and be the best that they can be. The United Nations Convention on the Rights of the Child (UNCRC) and Signs of Safety underpin everything that we do. Our teams provide universal and focused support that include:

- **Youth Work and Engagement;** Youth work in schools, education progression, accredited learning, and participation

School based Youth Workers engage with young people aged 11 – 18 both in universal and focussed contexts. Youth Workers strive to build and maintain meaningful relationships with all school pupils; that include referred pupils who are deemed at risk of disengagement from mainstream education, due to one or a host of reasons.

Youth Workers form relationships based on voluntary engagement. Through participation with individuals, Youth Workers can design a tailored plan that offer support in the form of personal, social, emotional, and behavioural needs of the individual. This can be delivered both within and outside the school environment and be both targeted and universal.

- **Support and Attainment;** Primary / secondary mentoring, transition, emotional wellbeing, nurture, and outreach

The Children and Young People’s Skills (CYP) Mentors support children and young people who may show challenging behaviour because of their social and emotional experiences. Mentors provide support for children and young people in Primary and Secondary Schools, and other education settings.

Mentors promote a holistic and strengths-based approach to better understand the deeper reasons as to why children are finding their current environment challenging in both focussed one-to-one and small group-based settings. This is to help manage their emotions, channelling their energy positively by focussing on attainment, both educationally and personally.

- **Community Youth Work and Prevention;** 16-24 support, community outreach, youth centres, focussed and universal provisions

Our Community Youth Work and Prevention team provide targeted and universal interventions with the aim of tackling and alleviating potential risk factors or underlying issues such as family, social, individual, educational, or mental and emotional health related issues, that may arise that put

them at an increased risk of offending and re-offending, but also preventing them from needing further statutory intervention such as professional mental health services, further medical intervention and even housing support as an example.

Provisions range from outreach, mobile and detached activities, youth centres and clubs, and collaborative targeted programmes and projects.

- **Support Pathways;** Through-age interventions, allocations, screening, quality assurance, data and performance analysis, resource support

The Support Pathways team is the gateway for all referrals to Porth Cymorth Cynnar and its services whether they are received from Clic or triaged by Porth Gofal. The team provides direct support to each service within Porth Cymorth Cynnar to identify, allocate, monitor, and evaluate interventions or support.

The team supports the ‘step up and step down’ protocols by working with Porth Cynnal and Porth Gofal to ensure timely and effective support for children/young people, adults and for families/carers.

The team also helps oversee the data and quality assurance processes of Porth Cymorth Cynnar services, ensuring that we can meet the needs of citizens as efficiently and effectively as possible.

#### Service snapshot 2022/23:

- **627** children and young people were open to support,
- An average of **150** pupils received weekly support via school-based youth worker,
- Skills’ Mentors supported an average of **160** pupils each week,
- **23** primary-aged pupils received weekly 1:1 support with a further **20** accessing weekly community-based nurture programmes,
- **154** interventions closed to Mentor support due to positive outcome ie., re-integration, signposting,
- **170** pupils identified as at risk of disengagement/ exclusion engaged in weekly targeted projects such as Pathways, Phoenix Course, Tonic Surf etc.
- **62** pupils have been escalated to PCC Strategic Panel for Step-up/ statutory service escalation due to complexity
- **32** vulnerable pupils at risk of statutory intervention were monitored weekly
- An average **80** children and young people accessed weekly universal and extra-curricular activities (lunch and after-school clubs), youth clubs and community-based programmes)
- **273** children and young people accessed holiday activity programmes
- **185** young people aged 16-25 supported through inspire or 1:1 support from community youth work team due to factors affecting their route into education, employment, and training (EET) such as substance misuse, mental health, and youth homelessness. **87** organized workshops have been delivered with **68** young people successfully entering ETE with **46** young people reporting an increase in self-efficacy and confidence. Y Fan project promoted positive engagement with rural/hard to reach areas of the service.
- **1** additional members of staff have joined the service with a **97%** retention rate.
- **8** staff members where supported to complete the level 3 youth work qualification, **4** staff members gained support for higher level qualifications with in the service,
- Signs of Safety practice implemented in referrals, allocations, and monitoring processes.

## Care Inspectorate Wales Activity

In January 2023 notification was received from Care Inspectorate Wales (CIW) that a Performance Evaluation Inspection would take place.

An intense evaluation of performance across Adult and Children’s Service from 27 February 2023 to 10 March 2023 took place.

Verbal feedback was provided on 16 March 2023 and the draft written report was received on 6 April 2023. A formal response to the draft report was made by the Local Authority on 21 April 2023. There were no matters that required significant amendment contained in the report as the content reflected closely the verbal feedback.

An Action Plan has now been formulated to respond to the recommended improvements outlined by CIW in the report and to build on the strengths highlighted. The overwhelming majority of the actions were already in progress as the matters identified by CIW were being addressed before the commencement of the inspection.

The Action Plan has been presented to the Healthier Communities Scrutiny Committee and Cabinet.

The CIW report was published on 18 May 2023.

This was the first thematic inspection since the implementation of the Through Age Wellbeing model implementation. The model is innovative and designed to respond to wellbeing to prevent escalation of needs across all life stages.

The inspection explored four domains and made the following observations:

### People – Voice and Control

‘For many people their voices are heard’.

‘People are able to communicate in their preferred language’

### Well-being

‘Safeguarding children and young people is prioritised across the Through Age Wellbeing Model.

### Prevention

‘Senior managers fully understand access to early intervention and prevention is key to maintaining well-being’.

### Partnership and Integration

‘Effective integration and collaboration between professionals is evident across teams’

We are very pleased to have the Through Age Wellbeing model of service delivery recognised as effective by our regulator.

## Complaints and Compliments

### Compliments

A total of **217 compliments** were received from service-users and/or their representatives during this reporting period. This is more than double the number of compliments that were recorded for Social Services during 2021-2022 (104 in total). Some examples of the compliments received are provided below.

Service Area	Compliments received
Porth Cynnal	78
Porth Gofal	139
<b>Total</b>	<b>217</b>

“As ever, I am so very grateful for the excellent way in which you have helped us and continue to provide support. Your efficiency is outstanding and your advice on all matters is friendly, thorough, and very reassuring to me.”  
 – *Mental Health / Wellbeing*

“(Service user) was grateful for the afternoon and enjoyed meeting us all, knowing that the support was there should she need it.” – *Early Intervention*

“Thank you / Diolch from the bottom of our hearts for all of the care and love you showed and gave to X. He was so happy and loved all of you, you gave him the best years of his life.” – *Porth Gofal*

“Thank you for all your help and support during the last few months, my grandmother and the whole family appreciated it.” – *Direct Services*

“The holistic manner that you work with, is outstanding and I so wish that others who are educating themselves in order to work in social care could have some of your insight in how things should be done and be allowed the time and resources to do so. Once again you are an absolutely fantastic social worker and there should be more like you.” – *Mental Wellbeing*

“We are very pleased with the quick response from the OT Service. They were clear in their communication, kept us updated throughout, and have provided valuable support to enable my mum, who is 93, to be much safer and more confident in her own home. This has been hugely beneficial to myself and the rest of the family, as we have been very worried about her. We are very thankful for the help and support.” – *Occupational Therapy Service*

“Thank you for putting forward various options and many thanks for your kind assistance.” – *Integrated Triage & Assessment Service*

## **Complaints Report**

### **Introduction**

This report will refer specifically to all **Social Services compliments and complaints** received during 2022 – 2023. This data will also be included as part of the Council’s Annual Compliments, Complaints and Freedom of Information (FOI) Report for 2022 – 2023, on a corporate level, which will be published later in the year.

The Council has fully implemented the requirements outlined in Welsh Government’s statutory **Social Services Complaints Procedure (Wales) Regulations 2014** and the **Representations Procedure (Wales) Regulations 2014**. These regulations underpin the Council’s own **Social Services Complaints Policy**, which is due to be reviewed during the forthcoming year. The current Policy was approved by the Council’s Cabinet committee on 17<sup>th</sup> March 2020, and predominantly sets out the responsibilities placed upon staff within **Porth Cynnal** and **Porth Gofal** Services, as well as the corporate **Complaints and FOI Team**. This promotes accountability and ensures that effective arrangements are in place to resolve concerns at the earliest opportunity, and if this is not possible, to ensure complaints are managed in accordance with the Council’s statutory obligations.

It is vital that the Social Services complaints process operates in accordance with the principles of the **Social Services and Well-being Act (Wales) 2014**, as well as ensuring that the process is accessible to all, and is fair and transparent.

### **Social Services Complaints Activity**

Every effort is made to resolve complaints pro-actively and in many cases this is successful. In such instances the contact will be recorded as a concern. However, in some cases this is not possible, particularly when the issues being raised are of a serious or complex nature. These instances will be managed in accordance with the afore-mentioned complaints policy and procedures.

The Social Services complaints procedure consists of **two stages**, and Corporate Managers within Social Services (i.e. Porth Cynnal and Porth Gofal) are responsible for managing complaints against their respective service-areas, ensuring that the appropriate level of decision-making and accountability is in place. The Corporate Managers strive to achieve meaningful outcomes as a consequence of complaints and, where necessary, measures will be implemented to ensure lessons are learned and any service improvements are prioritised. The Complaints and FOI Team is independent from Social Services, managed within the Policy, Performance & Public Protection Service, and is responsible for overseeing the administration of the complaints process.

A total of **60 ‘concerns’** were received within the reporting period, with the majority having been resolved satisfactorily without requiring escalation under the formal complaints procedure. However, this report will focus on the **complaints** that were investigated under stages 1 and 2 during the course of the reporting year.

For information, Stage 1 is the only opportunity that is available for Corporate Managers to investigate and/or resolve a complaint. The statutory regulations stipulate that an Independent



Investigating Officer (IIO) must be appointed to conduct investigations at Stage 2 and, in cases involving children, an Independent Person (IP) is also commissioned to oversee the investigation process. Once the Council’s own complaints process has been exhausted, complainants have the right to refer their complaint to the Public Services Ombudsman for Wales (PSOW) if they remain dissatisfied.

**Total number of complaints received in 2022 – 2023**

Service Area	Stage 1	Stage 2	Total
Porth Cynnal	19	6	25
Porth Gofal	12	1	13
	<b>31</b>	<b>7</b>	<b>38</b>

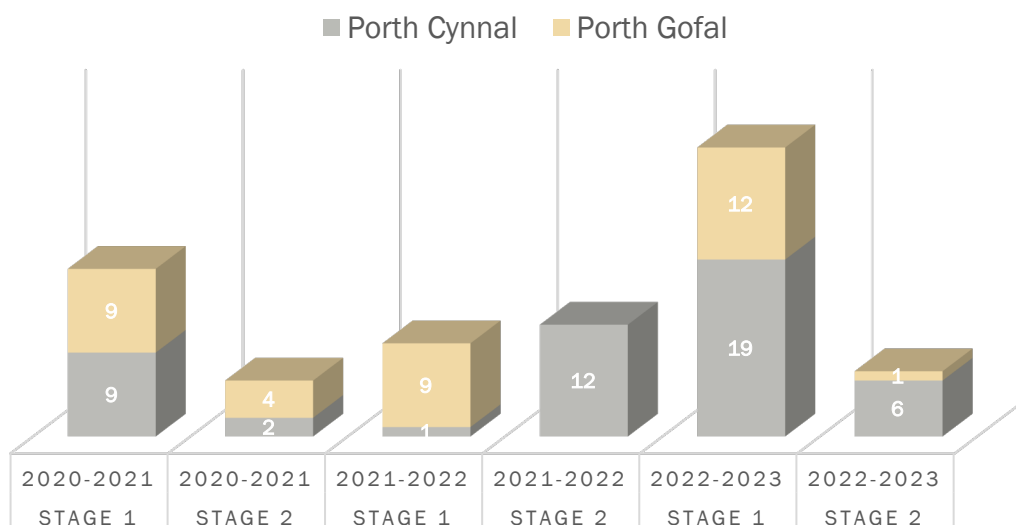
A total of **38 complaints** were received in relation to Social Services in 2022–2023, which demonstrates an increase when comparing these figures to the previous reporting period. During 2021–2022 there were **22** complaints in total which were addressed under the Social Services complaints policy.

Senior staff in Porth Gofal and Porth Cynnal continue to work closely with the Complaints and FOI Team by adopting an early-resolution approach when appropriate and this is proving to be an effective strategy. From the 60 concerns managed pro-actively, only eleven cases subsequently went on to be investigated at Stages 1 and/or 2; this equates to **82% of all concerns having been resolved satisfactorily** in the first instance.

**Comparative data**

Comparative data is provided below with regard to complaints received by Porth Cynnal and Porth Gofal, for the years 2020-2021 and 2021-2022 and the current reporting period – 2022-2023.

**SOCIAL SERVICES COMPLAINTS**



**Complaint Outcomes by Service**

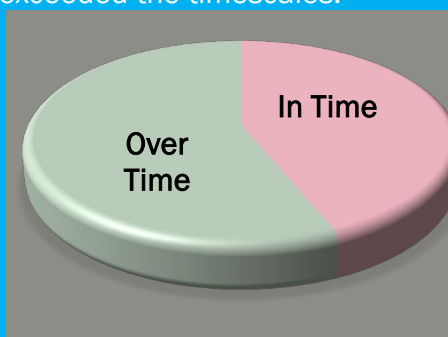
A breakdown of the number of complaints and their outcomes is provided below, in accordance with the relevant service areas:

Porth Cynnal	Not Upheld	Upheld	Ongoing / Suspended / Discontinued
Planned Care (Adults) (3)		1	2
Planned Care (Children) (6)	2	2	2
Safeguarding (Adults) (4)	1		3
Safeguarding (Children) (4)	1		3
Extended Support (Adults) (6)	1		5
Mental Wellbeing (Adults) (2)	2		
<b>Total</b>	<b>7</b>	<b>3</b>	<b>15</b>

Porth Gofal	Not Upheld	Upheld	Ongoing / Suspended / Discontinued
Integrated Triage & Assessment (Adults) (6)	2	1	2
Integrated Triage & Assessment (Children) (3)	1	2	
Targeted Intervention Service (3)			3
Direct Services (1)		1	
<b>Total</b>	<b>3</b>	<b>5</b>	<b>5</b>

**Stage 1 Timescales**

Of the 31 complaints which were recorded at Stage 1, only 16 were concluded (i.e. not suspended, withdrawn or discontinued – this will be explained in more detail in the analysis). 7 of these complaints were closed within the prescribed timescales. The remaining 9 exceeded the timescales.



**Stage 2 Timescales**

Only 5 of the 7 complaints that were recorded at Stage 2, progressed to the independent investigation stage, because two complainants decided to withdraw their complaints. All five of the complaints that were investigated took longer than prescribed timescale of 25-working-days. However, the statutory requirements to obtain written approval from the Director of Social Services was fully complied with, and responses were issued at the earliest opportunity following completion of the investigation.



## **Analysis and Conclusions**

Firstly, closer analysis of the **60 cases** that were initially recorded as ‘concerns’ revealed that **only 11** of these **subsequently escalated to the formal complaints stage**. This predominantly supports the benefits associated with taking a ‘**pro-active resolution**’ approach, where possible. The remaining **49** concerns (82%) were resolved successfully without further action required.

There has clearly been an **increase** in the number of complaints received in relation to Social Services during 2022-2023. Having received **31 Stage 1** complaints in the last year, this is the highest level since 2015-2016, when 32 Stage 1 complaints were received in a single year. There were **fewer Stage 2 investigations** conducted during this reporting period and in terms of outcomes, the ratio of upheld to not upheld complaints was fairly balanced.

However, the most striking factor within this year’s report is that a total of **20 complaints** were not concluded. There are a variety of reasons behind these, which will be explained below.

A ‘complaint’ is usually recorded at the point of receipt when it is deemed to meet the criteria for instigating the policy immediately: i.e. it is not a ‘first time request for a service’ or the issues being raised are felt to be sufficiently serious that intervention at Corporate Manager level is necessary.

There are, however, other factors that need to be considered once a complaint is formally recorded, but before the process can actively commence:

- ensuring appropriate consent is obtained from the service-user (when others raise concerns on their behalf).
- consideration as to whether there are any ‘concurrent investigations’ underway (i.e. if there are any court proceedings or safeguarding investigations that could be compromised by a complaint investigation)
- ascertaining whether the complaints process can be followed at all (e.g. instances whereby the complainant is seeking to overturn a decision made by a Court)

In these instances, the complaint may not be able to progress until the necessary checks are completed and this can occasionally take some time, whilst engagement between the Service and the complainant ensues.

Analysis of the **20 complaints** that were not concluded during the reporting period showed that:

- **3 complaints** were **resolved immediately** following the intervention of the Corporate Manager for the relevant Service.
- Failure to supply the service-user’s **consent** accounted for the discontinuation of **4 complaints**.
- In **5 cases**, the complainant **failed to engage** with the complaints process and the cases were subsequently closed.
- **4 complaints** were **ongoing or escalated to Stage 2** before completion of the Stage 1 complaint.
- **3 cases** were actively **withdrawn** by the complainant’s.
- **1 complaint** was unable to be progressed due to **other investigations** taking priority.

Whilst this is an unprecedented number of complaints that were not concluded within the reporting year, the cases were managed in accordance with the statutory policies and procedures and, in the

interests of openness and transparency these complaints were not removed from the system. Furthermore, all complaints were shared with the relevant service areas and the Corporate Managers responsible in each case sought to ensure that there were no underlying issues that required further intervention or investigation.

Response times at both stages of the complaints process requires improvement, though only one case exceeded the six-month timeframe. Complaints that take longer than the prescribed timescale to resolve is occasionally unavoidable, and the overarching priority is to ensure that complaints are investigated thoroughly, and careful consideration is given to the findings and recommendations which emerge from such investigations.

Porth Cynnal received a higher number of complaints which is largely due to the nature of the services they deliver, and their complexity.

Of the **18 complaints** that were fully investigated, 8 were upheld. Although this is an increase compared with the figures analysed during 2021-2022 (4 complaints upheld), this represents 44% of all complaints investigated, which is still an improvement on the statistics for 2020-2021, whereby 58% were upheld. Further, whilst almost half of all complaints investigated were upheld, acknowledgement must also be given to the number of concerns that were successfully resolved, and the complaints that were withdrawn earlier in the process because of the work undertaken by services to remedy the issues.

### **Themes and Trends**

**Poor communication** remains a consistent factor in most complaints, and, in many cases, these are addressed promptly at service-level to prevent unnecessary escalation. This was evidently the case in respect of the 49 concerns resolved pro-actively, which far exceeds the number of cases that were subsequently investigated under the formal complaints process.

### **Timescales**

As identified in previous reporting periods, improvements need to be made with regard to response times, particularly at Stage 1 of the complaints process. There is a requirement at Stage 1 to offer a ‘discussion’ between the complainant and the relevant Corporate Manager. Therefore, securing the availability of managers remains a challenge, as well as attempting to then co-ordinate their availability with that of the complainant. This will continue to be monitored in future reporting periods.

It has also become increasingly evident during the course of the reporting period that poor complaints handling has become a prominent feature in the failure to process cases expediently. Extensive efforts are being made to ensure better communication between Social Services and the Complaints and FOI Team, but some challenges have arisen as a consequence of increased complaints and FOI activity on a corporate level, as well as in the case of Social Services. This remains an ongoing concern which has been escalated as necessary.

### **Learning Lessons**

In all cases whereby a complaint is deemed to be upheld (either in its entirety or specific elements) it is crucial that recommendations are put in place to learn lessons and prevent any recurrence in the future. Examples of some lessons learned from complaints received during 2022–2023 are summarised below:

- *It was agreed that the Service would commence a weekly log of all communication, which will be shared with the complainant and minutes of meetings will be shared promptly with the relevant parties. This should limit anxiety levels due to lack of communication and delays in receiving documentation from the service.*
- *Relevant staff will ensure that discussions are held with interested parties in advance of formal meetings, so that everybody is aware of the format of the meeting and how they are expected to contribute to this. These discussions will be recorded, and a formal record will be given to all attendees as part of the process. In addition, staff were reminded about the importance of making a brief log of any telephone conversations, in accordance with relevant Council policies.*
- *Completion of assessments / reviews and carer’s assessments to be considered upon receipt of complaints, to ensure that level of care provision adequately meets the needs of the individual.*

### **Complaints referred to the Public Services Ombudsman for Wales (PSOW)**

During 2022–2023 the Council received **eleven** new contacts from the office of the PSOW relating to Social Services complaints. These related to cases within the following services:

- Porth Cynnal (7)
- Porth Gofal (4)

There were a greater number of referrals received from the Ombudsman during 2022-2023, with only 9 having been received in 2021-2022.

