

28<sup>th</sup> May 2014

Dear Councillor

**CABINET**

You are requested to attend a **Cabinet** meeting to be held at **The Council Chamber, County Hall, Rhadyr, Usk, NP15 1GA on Wednesday, 4<sup>th</sup> June 2014, at 2.00 p.m.**

**AGENDA**

1. Apologies for Absence
2. Declarations of Interest
3. Consideration of reports from Select Committees (none)
4. To consider the following reports (copies attached):
  - (i) **TERMS OF REFERENCE FOR SCHOOLS BUDGET FORUM**  
Division/Wards Affected: Countywide  
Purpose: To agree the proposed changes to the terms of reference for the school budget forum, including membership.  
Author: Nikki Wellington, Finance Manager, Directorate for Children and Young People  
Contact Details: [nicolawellington@monmouthshire.gov.uk](mailto:nicolawellington@monmouthshire.gov.uk)
  - (ii) **BREAKFAST CLUB PROVISION**  
Division/Wards Affected: Countywide  
Purpose: A full review of the operating of Breakfast Clubs and proposals for future provision to ensure sustainability.  
Author: Nikki Wellington, Finance Manager, Directorate for Children and Young People  
Contact Details: [nicolawellington@monmouthshire.gov.uk](mailto:nicolawellington@monmouthshire.gov.uk)

(iii) **WELSH LANGUAGE MONITORING REPORT 2013/14**

Division/Wards Affected: All

Purpose: To ask Cabinet to note the contents of the attached Welsh Language Monitoring Report 2013 – 2014 that has been produced in line with the requirements of the Welsh Language Act 1993. The Monitoring report details our compliance with the action plan in our Welsh Language Scheme and records all evidence of good practice carried out by the Council over that 12 month period..

Authors: Alan Burkitt, Policy Officer Equalities and Welsh Language

Contact Details: [alanburkitt@monmouthshire.gov.uk](mailto:alanburkitt@monmouthshire.gov.uk)

(iv) **MONMOUTH SECTION 106 FUNDING**

Division/Wards Affected: Monmouth

Purpose: To recommend to Council the setting up of a Capital Budget in 2014/15 for the Monmouth Off Site Open Space/Recreation Funding; and to decide on the allocation of grants to specific projects from the funding available.

Author: Mike Moran, Community Infrastructure Coordinator

Contact Details: [mikemoran@monmouthshire.gov.uk](mailto:mikemoran@monmouthshire.gov.uk)

(v) **SAFEGUARDING AND CHILD PROTECTION POLICY NOVEMBER 2013**

Division/Wards Affected: All

Purpose: The Safeguarding Children in Education Policy November 2012 was signed off by cabinet on 23rd November 2012. It is good practice to review new policies within 12 months of implementation and consultation took place across agencies in August to September 2013 which was followed by a revised policy being developed in November 2013. The revised policy, Safeguarding and Child Protection Policy November 2013, contains minor amendments and additions which were based on consultation feedback.

Authors: Jane Rodgers, Safeguarding Service Manager

Contact Details: [janerodgers@monmouthshire.gov.uk](mailto:janerodgers@monmouthshire.gov.uk)

(vi) **REVISED BUDGET MONITORING ARRANGEMENTS 2014/15**

Division/Wards Affected: Countywide

Purpose: A review of the budget monitoring arrangements for 2014/15 with the intention to improve the timeliness and access to budget monitoring information for Cabinet and Select Committees.

Authors: Mark Howcroft, Assistant Head of Finance/Joy Robson, Head of Finance

Contact Details: [markhowcroft@monmouthshire.gov.uk](mailto:markhowcroft@monmouthshire.gov.uk)

(vii) **REVENUE BUDGET OUTTURN 2013/14**

Division/Wards Affected: All authority

Purpose: The purpose of this report is to provide Members with information on the revenue outturn position of the Authority at the end of the 2013/14 financial year

Authors: Joy Robson, Head of Finance

Contact Details: [joyrobson@monmouthshire.gov.uk](mailto:joyrobson@monmouthshire.gov.uk)

(viii) **CAPITAL OUTTURN REPORT 2013/14**

Division/Wards Affected: All

Purpose: The purpose of this report is to present the draft capital outturn expenditure for 2013/14 compared to the total budget for the year. The report identifies and provides explanations for variances against budget and the funding implications of the draft outturn position. The report also recommends slippage to be carried forward into 2014/15. Members are asked to note that the figures provided may be subject to change during the audit process.

Authors: Joy Robson, Head of Finance

Contact Details: [joyrobson@monmouthshire.gov.uk](mailto:joyrobson@monmouthshire.gov.uk)

(ix) **WELSH CHURCH FUND WORKING GROUP**

Division/Wards Affected: All

Purpose: The purpose of this report is to make recommendations to Cabinet on the Schedule of Applications 2014/15, meeting 1 on the 10th April 2014.

Authors: David Jarrett, Central Management Accountant

Contact Details: [davejarrett@monmouthshire.gov.uk](mailto:davejarrett@monmouthshire.gov.uk)

- (x) To consider whether to exclude the press and public from the meeting during consideration of the following item of business in accordance with Section 100A of the Local Government Act 1972, as amended, on the grounds that it involves the likely disclosure of exempt information as defined in Paragraphs 1, 14 and 16 of Part 4 of Schedule 12A to the Act.

(xi) **CAPITA GWENT CONSULTANCY PENSION ISSUE**

Division/Wards Affected: All employers participating in the Greater Gwent (Torfaen) Pension Fund

Author: **Graeme Russell Head of HR and Pensions TCBC/Joy Robson, Head of Finance MCC**

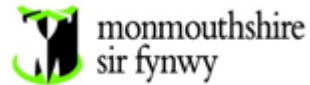
Contact Details: [joyrobson@monmouthshire.gov.uk](mailto:joyrobson@monmouthshire.gov.uk)

Yours sincerely,

**Paul Matthews**  
**Chief Executive**

**CABINET PORTFOLIOS 2013**

<b>County Councillor</b>	<b>Area of Responsibility</b>	<b>Partnership and External Working</b>	<b>Ward</b>
P.A. Fox (Leader)	<b>Organisational Development</b> Whole Council Performance, Whole Council Strategy Development, Corporate Services, Democracy.	WLGA Council WLGA Coordinating Board Local Service Board	Portskewett
R.J.W. Greenland (Deputy Leader)	<b>Innovation, Enterprise &amp; Leisure</b> Innovation Agenda, Economic Development, Tourism, Social Enterprise, Leisure, Libraries & Culture, Information Technology, Information Systems.	WLGA Council Capital Region Tourism	Devauden
P.A.D. Hobson (Deputy Leader)	<b>Community Development</b> Community Planning/Total Place, Equalities, Area Working, Citizen Engagement, Public Relations, Sustainability, Parks & Open Spaces, Community Safety.	Community Safety Partnership Equalities and Diversity Group	Larkfield
E.J. Hackett Pain	<b>Schools and Learning</b> School Improvement, Pre-School Learning, Additional Learning Needs, Children's Disabilities, Families First, Youth Service, Adult Education.	Joint Education Group (EAS) WJEC	Wyesham
G. Howard	<b>Environment, Public Services &amp; Housing</b> Development Control, Building Control, Housing Service, Trading Standards, Public Protection, Environment & Countryside.	SEWTA SEWSPG	Llanelly Hill
G. Burrows	<b>Social Care &amp; Health</b> Adult Social Services including Integrated services, Learning disabilities, Mental Health. Children's Services including Safeguarding, Looked after Children, Youth Offending, Health and Wellbeing.	Gwent Frailty Board Older Persons Strategy Partnership Group	Mitchel Troy
P. Murphy	<b>Resources</b> Accountancy, Internal Audit, Estates & Property Services, Procurement, Human Resources & Training, Health & Safety.	Prosiect Gwrydd Wales Purchasing Consortium	Caerwent
S.B. Jones	<b>County Operations</b> Highways, Transport, Traffic & Network Management, Waste & Recycling, Engineering, Landscapes, Flood Risk.	SEWTA Prosiect Gwrydd	Goytre Fawr



*Connecting with people*

### **Our outcomes**

The Council has agreed five whole population outcomes. These are *People in Monmouthshire will:*

- Live safely and are protected from harm
- Live healthy and fulfilled lives
- Benefit from education, training and skills development
- Benefit from an economy which is prosperous and supports enterprise and sustainable growth
- Benefit from an environment that is diverse, vibrant and sustainable

### **Our priorities**

- Schools
- Protection of vulnerable people
- Supporting enterprise, job creation and entrepreneurship

### **Values**

- \* **Openness:** we aspire to be open and honest to develop trusting relationships.
- \* **Fairness:** we aspire to provide fair choice, opportunities and experiences and become an organisation built on mutual respect.
- \* **Flexibility:** we aspire to be flexible in our thinking and action to become an effective and efficient organisation.
- \* **Teamwork:** we aspire to work together to share our successes and failures by building on our strengths and supporting one another to achieve our goals.





**SUBJECT: Terms of Reference for School Budget Forum.**

**DIRECTORATE: Children and Young People Directorate**

**MEETING: Cabinet**

**DATE: 4<sup>th</sup> June 2014**

**DIVISION/WARDS AFFECTED: Countywide**

**1. PURPOSE:**

To agree the proposed changes to the terms of reference for the school budget forum, including membership.

**2. RECOMMENDATIONS:**

2.1 To agree the changes proposed in appendix 1.

**3. BACKGROUND AND KEY ISSUES:**

3.1 The school budget forum is the statutory consultative body that oversees and agrees changes to the budget and financing of schools.

3.2 They are regulated under the Schools Forums (Wales) Regulations 2003.

3.3 Monmouthshire has operated a very successful school budget forum since 2003. The original terms of reference were agreed by Cabinet at this time; on reviewing these there are some areas that need to be updated to ensure that they reflect our school community.

- 3.4 The school budget forum meets 6 times a year and is consulted on any changes to the funding formula for schools. Members of the forum are integral to working groups established to discuss proposed changes.
- 3.5 Recent changes discussed include the funding for small schools, energy funding and new service level agreements for schools.
- 3.6 The membership is representative of all our schools, and membership is made up from school representatives and governors and also includes a parent governor.
- 3.7 25% of the membership are non-school members and represent the portfolio cabinet member, CYP select committee, Church and Unions.
- 3.8 Attached in appendix 1 is a copy of the proposed changes.
- 3.9 Attached in appendix 2 are the proposed new terms of reference.

**4. REASONS:**

To update the terms of reference to reflect our school community.

**5. RESOURCE IMPLICATIONS:**

There is a small budget of £200 to support travelling expenses of members. There will be no impact on this budget.

**6. SUSTAINABLE DEVELOPMENTS AND EQUALITY IMPLICATIONS:**

Attached in Appendix 3

**7. EQUALITY IMPLICATIONS:**

Attached in Appendix 4



**8. CONSULTEES:**

Cabinet  
Leadership Team

**9. AUTHOR:**

Nikki Wellington – Finance Manager – Directorate for Children and Young People.

**10. CONTACT:** Email: [nicolawellington@monmouthshire.gov.uk](mailto:nicolawellington@monmouthshire.gov.uk) Tel: 01633 644549

Proposed Changes to the terms of reference for School Budget Forum.

Appendix 1

Current	Proposed
Primary School Membership: 8 being 4 Headteachers and 4 Governors.	Move to 7 – reducing governors by 1. To allow the PRS to be represented.
Membership for the PRS: Nil.	Move to 1 School staff.
Non School Membership should be 25% of total membership. We are at 25% this covers the following members: Union Representative Diocesan Representative Cabinet Member Select Committee Chief Officer.	Membership should be sought from: Diocesan Board of Education of the Church in Wales, and the bishop of any Roman Catholic Church, for the Diocesan Representative. Teaching and other trade unions for the Union Representative. CYP select Committee members for the Select Committee Representative. Cabinet Member. Chief Officer.
Currently membership can only cease if a member resigns or ceases to act in the capacity to which they were appointed.	Add the same clause as in Governor meetings that apologies have to be accepted. If they are not accepted, and the member has been absence for a period of time,(same as in Governor regs) their membership may be terminated.
Meetings will be held in County Hall Cwmbran.	Members will decide on the meeting venue.
Meetings are open to the press and public.	This will remain, but may need to consider the exclusion of press and public for some items.
Quorum is 40% - (8 members).	Quorum will be 50% - (10 members).
Substitute members shall not be part of the quorum and will not have voting rights.	Substitute members will be part of the quorum and will have voting rights.
The LA will consult on contracts for supplies and services that exceed the prescribed threshold for procurement. The current threshold is £154,477.	The LA will consult the forum on contracts for supplies and services that exceed the prescribed threshold for procurement. The current threshold is £173,934.

MONMOUTHSHIRE COUNTY COUNCILSCHOOL BUDGET FORUM **APPENDIX 2**

Terms of reference updated June 2014.

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## Section 1 – Constitution of the School Budget Forum.

### 1.1 Election and appointment of school members:

- 1.1.1 School members and non-school members must have their appointment and term of office confirmed in writing.
- 1.1.2 School members should represent primary and secondary schools proportionally, having regard to the total number of pupils in each sector.
- 1.1.3 For each of the categories of schools listed below there must be at least one school member:
  - Community Special Schools
  - Foundation Schools (not applicable to MCC)
  - Voluntary aided and voluntary controlled schools.
- 1.1.4 At least one school member should be a parent governor.

### 1.2 Appointment of Non-School Members:

- 1.2.1 In accordance with section 47A of the School Forums (Wales) Regulations 2003, it is up to the LA to determine whether to allocate places on the forum to non-school members. The regulations provide for up to 25% of the forum to be made up of non-school members.
- 1.2.2 The only representative of the LA who has voting rights are those included as part of the non-school membership.
- 1.2.3 LA staff who provide advisory or administrative support to the forum do not have to be members of the forum.
- 1.2.4 Non-school members must be nominated by the relevant bodies. The final decision whether to accept the person nominated rests with the LA.
- 1.2.5 When appointing non-school members, the LA must give due consideration to appointing representatives of relevant Church in Wales or Roman Catholic diocesan authorities and teaching or other trade unions with members in Wales.
- 1.2.6 Schools should be notified when initially constituting the forum, and after the appointment of any replacement school members or non-school members.

### 1.3 Membership:

1.3.1 The membership of the Monmouthshire Schools Budget Forum as approved by Cabinet on 4<sup>th</sup> June 2014 is shown below:

Sector	Number of members	Headteacher of other staff representatives	Governors	Non-school representatives
Primary	7	4	3	
Secondary	6	2	4	
Special	1	1		
Pupil Referral Unit	1	1		
Union Rep	1			1
Diocesan Rep	1			1
Cabinet Member	1			1
Select Committee Rep	1			1
Chief Officer or Rep	1			1
Total	20	8	7	5

- 1.3.2 The term of office is two years from both school and non-school members.
- 1.3.3 Members must have their appointment and term of office confirmed in writing.
- 1.3.4 Membership may be terminated by the LA in advance of the full term if the member ceases to act in the capacity for which he / she was appointed. (i.e ceases to be a governor / headteacher).
- 1.3.5 A member, who, without the consent of the other members has failed to attend the meetings for a continuous period of six months with the date of the first such meeting he or she failed to attend, is, on expiry of that period, disqualified from continuing to hold office.
- 1.3.6 Where a member has sent an apology to the clerk to the meeting before a meeting which he/she does not propose to attend, the minutes must record the consent or otherwise to the absence and a copy of the minutes must be sent to the member.

## Section 2 – Meetings and proceedings of the School Budget Forum.

### 2.1 Frequency of Meetings.

- 2.1.1 For the tasks of the forum to be carried out effectively it is likely that meetings need to take place at least 4 times year.
- 2.1.2 The LA will arrange meetings so that the forum can be consulted on financial issues in sufficient time for its views to be taken into consideration. On occasions, it might be necessary with the agreement of the Chair and Vice Chair to call an extra-ordinary meeting.