Whilst no complaints referred to the PSOW resulted in a formal investigation, there were **eight complaints** that required intervention by the Ombudsman. These complaints were resolved by way of *‘Early Resolution / Voluntary Settlement agreements’* reached with the Ombudsman’s office, the details of which are provided in the table overleaf.

## Cases requiring Ombudsman intervention by way of Early Resolution Agreements

Service(s) & Reference	Summary of Complaint	Agreed Actions
<p>Porth Cynnal; Extended Support and Complaint Handling</p> <p>Case ref: 202200812</p>	<p>Complaint had previously been investigated independently under Stage 2; however, the complainant remained dissatisfied with the outcome.</p> <p>The complainant’s main concerns were that the Service failed to undertake appropriate and necessary assessments to determine her relative’s degree of learning disabilities, and that it failed to consider vital information provided during a telephone consultation.</p>	<p>The Ombudsman advised that the Council should respond to the additional queries raised by the complainant, following the independent investigation at Stage 2.</p>
<p>Porth Cynnal; Safeguarding and Complaint Handling</p> <p>Case Ref: 202201388</p>	<p>Complaint had previously been investigated independently under Stage 2. This process was unnecessarily protracted, and clarification was sought by the complainant regarding information that was included within the independent investigation report.</p> <p>In particular, the complainant wished to receive further information regarding the case law that was referred to, which the Social Worker had based their decision upon when providing care to the complainant’s relative.</p>	<p>The Council agreed to provide additional information surrounding the case law that had been considered by the Social Worker at the time that decisions were made surrounding care provision.</p> <p>In addition, an earlier agreement to award a ‘Time and Trouble’ payment due to the lengthy complaints process, had been overlooked at the point that the formal response was issued. Therefore the Council honoured its earlier decision in this regard, and acknowledged the additional inconvenience caused by having to approach the Ombudsman to obtain the information requested.</p>
<p>Porth Cynnal; Extended Support</p> <p>Case Ref: 202200853</p>	<p>Complaint that the Council had failed to properly implement the terms of an Early Resolution agreement undertaken in September 2020. This included the Council’s failure to fully complete a Carer’s Assessment, and for the continuing uncertainty surrounding the terms and arrangements of Respite Care. The Complainant was also aggrieved that the Council appeared to take an inconsistent approach to Direct Payment uplift.</p>	<p>The Council agreed to follow up on the arrangements previously agreed in relation to conducting a Carer’s Assessment. An Independent Social Worker was commissioned to complete this task.</p> <p>The Council also agreed to write to the complainant within six weeks to provide a full explanation regarding the Council’s approach in respect of providing respite care.</p>

<p>Porth Gofal; Integrated Triage &amp; Assessment and Complaint Handling</p> <p>Case Ref: 202205115</p>	<p>Complaint regarding the Council’s failure to take seriously the concerns raised by the service-user about the care provider that was commissioned to assist her. The Complainant made a complaint directly to the care provider, but their response was incomplete and inaccurate.</p> <p>The Council declined to investigate the complaint because it was satisfied with the care provider’s response and that no further action was needed. However, the Ombudsman disagreed – ruling that the Council did not fulfil its duty to accept the complaint in line with the Social Services Complaints Procedure (Wales) Regulations.</p>	<p>The Council agreed to contact the complainant to obtain her complaint and issue a response which was consistent with the statutory complaints procedure.</p>
<p>Porth Cynnal; Extended Support and Complaint Handling</p> <p>Case Ref: 202206613</p>	<p>Complainant contacted the Ombudsman because the Council had failed to investigate the complaints she had submitted in February 2022.</p>	<p>The Council accepted it had failed to investigate the complaints raised and agreed to commence Stage 1 of the complaints process immediately. An apology was also given for this failure in complaints handling and a redress payment was agreed in acknowledgement of the Time and Trouble the complaint went to in order to have her complaint considered.</p>
<p>Porth Gofal; Integrated Triage &amp; Assessment Service &amp; Complaint Handling</p> <p>Case Ref: 202202005</p>	<p>Complaint that the Council had failed to provide regular and meaningful updates regarding her complaint.</p>	<p>The Council agreed to issue a formal apology and an explanation for the delays she experienced during her complaint. It was also agreed that the formal response would be issued within four weeks of the Ombudsman’s decision, and a payment of £100 would be given in recognition of the time and trouble the complainant went to in making her complaint to the Ombudsman.</p>
<p>Porth Cynnal; Extended Support and Complaint Handling</p> <p>Case Ref: 202107463</p>	<p>Following an independent investigation at Stage 2 of the Social Services Complaint Procedure, the complainant contacted the Ombudsman because the Council had failed to implement the recommendations made by the Independent Investigating Officer.</p> <p>In addition, the Council had failed to inform him that a full safeguarding investigation would not be taking place; though the issues identified during the complaint were considered during a Professional Concerns Meeting, under the All Wales Safeguarding Procedures.</p>	<p>By way of a Voluntary Settlement Agreement, the Ombudsman proposed that the Council and the Support Service that was involved in the original complaint, should meet with the complainant and his son (the service-user) formally to explain the safeguarding decision and to discuss any additional measures that would facilitate future learning.</p> <p>It was also agreed that a direct apology was warranted for the lack of communication following the conclusion of the Stage 2 investigation. The Council agreed with this proposal</p>

		and the necessary actions were undertaken.
<p>Porth Cynnal: Safeguarding Service and Complaint Handling</p> <p>Case Ref: 202107158</p>	<p>Complaint about the Council’s failure to close down a safeguarding case promptly, which had repercussions on the complainant’s ability to resume specific working responsibilities. The Complainant also stated that her complaint was not appropriately addressed once she had brought these matters to the Council’s attention.</p>	<p>The Council accepted full responsibility for the delays the complainant experienced in respect of the safeguarding case, and that this was further compounded by the failure to manage her complaint effectively. Further, the Council accepted it had not fully appreciated the impact that these matters had on the complainant.</p> <p>The Council agreed to provide a corporate apology for the maladministration identified by the Ombudsman and provide financial redress in the sum of £725 in recognition of the injustice that prevented her from returning to her duties within a youth organisation, and for the poor complaints handling – including the time and trouble invested by her, having to pursue her complaint.</p>



## 4. Promoting and Improving the Well-being of Those We Help

The six quality standards used to measure the Local Authority’s performance against the wellbeing outcomes are:

1. Working with people to define and co-produce personal well-being outcomes that people wish to achieve
2. Working with people and partners to protect and promote people’s physical and mental health and emotional well-being
3. Taking steps to protect and safeguard people from abuse, neglect, or harm
4. Encouraging and supporting people to learn, develop and participate in society
5. Supporting people to safely develop and maintain healthy domestic, family, and personal relationships
6. Working with and supporting people to achieve greater economic well-being, have a social life and live in suitable accommodation that meets their needs .

Throughout 2022-23 we have worked to maintain, sustain and develop in each of the Through Age Wellbeing services:

### Porth Cymorth Cynnar

- Wellbeing Centres’ - facilities that enhance the core physical activity and leisure offer with meeting, consultation, and treatment spaces. The Wellbeing Centre will incorporate services that consider and improve the physical, social emotional and mental aspects of an individual’s wellbeing and contribute to them enabling individuals to achieve their full potential.
- Further development and delivery of blended universal and focussed through-age community activities and interventions to enable empowerment, resilience, and independence.
- Worked collaboratively with key stakeholders and voluntary sector organisations to develop a range of services to meet the evolving needs within our communities to support and enable individuals and families in Ceredigion to cope well with the challenges and pressures that they may face.

### Porth Gofal:

- Direct Payments support service has been developed in house and is up and running efficiently
- Domiciliary Care – has been strengthened to recruit and retain new providers to work across Ceredigion
- Fostering – the service is working closely with Foster Wales to support recruitment, retention and training of foster carers
- Day Services Opportunities in dependent review has taken place – the action plan for implementation will be compiled shortly

**Porth Cynnal:**

- Develop preventative and recovery approaches across Porth Cynnal Services and the TAW model and with partner agencies focusing on mental wellbeing, domestic abuse, substance misuse
- Safe Looked After Children Reduction have been implemented
- Safe accommodation for children and local parent and baby accommodation provision is close to completion
- Embed Signs of Safety practice
- Revision to the structure in Mental Wellbeing, Substance Misuse and Safeguarding Quality Assurance has taken place to enhance efficiency.

**Workforce Challenges**

There has been a continued focus on recruitment with several campaigns both internally but also supporting external providers with campaigns.

The challenges of recruiting and retaining key staff specifically Social Workers and Occupational Therapists has been significant throughout 2022 -2023, however it is acknowledged that this is a national recruitment and retention issue and opportunities around regional working have been explored. The Council has a strategy for meeting this challenge including the following approaches:

- Increase number of Social Work traineeships
- Offering qualification opportunities and learning pathways for the current staff
- student placements
- Reviewing job roles and evaluations
- Refreshing advertising - intensive and new campaigns to join Ceredigion
- Use of agency staff where required alongside Ceredigion staff

**Supporting Staff Wellbeing**

We are committed to providing responsive, accessible, and inclusive support to staff:

- Employee Health & Wellbeing Officer
- Employee Assistance Package
- Occupational Health
- Responsive approach including, wellbeing surveys/questionnaires, discussions with managers & teams, streamlined appraisal process, drop in sessions
- Organization wide activity and support including, information on intranet, Wellbeing Wednesdays, Activities, Wellbeing Webinars, Shielding staff
- Dedicated health and wellbeing webinars, regular meetings with Corporate Manager/Registered Managers
- Individual staff support within care homes
- Strengthened the supervision policy



## Ceredigion Local Authority Housing Services

Under Homelessness interventions, in 2022-23, 708 cases were opened where there had been approaches due to households believing to be at risk of homelessness or presenting as homeless on the day. This is slightly lower than the figure recorded for 2021/22 (737).

Of the 708 cases opened 32.6% (231) were provided with advice and assistance and aided to prevent homelessness. This represents a decrease in the number of cases provided with advice and assistance in comparison to 2021/22. However, the number of cases which progressed to full assessment under s62 of the Housing (Wales) Act 2014 was higher than in 2021/22 i.e. 477 cases.

As a result of these assessments, 207 cases were successfully prevented and/or relieved. The total number of prevention outcomes recorded for 2022/23 was higher in comparison to the number of outcomes recorded for 2021/22 i.e. 180 and 142 outcomes respectively. The total number of relief outcomes in 2022/23 was similar to the figure recorded for 2021/22.

The number of clients assisted through financial means including signposting remains steady. There are however many cases where paying off arrears or aiding person to additional benefits is not able to prevent homelessness. This is because there are many non-financial reasons for homelessness, as seen in the table below with the ‘Loss of accommodation’ including no fault evictions being the main reason for approach (cases assessed under s62 of the Housing (Wales) Act 2014). Therefore, the majority of successful prevention outcomes was achieved through the provision of alternative accommodation.

Parent, friend or other relative no longer willing or able to accommodate	21%
Breakdown of relationship with partner	Violent 5% Non-violent 10%
Violence for other reasons	4%
Loss of accommodation, e.g., Landlord served notice	33%
Rent arrears	3%
Current property unaffordable	0.6%
Current property unsuitable (e.g., overcrowding/ medical reasons)	6%
Prison release	5%
In institution/care (e.g. hospital discharge)	2%
Other, inc homeless in emergency, return from abroad, sleeping rough	8%

The Housing Options services continue to work in line with the ‘No one left out’ approach following guidance from Welsh Government, which will be enacted in law in the near future, effectively removing ‘priority need’. Therefore, there are no longer any single persons without vulnerabilities turned away at the interim accommodation duty and full duty stage. This means that Housing Options Service has been experiencing continued high demands for temporary accommodation and the number of households recorded as residing in temporary accommodation at the end of the month fluctuated between 75 and 84 households in 2022/23, with single person households accounting for the highest proportion of households placed in temporary accommodation (63% as at 31/03/2023).

For the year 2022-23 under the adaptations service, 86 Disabled Facilities Grants, 20 Minor Repairs, 61 Safe, Warm and Secure Grants and 650 Rapid Response Adaptions have been delivered.

The availability of contractors to complete adaption works and the increase in material costs, will impact the number of DFG’s the service can deliver going forward.

The development of a new Contractor Framework is currently under way, which will hopefully be available during the next financial year. We anticipate more contractors coming on board with the delivery of adaption works, which will assist to alleviate some of the service delivery pressures.

Under housing register work, for the year 2022-23, 1276 Housing Register Applications were received across all 4 Registers (affordable, general, older persons, accessible)

***What difference has the service made?***

The total number of approaches has slightly decreased however the number of cases progressing to full assessment and requiring more intensive intervention has increased which has been reflected in the higher number of prevention outcomes thus enabled the service to avoid homelessness.

Due to the increasing reliance on temporary accommodation coupled with the lack of affordable accommodation available in the county, the Housing service adopted temporary changes for a short period of time in agreement with partner RSLs to prioritise allocations to social housing to persons with homeless duties and in temporary accommodation. The temporary changes to the Allocation policy assisted the Housing Options team in meeting the demands for temporary accommodation as well as successfully rehousing households in permanent accommodation which contributed to the higher relief success rate for 2022/23.

The landlord guarantee scheme has become operational offering an additional tool to prevent homelessness and facilitate move-on to accommodation in the private sector.

Disabled Facilities and Safe Warm and Secure grants have assisted clients to live independently within their own homes.

A total of 240 applicants secured housing from the Housing Register. 79 (33%) allocations were made to people owed a homeless duty. This percentage has increased slightly following a temporary change to our allocation policy. This enabled applicants in temporary accommodation and/or with a homeless duty, to be offered permanent accommodation above all others on the Housing Register, wherever possible, and supported the early intervention and prevention agenda.

Due to the increasing reliance on temporary accommodation coupled with the increased number of potential homeless cases from both cost of living, and Ukraine refugees, for a short period the Housing service is working with the partner RSL’s to prioritise allocations to social housing to persons with homeless duties and in temporary accommodation.

***How well have we done?***

**Housing - Homelessness**

Total prevention outcomes: 180 (this includes successful prevention, unsuccessful prevention, non-cooperation, assistance refused, withdrawn, and withdrawn due to loss of contact)

Successful prevention outcomes: 124. Therefore 68.9% of households threatened with homelessness were successfully prevented. (Meeting target of 65% and slightly up on last year’s

67.6%). Of the 180 households 25 households (13.9%) withdrew from the service and therefore Housing Options were unable to assist or establish an outcome.

Total relief outcomes: 173 (this includes successful relief, unsuccessful relief, assistance refused, non-cooperation, withdrawn and withdrawn due to loss of contact).

Successful relief outcomes: 83. Therefore 47.9% households were provided with successful relief measures within 56 days. This represents a significant increase in the relief success rate in comparison to 2021/22 which was 33.7%. Of the 173 households 57 households (32.9%) did not achieve a successful outcome within 56 days and therefore progressed to the next stage of the housing options process i.e. s75 investigation. 32 (18.5% of total) clients withdrew from the service.

### **Housing - Adaptations**

During the year 2022-23 a safe home was provided for 817 disabled and vulnerable applicants to remain living independently leading to improved quality of life.

### **Energy Efficiency**

During the year a total of 420 clients received either improvements to their homes through EE initiatives and/or EE advice to improve their financial position and outgoings.

145 ECO4 Flexibility Declarations were issued to eligible households for funding (October 2022 to March 2023), with Air Source Heat Pumps, Solar photovoltaics and the various types of insulation being the main energy efficiency measures installed.

A total of 275 fuel poor households were assisted by the Warm Homes Fund Category 3/LOT 1 – Energy Efficiency and Health Related Solutions project between April 2022 and March 2023, with confirmed benefits (improved financial position) to the households of £250,793.00 (approximately £912 per household).

Ceredigion County Council were the Winners of the Wales Energy Efficiency Regional Awards 2023 and were awarded 3<sup>rd</sup> place at the National Regional Energy Efficiency Awards 2023.

### **Housing – register**

1083 Housing Applications were activated on to the Housing Register enabling consideration for social housing allocations. In addition to this, amendments were made to applications and application renewals ensuring correct and up to date information for our RSL partners.

### **Delivery of affordable housing across all tenure**

The SHG programme is part of a 3-year rolling development programme made up of several funding streams from Welsh Government.

The development programme is based on regularly updated needs analysis of the Housing Registers with the aim of delivering a mix of social and intermediate housing across Ceredigion alongside a partnership with Registered Social Landlords who develop the schemes.

### ***What difference has the objective made?***

The number of Social Rented units being delivered is likely to increase year on year over the next 3 years with a generous SHG budget allocation for the 3-year programme. This will enable Ceredigion

to contribute to Welsh Governments 20,000 Target. Developments are being targeted to help meet the identified local need in the County. The range of affordable tenure options is also being increased to help address the different housing needs within the County.

During this year there was a total 27 Social Housing units delivered by our partner Housing Associations operating within Ceredigion. This is a decrease of recent years as the financial viability of schemes have been challenging due to vastly increased construction costs and contractor availability, all of which are the aftereffects of the pandemic. Moving forward with a £22.7m budget over 3 years there are some large, exciting schemes in the programme which if market conditions allow will mean a record delivery of social housing in Ceredigion for the coming years.

***Contribute towards the development and integration of the Porth Gofal - Early Intervention and wellbeing model:***

The HSG Gateway Service, is ensuring all cases are allocated the appropriate interventions in a timely manner. This has gone from strength to strength and has enabled the service monitor demand and outcomes effectively. This information and working alongside other services within the TAW model will be invaluable as we undertake a full review and recommission all HSG funded services operating within Ceredigion in the coming year.

***Ensure that the accommodation needs of residents are met***

The Housing Service continues to work towards ensuring that the accommodation needs of residents are being met. Throughout the year 397 inspections of licensed Houses in Multiple Occupation were undertaken to ensure safety standards were being met. 211 private rented accommodation enquiries were received resulting in 89 visits to ensure safety standards were being met, and 4 cases of harassment and illegal eviction were investigated.

Lifting of Covid restrictions together with a full complement of staff in the Housing Standards Team has allowed the backlog of HMO inspections that built up during the pandemic to be reduced considerably.

## What are our priorities for next year and why?

This coming year will see the continuation of delivery of services as a Through Age Wellbeing Service model to achieve our five wellbeing objectives:

- Promote positive health and wellbeing and support people to self support
- Strengthen families so that children and young people remain within their families
- Provide proportionate approaches to managed care and support
- Protect individuals and keep them safe from abuse, harm and neglect
- Enable individuals to live independently in their own community

We want to:

- Continue to strengthen our workforce through recruitment, education and training to enhance and strengthen our practice to meet the demands of delivering the wellbeing objectives.
- Implement Day Service Opportunities
- Respite care to children and adults
- Work with Domiciliary Care providers to increase the available provision across the county
- Increase the number of personal assistants to deliver Direct Payment services
- Implement the Action Plan in response to the Regional Dementia Strategy
- Increase the number of inhouse approved foster carers
- Establish children residential placement provision
- Increase the number of carers supported by the Carers and Community Support Service
- Utilise early intervention services to keep children at home
- Reduce the number of children in our care
- Reduce the number of children on the Child Protection Register
- Develop our services to make a Rapid Response to Suicide or at risk of Suicide and their families and friends

## 5. How We Do What We Do

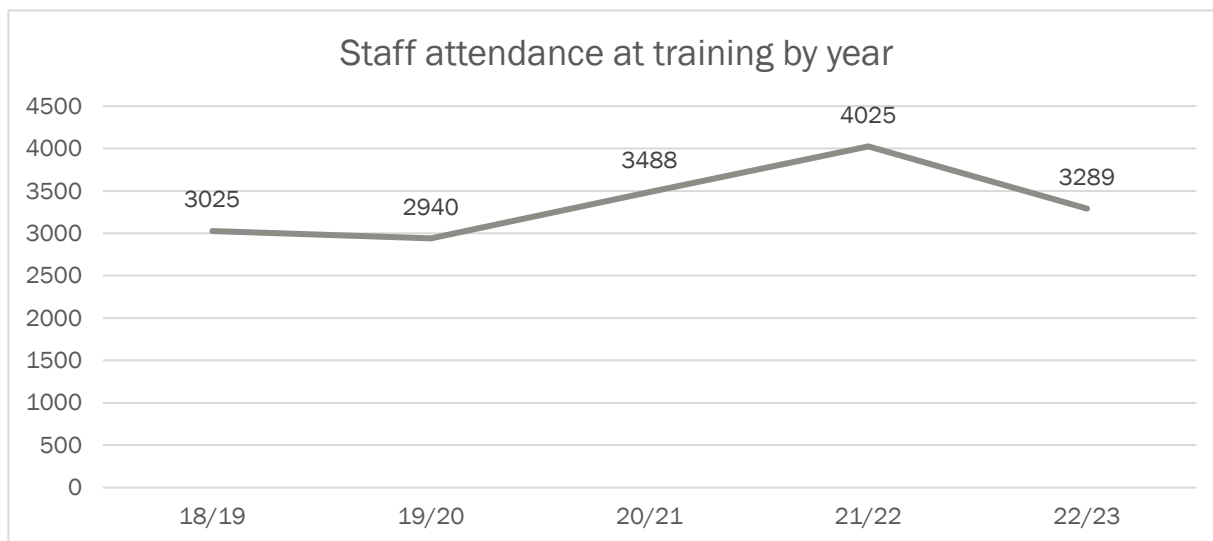
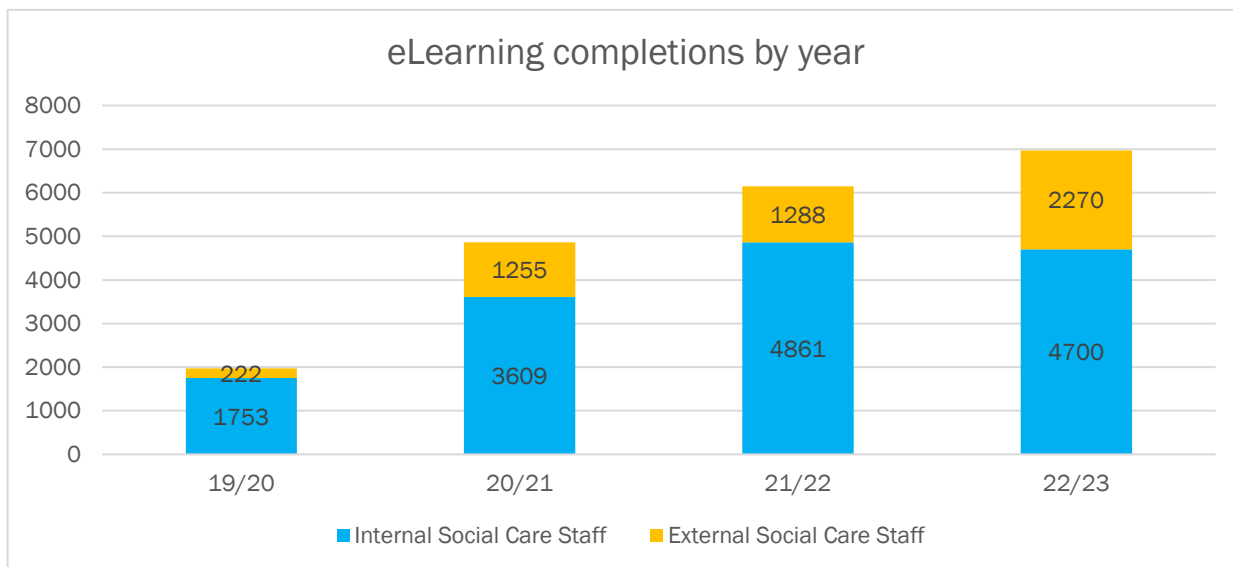
### **How we have supported the professional development of the Social Care Workforce**

The Through Age Wellbeing model continues to be embedded through the provision of a broad range of training which supports the induction, continuous professional development, and regulatory requirements of those involved in service delivery.

An annual training needs analysis is conducted across the social care workforce which asks internal teams and external providers to identify their training needs and priorities for the year. Meetings are also hosted to encourage and support dialogue with external providers, these have proved beneficial in the targeting of resources for example in the commissioning and delivery of Mental Health First Aid training.

A blended approach to training delivery is adopted; trainer facilitated sessions are delivered on-line, face to face sessions are reserved for specific subject areas for example, Manual Handling, Dementia Bus and Autism Reality Experience. In addition, e learning modules on core areas of practice are available across the sector.

Despite national and local recruitment and retention challenges, the workforce has continued to access training and pursue development opportunities. Staff shortages and the pressures of service delivery have seen training attendance decrease slightly this year however, this is mitigated somewhat by the increasing number of e learning completions. The previous years’ investment in a new Learning Management System, Ceredigion Learning Pool, has evidenced return on investment. The bilingual, user-friendly system now offers 31 e learning modules to the sector which cover a variety of subjects including Safeguarding, Autism, Mental Capacity Act, Infection Prevention & Control and Tourette’s Syndrome. Both the development of e learning modules and completion rates continue to increase annually. A bespoke programme of e learning has also been developed and made available to support Personal Assistants including Health and Safety in the Home and First Aid Awareness. The graphs below illustrate the number of e learning completions and training attendance by year:



Social Care Wales Workforce Development Grant (SCWWDP) funding remains core to the provision of training however, rising training costs require increasing prioritisation and focus on mandatory and regulatory requirements. A total of 394 trainer facilitated events have been delivered covering core areas of social care/social work practice and health and safety.

67 internal staff members have been supported to achieve qualifications across a variety of subject areas including Health and Social Care, Social Work, Team Manager Development Programme, Practice Educator Award, Assessing Decision Making and Trusted Assessor, a further 56 staff are continuing to work towards qualifications.

Significant work has been undertaken to support workforce succession planning. On-line information sessions have been delivered to promote careers in social care/social work in addition to the Council’s Trainee Social Worker Scheme. 2 staff qualified as Social Workers in 2022 and a

further 17 are being supported on social work qualifying training including the Certificate of Higher Education in Social Care Practice which consists of the first two modules of the social work degree.

To promote wider awareness of Dementia as well as careers in social care, initiatives have included the offer of the Dementia Bus experience to all county secondary schools, local Further Education College, Carers, Personal Assistants, Elected Members, and the Council’s Senior Leadership Group.

We seek to innovate and continuously develop our training offer and following a successful pilot scheme have now introduced virtual reality into training delivery. Training on Adverse Childhood Experiences and Trauma Informed Practice now incorporates the use of Virtual Reality Headsets and has received exceptional feedback. This offer will be further developed over the coming years.

In support of the ‘Active Offer’, 18 Social care staff have been supported to undertake Welsh Language courses delivered by the Council’s Work Welsh Tutor. The Welsh Language Awareness e learning module has continued to be promoted with the highest number of completions in a year of 258 internal and 94 external social care staff.



Language profile of our Through Age Workforce:

Porth Cymorth Cynnar:

OVERVIEW	No of People	% of People
Non-Welsh speaking	49	20.85%
Welsh Speaking	186	79.15%
<b>TOTAL</b>	<b>235</b>	<b>100%</b>

GAP	No of People	% of People
GAP in ALTE requirements	83	34.87%
Meets ALTE requirements	154	64.71%
<b>TOTAL</b>	<b>235</b>	<b>100%</b>

PERSON - SPEAKING & LISTENING	0	1	2	3	4	5	
No of People	2	15	32	30	66	90	<b>235</b>
% of People	0.85%	6.38%	13.62%	12.77%	28.09%	38.30%	<b>100.00%</b>
PERSON - WRITING	0	1	2	3	4	5	
No of People	6	23	39	43	52	72	<b>235</b>
% of People	2.55%	9.79%	16.60%	18.30%	22.13%	30.64%	<b>100.00%</b>
PERSON - READING	0	1	2	3	4	5	
No of People	4	22	35	45	48	61	<b>235</b>
% of People	1.70%	9.36%	14.89%	19.15%	20.43%	34.47%	<b>100.00%</b>

**Porth Cynnal:**

OVERVIEW	No of People	% of People
Non-Welsh speaking	57	52.78%
Welsh Speaking	51	47.22%
<b>TOTAL</b>	<b>108</b>	<b>100%</b>

GAP	No of People	% of People
GAP in ALTE requirements	57	52.78%
OK	50	46.30%
Unknown	1	0.93%
<b>TOTAL</b>	<b>108</b>	<b>100.00%</b>

PERSON - SPEAKING & LISTENING	0	1	2	3	4	5	
No of People	3	27	27	15	13	23	<b>108</b>
% of People	2.78%	25.00%	25.00%	13.89%	12.04%	21.30%	<b>100.00%</b>
PERSON - WRITING	0	1	2	3	4	5	
No of People	10	31	23	11	13	20	<b>108</b>
% of People	9.26%	28.70%	21.30%	10.19%	12.04%	18.52%	<b>100.00%</b>
PERSON - READING	0	1	2	3	4	5	
No of People	10	27	25	9	16	21	<b>108</b>
% of People	9.26%	25.00%	23.15%	8.33%	14.81%	19.44%	<b>100.00%</b>

**Porth Gofal:**

OVERVIEW	No of People	% of People
Non-Welsh speaking	155	47.84%
Welsh Speaking	169	52.16%
<b>TOTAL</b>	<b>324</b>	<b>100%</b>

GAP	No of People	% of People
GAP in ALTE requirements	165	50.93%
OK	155	47.84%
Unknown	3	0.93%
#MULTIVALUE	1	0.31%
<b>TOTAL</b>	<b>348</b>	<b>100.00%</b>

PERSON - SPEAKING & LISTENING	0	1	2	3	4	5	
No of People	29	73	53	66	34	69	<b>324</b>
% of People	8.95%	22.53%	16.36%	20.37%	10.49%	21.30%	<b>100.00%</b>
PERSON - WRITING	0	1	2	3	4	5	
No of People	64	69	64	54	28	44	<b>324</b>
% of People	19.75%	21.30%	19.75%	16.67%	8.64%	13.58%	<b>100.00%</b>
PERSON - READING	0	1	2	3	4	5	
No of People	56	65	62	45	43	53	<b>324</b>
% of People	17.28%	20.06%	19.14%	13.89%	13.27%	16.36%	<b>100.00%</b>

## Our Financial Resources and How We Plan For the Future -

The Council’s financial settlement from WG for 2022/23 was far better than 2021/22. Overall WG core funding of £119.4m was an 8.9% increase on the previous year, albeit Ceredigion was below the Welsh average of 9.4%.

The Council still had a budget gap due to considerable cost pressures. However, at £1.3m, this was far smaller than in previous years and this was tackled via a corporate approach focussing on Travelling costs, Fees & Charges and Treasury management opportunities. A last minute additional sum from WG in February 2022 through a reopening of the 2021/22 RSG settlement also included a sum of £239k for supporting the Domiciliary Care sector.

With the new Through Age and Wellbeing operating model in place - Porth Gofal, Porth Cynnal and Porth Cymorth Cynnar had a combined 2022/23 Original Budget of £46.7m. This was 28% of the Council’s 2022/23 Original budget of £165.8m (up from 25% in 2021/22). The rising cost of Social Care across the Pyrth Services at c£7.1m was recognised as being a significant part (57%) of the Council’s overall cost pressures of £12.3m for 22/23. Included within the Social Care related cost pressures for 22/23 were:

- The new WG policy to ensure that registered Social Care Workers received the Real Living Wage (£9.90 per hour). This formed a large component of a £2.168m cost for annual inflation uplifts for externally Commissioned Services - which were significant at 8.87% for Domiciliary Care / Supported Living, 9.13% (interim) for Residential Care and 11.15% for Direct Payments.
- The Council invested £857k as a Year 1 pump priming investment in the new staffing structure for the Through Age and Wellbeing model, with a further Year 2 investment of £224k in 23/24 to follow.
- A full external review of Older Persons placement fees was also instigated in January 2022 - undertaken and facilitated by Laing Buisson. This concluded with a further increase on top of the interim 9.13% uplift of between 8.1% and 20.9% across the 4 main fee categories. This resulted in an additional investment of £520k in the sector and the Council’s placement fees being on average the 3<sup>rd</sup> highest in Wales.
- A £513k investment was also made in the Direct Payments sector by increasing the core hourly rate from £11 to £12.50 per hour, prior to the further impact of the Real Living Wage.
- There was also an emerging trend of significant increases in volumes in the Looked after Children area which necessitated a cost pressure of £743k being recognised

The Council’s 2022/23 final performance was an overall breakeven position, with the Council’s overall financial position remaining positive and resilient. The Pyrth TAW services out-turned with an overspend of £1.577m, which mainly stemmed from Porth Cynnal (£1.650m overspend) which is the higher end part of the TAW model.

Adverse trends included higher in county Looked After Children costs (£295k overspend), increased Older Persons Placement costs (£576k higher than budget) and increased Learning Disability placement costs (£1.056m higher than budgets). A growing use of both professional social worker agency staff and Care Home agency staff was being seen, however in 22/23 this was largely contained from savings elsewhere within TAW services eg. Vacant posts / vacancy drag / Day services. Market supplements are also now being paid for certain Social Worker posts, with this currently being funded from reserves (£198k).

At year end, corporately a sum of £1.0m was set aside into the Creating Caring & Healthy Communities corporate wellbeing objective earmarked reserve. This was linked to a Cabinet decision to in-source a private sector Care Home in Aberystwyth during 2023/24.

Looking forward to 2023/24 and beyond, the financial challenge facing the Council and the Pwrth services remains significant both in terms of cost pressures and the ageing population dynamic. The range of cost pressures facing the Council for 23/24 is some £22m in total (£10.9m of which relates to Pwrth TAW services), equating to an inflation rate of over 13%. Factors within these cost pressures include the £1 increase in the Real Living Wage to £10.90 for Registered Care Workers as well as general staff pay award challenges, further investment needed in the Domiciliary Care sector in readiness for a new tender framework and increasing volumes of Looked after Children both in and out of county as well as increasing volumes of Older Person and Learning Disability placements. There remains a considerable recruitment challenge for professional Social Worker and Care Home roles.

In terms of Capital investment, there is a variety of investment going into Pwrth services. This includes repurposing Leisure facilities into Wellbeing Centres, with Lampeter Wellbeing Centre being the first of these to complete early in 23/24. There is also considerable capital investment going into our Local Authority Care Home infrastructure, including a dementia project at our Hafan Deg Care Home as well new initiatives being progressed for 3 new in County Children facilities, the first of which is due to come on stream towards the end of 2023/24.

## **Our Partnership Working, Political and Corporate Leadership, Governance and Accountability**

All services across the Through Age Wellbeing Service work within the legislative, regulatory, policy and guidance framework with partners and stakeholders to ensure our accountability and compliance.

### **Corporate Governance**

- Through Age Wellbeing Programme Board
- Leadership Group
- Healthier Communities Scrutiny Committee
- Overview and Scrutiny Coordination Committee
- Cabinet
- Full Council

### **External Partnerships**

- Welsh Government
- Mid and West Wales Regional Safeguarding Board
- Regional Partnership Board
- National Probation Service
- Care Inspectorate Wales
- Audit Wales
- Public Service Ombudsman Wales
- Social Care Wales

- Association of Director of Social Services Cymru
- Mid and West Wales Adoption Service

**The West Wales Care Partnership**

Section 14A of the Social Services and Wellbeing (Wales) Act requires local authorities and Local Health Boards to produce Area Plans setting out the range and level of services that will be provided in their area in response to regional Population Assessments. These Plans must be produced every 5 years and initial plans must be published by 1 April 2019.



The West Wales Area Plan for 2018-23, ‘Delivering Change Together’, has been agreed by the Regional Partnership Board and endorsed by Carmarthenshire, Ceredigion and Pembrokeshire County Councils and Hywel Dda University Health Board. It includes a series of strategic commitments which the Partnership will take forward over the next five years to support the transformation and integration of care and support in the Region.

**Mid and West Wales Regional Safeguarding Board:**

CYSUR is the Mid and West Wales Regional Safeguarding Children Board.

CYSUR is an acronym for Child and Youth Safeguarding: Unifying the Region and is also the Welsh word for reassurance.

CYSUR is an amalgamation of the former Local Safeguarding Children Boards in Carmarthenshire, Ceredigion, Pembrokeshire, and Powys.

CWMPAS is the Mid and West Wales Regional Safeguarding Adults Board.

CWMPAS is an acronym for Collaborative Working and Maintaining Partnership in Adult Safeguarding and is also the Welsh word for scope or remit.



The CWMPAS remit also stretches across Carmarthenshire, Ceredigion, Pembrokeshire, and Powys

The regional arrangements were established to meet the requirements of the Social Services and Well-being (Wales) Act 2014.

During 2022-23, The Mid and West Wales Safeguarding Board continued to operate in accordance with its statutory obligations. Ceredigion County Council officers participated fully in the Board’s activities both locally and regionally. Developing creative solutions to some of the significant workforce challenges the social care and the public sector workforce is experiencing at a national level has been another key area of the Boards’ work this year, as well as the implementation of key multi-agency policies and protocols.

The Board’s collaborative response to the continuing challenges, alongside our successes and achievements, have continued to demonstrate the paramount importance of the Regional Safeguarding Boards and their work in the safeguarding of children and adults at risk.

## 6. Accessing Further Information and Key Documents

Title	Location
Mid and West Wales Safeguarding Board 2022-2023	 maww-safeguarding-annual-report-2022-23.pdf
Ceredigion CC Carers Unit Annual Report 2021-2022	 Carer's Annual Report 2021-22 (FINAL)
Language Profile of Ceredigion	<a href="https://www.ceredigion.gov.uk/annual-welsh-language-standards-monitoring-report-2022-23.pdf">annual-welsh-language-standards-monitoring-report-2022-23.pdf (ceredigion.gov.uk)</a>
West Wales Regional Partnership Board Regional Carers Strategy	<a href="https://www.wwcp.org.uk/West-Wales-Carers-Strategy-2020-2025">West Wales Carers Strategy 2020-2025 – West Wales Care Partnership (wwcp.org.uk)</a>
West Wales Area Plan for 2018-23, ‘Delivering Change Together’	<a href="http://www.wwcp.org.uk/wp-content/uploads/2019/03/West-Wales-Area-Plan-English-Final-Version-29-03-18.pdf">http://www.wwcp.org.uk/wp-content/uploads/2019/03/West-Wales-Area-Plan-English-Final-Version-29-03-18.pdf</a>
Through Age and Well-being Strategy and Action Plan 2021-2027	<a href="https://www.ceredigion.gov.uk/PowerPoint-Presentation">PowerPoint Presentation (ceredigion.gov.uk)</a> <a href="https://www.ceredigion.gov.uk/20211001-taw-strategy-action-plan-final-approved.pdf">20211001-taw-strategy-action-plan-final-approved.pdf (ceredigion.gov.uk)</a>
Statutory Director of Social Services Annual Report 2020-2021	<a href="https://www.ceredigion.gov.uk/media/13425/2021-2020-annual-report.pdf">https://www.ceredigion.gov.uk/media/13425/2021-2020-annual-report.pdf</a>
Statutory Director of Social Services Annual Report 2021-2022	<a href="https://www.ceredigion.gov.uk/media/13426/2022-2021-annual-report.pdf">https://www.ceredigion.gov.uk/media/13426/2022-2021-annual-report.pdf</a>



This page is intentionally left blank

## Cyngor Sir CEREDIGION County Council

<b><u>Report to:</u></b>	Council
<b><u>Date of meeting:</u></b>	14 December 2023
<b><u>Title:</u></b>	Feedback from the Healthier Communities Overview and Scrutiny Committee on the Statutory Social Services Directors Report 2022/2023
<b><u>Purpose of the report:</u></b>	To provide feedback from the Healthier Communities Overview and Scrutiny Committee held on 22 November 2023

### **Background:**

The Healthier Communities Overview and Scrutiny Committee considered the Statutory Social Services Directors Report 2022/2023.