### 2.2 Location of Meetings.

- 2.2.1 Meeting venues will be agreed on by the members.
- 2.2.2 As school budget forums are intending to contribute to the transparency of the budget setting process, meetings will be open to the public.

### 2.3 Sub Committees.

- 2.3.1 Working groups or sub-committees of the forum will be constituted as necessary. The forum will agree the terms of reference of such groups and specify membership arrangements.
- 2.3.2 Sub-groups will be required to report to a full (quorate) meeting of the forum for approval of the finding before such findings are formally passed to the LA.

### 2.4 Administration.

- 2.4.1 Administration arrangements of the forum will be put in place by the LA. This includes calling meetings, issuing papers and clerking / recording meetings.

### 2.5 Conflict of Interest.

- 2.5.1 Members of the schools budget forum will be required to make a declaration of interest when relevant. For example there may be cases where a conflict of interest occurs when the forum is considering matters relating to service contracts.

## 2.6 Quorum.

- 2.6.1 The regulations specify a quorum of 50% for meetings (10 members). There is nothing to stop the school budget forum continuing to meet if it is inquorate but it will be up to the LA to decide whether or not to take into account any advice given to them by the School Budget Forum in those circumstances.
- 2.6.2 Substitute members will be part of the quorate.

## 2.7 Chair of the School Budget Forum.

- 2.7.1 In accordance with the regulations the first and subsequent chairs of the forum are to be elected by the school budget forum itself. The chair initially holds office for a period of one year but can be re-appointed.
- 2.7.2 The school budget forum will elect its own vice chair on an annual basis.

## 2.8 Observer Status.

- 2.8.1 Given their responsibility for post 16 funding in schools, the regulations state that the relevant Welsh Government Representative has the right to nominate an observer to attend all meetings of the school budget forum. Such an observer is entitled to attend and participate in school budget forum meetings but does not have voting rights.
- 2.8.2 It is up to Welsh Government to decide who should attend on their behalf, and neither the LA or the school budget forum can exclude the observer from particular items.
- 2.8.3 The LA can invite other organisations or bodies to attend the meeting of the school budget forum as observers if it considers it appropriate to do so. Again, it will be up to the individual organisation or body to nominate the person they wish to attend.
- 2.8.4 There is nothing to preclude the authority from choosing to have LA officers, finance officers or others present as observers. As for other observers they do not have voting rights on the schools budget forum.

## Section 3 – Functions of the Schools Forum.

### 3.1 Consultation on Financial Issues.

- 3.1.1 The authority is required to consult the forum annually on the exercise of its functions in relation to the schools budget forum and changes to its financial schemes.
- 3.1.2 The authority may choose to consult schools budget forum on the financial implications of a number of areas, such as school transport, insurance, early year's education etc.

### 3.2 Consultation on revisions to the LA's Scheme for funding Schools.

- 3.2.1 The LA has to consult the forum on any proposed changes to its scheme for financing schools. The LA is obliged to take account of the views of the schools budget forum before making final decisions.

### 3.3 Consultation on the School Funding Formula.

- 3.3.1 The LA will consult the schools budget forum on any proposed changes to the factors and criteria to be taken into account, or the methods, principles and rules to be adopted, in relation to its formula for funding schools.
- 3.2.1 The school budget forum will also be consulted in the likely financial effects of any changes to the funding formula.

### 3.4 Consultation on Contracts and Service Level Agreements.

- 3.4.1 The LA will consult the school budget forum on contracts for supplies and services that exceed the prescribed threshold for procurement. The current threshold is £173,934. The LA will consult the school budget forum at least 3 months prior to the issue of an invitation to tender.
- 3.4.2 The LA will consult the school budget forum on service level agreements for the supply of goods and services by the LA to schools. The school budget forum must be consulted at least three months before the date on which the agreement is due to be finalised.
- 3.4.3 The above requirement relates to contracts and service level agreements funded from delegated budgets or from centrally retained funds within the schools budgets.



**3.5 Feedback to Schools.**

3.5.1 The school budget forum shall inform governing bodies and headteachers of the results of their discussions by the circulation of meeting minutes. The minutes will also be circulated to other groups represented on the forum.

**Section 4 – Expenses.**

**4.1 Member Expenses.**

4.1.1 Travelling expenses of members incurred in connection with their attendance at school budget forum meetings will be reimbursed by the LA.

Appendix 3

The “Equality Initial Challenge”

Name: Nikki Wellington Service area: CYP Finance Date completed: 6 <sup>th</sup> May 2014.		Please give a <b>brief description</b> of what you are aiming to do.  To update the terms of reference for the school budget forum.	
Protected characteristic	Potential <b>Negative</b> impact Please give details	Potential <b>Neutral</b> impact Please give details	Potential <b>Positive</b> Impact Please give details
Age		X	
Disability		X	
Marriage + Civil Partnership		X	
Pregnancy and maternity		X	
Race		X	
Religion or Belief		X	
Sex (was Gender)		X	
Sexual Orientation		X	
Transgender		X	

Welsh Language		X	
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Please give details about any potential <b>negative Impacts</b> .	How do you propose to <b>MITIGATE</b> these <b>negative impacts</b>
➤	➤
➤	➤
➤	➤
➤	➤

Signed Nikki Wellington Designation CYP Finance Manager Dated 7<sup>th</sup> May 2014.

**EQUALITY IMPACT ASSESSMENT FORM**

<b>What are you impact assessing</b>	<b>Service area</b>
The updating of the terms of reference for the school budget forum	CYP finance
<b>Policy author / service lead</b>	<b>Name of assessor and date</b>
Nikki Wellington	Nikki Wellington 7 <sup>th</sup> May 2014

**1. What are you proposing to do?**

To update the terms of reference for the school budget forum to reflect our current school community.

2. Are your proposals going to affect any people or groups of people with protected characteristics in a **negative** way? If **YES** please tick appropriate boxes below.

Age		Race	
Disability		Religion or Belief	
Gender reassignment		Sex	
Marriage or civil partnership		Sexual Orientation	
Pregnancy and maternity		Welsh Language	

3. Please give details of the negative impact

4. Did you take any actions to mitigate your proposal? Please give details below including any consultation or engagement.

5. Please list the data that has been used to develop this proposal? eg Household survey data, Welsh Govt data, ONS data, MCC service user data, Staff personnel data etc..

Current terms of reference. The schools forum (Wales) regulations 2003.

**Signed Nikki Wellington Designation CYP Finance Manager Dated 7<sup>th</sup> May 2014.**

**The “Sustainability Challenge”**

<b>Name of the Officer</b> completing “the Sustainability challenge” <b>Nikki Wellington</b>		Please give a <b>brief description</b> of the <b>aims</b> proposed policy or service reconfiguration  To update the terms of reference for the school budget forum.	
<b>Name</b> of the Division or service area CYP Finance		<b>Date</b> “Challenge” form completed 7 <sup>th</sup> May 2014.	
Aspect of sustainability affected	<b>Negative impact</b>  Please give details	Neutral impact  Please give details	<b>Positive Impact</b>  Please give details
<b>PEOPLE</b>			
Ensure that more people have access to healthy food			
Improve housing quality and provision			
Reduce ill health and improve healthcare provision			

Promote independence			
Encourage community participation/action and voluntary work			
Targets socially excluded			
Help reduce crime and fear of crime			
Improve access to education and training			
Have a positive impact on people and places in other countries			
<b>PLANET</b>			
Reduce, reuse and recycle waste and water			
Reduce carbon dioxide emissions			
Prevent or reduce pollution of the air, land and water			
Protect or enhance wildlife habitats (e.g. trees,			



hedgerows, open spaces)			
Protect or enhance visual appearance of environment			
<b>PROFIT</b>			
Protect local shops and services			
Link local production with local consumption			
Improve environmental awareness of local businesses			
Increase employment for local people			
Preserve and enhance local identity and culture			
Consider ethical purchasing issues, such as Fairtrade, sustainable timber (FSC logo) etc			
Increase and improve access to leisure, recreation			

or cultural facilities			
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What are the potential negative Impacts	Ideas as to how we can look to <b>MITIGATE</b> the <b>negative impacts</b> (include any reasonable adjustments)
➤	➤
➤	➤
➤	➤
➤	➤

**The next steps**

- If you have assessed the proposal/s as having a **positive impact please give full details** below

Improved scrutiny of schools budgets to ensure equality over all MCC schools.

- 
- If you have assessed the proposal/s as having a **Negative Impact** could you please provide us with details of what you propose to do to mitigate the negative impact:

**Signed Nikki Wellington**

**Dated 7<sup>th</sup> May 2014.**



**SUBJECT:** Breakfast Club Provision

**DIRECTORATE:** Children and Young People Directorate

**MEETING:** Cabinet

**DATE:** 4<sup>th</sup> June 2014

**DIVISION/WARDS AFFECTED:** Countywide

**1. PURPOSE:**

A full review of the operating of Breakfast Clubs and proposals for future provision to ensure sustainability.

**2. RECOMMENDATIONS:**

- 2.1 To agree to delegate the childcare element of the Breakfast Club provision to schools.
- 2.2 To agree the charge of £1 per pupil per day for the provision of child care at Breakfast Clubs to commence from 1<sup>st</sup> September 2014. Children in receipt of free school meals will be exempt from these charges.

**3. BACKGROUND AND KEY ISSUES:**

- 3.1 There are currently 26 primary Breakfast Clubs in Monmouthshire, operating between the hours of 8am to 9am and offering a free breakfast to all children that attend.
- 3.2 The provision was grant funded from the Welsh Government until 31<sup>st</sup> March 2013 following which the funding was transferred into the regional settlement grant (RSG).

- 3.3 Following the transfer into the RSG, the Welsh Government issued guidance stating that they expected the existing Breakfast Club provision to remain and should parents approach a Governing Body to request setting up of a new Breakfast Club the Governing Body needed to provide this unless the request was unreasonable.
- 3.4 Currently the staff that operate the Breakfast Club usually work as non-teaching staff in the school. In the majority of schools the kitchen staff order and prepare the food. The initial equipment was purchased under the grant, but schools contribute to any replacements.
- 3.5 The guidance states that the provision of the breakfast must remain free, however it is possible to charge for the provision of childcare.
- 3.6 The proposal is to charge £1 per day for all children, the children who are entitled to free school meals will still be able to access the Breakfast Club Provision free. This charge will be for the childcare element of the provision.
- 3.7 Schools will be expected to maintain their current provision including the provision of staff to supervise the children and any equipment required. They will also collect the fee, and this fee will remain within the school budget. Where it is envisaged that a particular school will not collect enough income to cover these costs, a transfer of central budget will be made to support these costs.
- 3.8 The budget for the provision and preparation of food will remain as a central budget, but this will be transferred from CYP to R&C Directorate to be managed within the school meals team.
- 3.9 While it is recognised that this charge represents an additional charge on families, it is considered that this is a cost effective way for parents to receive childcare. The average hourly rate for child minders is currently £4.

**4. REASONS:**

This provision has been provided free for a number of years, during the budget considerations for 14-15 this area was identified as being able to support the budget pressures going forward. The income has already been built into the proposals.

**5. RESOURCE IMPLICATIONS:**

There are no expected savings or additional costs from this proposal. The resources are detailed below:

- Current budget £185,000.
- Anticipated income for 7 months £117,000
- Anticipated income for 12 months £169,000.
- Staff costs are £10 per hour and food costs is 30p per breakfast.
- The assumption applied to the forecast is that children entitled to free school meals are twice as likely to attend Breakfast Clubs, than children not entitled.
- It is anticipated that where necessary some central budget will be used to support the administration of the Breakfast Club.

**6. SUSTAINABLE DEVELOPMENTS AND EQUALITY IMPLICATIONS:**

Attached in Appendix 1

**7. EQUALITY IMPLICATIONS:**

Attached in Appendix 2

**8. CONSULTEES:**

Cabinet  
Leadership Team

**9. AUTHOR:**

Nikki Wellington – Finance Manager – Directorate for Children and Young People.

**10. CONTACT:** Email: [nicolawellington@monmouthshire.gov.uk](mailto:nicolawellington@monmouthshire.gov.uk) Tel: 01633 644549

**The “Equality Initial Challenge”**

Name: Nikki Wellington Service area: CYP Finance Date completed: 6 <sup>th</sup> May 2014.		Please give a <b>brief description</b> of what you are aiming to do.  Charge £1 per day for the provision of childcare at primary breakfast clubs for all non-free school meal pupils.	
Protected characteristic	Potential <b>Negative</b> impact Please give details	Potential <b>Neutral</b> impact Please give details	Potential <b>Positive</b> Impact Please give details
Age	The charges may impact on families with children of primary school age.		
Disability		X	
Marriage + Civil Partnership		X	
Pregnancy and maternity		X	
Race		X	
Religion or Belief		X	
Sex (was Gender)	This could affect single parent families.		

Sexual Orientation		X	
Transgender		X	
Welsh Language		X	

Please give details about any potential <b>negative Impacts</b> .	How do you propose to <b>MITIGATE</b> these <b>negative impacts</b>
➤ <i>The impact of this charging may have an impact on low income families.</i>	➤ Ensuring that all pupils that are entitled to free school meals are exempted from this charge.
➤	➤
➤	➤
➤	➤

Signed Nikki Wellington Designation CYP Finance Manager Dated 6<sup>th</sup> May 2014.



**EQUALITY IMPACT ASSESSMENT FORM**

<b>What are you impact assessing</b>	<b>Service area</b>
The charging of £1 per day for the provision of childcare at breakfast clubs for non-free school meal pupils	CYP finance
<b>Policy author / service lead</b>	<b>Name of assessor and date</b>
Nikki Wellington	Nikki Wellington 6 <sup>th</sup> May 2014

1. What are you proposing to do?

To charge £1 per day for the provision of childcare at primary school breakfast club provision for all pupils not entitled to free school meals.

2. Are your proposals going to affect any people or groups of people with protected characteristics in a **negative** way? If **YES** please tick appropriate boxes below.

Age	✓	Race	
Disability		Religion or Belief	
Gender reassignment		Sex	✓
Marriage or civil partnership		Sexual Orientation	
Pregnancy and maternity		Welsh Language	

3. Please give details of the negative impact

This could have an impact of low income families, or single parent families.

4. Did you take any actions to mitigate your proposal? Please give details below including any consultation or engagement.

The impact will be mitigated by ensuring that all pupils entitled to free school meals continue to receive free breakfast club provision.

5. Please list the data that has been used to develop this proposal? eg Household survey data, Welsh Govt data, ONS data, MCC service user data, Staff personnel data etc..

Pupil and financial data from Monmouthshire County Council.