The duty to compile the Annual Report of the Statutory Director of Social Services requirement is defined in Part 8 of the Social Services and Wellbeing (Wales) Act 2014 under the 'Code of Practice on the Role of Directors of Social Services'.

The Annual Report aims to produce a rounded picture of the Social Services Department in Ceredigion which provides more timely feedback into planning and budgetary processes.

The report was completed by Audrey Somerton-Edwards the previous Interim Statutory Director of Social Services prior to Ricky Cooper starting in post as Statutory Director of Social Services on the 1<sup>st</sup> of September 2023.

### **Recommendation:**

Following consideration, Members agreed to recommend that Council:

- Receive the report as information only.

Members thanked Officers for their hard work and commitment.

**Councillor Caryl Roberts**  
***Chairman of the Healthier Communities Overview and Scrutiny Committee***

This page is intentionally left blank

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14<sup>th</sup> December 2023

**Title:** Annual Report of Compliments, Complaints, and Freedom of Information (2022-2023)

**Purpose of the report:** To provide Council with a comprehensive overview of the Compliments, Complaints and Freedom of Information (FOI) activity (including Environmental Information Regulations - EIR) received by the Local Authority between 1<sup>st</sup> April 2022 and 31<sup>st</sup> March 2023. This report also provides information about the complaints activity referred to the Public Services Ombudsman for Wales during this reporting period.

**For:** Information

**Cabinet Portfolio and Cabinet Member:**

Councillor Bryan Davies, Leader and Cabinet Member for Democratic Services, Policy, Performance and People and Organisation.

**Introduction**

This report provides information relating to the Council's Compliments, Complaints and FOI activity between 1st April 2022 and 31st March 2023. The report itself is listed as **Appendix 1** and includes specific information on the number and type of compliments received, the different complaints stages, performance and outcomes relating to these and information on compliance with FOI and EIR legislation.

A report detailing the compliments and complaints activity in relation to Social Services is included as **Appendix 2**, and information about the Lessons Learned as a consequence of (corporate) complaints is provided within **Appendix 3**. The main report consists of a section about the contact received from the Public Services Ombudsman for Wales ("the Ombudsman") during the reporting period. The Ombudsman's Annual Letter to the Council is included as **Appendix 4**, and this gives further details about all Ombudsman activity for Ceredigion, as well as for other Council's across Wales. For information, a formal response is due to be issued to the Ombudsman, following the presentation of this report at the recent Cabinet Committee Meeting on 7<sup>th</sup> November, in order to confirm that the actions contained in her letter have all been met.

**Appendix 5** provides a summary of all Early Resolution / Voluntary Settlement cases that were proposed by the Ombudsman during the reporting year, all of which were agreed by the Council.

This report has been presented to the following committees:

- Governance and Audit Committee Meeting on 27<sup>th</sup> September 2023
- Corporate Resources Overview and Scrutiny Committee Meeting on 19<sup>th</sup> October 2023.

- Cabinet Committee on 7<sup>th</sup> November 2023

This is the fourth consecutive report where there have been no Ombudsman investigations commenced or formal reports issued in relation to complaints made against the Council. Whilst there were fewer Ombudsman referrals during this reporting year, the Council has a consistently high rate of Early Resolution/Voluntary Settlements.

It is therefore acknowledged that challenges remain in relation to the complexity and volume of the work processed by the Complaints and FOI Team, which inevitably has an impact on the team's ability to meet performance objectives in relation to statutorily prescribed timescales.

#### **Brief Overview:**

- ↑ **465** Compliments were received
- ↑ **403** Enquiries were processed by the Complaints & FOI Service
- ↑ **144** Complaints were received: **Stage 1 = 96**                      **Stage 2 = 48**
- ↓ **35** 'Contacts' received via the Public Services Ombudsman for Wales
- ↑ **882** FOI & EIR requests processed by the Complaints & FOI Service

#### **Current Situation**

- There were significantly more Compliments received during this reporting period. Improving the way that compliments are captured remains a piece of work that the Complaints and FOI Team needs to undertake, but this is being delayed due to capacity constraints.
- The service received a greater number of enquiries – many of which were either allocated back to the service areas to resolve pro-actively, or formal responses were required in order to explain why such matters could not be dealt with under the complaints procedures.
- It is worth noting that the number of complaints received by the Council was the third lowest in Wales.
- A great deal of work is needed to prevent Stage 1 complaints from escalating to Stage 2 unnecessarily on account that it has not been possible to respond within the prescribed timescale of ten-working-days.
- Compliance with timescales under Stage 2 also requires attention, as do the shortcomings in complaints handling that were referred to the Ombudsman. The Complaints and FOI Team continues to face challenges in meeting the demands of rises in the numbers of compliments, complaints, and FOI activity.
- As acknowledged above, there were fewer Ombudsman referrals than last year, but the number of Early Resolution / Voluntary Settlements is the highest in Wales.
- Complaints about Refuse Collection and Planning matters continue to be the main reasons for complaints; however, these services are predisposed to attracting complaints and these must be taken in context with the level of activity undertaken by these two service areas.
- Compliance with Freedom of Information (FOI) and Environmental Information Regulations (EIR) timescales requires significant improvement.

### **Areas to focus on**

- Improving adherence with timescales prescribed in complaints and FOI/EIR policies/legislation
- Increase the resilience within the Complaints and FOI Team
- Reinforce the principle that complaints are owned throughout the Council
- Deliver a comprehensive training programme on complaints handling
- Improving system for capturing compliments and data surrounding lessons learned
- Continuing with open, transparent, and citizen-centred approach to resolving concerns

### **Wellbeing of Future Generations:**

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

No IIA has been completed because there is no policy or service change proposed within this report.

### **Summary of Integrated Impact Assessment:**

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

### **Recommendation(s):**

1. To note the contents of the Council's Annual Report for Compliments, Complaints and FOI Activity 2022-23 (Appendix 1)
2. To note the contents of the Ombudsman's Annual Letter (Appendix 4)
3. To note the feedback from the Cabinet Committee's discussion regarding these reports on 7<sup>th</sup> November 2023: ***'Cabinet noted the report and the feedback from the Corporate Resources Overview and Scrutiny Committee'***

### **Reasons for decision:**

To ensure continuous improvement and ensure that elected members are aware of the Council's performance in relation to compliments, complaints, FOI/EIR and Ombudsman activity.

### **Overview and Scrutiny:**

The appendices contained in this report were discussed at the Corporate Resources Overview and Scrutiny Committee Meeting on 19<sup>th</sup> October 2023.

### **Policy Framework:**

Concerns and Complaints Policy  
Social Services Complaints Policy and Procedures  
Freedom of Information Policy  
Environmental Information Regulations Policy

**Corporate Well-being Objectives:**

Ceredigion is an organisation that is fit-for-purpose to deliver improving services to meet the needs of our citizens.

**Finance and Procurement implications:**

N/A

**Legal Implications:**

N/A

**Staffing implications:**

N/A

**Property / asset implications:**

N/A

**Risk(s):**

There is a risk of reputational damage to the Local Authority in the event that the mechanisms for adhering to our statutory requirements in respect of complaints handling and information access rights (specifically FOI and EIR) are not robust.

**Statutory Powers:**

N/A

**Background Papers:**

N/A

**Appendices:**

Appendix 1 – Compliments, Complaints and FOI Report 2022-2023

Appendix 2 – Social Services Compliments and Complaints Report 2022-2023

Appendix 3 – Identifying Lessons from Complaints

Appendix 4 – Ombudsman’s Annual Letter (dated 17<sup>th</sup> August 2023)

Appendix 5 – Summaries of Ombudsman Early Resolution/Voluntary Settlements

**Corporate Lead Officer:**

Alun Williams, Corporate Lead Officer for Policy, Performance and Public Protection

**Reporting Officer:**

Marie-Neige Hadfield, Complaints and Freedom of Information Manager

**Date:**

23<sup>rd</sup> November 2023

# Compliments, Complaints and Freedom of Information Report

---



Cyngor Sir  
**CEREDIGION**  
County Council

**2022 – 2023**



# Contents

<b>1. Introduction</b>	<b>Pages 3-4</b>
<b>2. Compliments Received</b>	<b>Pages 5-6</b>
<b>3. Complaints Data and Analysis</b>	<b>Pages 7-10</b>
<b>4. Complaints to the Public Services Ombudsman for Wales</b>	<b>Pages 10-11</b>
<b>5. Requests Received under the Freedom of Information (FOI) Act and the Environmental Information Regulations (EIR)</b>	<b>Pages 11-12</b>
<b>6. Appendices</b> <ul style="list-style-type: none"><li>- <b>Appendix 2: Social Services Compliments &amp; Complaints Report 2022-2023</b></li><li>- <b>Appendix 3: Identifying Lessons from Complaints</b></li><li>- <b>Appendix 4: Ombudsman's Annual Letter</b></li><li>- <b>Appendix 5: Summaries of Ombudsman Early Resolution/Voluntary Settlements</b></li></ul>	

# 1. Introduction

- 1.1 This report will provide information regarding the number of **Compliments, Complaints** and information requests received under the **Freedom of Information Act (FOIA) 2000**, and the **Environmental Information Regulations (EIR) 2004** during the period between 1<sup>st</sup> April 2022 and 31<sup>st</sup> March 2023.
- 1.2 Each section of the report will focus on the Council's management and performance of each of its statutory and procedural obligations in respect of complaints management and access to information rights that are within the responsibility of the Complaints and FOI Team. The various legislation/policies are outlined below:
- \* **Model Concerns and Complaints Policy (Corporate) 2020**
  - \* **Social Services Complaints Procedure (Wales) Regulations 2014**
  - \* **Freedom of Information Act 2000 (FOIA)**
  - \* **Environmental Information Regulations 2004 (EIR)**
- 1.3 The Complaints and FOI Team is a small team, consisting of 3.8 staff members, and is responsible for the administrative function under the aforementioned legislation and policies, including any cases referred to the Public Services Ombudsman for Wales ("the Ombudsman"). The Complaints and FOI Team provides advice, assistance, and support to Council officers on a corporate level, as well as to schools – under a partnership agreement.
- 1.4 Following the formation of the **Complaints Standards Authority (CSA)** under the **Public Services Ombudsman (Wales) 2019 Act**, all public authorities across Wales are required to submit their complaints activity to the CSA on a quarterly basis. This information is freely available on the Ombudsman's [website](#).
- 1.5 The Council continues to work positively with the Ombudsman and Section 4 of this report will provide details of the **complaints that were referred to the Ombudsman** during this reporting year. It is worth noting that this is the fourth consecutive reporting period whereby there have been no formal investigations launched into a complaint against Ceredigion County Council. However, it is acknowledged that the Council has encountered the highest number of cases requiring Ombudsman intervention (compared with other Local Authorities). Such instances are referred to as Early Resolution/Voluntary Settlement decisions and will be addressed in greater detail below.
- 1.6 Pro-active resolution of any concerns received by citizens and service-users remains a high priority and every effort is made to achieve satisfactory outcomes when such instances are brought to our attention. Due to the continued efforts and positive collaboration between staff and managers across the Council, it is far more effective to resolve concerns when they are received as an 'enquiry', without needing to initiate the formal complaints procedure.

- 1.7 A total of **403 enquiries** were managed by the Complaints and FOI Team during this reporting period. However, the service does not yet have sufficient reporting capabilities that can identify how many of these enquiries subsequently required resolution via the (most appropriate) complaints procedure.
- 1.8 This report will provide some complaints information on a corporate level, i.e. data concerning complaints managed under the **corporate and the Social Services** policies. Both involve a **two-stage process**, but the requirements and timescales set out within each of these is different.
- 1.9 A report summarising the arrangements under the statutory Social Services complaints policy, which also provides analysis of all compliments and complaints that were received during 2022-2023, has been compiled for inclusion in the Statutory Director of Social Services' performance report. This document should be considered in conjunction with this report and is included as **Appendix 2**.
- 1.10 This report will therefore provide an overview of the corporate policy and additional detail surrounding the number, trends and outcomes of complaints registered for this reporting period (2022-2023).
- 1.11 The corporate Concerns and Complaints Policy consists of two stages;
- **Stage 1 is the informal stage and must be concluded within ten-working-days**
  - **Stage 2 requires a formal investigation, at a level deemed reasonable and proportionate to the issues being raised.**
- 1.12 The underpinning ethos for ensuring the effective resolution of complaints recommends as follows: '**Investigate once, investigate well**'. Formal investigations under Stage 2 may occasionally take longer than the **20-working-days** outlined within the policy. However, every effort will be made to keep the complainant informed as to any delays and when they should expect to receive the Council's formal response.
- 1.13 Information concerning the Council's performance in this regard is provided within this report, but the priority remains to ensure a robust and meaningful investigation is undertaken – even if this takes longer than the prescribed timescales. It is acknowledged however that significant challenges associated with service-continuity within the Complaints and FOI Team has once again impacted on the Service's ability to maintain effective communication with complainants in some instances.
- 1.14 The Corporate Lead Officer (CLO) for Policy, Performance & Public Protection is responsible for all complaints and FOI activity within the Council and will escalate matters of concern to the relevant member(s) of the Leadership Group. In addition, the CLO is the Council's nominated Senior Officer for the Ombudsman and the Information Commissioner's Office (ICO) in relation to complaints and FOI performance, respectively.

## 2. Compliments

- 2.1 All compliments received from service-users are recorded and monitored on a regular basis. Such positive feedback is used to **share and promote good practice** wherever possible. Compliments are a source of encouragement that Council staff are delivering a valuable and high standard of service to those on the receiving end.
- 2.2 Opportunities may also exist to share good practice beyond the service area(s) receiving the positive feedback, as this can aid in adopting tried and tested methods of effective service delivery on a broader level.
- 2.3 The table below shows the number of compliments that were received for each service area during 2022-2023, along with the data for the two reporting periods preceding this:

Service	2020 – 2021	2021 – 2022	2022 – 2023
Customer Contact & ICT	37	29	44
Democratic Services	-	2	3
Economy & Regeneration	11	14	12
Finance & Procurement	24	5	6
Highways & Environmental Services	26	25	33
Legal & Governance	-	1	3
People & Organisation	-	-	-
Policy, Performance & Public Protection	3	5	16
Porth Cymorth Cynnar	344	29	57
Porth Cynnal	72	27	78
Porth Gofal	169	77	139
Schools & Lifelong Learning	11	4	5
*Corporate	117	6	69
<b>Total</b>	<b>814</b>	<b>224</b>	<b>465</b>

*\*Positive feedback provided in general terms (towards the entire Council workforce) and towards the office of the Chief Executive and Corporate Directors*

- 2.4 It is worth noting that the Council **only** records compliments that are received from **external sources**. As a consequence, services that have very little, or no, direct contact with the public will naturally be less likely to receive any positive feedback that would qualify for inclusion within this report. The absence of data recorded against certain services, therefore, is not indicative of a lack of appreciation for their working practices or any reflection on their general performance.
- 2.5 Data can be influenced by events during a specific reporting period, e.g. a significant number of compliments were received for Porth Cymorth Cynnar and on a 'Corporate' level, during 2020 – 2021. This is consistent with the extraordinary efforts made by officers during the height of the coronavirus pandemic (issuing food-boxes, support for carers etc.).
- 2.6 A similar trend occurred during this reporting period whereby a number of compliments were recorded on a 'corporate' level; this was mainly attributed to the success of the National Eisteddfod, that was held in Tregaron during August 2022.

## 2.7 Snapshot of compliments received during 2022 – 2023

"I'd just like to say how much I thoroughly enjoyed the recent events held through Porth Cymorth Cynnar in the Bandstand and Penparcau Family Centre. I learnt a lot and particularly enjoyed sewing my bucket hat. I hope there will be more events like these in the future." - Porth Cymorth Cynnar -

"Amazing! Spent a lot of time here. Bird boxes, glitter, smoothies, hair, flower-arranging, climbing wall – great. Children loved it. Plenty of activities of all varieties. Thank you!" - Corporate -

"A short message to thank you for supporting the sessions over the past few weeks and for sharing the information. What you are doing with the [Ukrainian Refugee] Welcome Centres is special – thank you very much." - Policy, Performance & Public Protection -

"Your support and advice have been incredibly valuable; I cannot thank you enough." - Corporate -

"Thank you to all the staff for arranging the Christmas Party in Hafan Deg. It was nice to see everyone today. Lovely food, music and presents for all." - Porth Cynnal -

"I recently made a visit to mid-Wales visiting Rhayader, Devil's Bridge and then Aberystwyth via the mountain road. I had a wonderful time and wanted to express my satisfaction of the local services especially during these difficult times." - Corporate -

"On our recent short holiday based at Tregaron, we travelled by car to all points of the compass. We were impressed by the excellent condition of all the roads whether main A roads or narrow winding lanes, as we toured about. Thank you very much for contributing to an enjoyable first visit to your country." - Highways & Environmental Services -

"I'd like to thank the officers who have made it possible for the lower path of Pen Dinas to be widened and resurfaced, as I noticed today whilst walking on the hill. This will make a big difference to people in the area as well as tourists, increasing access for people with mobility issues and contributing to their wellbeing." - Economy & Regeneration -

"As ever, I am so very grateful for the excellent way in which you have helped us and continue to provide support. Your efficiency is outstanding and your advice on all matters is friendly, thorough, and very reassuring to me." - Porth Cynnal -

"Thank you / Diolch from the bottom of our hearts for all of the care and love you showed and gave to X. He was so happy and loved all of you, you gave him the best years of his life." - Porth Gofal -

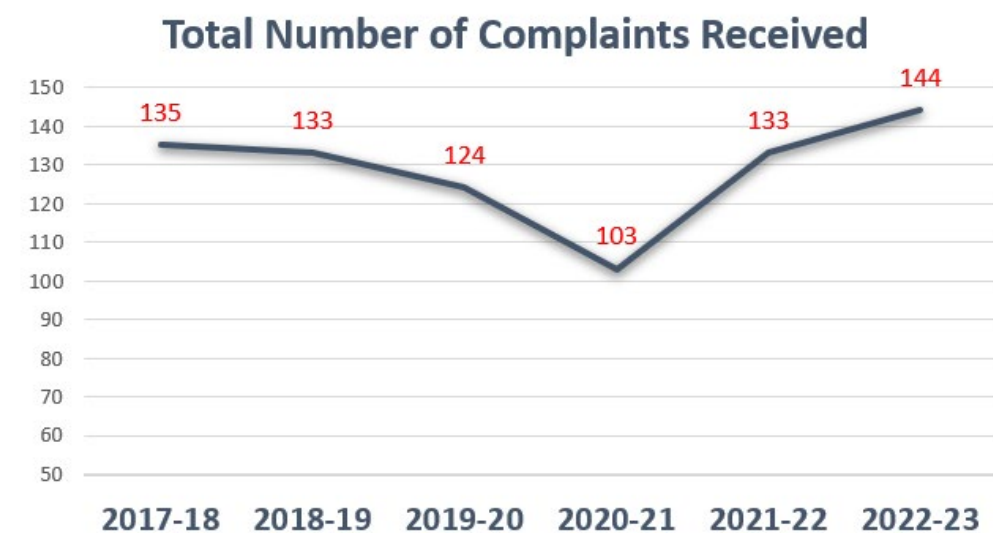
"I just wanted to say a massive thank you for the ceremony yesterday: it was perfect! We wanted an intimate wedding with our little family unit and that's what we had. You've given us memories to treasure forever." - Customer Contact and ICT -

"I would like to thank staff for all the work they do within Clic" - Customer Contact & ICT -



### 3. Complaints

3.1 The chart below shows the **total number of complaints** received by the Council each year. This does not include the number of service requests, enquiries or concerns that were able to be resolved by the relevant service(s) on a pro-active basis or those which did not fall within the remit of the complaints policies: e.g. instances whereby an alternative route of appeal was available, or if the issue being complained about was considered to be a *'properly made decision'*. This is when the Council takes a course of action that is entirely legitimate and is supported by legislation and/or policy.