**Signed Nikki Wellington Designation CYP Finance Manager Dated 6<sup>th</sup> May 2014.**

**The “Sustainability Challenge”**

<b>Name of the Officer</b> completing “the Sustainability challenge” <b>Nikki Wellington</b>		Please give a <b>brief description</b> of the <b>aims</b> proposed policy or service reconfiguration  The charging of £1 per day for the provision of childcare at breakfast clubs for non-free school meal pupils	
<b>Name</b> of the Division or service area CYP Finance		<b>Date</b> “Challenge” form completed 6 <sup>th</sup> May 2014.	
Aspect of sustainability affected	<b>Negative impact</b>  <b>Please give details</b>	Neutral impact  <b>Please give details</b>	<b>Positive Impact</b>  <b>Please give details</b>
<b>PEOPLE</b>			
Ensure that more people have access to healthy food	Pupils may not attend breakfast club, and parents make alternative provision. This provision may not allow access to healthy food.		
Improve housing quality and provision			
Reduce ill health and			

improve healthcare provision			
Promote independence			
Encourage community participation/action and voluntary work			
Targets socially excluded			
Help reduce crime and fear of crime			
Improve access to education and training			
Have a positive impact on people and places in other countries			
<b>PLANET</b>			
Reduce, reuse and recycle waste and water			
Reduce carbon dioxide emissions			
Prevent or reduce pollution			

of the air, land and water			
Protect or enhance wildlife habitats (e.g. trees, hedgerows, open spaces)			
Protect or enhance visual appearance of environment			
<b>PROFIT</b>			
Protect local shops and services			
Link local production with local consumption			
Improve environmental awareness of local businesses			
Increase employment for local people			
Preserve and enhance local identity and culture			
Consider ethical purchasing issues, such as Fairtrade, sustainable timber (FSC			

logo) etc			
Increase and improve access to leisure, recreation or cultural facilities			

What are the potential negative Impacts	Ideas as to how we can look to <b>MITIGATE</b> the <b>negative impacts</b> (include any reasonable adjustments)
➤ <i>Low income families may not be able to afford the impact of this proposal.</i>	➤ By ensuring that all free school meal pupils are entitled to free provision at breakfast clubs.
➤	➤
➤	➤
➤	➤

**The next steps**

- If you have assessed the proposal/s as having a **positive impact please give full details** below

- If you have assessed the proposal/s as having a **Negative Impact** could you please provide us with details of what you propose to do to mitigate the negative impact:

This proposal could have a negative impact on low income families, however the proposal ensures that those pupils entitled to free school meals are not charged for breakfast club provision.

**Signed Nikki Wellington**

**Dated 6<sup>th</sup> May 2014.**



<b>SUBJECT:</b>	<b>Welsh Language Monitoring Report 2013/14</b>
<b>MEETING:</b>	<b>Cabinet</b>
<b>DATE:</b>	<b>4<sup>th</sup> June 2014</b>
<b>DIVISION/WARDS AFFECTED:</b>	<b>All</b>

**1. PURPOSE:**

To ask Cabinet to note the contents of the attached Welsh Language Monitoring Report 2013 – 2014 that has been produced in line with the requirements of the Welsh Language Act 1993. The Monitoring report details our compliance with the action plan in our Welsh Language Scheme and records all evidence of good practice carried out by the Council over that 12 month period.

**2. RECOMMENDATIONS:**

- 2.1 To approve the report as a record of the Council's activities over the last year in respect of its compliance with its Welsh Language Scheme. The report will then be forwarded to the Welsh Language Commissioner's Office by the 30<sup>th</sup> June 2014 for their scrutiny, response and formal approval.

**3. KEY ISSUES:**

- 3.1 The Council's Welsh Language Scheme sets out our commitments for the Welsh Language for a three year period 2012 -15 and the Annual Monitoring Report gives a detailed account of our compliance with the detailed time aligned action plan.

The Welsh Language Act 1993 has been superseded by the Welsh Language Measure 2011 and will eventually introduce Welsh Language Standards to replace the schemes.

**4. REASONS:**

Monmouthshire County Council has a statutory responsibility to produce an Annual Monitoring Report under the Welsh Language Act 1993.

**5. RESOURCE IMPLICATIONS:**

5.1 There are no additional financial or human resource implications arising out of this monitoring report.

5.2 The Scheme will be published, on approval, on the Council's intranet and corporate website.

**6. SUSTAINABLE DEVELOPMENT AND EQUALITY IMPLICATIONS:**

There are no significant equality impacts identified in the assessment (Appendix 1).

The actual impacts from this report's recommendations will be reviewed annually.

**7. CONSULTEES:**

All Cabinet members, Deputy Leader and Equality Champion, Head of Partnerships and Policy, Welsh Language Support Officer, The Urdd, Menter Iaith BGTM, Monmouthshire Welsh Speakers, Head of Youth Services.

**8. BACKGROUND PAPERS:**

Monmouthshire County Council's Welsh Language Scheme 2013/16

**9. AUTHOR:**

Alan Burkitt Policy Officer Equalities and Welsh Language

**10. CONTACT DETAILS:**

**Tel:** 01633 644010

**E-mail:** alanburkitt@monmouthshire.gov.uk



Monmouthshire County Council's Annual  
Welsh Language Monitoring Report  
2013 – 2014

## Version Control

<b>Title</b>	Monmouthshire County Council Annual Welsh Language Monitoring Report 2013 - 2014
<b>Purpose</b>	Legal document required under the Welsh Language Act 1993
<b>Owner</b>	Monmouthshire CC
<b>Approved by</b>	Cabinet
<b>Date</b>	4 /6 /2014
<b>Version Number</b>	One
<b>Status</b>	Official version
<b>Review Frequency</b>	Annual
<b>Next review date</b>	30/06/2015
<b>Consultation</b>	<i>GAVO ,Monmouthshire Equality and Diversity Group (MEDG), Corporate Equality Network (CEN), e mail to all stakeholders, Departmental Management Teams, Monmouthshire Welsh Speakers Network (Siaradwyr Cymraeg Sir Fynwy).</i>

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## Introduction

Monmouthshire County Council approved a new and updated Welsh Language Scheme on the 22<sup>nd</sup> November 2012. This Scheme has set out how the Council will provide its services to an equal standard in both the Welsh and English languages. This annual monitoring report reflects the work done during the financial year 2013-14, identifies progress against the Action plan and gives details of good practice and significant developments.

The Council continues to make significant advances in developing the scope and quality of its public information available through the medium of Welsh. Clear guidance and resources are in place for staff in relation to translation, the provision of services and Welsh Language requirements. The Council's website is now bilingual and further work is being carried out to translate key documents etc. We are also working in partnership with the Welsh speaking residents of Monmouthshire and asking them to do the following:

- Using the Welsh version of the website when searching for Council information
- Telling us when or where Welsh webpages or downloadable documents are not up to date or any other issues that may arise
- Looking at key strategic documents and responding to engagement correspondence to ensure that we are giving proper consideration to the Welsh Language in Monmouthshire.
- Sending them information regarding Welsh Language events, job vacancies etc.
- Acting as an interface between the Council, partners and Welsh Language groups etc to disseminate any Welsh Language information, events etc.

Evidence of the significant growth of the Language in Monmouthshire over the last twenty years is that at the time of Monmouthshire County Council's first Welsh Language Scheme in 1998, the level of demand for Welsh-language services in

the county was, by any estimation, extremely low (1991 census – only 2.3% of Monmouthshire’s population spoke Welsh). The census of 2001 revealed that a remarkable 9.3% of the county’s population could speak Welsh. The establishment of the two Welsh-medium primary schools, Ysgol y Ffin and Ysgol Gymraeg y Fenni, the incorporation of Welsh into the national curriculum and a growing interest among residents of all ages in learning the language were all reflected in this substantial increase in the number of Welsh speakers. The Census of 2011 has once more revealed a slight increase in the numbers of Welsh speakers living in Monmouthshire from 9.3% to 9.9% or 8,780 people (alongside Cardiff City Council , we were one of only 2 Welsh Councils to see an increase in the numbers of Welsh speakers). The Council has recently completed the Welsh Language Commissioners’ Welsh Language Standard formal investigation questionnaire which has revealed that we already do a very high proportion of what will be asked of us in the near future. The key issue that needs addressing is the level of consistency of application across the whole Council.

Paul Matthews  
**Chief Executive**

Councillor Peter Fox  
**Leader of the Council**

Councillor Phylip Hobson  
**Deputy Leader of the Council  
And Equality Champion**

## Welsh Language Scheme Compliance

Monmouthshire County Council's Welsh Language Scheme contains the following action plan of measures and target dates.

### Action Plan 2013 -2014

#### Service Planning and Delivery

PARAGRAPH	MEASURE	YEAR TWO TARGET	PROGRESS	RESPONSIBILITY
4.1.1	Assess linguistic consequences of new policies or initiatives	YR1-Audit sample of Equality Impact Assessments to measure number of changes to Welsh language policies.YR2- As year 1, whilst seeing a percentage increase in effectiveness	Welsh Language one of the Protected characteristics considered carefully in the EQIA process. Included in the "Initial Challenge" and EQIA Screening document. Also one of the PC's in any MCC EQIA and Induction training. EQIA of The Council's financial savings proposals was a key piece of work that once more had the Welsh Language as an additional Protected characteristic. This process had in depth conversations regarding charging for school transport and the right to Welsh Medium education.	Policy Officer Equality +Welsh Language/Authors of policies etc
4.1.2	Issue guidance to staff on assessing new proposals	Review guidance available and re-publicise	EQIA policy reviewed and sessions with Departmental Management Teams. Guidance revised, re-issued and re-publicised on "The Hub"	Policy Officer E+WL



4.3, 4.4, 4.5, 4.6	Ensure the Council and any relevant third parties conform with Scheme	Bi-annual audit	Details regarding Welsh Language Act 1993 compliance are now included in contract documents. Any issues of non-compliance during monitoring will be formally addressed	Policy Officer E+WL/Procurement Team
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## Dealing with the Welsh Speaking Public

PARAGRAPH	MEASURE	YEAR TWO TARGET	PROGRESS	RESPONSIBILITY
5.1.1, 5.1.2	Welcome correspondence in Welsh + English + reply in language of choice	Quarterly audit of procedures	All Welsh correspondence comes to Welsh Language Support Officer and Policy Officer E+WL for translation. Also ensure that responses translated in return	Customer Access Manager/ Welsh Language Support Officer/ Policy Officer E+WL
5.1.3	Ensure equal timescale for replying to Welsh + English letters	Quarterly audit of procedures	All translations dealt with by the Welsh Language Support Officer/ Policy Officer E+WL therefore ensuring timescales are complied with.	Customer Access Manager/ Welsh Language Support Officer/ Policy Officer E+WL
5.1.4	Compile list of those wishing to receive correspondence in Welsh	Monitor database	Excel Database being kept by Policy Officer E + WL. Working group to be established to look at this issue.	Policy Officer E+WL/Innovation Officer /SRS IT

5.1.5	Issue revised guidance to staff on correspondence in Welsh	Review, update and re-publicise guidance as appropriate	New Welsh Language Scheme containing precise details sent to key staff and published on "The Hub"	Policy Officer E+WL/Customer Access Manager
5.1.6	Ensure circulars and standard letters to public are issued bilingually	Compose document in conjunction with service areas outlining protocols	Circular and standard letters to the public are issued bilingually	All relevant divisional staff
5.1.7	Ensure that any correspondence in Welsh followed by Welsh response	Quarterly audit of procedures	All Welsh correspondence comes to Welsh Language Support Officer and Policy Officer E+WL for translation. Also ensure that responses translated in return	Customer Access Manager/ Welsh Language Support Officer/ Policy Officer E+WL
5.1.8	Ensure email correspondence in Welsh is replied to in Welsh	Quarterly audit of procedures	All Welsh correspondence comes to Welsh Language Support Officer and Policy Officer E+WL for translation. Also ensure that responses translated in return	Customer Access Manager/ Welsh Language Support Officer/ Policy Officer E+WL
5.1.9	Develop bilingual automated correspondence	Make all automated correspondence bilingual. Audit and review current procedures	Council tax and election material all produced bilingually automatically	Welsh Language Support Officer/ Policy Officer E+WL/Service heads

5.2.1	Answer telephone calls bilingually	Audit and review via 'mystery shopper' exercise.	<b>This area needs addressing</b>	Customer Access Manager/Policy Officer E+WL/Menter Iaith BGTM
5.2.2	Provide telephone training and Welsh awareness training to new members of staff	Evaluation of current procedures	Telephone training and awareness session included as a part of the Staff Induction Programme and included in the new Welsh Language Scheme	Corporate Training/Policy Officer E+WL
5.2.3	Issue guidance to existing staff on telephone calls in Welsh	Review 'Welsh Language Scheme - Guidelines for Staff' and re-publicise.	Details in the Welsh Language Scheme and covered in staff Induction programme	Policy Officer E+WL/ Customer Access Manager
5.2.4	Provide bilingual corporate answer-phone messages	Audit and review current processes.	<b>This area needs addressing</b>	Supervisor Reception/Customer Access manager/Policy Officer E+WL
5.3.1	Invite contributions at public meetings in Welsh or English	Review guidance, update and re-publicise	A Strapline has been added to Council invitations to meetings.	Democratic Services/ Policy Officer E+WL

5.3.4	Develop a bilingual website	Review Welsh content. Monitor % of English content to % of Welsh content	New website purchased and in place. Translations of documents and any outstanding pages currently being done. New management system does not allow English pages to be loaded without accompanying Welsh versions in order to maintain the integrity of the Welsh site. Siaradwyr Sir Fynwy are using and policing the site for us.	Web Team, Policy Officer E+WL
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## The Council's Public Face

PARAGRAPH	MEASURE	YEAR TWO TARGET	PROGRESS	RESPONSIBILITY
6.1.1	Establish a bilingual corporate identity	Review, update and re-publicise.	Corporate Identity Strategy (Branding Report) developed and in use.	Corporate Communications Team
6.1.2	Issue guidance on corporate identity	Review, update and re-publicise	Published on "The Hub"	Corporate Communications Team

6.2	Ensure new and replacement signs in public areas are bilingual and issue guidance on this	Audit and review current procedures and guidance. Re-publicise to staff.	Guidance note developed, sent to Head of Property Services who is responsible for all signage on Council property. Details also included in the new Welsh Language Scheme which has been widely distributed and published on "The Hub".	Policy Officer E+WL/Property Services
6.2.5, 6.2.6	Encourage the use of Welsh name for the new developments and develop a standardised list of Welsh place-names	(a)Consult with Town/Community councils to ensure satisfaction with compiled list. (b)Create and publish a signage protocol document.	(a) Meeting held with Town and Community Councils regarding naming protocols. (b) currently using the Standardised list of Welsh place names issued by the Welsh Language Board 3 years ago when advising on translation or accuracy of place name translation requests. Protocol developed and agreed with Highways and GIS officers who deal with the Land and Property Gazetteer.	Policy Officer E+WL/ Highways
6.3	Issue criteria on which documents should be bilingual	Review, update and re-publicise	As a part of the new Welsh Language Scheme an Editorial Policy was developed and published on "The Hub" as a separate document and as a part of the Welsh Language Scheme	Policy Officer E+WL
6.4.2	Issue guidance on producing forms	Review, update and re-publicise	The Welsh Language Scheme provides guidance and a link to the Welsh Language Commissioner on bilingual design. The Policy	Policy Officer E+WL

			Officer E+WL and the Welsh Language Support Officer also advise departments on bilingual design if required.	
6.5.1	Issue bilingual and Welsh-language press releases where appropriate	Increase % of Welsh/bilingual press releases to 50%.	Have discussed with Head of Communications – we will look to ensure that all website press releases are in Welsh and English. Newspaper press releases will be in Welsh in the Welsh Language Press if it relates to a Welsh Language related topic. Press releases on the corporate website will be in Welsh and English	Corporate Communications Team
6.6.1	Present exhibitions and displays bilingually	Raise % of Welsh exhibitions/displays to 20%.	A meeting has been arranged for 30 <sup>th</sup> April 2014 with Head of Leisure Services to ensure that displays etc are all done bilingually	Policy Officer E+WL/ Corporate Communications Team
6.6.2	Issue guidance on advertising and publicity	Review, update and re-publicise	The detail is all to be found in our Welsh Language scheme, Corporate Branding Guidelines and our Editorial policy.	Policy Officer E+WL/ Corporate Communications Team
6.6.3	Conduct public surveys bilingually	Conduct review of public surveys. Find % of Welsh/Bilingual surveys compared to English only.	Surveys are now beginning to be carried out bilingually. The surveys are supported by the Partnership and Engagement Team who have the Policy Officer E+WL and the Welsh Language Support Officer as members to ensure compliance.	Policy Officer E+WL/Head of Partnership and Engagement/Divisional Heads

6.7.1	Produce official and public notices bilingually	Seek/compile a register of public notices. Make 30% of Welsh/bilingual notices compared to English only.	<b>Some notices are done but this area needs reviewing and a meeting has been arranged between the Policy Officer E+WL and the Head of Legal Services to discuss the way ahead..</b>	Policy Officer E+WL/Head of Legal Services
6.7.2	Advertise for Welsh essential posts in Welsh	Current practice – advertised bilingually.	Welsh Language Scheme requires that Welsh Essential posts are advertised in Welsh only.	Human Resources/ Policy Officer E+WL
6.7.3	Issue revised guidance on public notices and recruitment advertising	Review, update and re-publicise	A meeting with HR has outlined the recruitment process.	Human Resources/ Policy Officer E+WL
6.8.1	Ensure availability of language choice at Council meetings.	Audit and review procedures. Compose guidance in collaboration with the relevant officers. Add details to meeting correspondence	A Strapline inviting people to take part in meetings through the medium of Welsh has been added to Council meeting official invitation notices.	Democratic Services/Policy Officer E+WL

## Implementing and monitoring the scheme

PARAGRAPH	MEASURE	YEAR 2 TARGET	PROGRESS	RESPONSIBILITY
7.1.1	Develop a Welsh Linguistic Skills Strategy (WLSS)	Ensure implementation and re-publicise	Welsh Language Linguistic Skills Strategy monitored by the Corporate Equality Network (CEN)	Policy Officer E+WL
7.1.2	Establish whether there are specific posts where proficiency in Welsh is essential	Review current posts and demand via WLSS	Will be addressed as a part of the WLSS Action Plan.	Human Resources/ Policy Officer E+WL/Heads of Service
7.1.3	Conduct surveys to establish the number of staff who speak Welsh or are learning Welsh and their location within the organisation	Review current posts and demand via WLSS	Corporate audit being carried out now by HR. Also Social care staff being audited to gain awareness of staff skills to carry out the "Mwy na geiriau strategy"	Human Resources/ Policy Officer E+WL/Divisions
7.1.4	Prepare strategy to address lack of Welsh speaking staff in particular service areas	Review current posts and demand via WLSS	Will be addressed as a part of the WLSS Action Plan	Human Resources/ Policy Officer E+WL/Divisions



7.2	Develop Welsh language training programme	Review current programme, implement new measures	Classes and taster courses arranged annually	Policy Officer E+WL
7.3	Consider linguistic ability when recruiting staff	Assess vacant posts for linguistic requirements	This issue has been addressed with HR and the process is in place. <b>Will need to monitor for compliance</b>	Human Resources/ Policy Officer E+WL/Divisions
7.4	Encourage vocational training in Welsh language	Review and identify areas where training would be desirable	No take up as yet. Council will continue to offer.	Policy Officer E+WL / Corporate Training
7.5.2	Make Cysgliad software available to Welsh speaking staff	Collaborate with IT to assess processes/feasibility.	10 licences purchased and staff signed on to use software.	Policy Officer E+WL/SRS IT provider
7.6	Deal with complaints in Welsh	Review/Audit complaints protocols. Find % of complaints received in Welsh that are replied to in Welsh in the necessary timescale. Ensure that 100% of complaints received in Welsh are answered in Welsh/bilingually	100% of complaints received in Welsh are replied to in Welsh. 100% replied to in the necessary timescale. No complaints received in 2013-14	Corporate Customer Complaints Officer/ Policy Officer E+WL/Appropriate departmental or divisional officer

7.7.2	Prepare and submit Annual Monitoring Report to Welsh Language Board	Current practice	Annual Monitoring Report will go to Cabinet on the 4 <sup>th</sup> June 2014 and subsequently to the Welsh Language Commissioner by the 30 <sup>th</sup> June 2013	Policy Officer E+WL
8.1, 8.2, 8.3	Publicise Scheme	Current practice	Published externally on the Council's bilingual website, published internally on "The Hub" and on the Council's staff magazine "Team Spirit". Will go to Siaradwyr Cymraeg Sir Fynwy (Welsh Speakers Network of 130 people) and partner organisations upon final agreement by the Welsh Language Commissioner. Copy will go on Facebook and Twitter.	Policy Officer E+WL/Corporate Communications
8.4	Encourage development of Menter Iaith Initiative	Arrange bi-annual meetings between Menter BGTM and the Welsh Language Officer	The Policy Officer E+WL is Joint Chair of the Menter and is fully on board with its continued development	Policy Officer E+WL
9	Review implementation of Scheme and targets.	Current practice	Progress reviewed regularly as part of detailed Project Plan monitoring in Performance reviews of Policy Officer E+WL by line manager. Also monitored by the Corporate Equality Network (CEN)	Policy Officer E+WL/Head of Resource and Performance Management

## Welsh Language Frontline Services –

### Monmouthshire Youth Service working with the Welsh language and culture 2013-14

#### Clwb y Fenni - Wednesday Nights

- This club operated for pupils from the local Welsh primary school. The Chief Officer for Children and Young People is having talks with the Urdd to jointly fund an officer with Torfaen and Blaenau Gwent.
- The Menter Iaith ran a successful February half term Welsh medium playgroup for Ysgol Gymraeg Y Fenni.
- The Menter Iaith is running a Clwb Carco (After school club) for Ysgol Gymraeg Y Fenni once a week.

#### Duke of Edinburgh - Tuesday nights Abergavenny

- This club is run for young people who are completing their DoE through the medium of Welsh. They are currently either working at silver or gold level. There are 18 in the group in total and numbers of attendance vary each week depending on the syllabus.

#### Clwb Cil-y-Coed - Wednesday Lunch Time

- Currently this is an informal group meeting with the Urdd as it is for young people aged 16 – 18 with 12 attending weekly. This club supports their language use and increases their confidence to use the language outside of the classroom. All are learning Welsh as a second language. It is the intention that these young people will volunteer to run a junior activities provision for the Welsh speaking pupils of the Welsh primary in the area.

### St David's Day

- All provisions within the youth service celebrate this day with young people through a variety of activities that incorporate language, culture and history.

### Counselling provision

- We have a counselling provision to young people aged 11-25. We have a Welsh speaker within the team so can offer counselling through the medium of Welsh if required.

## Welsh Language Indicators

The Welsh Language Board (now the Welsh Language Commissioner) a number of years ago identified 6 specific Welsh Language Indicators (WLI 1-6) that it recommended should be included in all Local Authority Welsh Language Schemes. Below is a detailed account on the progress made by the Council on these indicators. In order to try and save on repetition the indicators will appear at specific points throughout this document in sections where it is felt they best fit.

### Staffing (WLI 2, WLI 5)

- A Welsh Linguistic Skills Strategy (WLSS) was agreed by Cabinet on the 5<sup>th</sup> June 2013 and work will begin immediately on carrying out the 3 year action plan.
- The Policy Officer Equality and Welsh Language (E+WL) is continuing the task of locating existing Welsh speakers and learners etc amongst the staff and Elected Members of the Council. A full audit is currently being undertaken as part of the WLSS and will allow the Council to assess future needs, recruitment, training etc.
- Social Care and Housing are also carrying out their own staff audit to try and ensure that they have sufficient staff to be able to provide a service to Welsh speakers under the Welsh Government's "Mwy na Geiriau Strategy".
- So far we have identified that there are 24 fluent (Rhugl) Welsh speakers, 16 intermediate (Canolradd and Sylfaen) and 38 learners (Sylfaen and Mynediad) that have been identified. We have a class of 6 doing year 1 Cwrs Mynediad and we ran a very successful Welsh language taster course for 21 members of staff in May 2013.

- The Policy Officer E+WL has approached fluent staff to assess their skills and ask if they would be willing to act as third party Welsh speakers for the Council and is awaiting responses from some. The final list will include details of name, department, post and contact number and will accompany a guidance note to all staff underlining the phone answering service and the list will be placed on “The Hub”.
- When posts become vacant they are reviewed and the linguistic requirements are considered. Posts designated Welsh Essential need to be advertised through the medium of Welsh.
- Current procedures state that if a correspondent wishes to receive a service through Welsh, the call/email is forwarded to the Policy Officer E+WL or the Welsh Language Support Officer or to a member of a list of Welsh speakers (available to all staff via “The Hub” who can deal with the query or act as a third party.
- The protocols for dealing with Welsh language correspondence is also detailed in the ‘Welsh Language Scheme: “Guidelines for Staff’ document.

## Scheme Management and Administration

### Procurement (WLI 1)

- The Policy Officer E+WL has reviewed the Council's Contract documentation which was developed by the Welsh Purchasing Consortium. This consortium includes many of the South Wales Council's and its documentation is compliant in all aspects of equality legislation (Welsh Language Measure 2011 and the Equality Act 2010). The Council does not have any contracts that are specifically linked to Welsh Language provision.
- No third-party failures to comply with the Scheme were reported.

### Robust governance and internal scrutiny

- The Policy Officer E+WL has developed a comprehensive project plan that details the actions required and the agreed timescales for completion highlighted in the Welsh Language Scheme action plan. This project plan is discussed and scrutinised on a monthly basis with the Head of Strategic Partnerships and on a quarterly basis by the Corporate Equality Network (CEN)

### Departmental business / service plans –

- The Policy Officer E+WL has had initial discussions with the Performance and Improvement Team regarding this and a meeting has been arranged to pinpoint the relevant information that needs to be monitored and reported upon.

### Standard of Welsh-language services (WLI 6)

- Records show that the Council did not receive any complaints in relation to the operation of the Welsh Language Scheme during 2013-2014. The Welsh Language Scheme - Guidelines for Staff - document provides guidance on complaints, both specific service area complaints and also those that concern the Welsh Language Scheme.

### Website

- The Corporate website is once again approximately 90%+ complete. The Council recently purchased a new website and has almost completely finished translating the pages. The new website has a built in management system which will not allow any English pages to be published without the accompanying Welsh page and this should guarantee the future integrity of the Welsh site. The Council are quite rightly very proud of the progress they have made with this large project.

## Linguistic Skills: Comparing Service Needs and Capacity

### Human Resources – Skills and training (WLI 4a and 4b)

- The Policy Officer E+WL has made some initial progress in locating Welsh speakers and learners :  
24 fluent (Rhugl) Welsh speakers, 16 intermediate (Canolradd and Sylfaen) and 38 learners (Sylfaen and Mynediad) that have been identified have been identified so far.  
A full audit is currently being carried out in order to inform our requirements under the Welsh Language Linguistic Skills Strategy and the “Mwy na geiriau Strategy”. Also Social Care are in the process of auditing their staff and have also carried out this exercise with our private sector care providers.
- The Council held a **2 day taster course** in June 2013 and 21 members of staff were able to gain experience of what it would be like to learn Welsh and what the whole process would entail.
- Welsh in the workplace courses** were made available to staff and in total 10 staff started attending courses but as is usual this had dropped off to a steady 6 by the end of March 2014. It is fully expected to offer a 2 day taster course and

Cwrs Mynediad for September 2014. We have also discussed the possibility of a Clwb Clonk for those lacking practice or confidence.

- The **Corporate Induction process**, which is mandatory for all new members of staff and those who have not yet had an induction, incorporates how to answer the phone bilingually, an element of basic language awareness training, some information on the history of the Welsh language, attitudes towards it, and some of the key requirements of the Council's Welsh Language Scheme.

## Mainstreaming the Welsh Language

### **EQIA, procedural changes and good practice in promoting the language.**

- The Council has recently **delivered on a key Welsh Language issue** – it has responded in detail on the Welsh Language Commissioners Formal Investigation on the proposed Welsh Language Standards. The investigation has focussed the Council on what it has committed to do in its previous and current Welsh Language Schemes the first of which was written in 1998.
- When determining new policies, the Council will assess any possible impact on its ability to meet the commitments contained in the Scheme. Where practicable, the Council will use new/updated policies and initiatives to facilitate the use of Welsh and to assist the organisation in its work to “**mainstream equality issues.**”
- The **EQIA process** has been reviewed 3 times over the last year with the aim of making it more user friendly and allowing staff to gain an understanding of how decisions made can have an adverse impact on people from the protected characteristics. Although the Welsh Language does not come under the auspices of the Equality Act 2010, the Council regard it as a 10th protected characteristic to underline its importance in the EQIA process and this will hopefully begin to see it mainstreamed into new policies, procedures and functions.
- The Welsh Language Editorial policy has been written and put on “The Hub”.
- An agreement has been reached with sign manufacturers Monwel Hankinson to send signage to MCC to proof check before manufacture in order to eliminate costly and embarrassing spelling issues that lead to formal complaints.



- The Councils' Street numbering and naming policy has been reviewed and updated.
- Siaradwyr Sir Fynwy is a database of Monmouthshire Welsh speakers who have expressed an interest in being used as a sounding board for strats and pols etc – At present the database has reached 130 people.
- A TWF pack is given to all expectant staff by Human Resources.
- The Council's statutory Single Integrated Plan (SIP) consultation was sent to Welsh schools in Welsh only.
- SIP consultation – I pads were used with the choice of Welsh or English versions of the questionnaire to complete.
- 21 members of staff attended a 2 day taster course at County Hall in Usk.
- 10 new starters for Cwrs Mynediad Welsh Class in Usk Sep 2013.
- After a meeting with Abergavenny Food Festival and Winter festival – the Council facilitated the translation of advertising, badges etc.
- Simultaneous translation was arranged for planning meeting County Hall Usk – this the first time this has happened in the history of both Monmouthshire County Council and its predecessors Gwent County Council and Monmouth District Council.
- The Urdd took Caldicot Comprehensive Schools' year 12 Lefel A class to Glan Llyn.
- The Council's new Welsh website sent to Siaradwyr Sir Fynwy to review and comment.
- TV and radio interviews are now carried out through the medium of Welsh by Welsh speaking Council staff.
- A Staff audit of private sector care providers was carried out for the purposes of the "Mwy na geiriau" strategy.
- A procedural **guidance note** was written for Highways staff to ensure the accuracy of the translation of street signage.
- Alongside this the Welsh Language Board's Place name Gazeteer has been distributed to the Highways Department to ensure the accuracy of replacement place name signage.
- A comprehensive Welsh Language translation process document has been published on "The Hub".
- The Council's Policy Officer E+WL attends Grŵp Deddf and WLGA Rhwydiaith meetings and disseminates good practice to mainstream through the Council.

- **The Welsh Language strategic Partnership Group** led by the Children and Young Peoples Directorate brings together representatives from organisations such as the Urdd, Menter Iaith and Monmouthshire County Council, along with Ysgol Gyfun Gwynllyw, Ysgol y Ffin and Ysgol y Fenni in order to discuss the County's Welsh language provision.
- One of the key achievements of the last financial year was the delivery of a **bilingual website** and we believe we have the processes in place to allow this to happen. As previously mentioned we have asked our group of Welsh speakers (Siaradwyr Cymraeg Sir Fynwy) to keep us challenged on delivering this aim.
- Once a quarter a Welsh language related article is produced in "**Team Spirit**" – the Council's internal staff magazine – in order to raise an interest and awareness in the language.
- The Menter Iaith Blaenau Gwent Torfaen Mynwy (Menter BGTM), the Urdd are invited to attend the Council's **engagement panels and events** and are members of the Monmouthshire Diversity and Equality Group (MDEG) to give a Welsh Language input into key Council strategies and policies
- The Policy Officer E+WL is the **Joint Chair of Menter Iaith BGTM**.

## Analysis of Performance by Priority and Target

### Areas that need to be addressed

The below actions are the ones that have not been carried out from Year 2 of the comprehensive Welsh Language Action Plan.

These will be addressed in the next financial year – 2013 – 2014 as detailed below.

- **5.2.1 Answer telephone calls bilingually**  
**Action year 2** – Audit and review through mystery shopper exercise  
**Solution** – Once the list of Council Welsh speakers/third part contacts has been completed a guidance note will go out to all staff on the answering process. Departments/Divisions are responsible for monitoring through their departmental service plans.