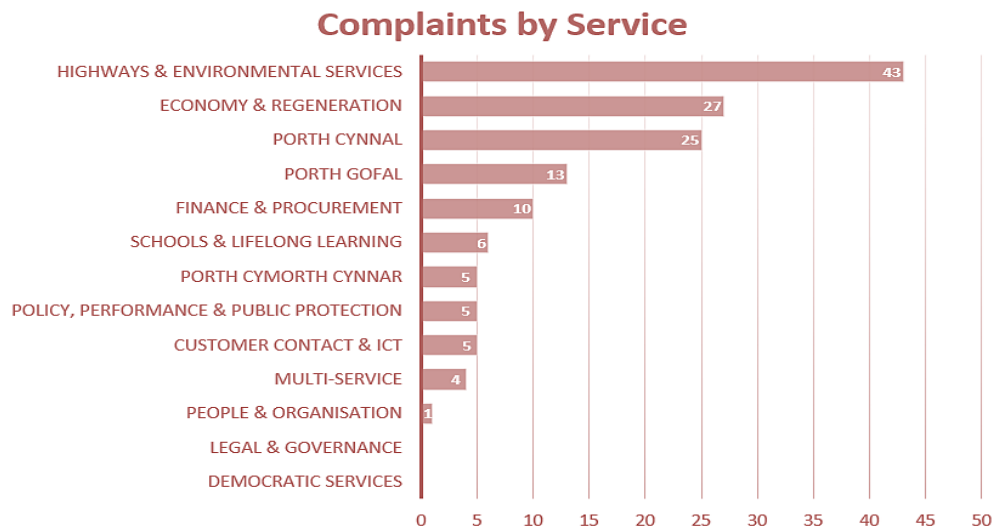
3.2 The table below separates **complaints by stage**, for each of the reporting years referred to above.

Year	Stage 1	Stage 2	Total
2017-18	96	39	135
2018-19	92	40	133
2019-20	85	39	124
2020-21	61	42	103
2021-22	73	60	133
2022-23	<b>96</b>	<b>48</b>	<b>144</b>

3.3 No complaints were received during 2022-2023 regarding the provision (or lack thereof) of **Welsh Language services** across the Council, and no referrals were received from the Welsh Language Commissioner.

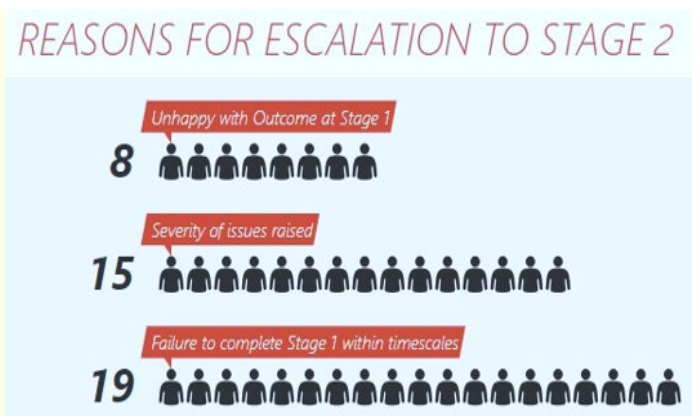
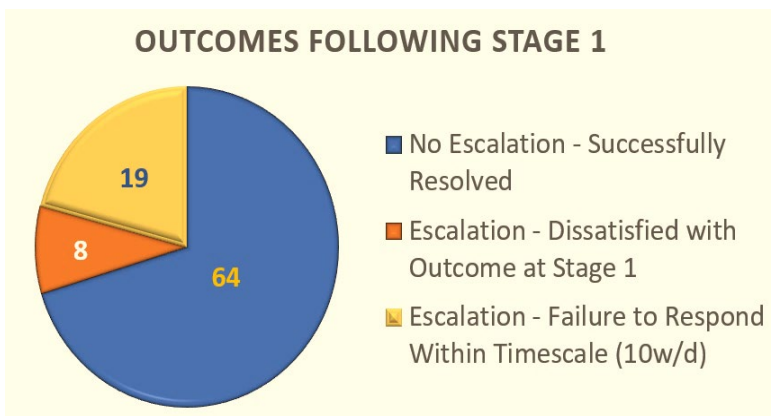
3.4 To put the above in context, it is worth noting that the Council logged **95,421** enquiries during 2022-2023.

3.5 This chart shows the **breakdown of complaints by Service** and also provides an additional **'multi-Service'** category, which is used when complaints span more than one service area.

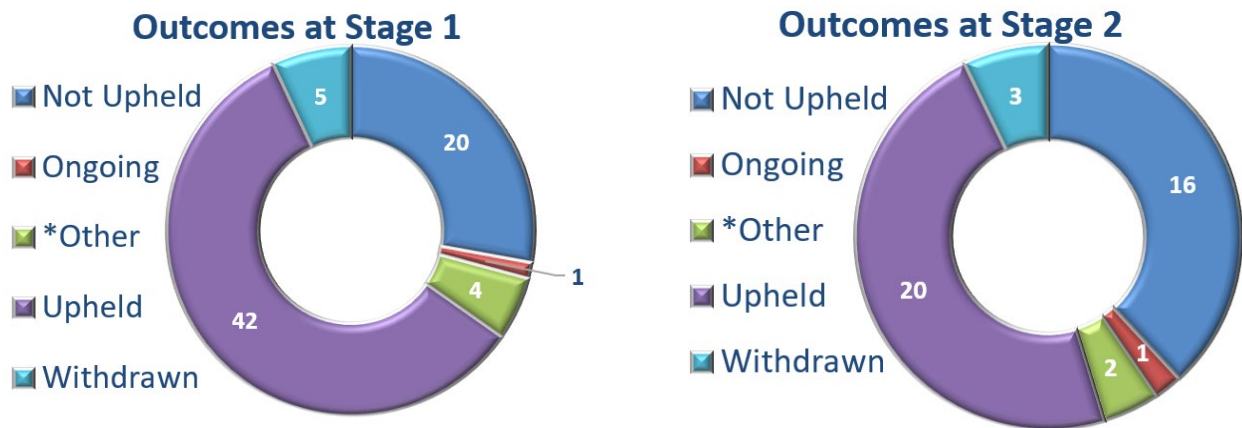


3.6 The following information refers to the number of complaints that were **closed** during this reporting year. Please note that there will be disparity between the number of complaints **received** and those that were **concluded** during 2022-2023, this is due to the time required to investigate and respond to complaints (e.g. a complaint received on 31st March 2022 will be recorded as having been received during 2021-2022, but unless the complaint is closed on the day of receipt, the **outcome** will be included within the annual report for 2022-2023).

3.7 Analysis of the **Stage 1** complaints that were concluded during 2022-2023 is provided below and shows the number of cases that were: **resolved successfully**, escalated to a **formal investigation** under Stage 2 (in the event the complainant was dissatisfied with the outcome), and the number of complaints that had to be escalated to Stage 2 due to the Council's **failure to respond** within the prescribed timescale for Stage 1 complaints (**ten-working-days**). The second chart shows the different **reasons** for why complaints were investigated at Stage 2. Of note, **15 complaints** were **immediately** considered at the formal stage, which is permitted under the policy and will usually occur when serious complaints are received, or those involving contact from the **Ombudsman**.



3.8 The outcomes of all **72 Stage 1 complaints** that were closed during 2022-2023 are shown below. The category referred to as **'Other'** represents any complaints that were subsequently considered under a **different process** or were later deemed to be **outside of the scope of the complaints policy** (e.g. where an alternative policy should be followed or if it became apparent that the specific issue should not be considered as a 'complaint'). The same applies to the **42 Stage 2 complaints** that were investigated under the corporate policy and were concluded during 2022-2023.



3.9 A total of **19 Stage 1** complaints were **escalated** to Stage 2 due to the **10-working-day timescale being exceeded**. This is consistent with the Model Complaints Policy issued by the Ombudsman in accordance with its Complaints Standards Authority (CSA) regulations. This represents **17%** of all Stage 1 complaints and demonstrates that improvements are needed to ensure compliance with the Stage 1 policy.

3.10 Of the **42 Stage 2** complaints that were investigated during this reporting period, **15** cases were closed **within the prescribed timescale of 20-working-days**. This represents only **36%** of all formal complaints having been closed within stipulated timescales. Again, **a great deal of improvement is needed** to ensure that complaints are investigated and responded to promptly. Such improvements will likely minimise the number of referrals to the Ombudsman.

### 3.11 Identifying lessons from complaints

3.12 Every effort has been made throughout this reporting period to capture more information on the **lessons that are identified as a consequence of complaints** and highlighting the **improvements and opportunities** arising from them. Unfortunately, the current recording system for complaints is incompatible for in-depth analysis on a case-by-case basis; however, all upheld complaints have been reviewed for the purposes of presenting information about lessons identified within this report.

3.13 Whilst there should always be opportunities to share good practice, more often than not improvements are identified when a complaint is **upheld**. Information is provided in **Appendix 3** which lists the various strategies, improvements and training opportunities that have all arisen as a consequence of a complaint.



- 3.14 Following consideration by various democratic committees when the Annual Compliments, Complaints and FOI Report was presented in 2022, a request was made for more information about complaints whereby '**communication**' was considered to be a significant factor. Analysis has therefore been undertaken in respect of this and, whilst **poor communication is a feature of most complaints**, information has been collated to determine the cases where this is the primary factor, or at least a significant aspect of the issue culminating in a complaint.
- 3.15 Of the **106** corporate complaints received during this reporting period, there were **56 cases** that directly referred to a **lack of communication** on the Council's part. Of these, **39 complaints** arose simply as a consequence of service's '**failure to respond**' to people. It must also be mentioned that the **Complaints and FOI Team** has experienced significant challenges in **maintaining communication** with those who contact the service (either during the course of the complaints process or when seeking to resolve the vast number of enquiries received).
- 3.16 The main reasons given for the communication shortcomings predominantly refers to a **lack of available resources** and problems encountered with the **allocation of service requests** and/or **enquiries**. This must be viewed in the context of the **increasing demands** from the public and the **additional complexity** of the issues arising.

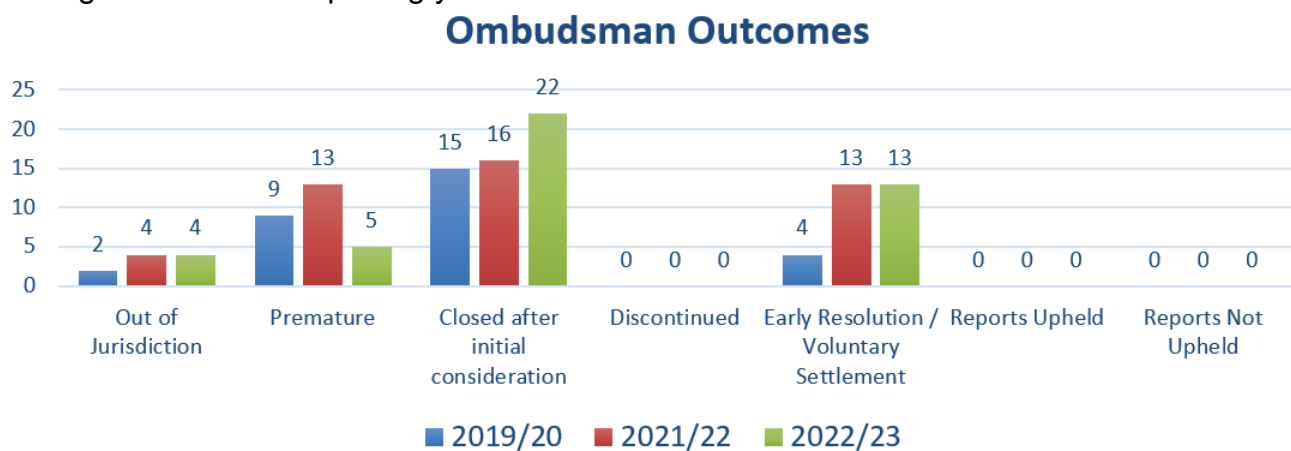
## **4. Complaints to the Public Services Ombudsman for Wales**

- 4.1 Information regarding the number of complaints that were referred to the **Ombudsman** during the reporting year is detailed within the Ombudsman's **Annual Letter**, which is provided in **Appendix 4**. This document gives some detail surrounding the **service areas** that have been involved in referrals to the Ombudsman, as well as their **outcomes**.
- 4.2 Whilst the Council received **fewer referrals** to the Ombudsman during 2022-2023 – a total of **35**, compared with **52** contacts during 2021-2022, the number of cases resolved via **Early Resolution / Voluntary Settlement** is **consistent** with last year, totalling **13 cases**. Once again, the Ombudsman **did not conduct any investigations** into complaints referred to her office, though it is acknowledged that Ceredigion received the highest proportion of Ombudsman interventions compared with other Councils across Wales.
- 4.3 **Poor communication** remains a key theme in respect of complaints made to the Ombudsman. **Summaries** of the cases requiring Ombudsman intervention is provided in the **Appendix 5** (in relation to all Council services), and it is evident that the challenges that have faced the **Complaints and FOI Team** in particular, has had an **impact** on the ability to provide an **effective complaint handling service**. Again, this is as a consequence of the demands on the small team, that deals with complaints, FOI and EIR, and provides advice and assistance to schools under a designated Partnership Agreement.

4.4 The high volume of ‘enquiries’ (which in themselves may not be straightforward - as these will include cases whereby the complaints policy may not apply, but which require a comprehensive response nonetheless) is a **key factor** in the deployment of critical resources to an aspect of work that cannot be measured. This was further compounded by **staff absence** and the **recruitment and training** of a new staff member.

4.5 It is encouraging to note that of the **44 complaints closed** by the Ombudsman during 2022-2023, **31** were either **premature (5)**, **out of jurisdiction (4)** or, in the **majority** of cases (**22**) the Ombudsman **closed the complaint following their initial assessment**. This suggests that the **action** taken by the Council was **reasonable and proportionate**, and that nothing further could be achieved by the Ombudsman undertaking a review of the case.

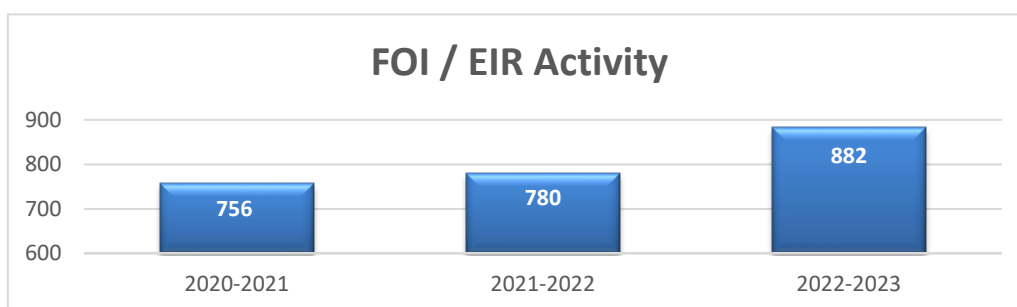
4.6 The graph provided below shows the outcomes of all complaints closed by the Ombudsman during the last three reporting years:



## 5. Requests Received under the Freedom of Information (FOI) Act and the Environmental Information Regulations (EIR)

5.1 During this reporting period the Council received a total of **882** requests for information under the Freedom of Information Act 2000 (FOIA) or Environmental Information Regulations 2004 (EIR). Of these, **13** cases were escalated to the Corporate Lead Officer (CLO) for Policy, Performance & Public Protection requiring Internal Review.

5.2 This demonstrates a slight increase compared with previous years, as shown below:



- 5.3 In addition, **9 complaints** were made to the **Information Commissioner's Office (ICO)**, all of which were resolved without further action. This remains consistent with the previous reporting year, which also recorded 9 referrals to the ICO.
- 5.4 The Council's **compliance** with meeting the timescales set out under FOI legislation and the EIR Regulations (**20-working-days**, with EIR's allowed to take up to **40-working-days** if the information requested is voluminous) was a cause for concern, which has prompted a significant amount of work to raise awareness of the Council's statutory obligations in this regard.
- 5.5 A **breakdown** of the number of FOI's and EIR's received according to **Service** is provided below.

<b>Service</b>	<b>FOIs Received</b>	<b>EIRs Received</b>
Customer Contact & ICT	68	-
Democratic Services	18	-
Economy & Regeneration	61	38
Finance & Procurement	172	-
Highways & Environmental Services	64	31
Legal & Governance Services	7	-
People & Organisation	58	-
Policy, Performance & Public Protection	123	10
Porth Cymorth Cynnar	12	1
Porth Cynnal	63	-
Porth Gofal	87	-
Schools & Lifelong Learning	60	-
Multi-Service	9	-
<b>Total</b>	<b>802</b>	<b>80</b>

## Social Services Compliments & Complaints Report 2022-2023

### Compliments

A total of **217 compliments** were received from service-users and/or their representatives during this reporting period. This is more than double the number of compliments that were recorded for Social Services during 2021-2022 (104 in total). Some examples of the compliments received are provided below.

Service	Compliments Received
Porth Cynnal	78
Porth Gofal	139
<b>Total</b>	<b>217</b>

“As ever, I am so very grateful for the excellent way in which you have helped us and continue to provide support. Your efficiency is outstanding and your advice on all matters is friendly, thorough, and very reassuring to me.”  
– Mental Health / Wellbeing

“(Service user) was grateful for the afternoon and enjoyed meeting us all, knowing that the support was there should she need it.” – Early Intervention

“Thank you / Diolch from the bottom of our hearts for all of the care and love you showed and gave to X. He was so happy and loved all of you, you gave him the best years of his life.” – Porth Gofal

“Thank you for all your help and support during the last few months, my grandmother and the whole family appreciated it.”  
– Direct Services

“The holistic manner that you work with, is outstanding and I so wish that others who are educating themselves in order to work in social care could have some of your insight in how things should be done and be allowed the time and resources to do so. Once again you are an absolutely fantastic social worker and there should be more like you.” – Mental Wellbeing

“We are very pleased with the quick response from the OT Service. They were clear in their communication, kept us updated throughout, and have provided valuable support to enable my mum, who is 93, to be much safer and more confident in her own home. This has been hugely beneficial to myself and the rest of the family, as we have been very worried about her. We are very thankful for the help and support.” –  
Occupational Therapy Service

“Thank you for putting forward various options and many thanks for your kind assistance.” – Integrated Triage & Assessment Service

## Complaints Report

### Introduction

This report will refer specifically to all **Social Services compliments and complaints** received during 2022 – 2023. This data will also be included as part of the Council's Annual Compliments, Complaints and Freedom of Information (FOI) Report for 2022 – 2023, on a corporate level, which will be published later in the year.

The Council has fully implemented the requirements outlined in Welsh Government's statutory **Social Services Complaints Procedure (Wales) Regulations 2014** and the **Representations Procedure (Wales) Regulations 2014**. These regulations underpin the Council's own **Social Services Complaints Policy**, which is due to be reviewed during the forthcoming year. The current Policy was approved by the Council's Cabinet committee on 17<sup>th</sup> March 2020, and predominantly sets out the responsibilities placed upon staff within **Porth Cynnal** and **Porth Gofal** Services, as well as the corporate **Complaints and FOI Team**. This promotes accountability and ensures that effective arrangements are in place to resolve concerns at the earliest opportunity, and if this is not possible, to ensure complaints are managed in accordance with the Council's statutory obligations.

It is vital that the Social Services complaints process operates in accordance with the principles of the **Social Services and Well-being Act (Wales) 2014**, as well as ensuring that the process is accessible to all, and is fair and transparent.

### Social Services Complaints Activity

Every effort is made to resolve complaints pro-actively and in many cases this is successful. In such instances the contact will be recorded as a concern. However, in some cases this is not possible, particularly when the issues being raised are of a serious or complex nature. These instances will be managed in accordance with the aforementioned complaints policy and procedures.

The Social Services complaints procedure consists of **two stages**, and Corporate Managers within Social Services (i.e. Porth Cynnal and Porth Gofal) are responsible for managing complaints against their respective service-areas, ensuring that the appropriate level of decision-making and accountability is in place. The Corporate Managers strive to achieve meaningful outcomes as a consequence of complaints and, where necessary, measures will be implemented to ensure lessons are learned and any service improvements are prioritised. The Complaints and FOI Team is independent from Social Services, managed within the Policy, Performance & Public Protection Service, and is responsible for overseeing the administration of the complaints process.

A total of **60 'concerns'** were received within the reporting period, with the majority having been resolved satisfactorily without requiring escalation under the formal complaints procedure. However, this report will focus on the **complaints** that were investigated under stages 1 and 2 during the course of the reporting year.