- **5.2.4.** Provide bilingual corporate answer phone messages

**Action year 2** – Audit and review current processes

**Solution** – Corporate Equality Network will advise of locations. The Policy Officer E+WL and Welsh Language Support Officer will carry out the task.

- **6.7.1** Produce official and public notices bilingually

**Action year 2** – seek/compile a register of public notices. Make 30% of Welsh/bilingual notices compared to English only

**Solution** – Meeting arranged for May 2014 with Head of Legal Services to discuss and address.

#### **Good practice –I**

- Look at section 5 above

#### **Monitoring**

- A **network** of 130 Monmouthshire Welsh speakers (Siaradwyr Cymraeg Sir Fynwy) has been approached asking them if they could scrutinise documents, schemes, policies, strategies and complete consultations and questionnaires. Also they have been asked to use the Welsh website and come back to the Council with any issues they find. So far this has proved very worthwhile in demonstrating the desire of people to be able to use services through the medium of Welsh.

## **Publishing Information on Performance**

Once finalised, this report will be made available on "The Hub" and the Council's bilingual corporate website;

[www.monmouthshire.org](http://www.monmouthshire.org) , allowing accessibility to the general public and the Council staff. All information on its performance will be made available to the public as hard copy or electronically through the Welsh section of the website.

## Other Information

### E-Government (WLI 3)

As revealed earlier in this report the Council now has a bilingual website. In order to maintain its current equal status in terms of content a couple of key safeguards have been put in place:

- English content cannot be published without a corresponding Welsh version
- A member of the Corporate Communications Team is the sole Website publisher
- A network of Monmouthshire Welsh speaking members of the public (Siaradwyr Cymraeg Sir Fynwy) have been tasked with monitoring the website from a Welsh Language perspective

### Contact details

For further details on any issues arising out of this report or if you would like to be sent any documents to support the information given in this report please contact:

Policy Officer Equality and Welsh Language

County Hall

The Rhadyr

Usk

Monmouthshire

NP15 1XJ

01633 644010

[alanburkitt@monmouthshire.gov.uk](mailto:alanburkitt@monmouthshire.gov.uk)

## Appendix 1 Monmouthshire Welsh speakers by Ward

	Residents 3+	Speak	Speak	Speak, Read + Write	Speak, Read + Write
Electoral Division Name	Numbers	Numbers	%	Numbers	%
Caerwent	1735	151	8.7	114	6.6
Caldicot Castle	1885	221	11.7	166	8.8
Cantref	1994	169	8.5	127	6.4
Castle	1749	173	9.9	127	7.3
Croesonen	2330	232	10	160	6.9
Crucorney	2054	216	10.5	158	7.7
Devauden	1448	139	9.6	94	6.5
Dewstow	1888	172	9.1	120	6.4
Dixton with Osbaston	2501	180	7.2	129	5.2
Drybridge	3291	346	10.5	238	7.2
Goetre Fawr	2332	270	11.6	197	8.4
Green Lane	2014	220	10.9	147	7.3
Grofield	1785	185	10.4	128	7.2
Lansdown	2125	202	9.5	129	6.1
Larkfield	1952	151	7.7	108	5.5
Llanbadoc	1281	135	10.5	96	7.5
Llanelly Hill	3818	337	8.8	253	6.6
Llanfoist Fawr	1811	211	11.7	158	8.7
Llangybi Fawr	1820	163	9	132	7.3
Llanover	2244	173	7.7	128	5.7
Llantilio Crossenny	1718	164	9.5	118	6.9
Llanwenarth Ultra	1406	117	8.3	92	6.5
Mardy	1432	150	10.5	109	7.6
Mill	2424	263	10.8	209	8.6
Mitchel Troy	1221	108	8.8	86	7

Overmonnow	2314	196	8.5	146	6.3
Portskewett	2083	220	10.6	167	8
Priory	2117	219	10.3	166	7.8
Raglan	1876	209	11.1	144	7.7
Rogiet	1747	272	15.6	203	11.6
St. Arvans	1569	134	8.5	95	6.1
St. Christopher's	2490	299	12	214	8.6
St. Kingsmark	3032	247	8.1	186	6.1
St. Mary's	1776	120	6.8	82	4.6
Severn	1630	172	10.6	123	7.5
Shirenewton	2158	172	8	112	5.2
The Elms	3536	452	12.8	335	9.5
Thornwell	2630	282	10.7	189	7.2
Trellech United	2694	261	9.7	187	6.9
Usk	2766	271	9.8	195	7
West End	1861	199	10.7	155	8.3
Wyesham	2072	207	10	151	7.3
<b>Total</b>	<b>88609</b>	<b>8780</b>	<b>9.90%</b>	<b>6373</b>	<b>7.20%</b>

## Appendix 2 MCC Welsh Language speakers by department - WLB Performance indicator WL15

Linguistic ability-  
Rhugl/Uwchradd/Canolradd/Sylfaen/Mynediad

Name	Dept	Location	Ability	Course/area raised	Qualif Grade
David Barnes	Partnership + Engagement	Coed Glas	Rhugl	Gwynllyw	B/B
Leigh Beach	Licensing	Melville Theatre	Rhugl	Gwynllyw	
Alan Burkitt	Partnership + Engagement	Usk	Rhugl	WLPAN/ O & A Level	A/A
Mark S Davies	Architects	Magor	Rhugl		
Ted Davies	Refuse Collector	Abergavenny	Rhugl	Dosbarth Nos	Pass
Megan De Silva	Aber/Chep/ Mon Museums	Chep Museum	Rhugl	Gogledd	
Jaime Evans	Action for Children	SLA S/Care	Rhugl	Ysgol Cwm Rhymni	
Ioan Gealy	Legal	Usk	Rhugl	Aberystwyth	
Hywel Griffiths	Social Services	Tudor St	Rhugl	Ysgol Cwm Rhymni	
Lee Godwin	IT (SRS)	Blaenafon	Rhugl		
David Jones	Councillor	Crucornau	Rhugl	Penrhyncoch	
Sarah McGuinness	CYP	Usk	Rhugl	Cwm Rhymni	
Bethan North	CYP/Healthy schools	Usk	Rhugl	First language speaker	
Mike Richardson	Environmental Health	Monmouth	Rhugl	Aberdyfi/Caerfyrddin	
Siân Sexton	Training Manager	Magor	Rhugl		
Pete Tamlyn	Social Services	Severn View	Rhugl	Abertawe	
Alun Thomas	Environmental Health	Monmouth	Rhugl	Caerfyrddin	
Jill Thomas	Human Resources	Magor	Rhugl	Castell Newydd Emlyn	B/E <sub>71</sub>

Alun Thomas	Social Services	Home Care Aber		Rhugl		GCSE
Roma Zdbeilo	Youth Services			Rhugl		
Elen McElroy	Social services	Mental Health		Rhugl	Hywel Dda Res Centre	Chepstow
Carol Ann Young	Youth services	Face 2 Face		Rhugl	Mounton House	
Jacalyn Richards	Social Services	Youth Offending		Rhugl		
Claire Jones	CYP	SPLD		Rhugl		
Adrian Woods	Leisure			Rhugl	Cwrs Mynediad - Uwch	studying
Simon Burch	Social Services	Magor		Uwchradd		
Liz Williams	Finance	Magor		Uwchradd	Cwrs Mynediad - Uwch	studying
Guy Delamere	Regeneration	Usk		Uwchradd	Cwrs Mynediad - Uwch	
Deserie Mansfield	Regeneration	Usk		Uwchradd		
Wayne Moriarty	Social Services	Severn View		Uwchradd	07736 004113	
Morag Sinton	Planning Countryside	Usk		Uwchradd	Cwrs Uwch 2	
Sarah Keogh	Social Services	Home Care Aber		Canolradd	GCSE higher tier	
Heather Heaney	Social Services	Safeguarding		Canolradd	Lefel A/Uwch/Maestrioli	
John Davies	Property Services	Magor		Canolradd	Rhydaman	
Rob Webb	Communications manager	Magor		Canolradd		
Sharon Randall Smith	CYP	Magor		Canolradd	Diploma in Welsh	
Dewi Jones	Communications	Magor		Canolradd		
Carolyn Derosaire	Road Safety Officer	Raglan Depot		Canolradd	Cwrs Mynediad/Lefel O	
Dan Davies	Innovation Officer	Usk		Canolradd	Lefel A	A
Clare Morgan	Social Services	Maindiff Court		Canolradd	OCN x4/WJEC entry/foundation	



Mark Langley	Planning	Countryside	Canolradd	Lefel O	
Lisa Roberts	Resources	Raglan Depot	Sylfaen	Cwrs Mynediad/ Sylfaen	
Tracey Finnis	Housing		Sylfaen	Cwrs Mynediad x 3	
Leanne Jones	Social Services S/Worker	Fostering	Sylfaen	Cwrs Sylfaen	studying
Cllr Sara Jones	Councillor	Llanover	Sylfaen	WLPAN 1	
Sarah Harp	Partnership + Engagement	Usk	Sylfaen	TGAU A	
Angela Guest	Sundry Debtors	Magor	Mynediad	Cwrs Mynediad 2 years	
Roger Joy	Street lighting	Pontypool	Mynediad	Cwrs Mynediad Yr 1 x 2	
Cllr Giles Howard	Councillor Gilwern/Llanelli Hill	Magor	Mynediad	Cwrs Mynediad	
Debra Hill-Howells	Estates	Magor	Mynediad	GCSE/ Cwrs Myned	studying
Rachael Rogers	Curator	Abergav Castle	Mynediad	Sylfaen pass - 5 years	
Deirdre Poulson	Directorate Support	Magor	Mynediad	School + MCC Course	
Julie Taylor	Castle custodian	Abergavenny	Mynediad		
Simone Teunissen	Economic Development	Aventa	Mynediad	Cwrs Mynediad	
Alison Nowell	Receptionist	Magor	Mynediad	Dosbarth Nos 2 years	
Murray Andrews	Legal Officer	Magor	Mynediad	Dosbarth Nos 1 year	
Rhian Cook	Project Support Officer	Coed Glas	Mynediad	Cymraeg l'r teulu	
Tracey Thomas	Youth Services Manager	Magor	Mynediad	Dosbarth Nos complete	
Helen Nevill	Social Services	Magor	Mynediad	Cwrs Mynediad 1 - 15	
Cllr Linda Guppy	Councillor	Caldicot	Mynediad	Dosbarth Nos	
Cllr Maureen Powell	Councillor	Abergavenny	Mynediad	Dosbarth Nos	
Hazel Ilett	Scrutiny Officer	Usk	Mynediad	WLPAN (DNC)/Cwrs Mynediad	
Rob Tranter	Head of Legal Services	Usk	Mynediad	Blaenau Gwent	

Peter Mullen	Highways	Raglan Depot		Mynediad	Cwrs Mynediad	
Paul Keeble	Highways	Magor		Mynediad	Cwrs Mynediad	
Jess Roberts	Comms	Usk		Mynediad	Cwrs Mynediad	
Amy Gullick	Democracy + Performance	Usk		Mynediad	GCSE C	
Tudor Baldwin	Legal	Usk		Mynediad	Dosbarth Nos 2 years	
Annie Bartlett	Legal	Usk		Mynediad	Dosbarth Nos 2 years	
Linda Watkins	Legal	Usk		Mynediad	Dosbarth Nos 2 years	
Sandra Wood	Social Services			Mynediad	Cwrs Mynediad	studying
Liz Thomas	CMC2	Magor		Mynediad	Cwrs Mynediad	studying
Louise McGuinness	Aventa			Mynediad	Cwrs Mynediad	studying
Jo Collett	Social Services	Youth Offending		Mynediad	Cwrs Mynediad	studying
Steve Beard	Social Services			Mynediad	Cwrs Mynediad	
Carol Phillips	Social Services	May		Mynediad	Trainee s/worker	
Sacha Brown	Social Services	Chepstow		Mynediad	Trainee s/worker	
Alis Bedell	Social Services	Abergavenny		Mynediad	School 10 years ago	
<b>19th + 25th June 2013</b>	<b>2 Day taster course</b>					
Julie Edwards	Arch Rowan Williams	Caldicot		2day taster		
Richard Wellington	Parking warden	Abergavenny		2day taster	Cwrs Mynediad	
Amelia Wheatstone	Partnership + Engagement	Usk		2day taster		
Owain Jones	Partnership + Engagement	Usk		2day taster		
Amy Elliott	Partnership + Engagement	Usk		2day taster		
Geraint Spacey	Youth Offending			2day taster		

Jo Collet	Youth offending			2day taster	Cwrs Mynediad	studying
Andrea Williams	Youth Offending			2day taster		
Pete Mullen	Highways	Raglan Depot		2day taster		
Nicola Taylor	Budden Cres	Caldicot		2day taster		
Wendy Mustow	Highways	Raglan Depot		2day taster		
Sue Dryburgh	Social Services	Magor		2day taster		
Helen Dodds	Tourism	Tintern Station		2day taster		
Rebecca Hollis	Tourism	Tintern Station		2day taster		
Yvonne Davies	Tourism	Tintern Station		2day taster		
Paul Keeble	Highways	Raglan Depot		2day taster		
Debbie Blakebrough	Councillor	Trellech United		2day taster		
Jo Goodwin	Communications	Usk		2day taster		

## The “Equality Initial Challenge”

Name: Alan Burkitt		Please give a <b>brief description</b> of what you are aiming to do.	
Service area: Policy and Partnership		This report monitors our compliance with our commitments in our Welsh Language Scheme	
Date completed: 8 <sup>th</sup> May 2014			
Protected characteristic	Potential <b>Negative</b> impact Please give details	Potential <b>Neutral</b> impact Please give details	Potential <b>Positive</b> Impact Please give details
Age			X
Disability		X	
Marriage + Civil Partnership		X	
Pregnancy and maternity		X	
Race		X	
Religion or Belief		X	
Sex (was Gender)		X	
Sexual Orientation		X	
Transgender		X	
Welsh Language			X

Please give details about any potential <b>negative Impacts</b> .	How do you propose to <b>MITIGATE</b> these <b>negative impacts</b>
➤ <i>There are no anticipated negative impacts only positive impacts</i>	➤
➤	➤
➤	➤
➤	➤

**Signed DA Burkitt**  
**Dated 9<sup>th</sup> May 2014**

**Designation Policy Officer Equality + Welsh Language**

## EQUALITY IMPACT ASSESSMENT FORM

<b>What are you impact assessing</b>	<b>Service area</b>
Welsh Language Monitoring Report 2013 - 14	Policy and Partnership
<b>Policy author / service lead</b>	<b>Name of assessor and date</b>
Alan Burkitt	Alan Burkitt 9 <sup>th</sup> May 2014

### 1. What are you proposing to do?

To ask Council to endorse the attached Annual Monitoring Report to the Welsh Language Commissioner's Office (formerly the Welsh Language Board), which has been produced in line with the targets contained within the Council's approved Welsh Language Scheme

2. Are your proposals going to affect any people or groups of people with protected characteristics in a **negative** way? If **YES** please tick appropriate boxes below. **NO**

The Welsh Language Monitoring Report is reporting on actions designed to sustain and promote the Welsh Language therefore by its very nature has a positive impact on the Welsh Language. Also there are instances with older people with dementia or having suffered a stroke reverting to either their first language or language of their youth and being unable to converse in English. Therefore the Council in conjunction with its Welsh Language Linguistic Skills Strategy needs to ensure that we have adequate numbers of Welsh speakers in key positions within the Council eg, front line posts, Social services etc

Age		Race	
Disability		Religion or Belief	
Gender reassignment		Sex	
Marriage or civil partnership		Sexual Orientation	
Pregnancy and maternity		Welsh Language	

3. Please give details of the negative impact

4. Did you take any actions to mitigate your proposal? Please give details below including any consultation or engagement.

5. Please list the data that has been used to develop this proposal? eg Household survey data, Welsh Govt data, ONS data, MCC service user data, Staff personnel data etc..

I have monitored data throughout the year to enable me to accurately record for the purposes of this report

**Signed**.....DA Burkitt...**Designation**...Policy Officer Equality and Welsh Language ...**Dated**...9<sup>th</sup> May 2104.....



### The “Sustainability Challenge”

<b>Name of the Officer</b> completing “the Sustainability challenge”  Alan Burkitt		Please give a <b>brief description</b> of the <b>aims</b> proposed policy or service reconfiguration  Annual Monitoring Report on the Councils’ Welsh Language Scheme	
<b>Name</b> of the Division or service area  Partnership and Policy		<b>Date</b> “Challenge” form completed  9 <sup>th</sup> May 2014	
Aspect of sustainability affected	<b>Negative impact</b> <b>Please give details</b>	Neutral impact <b>Please give details</b>	<b>Positive Impact</b> <b>Please give details</b>
<b>PEOPLE</b>		X	
Ensure that more people have access to healthy food		X	
Improve housing quality and provision		X	
Reduce ill health and improve healthcare provision			The “More than words strategy” for Health + Social Care will promote the ability for Welsh speakers have care services through the medium of Welsh
Promote independence		X	

Encourage community participation/action and voluntary work		X	
Targets socially excluded		X	
Help reduce crime and fear of crime		X	
Improve access to education and training			Provides people with bilingual education opportunities – both young and old
Have a positive impact on people and places in other countries		X	
<b>PLANET</b>			
Reduce, reuse and recycle waste and water		X	
Reduce carbon dioxide emissions		X	
Prevent or reduce pollution of the air, land and water		X	
Protect or enhance wildlife habitats (e.g. trees, hedgerows, open spaces)		X	
Protect or enhance visual appearance of environment		X	

<b>PROFIT</b>			
Protect local shops and services		X	
Link local production with local consumption		X	
Improve environmental awareness of local businesses		X	
Increase employment for local people		X	
Preserve and enhance local identity and culture			Sustains and promotes the Welsh Language and culture
Consider ethical purchasing issues, such as Fairtrade, sustainable timber (FSC logo) etc		X	
Increase and improve access to leisure, recreation or cultural facilities			

What are the potential negative Impacts	Ideas as to how we can look to <b>MITIGATE</b> the <b>negative impacts</b> (include any reasonable adjustments)
➤ <i>There are no negative impacts</i>	➤

➤	➤
➤	➤
➤	➤

### The next steps

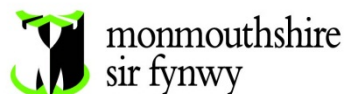
- If you have assessed the proposal/s as having a **positive impact please give full details** below

- If you have assessed the proposal/s as having a **Negative Impact** could you please provide us with details of what you propose to do to mitigate the negative impact:

**Signed**

**Dated**





<b>SUBJECT:</b>	<b>MONMOUTH SECTION 106 FUNDING</b>
<b>MEETING:</b>	<b>CABINET</b>
<b>DATE:</b>	<b>4<sup>th</sup> JUNE 2014</b>
<b>DIVISIONS/WARDS AFFECTED:</b>	<b>MONMOUTH</b>

**1.0 PURPOSE**

- 1.1 To recommend to Council the setting up of a Capital Budget in 2014/15 for the Monmouth Off Site Open Space/Recreation Funding; and
- 1.2 To decide on the allocation of grants to specific projects from the funding available.

**2.0 RECOMMENDATIONS**

It is recommended to Council that:

- 2.1 a capital budget of £333,146 be created in 2014/15 to carry out the projects emboldened in 2.3 below and that this is funded from corresponding contributions from the Section 106 balances held by the County Council in respect of the Croft y Bwla (£106,428), Almshouses (£37,490) and former Wyesham Infants School (£189,228) development sites in Monmouth;
- 2.2 the second contribution of £106,428 from the Croft y Bwla site be included in the Capital Budget when this is received from the developer;
- 2.3 that the projects set out below and as detailed in Appendix D to this report be approved, with the schemes not emboldened being carried out when the remaining funding is received:

<b>Project</b>	<b>£</b>
<b>02 Monmouth Petanque Club</b>	
<i>Floodlighting of Petanque Terrain</i>	<b>9,962</b>
<b>05 Monmouth Off Street Project</b>	
<i>New skatepark and pump track</i>	<b>100,000</b>
<b>07 Wyesham Scouts</b>	
<i>All weather outdoor area/disabled facilities</i>	<b>15,985</b>
<b>08 Monmouth Town Council</b>	
<i>New play area in Osbaston</i>	<b>21,083</b>

10 Monmouthshire County Council <i>Gateway Monmouth Project</i>	50,000
<b>12 Wyesham Play Project</b> <i>New play area at Tudor Road, Wyesham</i>	<b>70,000</b>
<b>15 Monmouth Cricket Club</b> <i>New cricket practice nets</i>	<b>18,000</b>
<b>16 Monmouth Rugby Club</b> <i>Pitch works and floodlighting</i>	<b>30,000</b>
<b>21 Transition Monmouth</b> <i>Wyesham Community Woodland</i>	<b>21,000</b>
22 Monmouthshire County Council <i>New destination play area for Monmouth</i>	85,000
<b>23 Monmouth Town Council</b> <i>Drybridge nature park improvements</i>	<b><u>18,525</u></b>
<b>Total</b>	<b>439,555</b>

2.4 Grant offers be made subject to the standard terms and conditions of grant set out in **APPENDIX A** of this report and, in the case of Projects 10, 15 and 22, subject to the additional conditions set out in Para 5.3 of this report.

### 3.0 KEY ISSUES

3.1 The County Council has granted planning permission for three housing developments in Monmouth, as set out below, subject to the applicants entering into Section 106 (S106) Agreements:

Site	Planning Application(s)	Units	Amount £
Almshouses, St James Square	DC/2010/00810	33	37,490
Former Wyesham Infants School Site	DC/2011/00536	52	189,228
Land at Croft y Bwla, Rockfield Road	DC/2006/00858	84	212,856
	DC/2011/00436		
<b>Total</b>		169	<b>439,574</b>

3.2 One of the provisions contained in the S106 Agreements is that the respective developers will make contributions to the County Council for the provision off site of new or improved open space and/or recreation facilities.

- 3.3 The “area of benefit” stipulated in the agreements relating to Croft y Bwla and the Wyesham Infants School site is “within 3 miles of the site” – there was no area of benefit stipulated in the Almshouses S106 Agreement. This effectively means that the funding has to be used within the Monmouth town area.
- 3.3.1 The contributions from the Almshouses (£37,490) and the former Wyesham Infants School (£189,228) sites and 50% of the funding (£106,428) from the Croft y Bwla site have been received and these funds have to be spent by 11<sup>th</sup> February 2020, 14<sup>th</sup> May 2019 and 20<sup>th</sup> November 2018 respectively. Failure to spend the money within the stipulated deadlines will result in the County Council having to repay any unspent balance, with interest, to the developer(s). The remaining £106,428 from the Croft y Bwla site is likely to be received within the next two months.
- 3.4 As part of the Council’s S106 policy & procedure, and as part of the compact agreed between Monmouthshire and the Town & Community Councils, the County Council has given an undertaking to consult with the appropriate Town and Community Councils and the appropriate Area Committee on the use of Section 106 monies.
- 3.6 Applications were invited during the period 25<sup>th</sup> November 2013 to 31<sup>st</sup> January 2014. Applicants were asked to complete an application form and to submit in support of their applications a range of documentation – these additional documents are listed at **APPENDIX B** to this report.
- 3.7 By the close of the application period 23 applications had been received, requesting grants totalling £951,950 (£951,949.84). One of the applications was for grant aid towards two separate elements and this was treated as two applications, as the details of the proposals were quite different in terms of the assessment process. A list of the applications received and the amount of grant requested by each applicant is set out in **APPENDIX C** to this report.
- 3.8 An assessment panel was set up to consider the applications, which consisted of an elected member representative each from the County Council and the Town Council, County Council officers from different disciplines and two independent members of the local community to ensure a balanced and objective approach to the assessment process.
- 3.9 A set of assessment criteria was used to assess each of the applications received, together with guidance on how to score an application within each of the following four categories
- Open space considerations
  - Relationship to the application site(s)
  - Achievability and sustainability
  - Community support
- There was a maximum score of 10 points for each category so, at the end of the process each application had a total score out of a maximum of 40 points.
- 3.10.1 At the end of the assessment process the panel arrived at a recommendation to support 11 of the 24 applications under consideration. The total amount of grant aid requested by these 11 applicants exceeded the amount of funding available so the panel made some adjustments to the level of grants to be offered, in order to ensure that the total grants offered falls within the amount of funding likely to



be available from the three developments concerned. This included asking each of the applicants to provide a minimum of 5% match funding in support of their applications. Attached at **APPENDIX D** is the list of grant recommendations arrived at by the Assessment Panel.

**4.0 REASONS**

- 4.1 The Council's Capital Budget for 2014/15 has already been approved and any proposal to add to or vary the Capital Budget requires a decision to be made by full Council.
- 4.2 The panel assessed each application in turn to make sure that it was measured accurately against the assessment criteria – the panel was particularly concerned to ensure that a consistent approach was used to score each element of the applications under consideration.

**5.0 RESOURCE IMPLICATIONS**

- 5.1 The expenditure recommended in the report will be met in full from the S106 contributions paid to the authority by the developers. Sufficient funding has already been received (£333,146) to proceed with all of the emboldened schemes in para 2.3 (£304,555). The further £106,428 is anticipated within the next two months, at which stage the other two schemes can proceed subject to match funding being in place.
- 5.2.1 However, there is an issue about the timing of the projects being carried out and the expenditure being incurred for two reasons. The first is that all of the anticipated funding has not yet been received by the Council from the developers and the second is that a number of the projects recommended for approval will need to obtain certain permissions before their projects can proceed, e.g. planning permission, landlords agreement or Welsh Government consent under the Chippenham Mead Village Green Scheme of Regulation.
- 5.3 The schemes emboldened in Section 2.3 of this report can all proceed subject to the applicants obtaining planning permission so conditional grant offer letters can be made to these applicants subject to Cabinet's approval of these recommendations. Other conditional grant offers can be made as follows:

<b>Ref</b>	<b>Applicant/Project</b>	<b>Grant</b>	<b>Condition</b>
10	Monmouthshire County Council Gateway Monmouth Project	50,000	Subject to confirmation of funding from other sources
15	Monmouth Cricket Club New Cricket Practice Nets	18,000	Subject to Welsh Government consent under Village Green



another position on the village green. This may require the relocation of some sports pitches (still on the village green) but that will only become clear as and when the consultation exercise is carried out. If a change in location is not supported or if relocation is not possible because of it's effect on the existing sports pitches then the play area can be substantially upgraded "in situ" in its current location.

**8.0 BACKGROUND PAPERS**

- 8.1 Consultation Report for Monmouth Town Council and Central Monmouthshire Area Committee dated 23<sup>rd</sup> April 2014.
- 8.2 Consultation Response dated 25<sup>th</sup> April 2014 from Councillor Penny Jones
- 8.3 Consultation Response dated 1<sup>st</sup> May from Councillor Val Smith
- 8.4 Consultation Response dated 16<sup>th</sup> May 2014 from Monmouth Town Council

**9.0 AUTHOR**

Mike Moran, Community Infrastructure Coordinator  
07901 854682      [mikemoran@monmouthshire.gov.uk](mailto:mikemoran@monmouthshire.gov.uk)

APPENDIX A

STANDARD CONDITIONS OF  
SECTION 106 GRANT AID IN MONMOUTHSHIRE

**TERMS AND CONDITIONS OF GRANT**

1. The grant will be used towards the purchase/improvement of a new or existing asset in the administrative area of Monmouth Town Council.
2. The grant will be used solely the provision of new or improved open spaces and/or recreational facilities.
3. The grant will be used for capital expenditure and will not be used towards the day-day running costs of my organisation.
4. The grant will only be used as bona fide expenditure towards the project described in the application form that I have signed and submitted.
5. I will submit, in support of my request for grant payments, invoices or receipts relating to expenditure legitimately incurred on items that form part of the approved project.
6. If it is established that part of the grant has been used for any purpose other than that described in the application form then that part of the grant will, within one month of notification being received from the County Council, be repaid to the Council for reallocation to another project.
7. If any part of the grant remains unclaimed within three years of the date of the grant approval letter, the County Council reserves the right to review the allocation of funding and, if considered reasonable, to reallocate that grant to another project.
8. Colour photographs taken before work starts, and when the work is completed, are to be supplied digitally ( j.peg files) to Monmouthshire County Council.

**9. An end of scheme report will be completed and submitted to the Council upon completion of the works and periodic reports will also be submitted annually for three years following completion of the project. This is to enable the Council to monitor the impact of the grant awards in line with the Equality Impact Assessment completed as part of the grant approval process.**

**NOTE:**

- **This grant award is proportionate to the overall project cost as set out in the application form submitted.**
- **The proportion of grant awarded, as a percentage of the total project cost will be set out clearly in the grant award letter, which you will be asked to sign before proceeding with your project.**
- **If the total project cost reduces after the award of the grant then the grant will reduce in similar proportions – in other words, if the grant offer letter states that the grant award is 50% of the total project cost and the total project cost reduces, then you can expect to receive a proportionate reduction in the grant payment(s) made to you.**

APPENDIX B  
SECTION 106 FUNDING

**CHECKLIST OF ITEMS TO BE RETURNED**

No	Item	Please ✓ if enclosed
1	Signed application form	
2	Constitution of Applicant Organisation	
3	Detailed plans of proposal if applicable	
4	Three written quotations *	
5	Profile of expenditure	
6	Latest set of annual accounts	
7	Latest bank account/building society statement	
8	Letters of support to demonstrate community support	
9	For sports club applications, letter of support from appropriate governing body	
10	Completed sustainability checklist	
11	Membership breakdown, inc. age and gender profile	
12	Copies of any statutory consents required	

Items 2, 3, 6, 7, 8, 9 (where applicable), 10 and 11 need to be submitted at the same time as your completed application form (item 1) – items 5 and 12 can be forwarded later but these will be required before a formal grant offer letter can be issued.

**\* Item 4 - please note that one quotation or a detailed expenditure breakdown will be accepted with your application but, if your project is supported, then three written quotations will be required before a formal grant offer letter can be issued.**

**NOTE:**

The Equality Act 2010 requires public bodies to carry out an equality impact assessment (EQIA) when scoring or assessing grant applications. The information requested above will assist the Council in carrying out such an assessment, thereby enabling it to fulfil its statutory duties as required by the Act.