For information, Stage 1 is the only opportunity that is available for Corporate Managers to investigate and/or resolve a complaint. The statutory regulations stipulate that an Independent Investigating Officer (IIO) must be appointed to conduct investigations at Stage 2 and, in cases involving children, an Independent Person (IP) is also commissioned to oversee the investigation process. Once the Council’s own complaints process has been exhausted, complainants have the right to refer their complaint to the Public Services Ombudsman for Wales (PSOW) if they remain dissatisfied.

### Total number of complaints received in 2022 – 2023

Service Area	Stage 1	Stage 2	Total
Porth Cynnal	19	6	25
Porth Gofal	12	1	13
	<b>31</b>	<b>7</b>	<b>38</b>

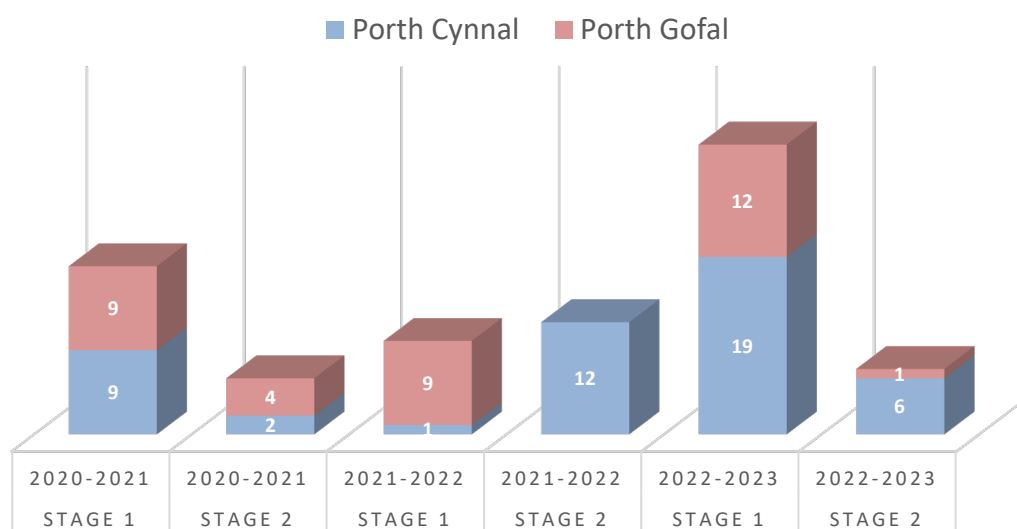
A total of **38 complaints** were received in relation to Social Services in 2022–2023, which demonstrates an increase when comparing these figures to the previous reporting period. During 2021–2022 there were **22** complaints in total which were addressed under the Social Services complaints policy.

Senior staff in Porth Gofal and Porth Cynnal continue to work closely with the Complaints and FOI Team by adopting an early-resolution approach when appropriate and this is proving to be an effective strategy. From the 60 concerns managed pro-actively, only eleven cases subsequently went on to be investigated at Stages 1 and/or 2; this equates to **82% of all concerns having been resolved satisfactorily** in the first instance.

### Comparative data

Comparative data is provided below with regard to complaints received by Porth Cynnal and Porth Gofal, for the years 2020-2021 and 2021-2022 and the current reporting period – 2022-2023.

## SOCIAL SERVICES COMPLAINTS



## Complaint Outcomes by Service

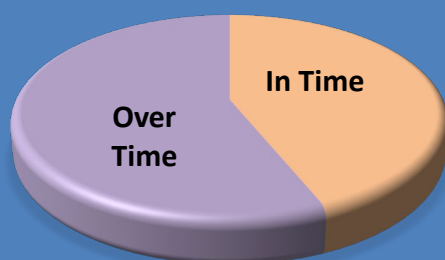
A breakdown of the number of complaints and their outcomes is provided below, in accordance with the relevant service areas:

Porth Cynnal	Not Upheld	Upheld	Ongoing / Suspended / Discontinued
Planned Care (Adults) (3)		1	2
Planned Care (Children) (6)	2	2	2
Safeguarding (Adults) (4)	1		3
Safeguarding (Children) (4)	1		3
Extended Support (Adults) (6)	1		5
Mental Wellbeing (Adults) (2)	2		
<b>Total</b>	<b>7</b>	<b>3</b>	<b>15</b>

Porth Gofal	Not Upheld	Upheld	Ongoing / Suspended / Discontinued
Integrated Triage & Assessment (Adults) (6)	2	1	2
Integrated Triage & Assessment (Children) (3)	1	2	
Targeted Intervention Service (3)			3
Direct Services (1)		1	
<b>Total</b>	<b>3</b>	<b>5</b>	<b>5</b>

### Stage 1 Timescales

Of the **31** complaints which were recorded at Stage 1, only **16** were concluded (i.e. not suspended, withdrawn or discontinued – this will be explained in more detail in the analysis). **7** of these complaints were closed within the prescribed timescales. The remaining **9** exceeded the timescales.



### Stage 2 Timescales

Only **5** of the **7** complaints that were recorded at Stage 2, progressed to the independent investigation stage, because two complainants decided to withdraw their complaints. All five of the complaints that were investigated took longer than prescribed timescale of 25-working-days.

However, the statutory requirements to obtain written approval from the Director of Social Services was fully complied with, and responses were issued at the earliest opportunity following completion of the investigation.



## Analysis and Conclusions

Firstly, closer analysis of the **60 cases** that were initially recorded as '**concerns**' revealed that **only 11** of these **subsequently escalated to the formal complaints stage**. This predominantly supports the benefits associated with taking a '**pro-active resolution**' approach, where possible. The remaining 49 concerns (82%) were resolved successfully without further action required.

There has clearly been an **increase** in the number of complaints received in relation to Social Services during 2022-2023. Having received **31 Stage 1** complaints in the last year, this is the highest level since 2015-2016, when 32 Stage 1 complaints were received in a single year. There were **fewer Stage 2 investigations** conducted during this reporting period and in terms of outcomes, the ratio of upheld to not upheld complaints was fairly balanced.

However, the most striking factor within this year's report is that a total of **20 complaints** were not concluded. There are a variety of reasons behind these, which will be explained below.

A 'complaint' is usually recorded at the point of receipt when it is deemed to meet the criteria for instigating the policy immediately: i.e. it is not a 'first time request for a service' or the issues being raised are felt to be sufficiently serious that intervention at Corporate Manager level is necessary.

There are, however, other factors that need to be considered once a complaint is formally recorded, but before the process can actively commence:

- ensuring appropriate consent is obtained from the service-user (when others raise concerns on their behalf).
- consideration as to whether there are any 'concurrent investigations' underway (i.e. if there are any court proceedings or safeguarding investigations that could be compromised by a complaint investigation)
- ascertaining whether the complaints process can be followed at all (e.g. instances whereby the complainant is seeking to overturn a decision made by a Court)

In these instances, the complaint may not be able to progress until the necessary checks are completed and this can occasionally take some time, whilst engagement between the Service and the complainant ensues.

Analysis of the **20 complaints** that were not concluded during the reporting period showed that:

- **3 complaints** were **resolved immediately** following the intervention of the Corporate Manager for the relevant Service.
- Failure to supply the service-user's **consent** accounted for the discontinuation of **4 complaints**.
- In **5 cases**, the complainant **failed to engage** with the complaints process and the cases were subsequently closed.
- **4 complaints** were **ongoing** or **escalated to Stage 2** before completion of the Stage 1 complaint.
- **3 cases** were actively **withdrawn** by the complainant's.
- **1 complaint** was unable to be progressed due to **other investigations** taking priority.



Whilst this is an unprecedented number of complaints that were not concluded within the reporting year, the cases were managed in accordance with the statutory policies and procedures and, in the interests of openness and transparency these complaints were not removed from the system. Furthermore, all complaints were shared with the relevant service areas and the Corporate Managers responsible in each case sought to ensure that there were no underlying issues that required further intervention or investigation.

Response times at both stages of the complaints process requires improvement, though only one case exceeded the six-month timeframe. Complaints that take longer than the prescribed timescale to resolve is occasionally unavoidable, and the overarching priority is to ensure that complaints are investigated thoroughly, and careful consideration is given to the findings and recommendations which emerge from such investigations.

Porth Cynnal received a higher number of complaints which is largely due to the nature of the services they deliver, and their complexity.

Of the **18 complaints** that were fully investigated, **8** were upheld. Although this is an increase compared with the figures analysed during 2021-2022 (4 complaints upheld), this represents 44% of all complaints investigated, which is still an improvement on the statistics for 2020-2021, whereby 58% were upheld. Further, whilst almost half of all complaints investigated were upheld, acknowledgement must also be given to the number of concerns that were successfully resolved, and the complaints that were withdrawn earlier in the process because of the work undertaken by services to remedy the issues.

### **Themes and Trends**

**Poor communication** remains a consistent factor in most complaints, and, in many cases, these are addressed promptly at service-level to prevent unnecessary escalation. This was evidently the case in respect of the 49 concerns resolved pro-actively, which far exceeds the number of cases that were subsequently investigated under the formal complaints process.

### **Timescales**

As identified in previous reporting periods, improvements need to be made with regard to response times, particularly at Stage 1 of the complaints process. There is a requirement at Stage 1 to offer a 'discussion' between the complainant and the relevant Corporate Manager. Therefore, securing the availability of managers remains a challenge, as well as attempting to then co-ordinate their availability with that of the complainant. This will continue to be monitored in future reporting periods.

It has also become increasingly evident during the course of the reporting period that poor complaints handling has become a prominent feature in the failure to process cases expediently. Extensive efforts are being made to ensure better communication between Social Services and the Complaints and FOI Team, but some challenges have arisen as a consequence of increased complaints and FOI activity on a corporate level, as well as in the case of Social Services. This remains an ongoing concern which has been escalated as necessary.

## Learning Lessons

In all cases whereby a complaint is deemed to be upheld (either in its entirety or specific elements) it is crucial that recommendations are put in place to learn lessons and prevent any recurrence in the future. Examples of some lessons learned from complaints received during 2022–2023 are summarised below:

- *It was agreed that the Service would commence a weekly log of all communication, which will be shared with the complainant and minutes of meetings will be shared promptly with the relevant parties. This should limit anxiety levels due to lack of communication and delays in receiving documentation from the service.*
- *Relevant staff will ensure that discussions are held with interested parties in advance of formal meetings, so that everybody is aware of the format of the meeting and how they are expected to contribute to this. These discussions will be recorded, and a formal record will be given to all attendees as part of the process. In addition, staff were reminded about the importance of making a brief log of any telephone conversations, in accordance with relevant Council policies.*
- *Completion of assessments / reviews and carer's assessments to be considered upon receipt of complaints, to ensure that level of care provision adequately meets the needs of the individual.*

## Complaints referred to the Public Services Ombudsman for Wales (PSOW)

During 2022–2023 the Council received **eleven** new contacts from the office of the PSOW relating to Social Services complaints. These related to cases within the following services:

- Porth Cynnal (7)
- Porth Gofal (4)

There were a greater number of referrals received from the Ombudsman during 2022-2023, with only 9 having been received in 2021-2022.

Whilst no complaints referred to the PSOW resulted in a formal investigation, there were **eight complaints** that required intervention by the Ombudsman. These complaints were resolved by way of '**Early Resolution / Voluntary Settlement agreements**' reached with the Ombudsman's office, the details of which are provided in the table overleaf.

Cases requiring Ombudsman intervention by way of Early Resolution Agreements

Service(s) & Reference	Summary of Complaint	Agreed Actions
<p>Porth Cynnal; Extended Support and Complaint Handling</p> <p>Case ref: 202200812</p>	<p>Complaint had previously been investigated independently under Stage 2; however, the complainant remained dissatisfied with the outcome.</p> <p>The complainant’s main concerns were that the Service failed to undertake appropriate and necessary assessments to determine her relative’s degree of learning disabilities, and that it failed to consider vital information provided during a telephone consultation.</p>	<p>The Ombudsman advised that the Council should respond to the additional queries raised by the complainant, following the independent investigation at Stage 2.</p>
<p>Porth Cynnal; Safeguarding and Complaint Handling</p> <p>Case Ref: 202201388</p>	<p>Complaint had previously been investigated independently under Stage 2. This process was unnecessarily protracted, and clarification was sought by the complainant regarding information that was included within the independent investigation report.</p> <p>In particular, the complainant wished to receive further information regarding the case law that was referred to, which the Social Worker had based their decision upon when providing care to the complainant’s relative.</p>	<p>The Council agreed to provide additional information surrounding the case law that had been considered by the Social Worker at the time that decisions were made surrounding care provision.</p> <p>In addition, an earlier agreement to award a ‘Time and Trouble’ payment due to the lengthy complaints process, had been overlooked at the point that the formal response was issued. Therefore the Council honoured its earlier decision in this regard, and acknowledged the additional inconvenience caused by having to approach the Ombudsman to obtain the information requested.</p>
<p>Porth Cynnal; Extended Support</p> <p>Case Ref: 202200853</p>	<p>Complaint that the Council had failed to properly implement the terms of an Early Resolution agreement undertaken in September 2020. This included the Council’s failure to fully complete a Carer’s Assessment, and for the continuing uncertainty surrounding the terms and arrangements of Respite Care. The Complainant was also aggrieved that the Council appeared to take an inconsistent approach to Direct Payment uplift.</p>	<p>The Council agreed to follow up on the arrangements previously agreed in relation to conducting a Carer’s Assessment. An Independent Social Worker was commissioned to complete this task.</p> <p>The Council also agreed to write to the complainant within six weeks to provide a full explanation regarding the Council’s approach in respect of providing respite care.</p>

<p>Porth Gofal; Integrated Triage &amp; Assessment and Complaint Handling</p> <p>Case Ref: 202205115</p>	<p>Complaint regarding the Council's failure to take seriously the concerns raised by the service-user about the care provider that was commissioned to assist her. The Complainant made a complaint directly to the care provider, but their response was incomplete and inaccurate.</p> <p>The Council declined to investigate the complaint because it was satisfied with the care provider's response and that no further action was needed. However, the Ombudsman disagreed – ruling that the Council did not fulfil its duty to accept the complaint in line with the Social Services Complaints Procedure (Wales) Regulations.</p>	<p>The Council agreed to contact the complainant to obtain her complaint and issue a response which was consistent with the statutory complaints procedure.</p>
<p>Porth Cynnal; Extended Support and Complaint Handling</p> <p>Case Ref: 202206613</p>	<p>Complainant contacted the Ombudsman because the Council had failed to investigate the complaints she had submitted in February 2022.</p>	<p>The Council accepted it had failed to investigate the complaints raised and agreed to commence Stage 1 of the complaints process immediately. An apology was also given for this failure in complaints handling and a redress payment was agreed in acknowledgement of the Time and Trouble the complaint went to in order to have her complaint considered.</p>
<p>Porth Gofal; Integrated Triage &amp; Assessment Service &amp; Complaint Handling</p> <p>Case Ref: 202202005</p>	<p>Complaint that the Council had failed to provide regular and meaningful updates regarding her complaint.</p>	<p>The Council agreed to issue a formal apology and an explanation for the delays she experienced during her complaint. It was also agreed that the formal response would be issued within four weeks of the Ombudsman's decision, and a payment of £100 would be given in recognition of the time and trouble the complainant went to in making her complaint to the Ombudsman.</p>

<p>Porth Cynnal; Extended Support and Complaint Handling</p> <p>Case Ref: 202107463</p>	<p>Following an independent investigation at Stage 2 of the Social Services Complaint Procedure, the complainant contacted the Ombudsman because the Council had failed to implement the recommendations made by the Independent Investigating Officer.</p> <p>In addition, the Council had failed to inform him that a full safeguarding investigation would not be taking place; though the issues identified during the complaint were considered during a Professional Concerns Meeting, under the All Wales Safeguarding Procedures.</p>	<p>By way of a Voluntary Settlement Agreement, the Ombudsman proposed that the Council and the Support Service that was involved in the original complaint, should meet with the complainant and his son (the service-user) formally to explain the safeguarding decision and to discuss any additional measures that would facilitate future learning.</p> <p>It was also agreed that a direct apology was warranted for the lack of communication following the conclusion of the Stage 2 investigation. The Council agreed with this proposal and the necessary actions were undertaken.</p>
<p>Porth Cynnal: Safeguarding Service and Complaint Handling</p> <p>Case Ref: 202107158</p>	<p>Complaint about the Council's failure to close down a safeguarding case promptly, which had repercussions on the complainant's ability to resume specific working responsibilities. The Complainant also stated that her complaint was not appropriately addressed once she had brought these matters to the Council's attention.</p>	<p>The Council accepted full responsibility for the delays the complainant experienced in respect of the safeguarding case, and that this was further compounded by the failure to manage her complaint effectively. Further, the Council accepted it had not fully appreciated the impact that these matters had on the complainant.</p> <p>The Council agreed to provide a corporate apology for the maladministration identified by the Ombudsman and provide financial redress in the sum of £725 in recognition of the injustice that prevented her from returning to her duties within a youth organisation, and for the poor complaints handling – including the time and trouble invested by her, having to pursue her complaint.</p>

### Identifying Lessons from Complaints

Summary of Complaint	Lessons Learned
<p>Complaints regarding delayed disclosures under UK General Data Protection Regulations (UK GDPR) i.e. in respect of Subject Access Requests.</p> <p>NB: Whilst such complaints are recorded against the Customer Contact &amp; ICT Service, as the lead service for Data Protection, delays mainly arose due to wider services failing to provide the information within the timescale allotted under SAR.</p>	<p>Delays in obtaining information from services – Data Protection Officer to remind Service of their statutory duties re SAR.</p>
<p>Complaint regarding delays in processing cases within the Planning Service.</p>	<p>Extensive efforts are being made to address capacity constraints within the service, including the appointment of external consultants to assist and provide a level of resilience moving forward.</p>
<p>Complaints re. missed waste collections.</p>	<p>Every effort is being made to avoid or minimise service disruption, though this may not be possible - depending on the cause of the disruption (i.e. staff absence or problems with the fleet).</p> <p>Moving forward, the team will review the way that assisted waste collections are provided and communicated within the team. A review of handover arrangements for supervisors will also be undertaken.</p> <p>Review carried out to find an alternative approach to waste collections scheduled for Bank Holiday Mondays being adopted during 2023. Elected Members are provided with twice daily updates on any disruptions.</p>

## Appendix 3

<p>Complaint regarding improvement work that was due to take place on a Council-adopted Road.</p>	<p>Apologies issued for failing to complete the work that had been agreed and the Corporate Lead Officer will act as the single point of contact for the complainant until the work is complete.</p>
<p>Complaint about delay in sending information to complainant.</p>	<p>Apologies given for delays, which were due to lack of capacity within the service(s) involved – every effort will be made to identify and implement improvements.</p>
<p>Multi-service complaint which included aspects about transport, though the primary failure arose as a consequence of poor complaints handling.</p>	<p>Transport arrangements will be reviewed as soon as possible; however it is acknowledged that the complaint should have been expedited due to the issues being raised. Further training will be provided to the relevant officers.</p>
<p>Complaint about the Council’s failure to assess information provided by the service-user, which led to additional problems arising for them.</p>	<p>Apology provided and identified that more timely intervention would have assisted the complainant.</p>
<p>Error made by service, which was rectified once complaint was received, and the service became aware of the issue.</p>	<p>Class C exemption should have been applied - records amended (inc. Bill) to reflect the error. Apologies given.</p>
<p>Complaint about the advice provided by the Housing Service and the delay in resolving the complainant’s case.</p>	<p>Apology given for delays and explanation for this - resource problems at the time, which have since been resolved.</p>
<p>Delay in responding to enquiry and subsequent failure to ensure the issue was managed in accordance with the most appropriate protocol.</p>	<p>Training provided re Customer Charter and Complaints Policy</p>





Ask for: Communications  
01656 641150  
Date: 17 August 2023  
Communications  
@ombudsman.wales

---

Cllr. Bryan Davies  
Ceredigion County Council  
By Email only: bryan.davies@ceredigion.go.uk

### **Annual Letter 2022/23**

Dear Councillor Davies

I am pleased to provide you with the Annual letter (2022/23) for Ceredigion County Council which deals with complaints relating to maladministration and service failure, complaints relating to alleged breaches of the Code of Conduct for Councillors and the actions being taken to improve public services.