## APPENDIX C

## MONMOUTH SECTION 106 OPEN SPACE AND RECREATION FACILITIES – LIST OF APPLICATIONS RECEIVED

No	Applicant	Scheme	Scheme Cost	Own/Other Funds	Grant Requested
01	Monmouth Allotment Association	Stock proof fence	35,024.40	0	35,024.40
02	Monmouth Petanque Club	Floodlighting	10,486.00	0	10,486.00
03	Monmouth Rowing Club	Purchase of strength/conditioning equip	11,676.11	2,376.11	9,300.00
04	Nelson Garden Project	Toilet/other works	10,500.00	500.00	10,000.00
05	Monmouth Off Street Project	Skatepark/pump track	180,000.00	80,179.27	100,000.00
06	The Attick Youth Project	Replacement windows	11,500.00	2,500.00	9,000.00
07	Wyesham Scouts	All weather outdoor area/disabled facility	19,985.81	4,000.00	15,985.81
08	Monmouth Town Council	Osbaston Play Park	22,193.00	0	22,193.00
09	Monmouth Town Council	Wyesham Community Garden	7,500.00	0	7,500.00
10	Monmouthshire County Council	Gateway Monmouth Project	1,985,491.00	1,935,491.00	50,000.00
11	Wyesham Wanderers Football Club	Pitch drainage and fencing	58,009.35	0	58,809.35
12	Wyesham Play Project	New Play Area at Tudor Road, Wyesham	75,000.00	500.00	74,500.00
13	Monmouth Leisure Centre	MUGA Refurbishment – 3G Training Area	32,000.00	0	32,000.00
14	Bridges Community Project	Play facility for pre-school children	94,015.00	24,015.00	70,000.00
15	Monmouth Cricket Club	New cricket practice nets	26,532.00	8,532.00	18,000.00
16	Monmouth Rugby Club	Pitch works and floodlighting	69,969.72	39,969.72	30,000.00
17	CMC2 – MCC Community Interest Co	Digital Gateway Monmouth Project	82,225.00	5,195.00	77,030.00
18	St Thomas Church Hall	Redevelopment of Church Hall	400,000.00	340,000.00	60,000.00
19	Friends of Vauxhall Fields	Safety improvements and access usage	34,000.00	6,000.00	28,500.00
20	Monmouth Town Football Club	Covered viewing area/storage areas	35,000.00	3,000.00	32,000.00
21	Transition Monmouth	Wyesham Community woodland imp	22,646.28	525.00	22,121.28
22	Monmouthshire County Council	New Monmouth Destination Play Area	150,000.00	5,000.00	145,000.00
23	Monmouth Town Council	Drybridge Nature Pond Improvements	19,500.00	0	19,500.00
24	Monmouth Town Council	Drybridge Play Area Resurfacing	15,000.00	0	15,000.00
	<b>Total</b>				<b>£951,949.84</b>



## MONMOUTH SECTION 106 FUNDING – RECOMMENDATIONS OF ASSESSMENT PANEL

No	Project	Scheme Cost	Grant Request	Section 106 Scoring Criteria					S106 Panel Grant Recommended	% of Total Scheme Cost
				OS	R / S	A & S	C S	Total Score		
		£	£						£	%
05	Monmouth Off Street Project	180,000	100,000	7	5	6	7	25	100,000	56%
21	Wyesham Community Woodland	22,646	22,121	5	6	4	7	22	21,000	93%
10	Gateway Monmouth Project	1.985m	50,000	6	4	5	6	21	50,000	2.5%
15	Mon Cricket Club Practice Nets	26,532	18,000	5	4	5	7	21	18,000	68%
07	Wyesham Scouts Outdoor Area	19,986	15,985	4	5	6	5	20	15,985	80%
16	Monmouth RFC Floodlights	69,970	30,000	6	4	5	4	19	30,000	43%
22	New Destination Play Area	150,000	145,000	5	4	6	4	19	85,000	57%
23	Drybridge Nature Park Imps	19,500	19,500	6	5	6	2	19	18,525	95%
12	Tudor Road Play Area	75,000	75,000	5	4	4	5	18	70,000	93%
02	Mon Petanque Club Floodlights	10,486	10,486	4	7	5	1	17	9,962	95%
08	Osbaston Play Park	22,193	22,193	5	3	6	3	17	21,083	95%
	<b>Total</b>								<b>439,555</b>	
	Amount available to allocate								439,574	

Abbreviations

OS = Open Space Considerations  
A & S = Achievability and Sustainability

R/S = Relationship to Application Site(s)  
C S = Community Support

**EQUALITY IMPACT ASSESSMENT FORM**

<b>What impact are you assessing</b>	<b>Service area</b>
The allocation of grants from Monmouth Section 106 Open Space and Recreation Fund	Regeneration and Cultural Services
<b>Policy author / service lead</b>	<b>Name of assessor and date</b>
Ian Saunders	Mike Moran 09/05/2014

1. What are you proposing to do?

The proposal is to allocate grants from the Monmouth Section 106 Off site Open Space/Recreation Fund. This fund is made up of developer contributions from three development sites in Monmouth as follows:

Site	Planning Application(s)	Units	Amount
Almshouses, St James Square	DC/2010/00810	33	37,490
Former Wyesham Infants School Site	DC/2011/00536	52	189,228
Land at Croft y Bwla, Rockfield Road	DC/2006/00858 and DC/2011/00436	84	212,856
<b>Total</b>		169	<b>439,574</b>

The Council has received 24 applications and is proposing to offer grants to 11 projects following a detailed assessment.

2. Are your proposals going to affect any people or groups of people with protected characteristics in a **negative** way? If **YES** please tick appropriate boxes below. **NO**

Age	N/A	Race	N/A
Disability	N/A	Religion or Belief	N/A
Gender reassignment	N/A	Sex	N/A
Marriage or civil partnership	N/A	Sexual Orientation	N/A
Pregnancy and maternity	N/A	Welsh Language	N/A

3. Please give details of the negative impact

N/A

4. Did you take any actions to mitigate your proposal? Please give details below including any consultation or engagement.

N/A

5. Please list the data that has been used to develop this proposal? e.g. Household survey data, Welsh Govt data, ONS data, MCC service user data, staff personnel data etc.

**2011 Census data relating to population statistics for Monmouth plus participation data provided by various applicants**

Signed: *Mike Moran*

Designation: Community Infrastructure Coordinator

Dated: 09/05/2014

APPENDIX F

The “Equality Initial Challenge”

Name: <b>Mike Moran</b> Service area: <b>Regeneration and Cultural Services</b> Date completed: <b>09/05/2014</b>		Please give a <b>brief description</b> of what you are aiming to do.  Allocate grants to local open space and recreation projects in the Monmouth town area from Section 106 funding provided by the developers of three residential development sites in the town	
Protected characteristic	Potential <b>Negative</b> impact Please give details	Potential <b>Neutral</b> impact Please give details	Potential <b>Positive</b> Impact Please give details
Age			✓
Disability			✓
Marriage + Civil Partnership		✓	
Pregnancy and maternity		✓	
Race		✓	
Religion or Belief		✓	
Sex (was Gender)			✓
Sexual Orientation		✓	
Transgender		✓	
Welsh Language	✓		

For details regarding positive and negative impacts please see over

## AGENDA ITEM iv

Please give details about any potential <b>positive Impacts</b> .	How will these <b>positive impacts</b> be achieved
➤ <i>Although many of the projects will benefit primarily children and young people, three of the projects (02, 22 and 23) recommended for approval will have positive benefits for older people in the 50+ <b>age</b> range</i>	➤ Continue to work with the successful applicants to ensure that the needs of older people are taken into account when activities or further improvements are planned
➤ <i>Ten of the projects recommended for approval (02, 05, 07, 08, 10, 12, 15, 21, 22 and 23) have been designed to be easily accessible by <b>disabled</b> people and people with support needs</i>	➤ Continue to work with and encourage successful applicants to pay particular attention to the needs of disabled people and people with support needs
➤ <i>All of the projects recommended for approval will be accessible to male and female gender but one project (15) is an outstanding example of how to encourage <b>female</b> participation in a traditionally male sport, i.e. cricket</i>	➤ Encourage all applicants to encourage female participation and ask for female participation in activities to be encouraged and recorded in the end of scheme reports and in periodic monitoring reports for the next three years until the EQIA is reviewed in 2017 (para 6.2 refers)

Please give details about any potential <b>negative Impacts</b> .	How do you propose to <b>MITIGATE</b> these <b>negative impacts</b>
➤ <i>There was no section on the grant application form to record how applicants intended to promote the <b>Welsh Language</b> in their projects if approved</i>	<ul style="list-style-type: none"> <li>➤ Ask applicants to record in their periodic monitoring &amp; end of scheme reports their efforts to encourage use of the Welsh Language</li> <li>➤ Include a question on the Welsh Language in future grant application forms</li> </ul>

Signed: *Mike Moran*

Designation: Community Infrastructure Coordinator

Dated: 09/05/2014

APPENDIX G

The “Sustainability Challenge”

<b>Name of the Officer</b> completing “the Sustainability challenge”  <b>Mike Moran</b>		Please give a <b>brief description</b> of the <b>aims</b> proposed policy or service reconfiguration <b>To provide new or improved open space &amp; recreation facilities and to encourage improved access/use of those assets</b>	
<b>Name</b> of the Division or service area  <b>Regeneration and Cultural Services</b>		<b>Date</b> “Challenge” form completed  <b>09/05/2014</b>	
Aspect of sustainability affected	<b>Negative impact</b> Please give details	Neutral impact Please give details	<b>Positive Impact</b> Please give details
<b>PEOPLE</b>			
Ensure that more people have access to healthy food		✓	
Improve housing quality & provision		✓	
Reduce ill health and improve healthcare provision			✓ Participation in sport and healthy exercise improves health and reduces dependence on healthcare provision
Promote independence		✓	
Encourage community participation/action & voluntary work			✓ Most of the project recommended for approval involve high levels of community participation and are run by volunteers
Targets socially excluded		✓	
Help reduce crime and fear of crime		✓	
Improve access to education and training			✓ All of the projects recommended for approval involve training and some (02, 05, 07, 15 & 16) include educational activities
Have a positive impact on people and places in other countries		✓	

## AGENDA ITEM iv

<b>PLANET</b>			
Reduce, reuse and recycle waste and water		✓	
Reduce carbon dioxide emissions			✓ Access to local facilities reduces reliance on car journeys, thus reducing carbon emissions
Prevent or reduce pollution of the air, land and water		✓	
Protect or enhance wildlife habitats (e.g. trees, hedgerows, open spaces)			✓ One of the projects recommended for approval (21) will protect wildlife habitats
Protect or enhance visual appearance of environment			✓ Most of the projects recommended for approval, in particular 07,08, 10, 12, 21 & 23 will enhance visual appearance of environment
<b>PROFIT</b>			
Protect local shops and services		✓	
Link local production with local consumption		✓	
Improve environmental awareness of local businesses		✓	
Increase employment for local people		✓	
Preserve and enhance local identity and culture			✓ Most if not all of the projects are promoted by local people and “fit” with the local identity and culture of the area
Consider ethical purchasing issues, such as Fairtrade, sustainable timber (FSC logo) etc		✓	
Increase and improve access to leisure, recreation or cultural facilities			✓ All of the projects recommended for approval will increase and/or improve access to leisure and recreation facilities

What are the potential negative Impacts	Ideas as to how we can look to <b>MITIGATE</b> the <b>negative impacts</b> (include any reasonable adjustments)
➤ N/A	➤ N/A

**The next steps**

- If you have assessed the proposal/s as having a **positive impact please give full details** below

The projects recommended in this report for a grant award will, if approved:

- provide better access to a range of improved open space and recreation facilities in Monmouth, primarily for the benefit of local people;
- provide investment in facilities that are sustainable in the longer term & that reduce reliance on car journeys to access good quality facilities;
- provide improved access to and participation by people living in Monmouth that have one or more protected characteristic(s);
- help to promote local identity and culture through the involvement of a large number of local people acting in a voluntary capacity.

- If you have assessed the proposal/s as having a **Negative Impact** could you please provide us with details of what you propose to do to mitigate the negative impact:

N/A

Signed: *Mike Moran*

Designation: Community Infrastructure Coordinator

Dated: 09/04/2014





**SUBJECT: SAFEGUARDING AND CHILD PROTECTION POLICY NOVEMBER 2013**

**MEETING: Cabinet**

**DATE: 4<sup>th</sup> June 2014**

**DIVISION/WARDS AFFECTED: All**

1. **PURPOSE:**  
The Safeguarding Children in Education Policy November 2012 was signed off by cabinet on 23<sup>rd</sup> November 2012. It is good practice to review new policies within 12 months of implementation and consultation took place across agencies in August to September 2013 which was followed by a revised policy being developed in November 2013. The revised policy, ***Safeguarding and Child Protection Policy November 2013***, contains minor amendments and additions which were based on consultation feedback.
2. **RECOMMENDATIONS:**  
It is recommended that the Safeguarding and Child Protection Policy November 2013 is supported and signed off by cabinet.
3. **KEY ISSUES:** Safeguarding and child protection policy and practice within Monmouthshire.
4. **REASONS:** This policy underpins safeguarding and child protection practice across Monmouthshire, and has been pivotal in embedding practice standards across all settings providing services for children, young people and families in Monmouthshire including schools, early years, grant funded and commissioned services, leisure and youth services, central support services and social services.
5. **RESOURCE IMPLICATIONS:**  
A policy is already in place so implementation of the content will not incur additional costs. We will need to ensure that all settings have the revised policy, which can be achieved via our website, email and via key staff in the Council. The policy will replace the

existing policy on the Council website. As soon as the policy is signed off, child protection training that is delivered in MCC will be updated to incorporate the new policy.

**6. SUSTAINABLE DEVELOPMENT AND EQUALITY IMPLICATIONS:**

The significant equality impacts identified in the assessment (Appendix 1) are summarised below for members' consideration:

The policy positively impacts on children and young people who are at risk of harm from abuse or neglect. The policy highlights those children and young people who are particularly vulnerable for instance Children with Disabilities, or Children who are Looked After.

The Children and Young Person's select committee will receive performance and evaluative information regarding the impact of the policy on a regular basis. This will include information regarding, for example, numbers and outcomes for children who receive protection services, numbers of professional safeguarding issues that have been addressed and numbers of Monmouthshire workers who received training in child protection.

**7. CONSULTEES:**

**Elected members – CYP select committee January 2014**

**August – September 2013 – Chief Officers; CYP; all schools**

**8. BACKGROUND PAPERS:**

**Safeguarding and Child Protection Policy November 2013 – amendments are highlighted on the document for ease of reference.**

**9. AUTHOR:**

**Jane Rodgers, Safeguarding Service Manager**

**10. CONTACT DETAILS:**

**Tel: 01633 644054**

**E-mail: [janerodgers@monmouthshire.gov.uk](mailto:janerodgers@monmouthshire.gov.uk)**



monmouthshire  
sir fynwy



DRAFT

## **SAFEGUARDING & CHILD PROTECTION POLICY**

**UPDATED FOLLOWING CONSULTATION – AUTUMN 2013**

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## 1. INTRODUCTION

This policy document has been produced to support good practice within educational settings and other child and family services in Monmouthshire. We believe that all children and young people in Monmouthshire have the right to be safe from harm and deserve the opportunity to fulfil their potential. The Council recognises its role and responsibilities in safeguarding and promoting the welfare of children, including the contribution it must make to working together with other agencies to ensure the well-being of the children in the county.

Monmouthshire County Council places significant emphasis on the need for equality of opportunity to permeate all child related activities, and will continue to promote and develop its role as an advocate and protector of those who face special difficulties in realising their full potential.

The policy applies to **all settings providing services for children, young people and families in Monmouthshire** including schools, early years, grant funded and commissioned services, leisure and youth services, central support services and social services.

## 2. PURPOSE OF THE POLICY

This policy aims to provide a framework which ensures that policies and practices within Monmouthshire County Council are consistent and in line with stated values which underpin all work with children and young people. This document provides a context for establishing good practice in all matters relating to the safeguarding of children. It endeavours to clarify to all Monmouthshire County Council staff their professional responsibilities to ensure that statutory and other duties are met in accordance with local and national requirements and procedures, regarding the protection of children.

The policy makes explicit the expectation that all settings providing services for children in Monmouthshire including schools and centrally managed support services will have their own **safeguarding** and child protection policies and procedures, which are in keeping with this document and with other local, regional and national procedures and guidance.

## 3. LEGISLATIVE FRAMEWORK

Monmouthshire County Council is committed to the principles of the UN Convention on the Rights of the Child as the basis for its dealings with children and young people. The council has adopted the Welsh Governments' Seven Core Aims and will work to ensure that all children and young people:

- have a flying start in life;
- have a comprehensive range of education and learning opportunities;
- enjoy the best possible health and are free from abuse, victimisation and exploitation;
- have access to play, leisure, sporting and cultural activities;
- are listened to, treated with respect, and have their race and cultural identity recognised;
- have a safe home and a community which supports physical and emotional wellbeing
- are not disadvantaged by poverty.