This letter coincides with my Annual Report – “[A year of change – a year of challenge](#)” – a sentiment which will no doubt resonate with public bodies across Wales. My office has seen another increase in the number of people asking for our help – up 3% overall compared to the previous year, and my office now receives double the number of cases we received a decade ago.

In the last year, I have met with public bodies across Wales – speaking about our casework, our recommendations, and our proactive powers. The current climate will continue to provide challenges for public services, but I am grateful for the positive and productive way in which local authorities continue to engage with my office.

1,020 complaints were referred to us regarding local authorities last year - a reduction of 11% compared to the previous year. During this period, we intervened in (upheld, settled or resolved at an early stage) 13% of local authority complaints.

We received fewer Code of Conduct complaints in 22/23 compared to the previous year, relating to both Principal Councils and Town and Community Councils. My role is such that I do not make final findings about breaches of the Code of Conduct. Instead, where investigations find the most serious concerns, these are referred to the Standards Committee of the relevant local authority, or the



Adjudication Panel for Wales. In 2022/23, the Ombudsman made 12 such referrals – a welcome reduction from 20 last year.

### **Supporting improvement of public services**

Despite the challenges of last year, we have pushed forward with our proactive improvement work and launched a new Service Quality process to ensure we deliver the standards we expect.

Last year, we began work on our second wider Own Initiative investigation – this time looking into carers assessments within local authorities. This investigation will take place throughout the coming year, and we look forward to sharing our findings with all local authorities – not just those involved in the investigation.

The Complaints Standards Authority (CSA) continued its work with public bodies in Wales last year, with more than 50 public bodies now operating our model policy. We've also now provided more than 400 training sessions since we started, with local authorities, in September 2020.

We continued our work to publish complaints statistics into a second year, with data now published twice a year. This data allows us to see information with greater context – for example, last year 25% of Ceredigion County Council's complaints were referred to PSOW.

I would encourage Ceredigion County Council, and specifically your Audit and Governance Committee, to use this data to better understand your performance on complaints and consider how well good complaints handling is embedded throughout the Authority.

Further to this letter can I ask that your Council takes the following actions:

- Present my Annual Letter to the Cabinet and to the Governance and Audit Committee at the next available opportunity and notify me of when these meetings will take place.
- Continue to engage with our Complaints Standards work, accessing training for your staff, fully implementing the model policy, and providing accurate and timely complaints data.
- Inform me of the outcome of the Council's considerations and proposed actions on the above matters at the earliest opportunity.

Yours sincerely,



**Michelle Morris**  
**Public Services Ombudsman**

cc. Eifion Evans, Chief Executive, Ceredigion County Council.  
By Email only: [Eifion.evans@ceredigion.gov.uk](mailto:Eifion.evans@ceredigion.gov.uk)



## **Factsheet**

### Appendix A - Complaints Received

<b>Local Authority</b>	<b>Complaints Received</b>	<b>Received per 1000 residents</b>
Blaenau Gwent County Borough Council	16	0.24
Bridgend County Borough Council	55	0.38
Caerphilly County Borough Council	49	0.28
Cardiff Council*	142	0.39
Carmarthenshire County Council	53	0.28
Ceredigion County Council	35	0.49
Conwy County Borough Council	31	0.27
Denbighshire County Council	32	0.33
Flintshire County Council	65	0.42
Cyngor Gwynedd	36	0.31
Isle of Anglesey County Council	25	0.36
Merthyr Tydfil County Borough Council	17	0.29
Monmouthshire County Council	23	0.25
Neath Port Talbot Council	39	0.27
Newport City Council	42	0.26
Pembrokeshire County Council	44	0.36
Powys County Council	38	0.29
Rhondda Cynon Taf County Borough Council**	54	0.23
Swansea Council	94	0.39
Torfaen County Borough Council	16	0.17
Vale of Glamorgan Council	49	0.37
Wrexham County Borough Council	65	0.48
<b>Total</b>	<b>1020</b>	<b>0.33</b>
* inc 9 Rent Smart Wales		
** inc 2 South Wales Parking Group		



# Ombwdsmon Ombudsman

Cymru · Wales

## Appendix B - Received by Subject

<b>Ceredigion County Council</b>	<b>Complaints Received</b>	<b>% share</b>
Adult Social Services	5	14%
Benefits Administration	0	0%
Children's Social Services	1	3%
Community Facilities, Recreation and Leisure	1	3%
Complaints Handling	14	40%
Covid19	0	0%
Education	1	3%
Environment and Environmental Health	2	6%
Finance and Taxation	0	0%
Housing	3	9%
Licensing	1	3%
Planning and Building Control	2	6%
Roads and Transport	1	3%
Various Other	4	11%
<b>Total</b>	<b>35</b>	

ombwdsmon.cymru  
holwch@ombwdsmon.cymru  
0300 790 0203  
1 Ffordd yr Hen Gae, CF 35 5LJ  
Rydym yn hapus i dderbyn ac  
ymateb i ohebiaeth yn y Gymraeg.

ombudsman.wales  
ask@ombudsman.wales  
0300 790 0203  
1 Ffordd yr Hen Gae, CF 35 5LJ  
We are happy to accept and respond  
to correspondence in Welsh.



# Ombwdsmon Ombudsman

Cymru • Wales

## Appendix C - Complaint Outcomes (\* denotes intervention)

<b>Ceredigion County Council</b>		<b>% Share</b>
Out of Jurisdiction	4	9%
Premature	5	11%
Other cases closed after initial consideration	22	50%
Early Resolution/ voluntary settlement*	13	30%
Discontinued	0	0%
Other Reports - Not Upheld	0	0%
Other Reports Upheld*	0	0%
Public Interest Reports*	0	0%
Special Interest Reports*	0	0%
<b>Total</b>	<b>44</b>	

ombwdsmon.cymru  
holwch@ombwdsmon.cymru  
0300 790 0203  
1 Ffordd yr Hen Gae, CF 35 5LJ  
Rydym yn hapus i dderbyn ac  
ymateb i ohebiaeth yn y Gymraeg.

ombudsman.wales  
ask@ombudsman.wales  
0300 790 0203  
1 Ffordd yr Hen Gae, CF 35 5LJ  
We are happy to accept and respond  
to correspondence in Welsh.



Appendix D - Cases with PSOW Intervention

	No. of interventions	No. of closures	% of interventions
Blaenau Gwent County Borough Council	0	16	0%
Bridgend County Borough Council	5	57	9%
Caerphilly County Borough Council	6	52	12%
Cardiff Council	25	145	17%
Cardiff Council - Rent Smart Wales	1	9	11%
Carmarthenshire County Council	7	60	12%
Ceredigion County Council	13	44	30%
Conwy County Borough Council	5	35	14%
Denbighshire County Council	2	33	6%
Flintshire County Council	5	70	7%
Cyngor Gwynedd	5	33	15%
Isle of Anglesey County Council	5	25	20%
Merthyr Tydfil County Borough Council	1	18	6%
Monmouthshire County Council	1	22	5%
Neath Port Talbot Council	7	38	18%
Newport City Council	8	48	17%
Pembrokeshire County Council	3	45	7%
Powys County Council	8	44	18%
Rhondda Cynon Taf County Borough Council	2	54	4%
Rhondda Cynon Taf County Borough Council - South Wales Parking Group	0	2	0%
Swansea Council	10	99	10%
Torfaen County Borough Council	1	17	6%
Vale of Glamorgan Council	15	53	28%
Wrexham County Borough Council	6	67	9%
<b>Total</b>	<b>141</b>	<b>1086</b>	<b>13%</b>



Appendix E - Code of Conduct Complaints

**Ceredigion County Council**

<b>Decision not to investigate</b>	1
<b>Discontinued</b>	1
<b>No evidence of breach</b>	0
<b>No action necessary</b>	0
<b>Refer to Adjudication Panel</b>	0
<b>Refer to Standards Committee</b>	0
<b>Total</b>	<b>2</b>

Investigations

Page 959

ombwdsmon.cymru  
holwch@ombwdsmon.cymru  
0300 790 0203  
1 Ffordd yr Hen Gae, CF 35 5LJ  
Rydym yn hapus i dderbyn ac  
ymateb i ohebiaeth yn y Gymraeg.

ombudsman.wales  
ask@ombudsman.wales  
0300 790 0203  
1 Ffordd yr Hen Gae, CF 35 5LJ  
We are happy to accept and respond  
to correspondence in Welsh.



## Appendix F - Town/Community Council Code of Complaints

Town/Community Council	Decision not to investigate	Investigations				Total	
		Discontinued	No evidence of breach	No action necessary	Refer to Adjudication Panel		Refer to Standards Committee
Llandysul Community Council	1	0	0	0	0	0	1
Llanfair Clydogau Community Council	0	0	0	0	0	0	0
Llangoedmor Community Council	0	0	0	0	0	0	0
Llansantffraed Community Council	0	0	0	0	0	0	0
New Quay Town Council	0	0	0	0	0	0	0
Trefeurig Community Council	0	0	0	0	0	0	0



## Information Sheet

Appendix A shows the number of complaints received by PSOW for all Local Authorities in 2022/23. These complaints are contextualised by the population of each authority.

Appendix B shows the categorisation of each complaint received, and what proportion of received complaints represents for the Local Authority.

Appendix C shows outcomes of the complaints which PSOW closed for the Local Authority in 2022/23. This table shows both the volume, and the proportion that each outcome represents for the Local Authority.

Appendix D shows Intervention Rates for all Local Authorities in 2022/23. An intervention is categorised by either an upheld complaint (either public interest or non-public interest), an early resolution, or a voluntary settlement.

Appendix E shows the outcomes of Code Of Conduct complaints closed by PSOW related to Local Authority in 2022/23. This table shows both the volume, and the proportion that each outcome represents for the Local Authority.

Appendix F shows the outcomes of Code of Conduct complaints closed by PSOW related to Town and Community Councils in the Local Authority's area in 2022/23. This table shows both the volume, and the proportion that each outcome represents for each Town or Community Council.

ombwdsmon.cymru  
holwch@ombwdsmon.cymru  
0300 790 0203  
1 Ffordd yr Hen Gae, CF 35 5LJ  
Rydym yn hapus i dderbyn ac  
ymateb i ohebiaeth yn y Gymraeg.

ombudsman.wales  
ask@ombudsman.wales  
0300 790 0203  
1 Ffordd yr Hen Gae, CF 35 5LJ  
We are happy to accept and respond  
to correspondence in Welsh.



Summary of Ombudsman cases requiring Early Resolution / Voluntary Settlement

Service(s) & Reference	Summary of Complaint	Agreed Actions
<p>Porth Cynnal; Extended Support and Complaint Handling</p> <p>Case ref: 202200812</p>	<p>Complaint had previously been investigated independently under Stage 2; however, the complainant remained dissatisfied with the outcome.</p> <p>The complainant's main concerns were that the Service failed to undertake appropriate and necessary assessments to determine her relative's degree of learning disabilities, and that it failed to consider vital information provided during a telephone consultation.</p>	<p>The Ombudsman advised that the Council should respond to the additional queries raised by the complainant, following the independent investigation at Stage 2.</p>
<p>Porth Cynnal; Safeguarding and Complaint Handling</p> <p>Case Ref: 202201388</p>	<p>Complaint had previously been investigated independently under Stage 2. This process was unnecessarily protracted, and clarification was sought by the complainant regarding information that was included within the independent investigation report.</p> <p>In particular, the complainant wished to receive further information regarding the case law that was referred to, which the Social Worker had based their decision upon when providing care to the complainant's relative.</p>	<p>The Council agreed to provide additional information surrounding the case law that had been considered by the Social Worker at the time that decisions were made surrounding care provision.</p> <p>In addition, an earlier agreement to award a 'Time and Trouble' payment due to the lengthy complaints process, had been overlooked at the point that the formal response was issued. Therefore the Council honoured its earlier decision in this regard, and acknowledged the additional inconvenience caused by having to approach the Ombudsman to obtain the information requested.</p>
<p>Porth Cynnal; Extended Support</p> <p>Case Ref: 202200853</p>	<p>Complaint that the Council had failed to properly implement the terms of an Early Resolution agreement undertaken in September 2020. This included the Council's failure to fully complete a Carer's Assessment, and for the continuing uncertainty surrounding the terms and arrangements of Respite Care. The Complainant was also aggrieved that the Council appeared to take an inconsistent approach to Direct Payment uplift.</p>	<p>The Council agreed to follow up on the arrangements previously agreed in relation to conducting a Carer's Assessment. An Independent Social Worker was commissioned to complete this task.</p> <p>The Council also agreed to write to the complainant within six weeks to provide a full explanation regarding the Council's approach in respect of providing respite care.</p>

Service(s) & Reference	Summary of Complaint	Agreed Actions
<p>Porth Gofal; Integrated Triage &amp; Assessment and Complaint Handling</p> <p>Case Ref: 202205115</p>	<p>Complaint regarding the Council’s failure to take seriously the concerns raised by the service-user about the care provider that was commissioned to assist her. The Complainant made a complaint directly to the care provider, but their response was incomplete and inaccurate.</p> <p>The Council declined to investigate the complaint because it was satisfied with the care provider's response and that no further action was needed. However, the Ombudsman disagreed – ruling that the Council did not fulfil its duty to accept the complaint in line with the Social Services Complaints Procedure (Wales) Regulations.</p>	<p>The Council agreed to contact the complainant to obtain her complaint and issue a response which was consistent with the statutory complaints procedure.</p>
<p>Porth Cynnal; Extended Support and Complaint Handling</p> <p>Case Ref: 202206613</p>	<p>Complainant contacted the Ombudsman because the Council had failed to investigate the complaints she had submitted in February 2022.</p>	<p>The Council accepted it had failed to investigate the complaints raised and agreed to commence Stage 1 of the complaints process immediately. An apology was also given for this failure in complaints handling and a redress payment was agreed in acknowledgement of the Time and Trouble the complaint went to in order to have her complaint considered.</p>
<p>Porth Gofal; Integrated Triage &amp; Assessment Service &amp; Complaint Handling</p> <p>Case Ref: 202202005</p>	<p>Complaint that the Council had failed to provide regular and meaningful updates regarding her complaint.</p>	<p>The Council agreed to issue a formal apology and an explanation for the delays she experienced during her complaint. It was also agreed that the formal response would be issued within four weeks of the Ombudsman’s decision, and a payment of £100 would be given in recognition of the time and trouble the complainant went to in making her complaint to the Ombudsman.</p>

Service(s) & Reference	Summary of Complaint	Agreed Actions
<p>Porth Cynnal; Extended Support and Complaint Handling</p> <p>Case Ref: 202107463</p>	<p>Following an independent investigation at Stage 2 of the Social Services Complaint Procedure, the complainant contacted the Ombudsman because the Council had failed to implement the recommendations made by the Independent Investigating Officer.</p> <p>In addition, the Council had failed to inform him that a full safeguarding investigation would not be taking place; though the issues identified during the complaint were considered during a Professional Concerns Meeting, under the All Wales Safeguarding Procedures.</p>	<p>By way of a Voluntary Settlement Agreement, the Ombudsman proposed that the Council and the Support Service that was involved in the original complaint, should meet with the complainant and his son (the service-user) formally to explain the safeguarding decision and to discuss any additional measures that would facilitate future learning.</p> <p>It was also agreed that a direct apology was warranted for the lack of communication following the conclusion of the Stage 2 investigation. The Council agreed with this proposal and the necessary actions were undertaken.</p>
<p>Policy, Performance &amp; Public Protection: Complaint Handling</p> <p>Case Ref: 202201302</p>	<p>Complaint regarding the handling of a Freedom of Information request and a lack of response on the part of the Complaints and FOI Service.</p>	<p>Shortcomings in communication were as a consequence of capacity constraints within the Complaints and FOI Service. An apology and a full response was issued to the complainant as agreed by the Ombudsman.</p>
<p>Economy &amp; Regeneration and Complaint Handling</p> <p>Case Ref: 202201085</p>	<p>Complaint regarding the Council's failure to respond to a complaint regarding noise nuisance.</p>	<p>The Council agreed to provide the complainant with an apology and an explanation for the delay in responding to her complaint and to open a new Planning Enforcement investigation file. The Council also agreed to commence an investigation by August 2022 and provide a response to the complainant outlining its findings.</p>
<p>Economy &amp; Regeneration and Complaint Handling</p> <p>Case Ref: 202201596</p>	<p>Complaint regarding a lack of communication and Council's failure to update the complainant regarding her complaint about a retrospective planning application.</p>	<p>The Council acknowledged that it had not provided the complainant with updates on the progression of her complaint. The Council therefore agreed to the Ombudsman's Early Resolution proposal which outlined that it should apologise to the complainant for failing to provide regular and meaningful updates, provide an explanation for why this had happened and to provide the Stage 2 complaint response.</p>

Service(s) & Reference	Summary of Complaint	Agreed Actions
<p>Multi Service – including Complaints Handling</p> <p>Case Ref: 202108019</p>	<p>Complaint that the Council had failed to fully address all the issues referred to in her original complaint. Matters concerning Council Tax had been suitably addressed but her concerns about planning matters remained unanswered.</p>	<p>The Council agreed to provide a formal written response regarding the planning issues within a specific timeframe.</p>
<p>Porth Cynnal: Safeguarding Service and Complaint Handling</p> <p>Case Ref: 202107158</p>	<p>Complaint about the Council's failure to close down a safeguarding case promptly, which had repercussions on the complainant's ability to resume specific working responsibilities. The Complainant also stated that her complaint was not appropriately addressed once she had brought these matters to the Council's attention.</p>	<p>The Council accepted full responsibility for the delays the complainant experienced in respect of the safeguarding case, and that this was further compounded by the failure to manage her complaint effectively. Further, the Council accepted it had not fully appreciated the impact that these matters had on the complainant.</p> <p>The Council agreed to provide a corporate apology for the maladministration identified by the Ombudsman and provide financial redress in the sum of £725 in recognition of the injustice that prevented her from returning to her duties within a youth organisation, and for the poor complaints handling – including the time and trouble invested by her, having to pursue her complaint.</p>
<p>Multi Service – including Complaints Handling</p> <p>Case Ref: 202108379</p>	<p>Complaint regarding the Council's failure to adequately deal with a noise nuisance issue he had raised about a business operating from his neighbour's home.</p>	<p>The Council accepted it had encountered delays in dealing with the complaint and agreed to the proposal outlined by the Ombudsman. This included issuing a formal apology and explanation for the complaint handling failures. Assurances were also given that processes were being reviewed to prevent such shortcomings in the future. It was also agreed that a formal Stage 2 response would be issued to the complainant within a specific timeframe.</p>

This page is intentionally left blank

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14/11/2023

**Title:** Annual Report of Compliments, Complaints, and Freedom of Information (2022-2023)

**Purpose of the report:** To provide feedback from the Corporate Resources Overview and Scrutiny Committee in relation to the Annual Report of Compliments, Complaints, and Freedom of Information (2022-2023)

### **Background:**

Members of the Corporate Resources Overview and Scrutiny Committee considered the Compliments, Complaints, and Freedom of Information Annual Report (2022-2023).

Members were pleased that an additional appendix had been included in the report as previously requested regarding the Lessons Learned as a consequence of (corporate) complaints.

Members were also pleased that this was the fourth consecutive report where there had been no Ombudsman investigations commenced or formal reports issued in relation to complaints made against the Council. Whilst there were fewer Ombudsman referrals during this reporting year, the Council had a consistently high rate of Early Resolution/Voluntary Settlements.

It was suggested that a further half yearly report will be presented to the Committee at its 22<sup>nd</sup> January 2024 meeting which will include a breakdown of complaints per service.

### **Recommendation(s):**

Following discussion, Committee Members recommend that Council:

1. receive and endorse the Annual Report.

### **Reasons for decision:**

To ensure Members are aware of the performance of the Authority in respect of Compliments, Complaints and Freedom of Information.

**Councillor Rhodri Evans**  
***Chairman of the Corporate Resources Overview and Scrutiny Committee***

This page is intentionally left blank

## CYNGOR SIR CEREDIGION COUNTY COUNCIL

**Report to:** Council

**Date of meeting:** 14<sup>th</sup> December 2023

**Title:** Notification of appointment of Interim Corporate Lead Officer- Porth Cynnal and Statutory Director of Social Services for up to a 6 month period

**Purpose of the report:** To notify Council of the appointment of an Interim Corporate Lead Officer - Porth Cynnal and Statutory Director of Social Services for up to a 6 month period

**For:** Information

**Cabinet Portfolio and Cabinet Member:**  
Councillor Bryan Davies, Leader of the Council

### **Background**

Following the departure of Mr Ricky Cooper, the post of Corporate Lead Officer – Porth Cynnal (and Statutory Director of Social Services) has recently become vacant. This is a statutory and critical role for the Council.

There are currently well documented recruitment challenges in the social care sector across the UK and at all levels. Following its implementation at the beginning of 2022, the Through Age and Wellbeing programme continues to develop and the need for an experienced leader to be able to immediately continue this progress is seen a critical. The post of Corporate Lead Officer – Porth Cynnal also holds the responsibility of being the Council's Statutory Director of Social Services, a role required under the Social Services and Well-Being (Wales) Act 2014 tasked with providing strategic leadership to effectively deliver care and support services.

Taking these issues into consideration a proposal to appoint an interim Corporate Lead Officer – Porth Cynnal for up to a 6 month period, via a recruitment agency was accepted by the Appointments Panel, made up of the Leader of the Council, Councillor Bryan Davies along with both Opposition Group Leaders, Councillors Elizabeth Evans and Gareth Lloyd.

The Local Authorities (Standing Orders) (Wales) Regulations (2006) (as amended) Schedule 1, as contained within Document H, Officer Employment Procedure Rules, of the Council's Constitution (see Appendix A), allows for the appointment of a chief officer under an interim arrangement, provided that it lasts for a period of no longer than 12 months.

### **Appointment of Interim Corporate Lead Officer: Porth Cynnal (and Statutory Director of Social Services)**

On Thursday, 16<sup>th</sup> November 2023, an Appointments Panel made up of Councillor Bryan Davies, Councillor Elizabeth Evans and Councillor Gareth Lloyd as Group



Leaders, considered the re-engagement of Ms Audrey Somerton-Edwards, a qualified social worker with significant senior management experience.

After consideration it was resolved to engage with Ms Somerton-Edwards' services for up to a period of up to 6 months as Interim Corporate Lead Officer – Porth Cynnal and Statutory Director of Social Services on an agency basis. The engagement in this role will start on 13<sup>th</sup> November 2023.

**Recruitment to permanent role of Corporate Lead Officer - Porth Cynnal (and Statutory Director of Social Services)**

The interim appointment will allow for a comprehensive recruitment campaign to be undertaken for the permanent appointment of a Corporate Lead Officer - Porth Cynnal and Statutory Director of Social Services.

The appointment process will be as prescribed in Part 3.3 (Table 3) in the Constitution which requires that a Shortlisting Committee be established of 7 Elected Members. The Committee is required to produce a shortlist of qualified applicants for the role, to interview the applicants if needs be before recommending their appointment to Council for approval.

The recruitment campaign has already commenced and the Shortlisting Committee will be convened shortly.

**Wellbeing of Future Generations:**

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

No – not a policy or service change.

**Summary of Integrated Impact Assessment:**

<b>Long term:</b>	N/A
<b>Collaboration:</b>	N/A
<b>Involvement:</b>	N/A
<b>Prevention:</b>	N/A
<b>Integration:</b>	N/A

**Recommendation(s):**

To note the engagement of Ms Audrey Somerton-Edwards services as Interim Corporate Lead Officer - Porth Cynnal and Statutory Director of Social Services on an agency basis for up to a 6 month period from 13<sup>th</sup> November 2023.

**Reasons for decision:**

To notify Council of the appointment of an Interim Corporate Lead Officer- Porth Cynnal and Statutory Director of Social Services.

**Overview and Scrutiny:**

N/A

**Policy Framework:**

Council's Constitution.

**Corporate Well-being Objectives:**

To support the delivery of the Council's Corporate Priorities:

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

**Finance and Procurement implications:**

Ms Somerton-Edwards has been engaged on an agency basis, the rate needs to be classed as commercially sensitive. Consequently, the relevant information is contained in an exempt item (Appendix B - EXEMPT)

**Legal Implications:**

None.

**Staffing implications:**

Appointment of an Interim Corporate Lead Officer - Porth Cynnal and Statutory Director of Social Services for up to a period of up to 6 months.

**Property / asset implications:**

None.

**Risk(s):**

- Failure to appoint to a Statutory Director of Social Services will result in the Council not complying with Section 144 of the Social Service and Well-being (Wales) Act 2014, which will alert Care Inspectorate Wales, the social care sector Regulator.
- Failure to appoint an experienced social care senior manager will negatively impact the development of the Through age and Well-being programme at a critical time

**Statutory Powers:**

- Local Authorities (Standing Orders) (Wales) Regulations 2006 (as amended) Schedule 1, Part 1;
- Section 144 of the Social Service and Well-being (Wales) Act 2014.

**Background Papers:**

None.

**Appendices:**

- a) Officer Employment Procedure Rules in Document H;
- b) Exempt Item.

**Reporting Officer:**

Eifion Evans, Chief Executive

**Date:**

16<sup>th</sup> November 2023

This page is intentionally left blank

# OFFICER EMPLOYMENT PROCEDURE RULES

---



Author and service:

Date approved by Council: 21 March 2019

Publication date:

Review Date: March 2021

# Officer Employment Procedure Rules

Page

## Table of Contents

EXPLANATORY .....	2
INTERPRETATION .....	2
1. RECRUITMENT AND APPOINTMENT .....	2
2. RECRUITMENT OF CHIEF EXECUTIVE, CHIEF OFFICERS AND DEPUTY CHIEF OFFICERS (Chief Executive, Corporate Directors and Corporate Lead Officers) .....	4
3. RECRUITMENT OF CHIEF EXECUTIVE, CHIEF OFFICERS AND DEPUTY CHIEF OFFICERS (Chief Executive, Corporate Directors and Corporate Lead Officers): .....	5
4. DISCIPLINARY PROCEDURE .....	6

## **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**

Ceredigion County Council Constitution - Part 4 Rules of Procedure

PART 4 DOCUMENT H Officer Employment Rules

Updated July 2023

2

## 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 (Chief Executive, Corporate Directors and Corporate Lead 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.

2.5.3 a Shortlisting Committee made up of 7 Councillors and is politically balanced is arranged to determine the shortlist and to interview those included on the shortlist. The Shortlisting Committee will be nominated by the Group Leaders.

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.

2.9 Paragraphs 2.1 to 2.6 above will also apply where the Council proposes to permanently appoint a Chief Officer at any level of remuneration.



**3. RECRUITMENT OF CHIEF EXECUTIVE, CHIEF OFFICERS AND DEPUTY CHIEF OFFICERS (Chief Executive, Corporate Directors and Corporate Lead Officers):**

- **WHERE REMUNERATION IS GREATER THAN £100,000 FOR A PERIOD NO LONGER THAN 12 MONTHS; OR**
- **WHERE REMUNERATION IS LESS THAN £100,000 FOR A PERIOD NO LONGER THAN 24 MONTHS**

Where the Council proposes to appoint a Chief Officer (as defined above):

- where remuneration is greater than £100,000 for a period no longer than 12 months; or
- where remuneration is less than £100,000 for a period no longer than 24 months,

the Council will:

3.1 draw up a statement specifying:

3.1.1 the duties of the officer concerned; and

3.1.2 any qualifications or qualities to be sought in the person to be appointed;

3.2 make arrangements for the post to be internally and / or 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

3.3 make arrangements for a copy of the statement mentioned above to be sent to any person on request.

3.4 Where a post has been advertised the Council must –

3.4.1 interview all qualified applicants for the post, or

3.4.2 select a short-list of qualified applicants and interview those included on the short list.

3.4.3 an Appointments Panel made up of the Council's Group Leaders (or their nominated representatives) is arranged to interview those included on the short list

3.4.4 the Appointments Panel will appoint the successful candidate and determine their remuneration.

3.5 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 3.2 above.

3.6 The appointment of a Chief Executive, Chief Officers and Deputy Chief Officers (as defined above) where the remuneration is greater than £100,000 for a period no longer than 12 months; or where the remuneration less than £100,000 for a period no longer than 24 months, must be reported to the next available Full Council meeting, which will also include their remuneration and period of appointment.

#### **4. 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**

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.

This page is intentionally left blank

Document is Restricted



This page is intentionally left blank

## **CYNGOR SIR CEREDIGION COUNTY COUNCIL** **2023/2024**

### **CYNGHORWYR BLAENLLAW / PROMINENT COUNCILLORS**

**Arweinydd y Cyngor /**  
Leader of the Council

**Cyng./ Cllr. Bryan Davies**

**Dirprwy Arweinydd y Cyngor /**  
Deputy Leader of the Council

**Cyng./ Cllr. Alun Williams**

**Cadeirydd y Cyngor /**  
Chairman of the Council

**Cyng./ Cllr. Maldwyn Lewis**

**Is-Gadeirydd y Cyngor /**  
Vice-Chairman of the Council

**Cyng./ Cllr. Keith Evans**

### **GRWP Y WEITHREDIAETH / EXECUTIVE GROUP:**

**Plaid Cymru / The Party of Wales (21 Aelod / Members)**

### **GRWPIAU ANWEITHREDOL / NON EXECUTIVE GROUPS:**

**Aelodau Annibynnol / Independents (9 Aelod / Members)**

**Democratiaid Rhyddfrydol / Welsh Liberal Democrats (7 Aelod / Members)**

**Heb-Grŵp / Un-Grouped (1 Aelod / Member)**

**AELODAETH Y CABINET A PHWYLLGORAU'R CYNGOR /**  
**MEMBERSHIP OF THE CABINET AND COMMITTEES OF THE**  
**COUNCIL**

**Y CABINET / THE CABINET**

**Y Cynghorwyr / Councillors**

**Portffolio / Portfolio**

**Cyng./Cllr. Bryan Davies**

**Gwasanaethau Democrataidd, Polisi,  
Perfformiad a Phobl a Threfniadaeth**  
Democratic Services, Policy, Performance and  
People and Organisation

**Cyng./Cllr. Alun Williams**

**Gydol Oes a Llesiant**  
Through Age and Wellbeing

**Cyng./Cllr. Catrin M.S. Davies**

**Diwylliant, Hamdden a Gwasanaethau  
Cwsmeriaid**  
Culture, Leisure and Customer Services

**Cyng./Cllr. Clive Davies**

**Yr Economi ac Adfywio**  
Economy and Regeneration

**Cyng./Cllr. Gareth Davies**

**Gwasanaethau Cyllid a Chaffael**  
Finance and Procurement Services

**Cyng./Cllr. Keith Henson**

**Priffyrdd a Gwasanaethau Amgylcheddol a  
Rheoli Carbon**  
Highways and Environmental Services and  
Carbon Management

**Cyng./Cllr. Wyn Thomas**

**Ysgolion, Dysgu Gydol Oes a Sgiliau**  
Schools, Lifelong Learning and Skills

**Cyng./Cllr. Matthew Vaux**

**Partneriaethau, Gwasanaethau Tai, Cyfreithiol  
a Llywodraethu a Diogelu'r Cyhoedd**  
Partnerships, Housing, Legal and Governance  
and Public Protection

## **PWYLLGORAU / COMMITTEES**

### **PWYLLGOR RHEOLI DATBLYGU / DEVELOPMENT CONTROL COMMITTEE (15)**

**Cadeirydd / Chairman:**                   **Cyngh./Cllr. Rhodri Davies**  
**Is Gadeirydd / Vice Chairman:**   **Cyngh./Cllr. Ifan Davies**

#### **Plaid Cymru / The Party of Wales (7)**

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

#### **Aelodau Annibynnol / Independents (4)**

Ifan Davies, Marc Davies, Rhodri Evans, Gareth Lloyd.

#### **Democratiaid Rhyddfrydol / Welsh Liberal Democrats (3)**

Meirion Davies, Raymond Evans, Sian Maehrlein.

#### **Aelod Ddi-Grŵp / Un-Grouped Member (1)**

Hugh Hughes

### **PWYLLGOR TRWYDDEDU / LICENSING COMMITTEE (11)**

**Cadeirydd / Chairman:**                   **Cyngh./Cllr. Paul Hinge**  
**Is Gadeirydd / Vice Chairman:**   **Cyngh./Cllr. Gwyn James**

#### **Plaid Cymru / The Party of Wales (6)**

Shelley Childs, Amanda Edwards, Endaf Edwards, Eryl Evans, Ann Bowen Morgan, Caryl Roberts.

#### **Aelodau Annibynnol / Independents (3)**

Keith Evans, Wyn Evans, Gwyn James.

#### **Democratiaid Rhyddfrydol / Welsh Liberal Democrats (2)**

Paul Hinge, John Roberts.

**PWYLLGOR LLYWODRAETHU AC ARCHWILIO / GOVERNANCE AND AUDIT COMMITTEE (6)**

**Cadeirydd / Chairman:** Mr. Alan Davies  
**Is Gadeirydd / Vice Chairman:** Mr. Andrew Blackmore

**Plaid Cymru / The Party of Wales (3)**  
Keith Henson, Maldwyn Lewis, Mark Strong.

**Aelodau Annibynnol / Independents (2)**  
Gareth Lloyd, Wyn Evans.

**Democratiaid Rhyddfrydol / Welsh Liberal Democrats (1)**  
Elizabeth Evans.

**Aelodau Lleyg / Lay Members**  
Mr. Alan Davies, Mr. Andrew Blackmore, Ms Caroline Whitby.

**PWYLLGOR GWASANAETHAU DEMOCRATAIDD / DEMOCRATIC SERVICES COMMITTEE (6)**

**Cadeirydd / Chairman:** **Cyngh.** / Cllr. Elizabeth Evans  
**Is Gadeirydd / Vice Chairman:** **Cyngh.** / Cllr. Gareth Lloyd

**Plaid Cymru / The Party of Wales (3)**  
Endaf Edwards, Caryl Roberts, Mark Strong.

**Aelodau Annibynnol / Independents (2)**  
Gwyn James, Gareth Lloyd.

**Democratiaid Rhyddfrydol / Welsh Liberal Democrats (1)**  
Elizabeth Evans.

**PWYLLGOR IAITH / LANGUAGE COMMITTEE (7)**

**Cadeirydd/** Chairman: **Cyngh./Cllr.** Catrin M.S. Davies  
**Is Gadeirydd /** Vice Chairman: **Cyngh./Cllr.** Chris James

**Plaid Cymru / The Party of Wales (3)**

Catrin M.S. Davies, Rhodri Davies, Chris James.

**Aelodau Annibynnol / Independents (2)**

Gwyn Wigley Evans, Gareth Lloyd.

**Democratiaid Rhyddfrydol / Welsh Liberal Democrats (2)**

John Roberts, (1 sedd wag/vacant seat).

**PWYLLGOR RHESTR FER / SHORTLISTING COMMITTEE (8)**  
**(AD HOC)**

**PWYLLGOR MOESEG A SAFONAU / ETHICS AND STANDARDS COMMITTEE**  
**(9)**

**Cadeirydd /** Chairman: Ms. Caryl Davies  
**Is-Gadeirydd/** Vice Chairman: Mr. John Weston

**Aelodau Annibynnol / Independent Members (5):**

Mr. Alan Davies, Ms. Caryl Davies, Ms. Carol Edwards, Ms. Gail Storr and Mr. John Weston

**Aelodau Etholedig / Elected Members (2):**

**Y Cynghorwyr /** Councillors Gwyn Wigley Evans, Caryl Roberts.

**Aelodau Etholedig (Cynrychiolwyr y Cynghorau Cymuned) / Elected Members**  
**(Community Council Representatives) (2):**

**Y Cynghorwyr /** Councillors Delyth James, Jan Culley.

## **PWYLLGORAU TROSOLWG A CHRAFFU / OVERVIEW and SCRUTINY COMMITTEES**

### **PWYLLGOR CYMUNEDAU FFYNIANNUS / THRIVING COMMUNITIES COMMITTEE (13)**

**Cadeirydd / Chairman:** **Cyngh./Cllr. Gwyn Wigley Evans**  
**Is Gadeirydd / Vice Chairman:** **Cyngh./Cllr. Marc Davies**

#### **Plaid Cymru / The Party of Wales (6)**

Shelley Childs, Gethin Davies, Rhodri Davies, Chris James, Maldwyn Lewis, Ann Bowen Morgan, Carl Worrall.

#### **Aelodau Annibynnol / Independents (3)**

Marc Davies, Gwyn Wigley Evans, Rhodri Evans.

#### **Democratiaid Rhyddfrydol / Welsh Liberal Democrats (3).**

Meirion Davies, Sian Maehrlein, John Roberts.

### **PWYLLGOR CYMUNEDAU IACHACH / HEALTHIER COMMUNITIES COMMITTEE (13)**

**Cadeirydd/ Chairman:** **Cyngh/Cllr. Caryl Roberts**  
**Is-Gadeirydd/ Vice-Chairman:** **Cyngh/Cllr. Ceris Jones**

#### **Plaid Cymru / The Party of Wales (7)**

Amanda Edwards, Eryl Evans, Ceris Jones, Mark Strong, Ann Bowen Morgan, Caryl Roberts, Carl Worrall.

#### **Aelodau Annibynnol / Independents (3)**

Keith Evans, Gwyn James, Wyn Evans.

#### **Democratiaid Rhyddfrydol / Welsh Liberal Democrats (3)**

Elaine Evans, Sian Maehrlein, John Roberts.

**PWYLLGOR CYMUNEDAU SY'N DYSGU / LEARNING COMMUNITIES  
COMMITTEE (13)**

**Cadeirydd/** Chairman: **Cyngh./**Cllr. Endaf Edwards  
**Is Gadeirydd/Vice Chairman:** **Cyngh./**Cllr. Chris James

**Plaid Cymru / The Party of Wales (7)**

Rhodri Davies, Amanda Edwards, Endaf Edwards, Eryl Evans, Chris James, Ann Bowen Morgan, Mark Strong.

**Aelodau Annibynnol / Independents (3)**

Euros Davies, Marc Davies, Gareth Lloyd.

**Democratiaid Rhyddfrydol / Welsh Liberal Democrats (3)**

Meirion Davies, Elizabeth Evans, Paul Hinge.

**Aelodau Lleyg / Lay Members**

Ms. Cathryn Charnell-White, Mr. Jonny Greatrex.

**PWYLLGOR ADNODDAU CORFFORAETHOL / CORPORATE RESOURCES  
COMMITTEE (13)**

**Cadeirydd /** Chairman: **Cyngh./**Cllr. Rhodri Evans  
**Is-Gadeirydd / Vice Chairman:** **Cyngh./**Cllr. Elaine Evans

**Plaid Cymru / The Party of Wales (6)**

Endaf Edwards, Eryl Evans, Ceris Jones, Ann Bowen Morgan, Caryl Roberts, Carl Worrall.

**Aelodau Annibynnol / Independents (3)**

Euros Davies, Ifan Davies, Rhodri Evans.

**Democratiaid Rhyddfrydol / Welsh Liberal Democrats (3)**

Elaine Evans, Raymond Evans, Paul Hinge.

**Aelod Ddi-Grŵp / Un-Grouped Member (1)**

Hugh Hughes



**PWYLLGOR CYDLYNU TROSOLWG A CHRAFFU / OVERVIEW AND SCRUTINY  
COORDINATING COMMITTEE (10)**

**Cadeirydd /Chairman:**                      **Cyngh/Cllr. Keith Evans**  
**Is Gadeirydd / Vice Chair:**              **Cyngh/Cllr. Wyn Evans**

**Ynghyd â / together with:**

Marc Davies, Endaf Edwards, Gwyn Evans, Elaine Evans, Rhodri Evans, Chris James, Ceris Jones, Caryl Roberts,

**(Cadeiryddion ac Is-Gadeiryddion y Pwyllgorau Trosolwg a Chraffu  
Chairmen and Vice-Chairmen of the Overview and Scrutiny Committees)**

**Mae'r Cynghorwyr uchod hefyd yn aelodau o'r Pwyllgor Ymddiriedolwyr  
Elusennau / The Councillors above are also members of the Charity Trustee  
Committee.**