Section 25 of the Children Act 2004 requires that each local authority in Wales must make arrangements to promote co-operation between the authority, each of the authority's relevant partners and such other persons or bodies that the authority thinks is appropriate, to improve the wellbeing of children and young people in their area.

Safeguarding Children: Working Together under the Children Act 2004 requires the local authority to make arrangements for ensuring that their functions are discharged having regard to the need to safeguard and promote the welfare of children and contribute to the work of the Safeguarding Children Board.

Section 175 of the Education Act 2002 requires local authorities and governing bodies of maintained schools and further education institutions to make arrangements to ensure that their functions are carried out with a view to safeguarding and promoting the welfare of children.

Section 157 of the Education Act 2002 requires local authorities to ensure that proprietors of independent schools fulfil their responsibilities with regard to safeguarding and promoting the welfare of the children in their care.

The following guidance sets out the duties of local authorities to take the lead in driving forward partnership working that puts in place effective integrated services for all children and young people:

- Stronger Partnerships for Better Outcomes - July 2006
- Safeguarding Children: Working Together Under the Children Act 2004
- The Children and Young People's Plan (Wales) Regulations- September 2007
- Shared Planning for Better Outcomes- September 2007
- The Framework for Assessing Children in Need and their Families – 2001.

The council operates within an equal opportunities framework including the statutory duties as outlined in the Race Relations Act 1976, and the Race Relations Amendment

Act 2000, with particular reference to the implementation of the statutory Race Equality Policy.

Safeguarding Children in Education, 2008 gives guidelines on the arrangements for safeguarding children and young people up to the age of eighteen in education.

The All Wales Child Protection Procedures 2008 set out the inter agency procedures for recognising and responding to child protection concerns. This policy should be read in conjunction with both the above documents.

#### **4. A SHARED OBJECTIVE**

This policy is underpinned by the belief that 'The welfare of the child is paramount' and all employees, volunteers and partners working with Monmouthshire County Council have a responsibility to the children in their care.

Services operating within the council will be expected to respond to the needs of children within a broad concept of 'safeguarding' and adhere to principals of partnership working in promoting prevention and early intervention. This will include participating in arrangements for 'Joint Assessment Family Framework' (JAFF) and 'Team Around the Family' (TAF).

Services will be expected to respond to the needs of children who are at risk of significant harm (or where significant harm is suspected) following the procedures outlined in the All Wales Child Protection Procedures 2008. Services are asked to be vigilant towards all children and families but particularly those from vulnerable groups such as children who are 'looked after', disabled children and children with additional learning needs.

Where children are Looked After by the local authority, the local authority has specific and additional responsibilities as the corporate parent. Services operating within the council will also be expected to support the council in fulfilling its role as corporate parent. This will entail planning a joined up, holistic approach to meeting the needs of Looked After Children and promoting their life chances.

This policy must be considered within the context of other local, regional and national policies that pertain to work with children and young people. Staff will need to be aware and consider how other issues can and do have a bearing on safeguarding and child protection situations.

A comprehensive range of good practice guidance and protocols for safeguarding and protecting children is listed at Appendix 2 for example, working with children and young

people at risk of self-harm or suicide; working with children who go missing; working with children affected by domestic abuse.

It is an expectation that everyone in Monmouthshire County Council and its partners share an objective to help keep children and young people safe by contributing to:

- Creating and maintaining a safe learning environment;
- Identifying where there are child welfare concerns and taking action to address them in partnership with other agencies;
- The development of children's understanding, awareness, and resilience through the curriculum.

To achieve this objective Monmouthshire County Council has a responsibility to ensure that its schools, further education institutions, educational settings, partner agencies and local authority departments working with children (such as the AEN department and/or Inclusion Service) have effective systems in place to:

- Prevent unsuitable people from working with children and young people;
- Promote safe practice and challenge poor and unsafe practice;
- Identify instances in which there are grounds for concern about a child's welfare, and initiate or take appropriate action to keep them safe;
- Contribute to effective partnership working between all those involved with providing services for children and young people.

Additionally, all settings within Monmouthshire County Council should:

- Have a safeguarding policy/child protection policy in place that is in accordance with guidance within this policy (see Appendix 3 for Model School Policy).
- Have a senior member of staff who is designated to take lead responsibility for dealing with child protection issues, providing advice and support to other staff, liaising with the LA and working with other agencies. The designated person should be a senior member of staff who is appropriately trained and experienced. (NB a deputy should be available to act in the designated person's absence).
- Ensure that these policies and procedures cover services that extend beyond the school day (eg. boarding accommodation, community activities on school premises, etc.).
- Operate recruitment and management procedures that take account of the need to safeguard children and young people, following related Monmouthshire County Council policies (see Appendix 1).



## 5. ROLES AND RESPONSIBILITIES

The welfare of children is a corporate responsibility of the entire local authority. The following sections set out the roles and responsibilities of Monmouthshire County Council, the governing body of schools and FE institutions with Monmouthshire County Council, the HT or Principal and proprietors of independent and residential schools and other partnership agencies providing services for children and families in Monmouthshire and for Monmouthshire children outside of the county.

### 5.1 THE ROLE OF THE LOCAL AUTHORITY

The Local Authority has responsibilities at three levels:- strategic, support and operational.

On a **strategic** level Monmouthshire County Council will plan, co-ordinate services and allocate resources working in partnership with other agencies.

At this level Monmouthshire County Council will:

- Appoint a named officer to work with colleagues in the Safeguarding and Quality Assurance Unit dealing with allegations against professionals in schools and partner agencies;
- Work with other agencies to put in place and support effective partnership working including cross border processes;
- Allocate resources to enable educational settings and local authority staff to discharge their responsibilities for safeguarding children satisfactorily;
- Liaise with the appropriate diocesan authorities in respect of arrangements for safeguarding children in aided schools in Monmouthshire;
- Monitor the compliance of maintained schools using the guidance listed in Section 2 Legislative Framework above;
- Bring any deficiencies to the attention of the governing body of the school/setting and give advice as to how to remedy deficiency;
- Take action to resolve any inter-agency problems;
- Play a full part in case reviews in accordance with Chapter 10 of the Safeguarding Children: Working Together Under the Children Act 2004;
- Disseminate information about relevant findings from case reviews to designated staff for child protection in the authority and maintained schools;
- Allocate resources to support the work of the Safeguarding Children Board;
- Ensure that a senior officer represents the authority on the Safeguarding Children Board;

- Through the work of the Safeguarding and Quality Assurance Unit ensure that all internal and external educational providers fulfil their responsibilities in safeguarding the children of Monmouthshire.

On a **support** level Monmouthshire County Council will endeavour to ensure that the governing body of all schools and further education institutions, the Head Teacher or Principal and proprietors of independent schools and other partnership agencies providing services for children and families:

- Are aware of their responsibilities for Child Protection **and Safeguarding**;
- Are aware of their responsibilities to Looked After Children in Monmouthshire;
- Have appropriate guidance and support available from the Monmouthshire Children's Services Safeguarding Unit/Team, facilitated by the Designated Lead Officer for Education;
- Have access to a programme of appropriate training;
- Have a Model Child Protection Policy for schools to follow (see Appendix 3);
- Have flowcharts and procedures to follow in line with the All Wales Child Protection Procedures 2008.

On an **operational** level Monmouthshire County Council will be responsible for promoting the safety and welfare of children in the following circumstances:

- Children excluded from school, or who have not obtained a school place (for example children in Pupil Referral Units);
- Children with complex medical needs and specific or additional learning needs;
- Home educated children;
- Children subject to Child Protection Plans;
- Looked After Children;
- Children who are educated outside of Monmouthshire.

The Local Authority recognises that children in such circumstances are potentially, particularly vulnerable and may need significant additional help to access learning, play and leisure services and / or to attain their full potential. All those working in Monmouthshire educational settings and child and family services are required to work in partnership with others to monitor the wellbeing and attainment of vulnerable children and to provide additional support and services to those who require it.

In addition Monmouthshire County Council will:

- Monitor and oversee safe recruitment procedures in line with national, regional and local guidance including the Vetting and Barring Scheme;

- Have procedures in place for dealing with allegations of abuse against members of staff and work with schools and RSCB partner agencies to ensure that allegations are dealt with fairly, consistently and quickly;
- Liaise with other local authorities to ensure that child protection allegations are investigated where children from other authorities receive education within Monmouthshire?;
- Support schools to liaise appropriately with other local authorities to meet the safeguarding needs of children from other local authorities receiving education in Monmouthshire;
- Similarly, where Monmouthshire pupils attend school in other local authorities, Monmouthshire County Council will support a shared understanding of the different policies and procedures that may exist including different criteria and referral routes.

## **5.2 THE ROLE OF THE SAFEGUARDING AND QUALITY ASSURANCE UNIT**

The Monmouthshire Safeguarding and Quality Assurance Unit has been established to support safeguarding across all services and settings in the county covered by this policy.

The Safeguarding and Quality Assurance Unit will hold schools, local authority departments, services and partner agencies to account for their safeguarding practices in the following ways:

- A bi-annual audit will be carried out with schools, educational settings, service areas and partner agencies – see attached Safeguarding Audit Toolkit;
- Staff will work with the HR department monitoring staff DBS/DBS checks;
- Training will be implemented across the authority to support settings in meeting their training requirements and to improve knowledge and understanding of child protection and safeguarding procedures;
- Take up of training will be monitored with detail of numbers, venues and type of staff attending. A report will be written each year with recommendations for future training;
- Regular meetings and visits will be carried out in schools/local authority service areas to discuss safeguarding procedures and practices;
- Any allegations against professionals will be followed up by the safeguarding unit in partnership with others in line with the All Wales Child Protection Procedures 2008.

## **5.3 THE ROLE OF THE GOVERNING BODY IN MAINTAINED SCHOOLS and FURTHER EDUCATION ESTABLISHMENTS IN MONMOUTHSHIRE**

Governing bodies of maintained schools in Monmouthshire have a responsibility to ensure that:

- The school/educational establishment has an effective Child Protection/Safeguarding policy in place in accordance with guidance in this document;
- The policy is reviewed annually and is made available to parents/carers and/or students on request;
- The school/educational establishment follows recommended procedures and guidelines for dealing with allegations of misconduct against members of staff, including child protection allegations, in line with MCC policy and WAG guidelines;
- The school/educational establishment operates safe recruitment procedures and ensures that all appropriate checks are carried out on all new staff and volunteers including governors in line with MCC policy and WAG guidelines;
- The school/educational establishment has a designated senior member of staff who is appropriately trained to take lead responsibility for dealing with child protection;
- The Head Teacher/Principal and all staff and volunteers (including governors) undertake appropriate safeguarding training.

#### **5.4 ADDITIONAL RESPONSIBILITIES FOR GOVERNORS OF COMMUNITY FOCUSED SCHOOLS, PRE AND POST SCHOOL LEARNING AND OUT OF HOURS LEARNING IN MONMOUTHSHIRE**

The governing body of a school controls the use of the school premises both during and outside of school hours, except where a trust deed allows a person other than the governing body to control the use of the premises, or a transfer of control agreement has been made (*Safeguarding Children in Education* WAG Circular No: 005/2008).

Where the governing body provides services or activities directly under the supervision or management of school staff, the school's arrangements for child protection must be applied.

Where services or activities are provided separately by another body, the governing body should confirm that the body concerned has appropriate policies and procedures in place with regard to safeguarding children and child protection. Governing bodies should identify the person responsible for carrying out these checks and if there are any specific concerns about an organisation or individual these should be reported to the Designated Person in the local authority for safeguarding so that this information can be collated and shared with other schools where appropriate.

#### **5.5 THE ROLE OF HEAD TEACHERS AND PRINCIPALS**

Head Teachers and Principals of all educational establishments in Monmouthshire have a responsibility to ensure that:

- Safeguarding/child protection policies and procedures adopted by the governing body or proprietor are fully implemented and followed by all staff;
- Sufficient resources and time are allocated to enable the designated person and other staff to discharge their responsibilities including taking part in strategy discussions and other inter-agency meetings and contributing to the assessment of children;
- All staff and volunteers understand the procedures for and are supported in raising concerns with regard to children in their care.

## **5.6 THE ROLE OF THE DESIGNATED PERSON IN SCHOOLS**

The designated senior person for safeguarding fulfills an essential role in developing and implementing policies that help to protect children from all forms of abuse and create a safe school environment.

The designated person should:

- Take lead responsibility for managing child protection issues and cases;
- Promote the interests of Looked After Children in their school;
- Be a member of the school's management team;
- Take responsibility for the school's child protection practice, policy, procedures and professional development.

## **5.7 THE ROLE OF THE PROPRIETOR OF INDEPENDENT SCHOOLS /EDUCATIONAL SETTINGS AND RESIDENTIAL ESTABLISHMENTS**

Proprietors of independent schools should ensure that:

- They comply with the requirements of the Independent Schools Standards Regulations 2003;
- They fulfil all responsibilities for child protection and safeguarding as listed in 5.3 above.

All boarding schools and residential establishments in Monmouthshire are required to follow the standards set out in the Independent Schools Standards Regulations 2003, the National Minimum Standards for Residential Special schools and the National Minimum Standards for Boarding Schools as appropriate or relevant.

Monmouthshire Boarding Schools and Residential Establishments should follow Standard 5 of the National Minimum Standards for Residential Special Schools and Standard 3 of the National Minimum Standards when dealing specifically with child protection matters and allegations of abuse.

## **5.8 THE ROLE OF THE HEADTEACHER/DESIGNATED PERSON IN RESIDENTIAL SCHOOLS**

In addition to the above in 5.3 and 5.4, Head Teachers and Designated Officers in Residential Schools/Settings in Monmouthshire have a responsibility to ensure that:

- The Child Protection Duty Officer/ Children's Services contact details for the originating authorities of all pupils are sourced and displayed in an area which is accessible to all staff;
- In the event of a child protection concern a referral is made both to the duty officer in the child/young person's home authority and to the Monmouthshire duty officer;
- In the event of an allegation against a professional the Safeguarding team is informed at the same time as the above referral/s.

These steps are outlined in the Cross Border Flowchart entitled, "WHEN AN ALLEGATION OF ABUSE IS RECEIVED FROM A CHILD/YOUNG PERSON LIVING AWAY FROM HOME" – Appendix 4

## **5.9- THE ROLE OF THE MANAGER OF EARLY YEARS SETTINGS / NURSERIES / PLAYGROUPS / BEFORE & AFTER SCHOOL CARE SETTINGS**

Managers of Early Years Settings and all partner agencies in Monmouthshire providing services for children should:

- Act as or appoint a designated person to take the lead role in safeguarding and protecting the children in their care.
- Ensure that they have an up to date Safeguarding/child protection policy and procedures which have been adopted by the proprietor/managing body and are fully implemented and followed by all staff;
- Ensure that sufficient resources and time are allocated to enable the designated person and other staff to discharge their responsibilities including taking part in strategy discussions and other inter-agency meetings, and contributing to the assessment of children; and
- All staff and volunteers understand the procedures for and are supported in raising concerns with regard to children in their care.

## **5.10- THE ROLE OF THE MANAGER OF LOCAL AUTHORITY SERVICES SUCH AS YOUTH AND COMMUNITY , LEISURE , OUTDOOR EDUCATION, LIBRARIES & OTHER**

Managers of services working with children, young people and families in the community should:

- Appoint a designated person to take the lead role in safeguarding and protecting the children in their care in each individual setting/service area;
- Ensure that all staff are trained in child protection and safeguarding on a bi-annual basis;
- Ensure that all staff have an up to date knowledge of the Monmouthshire policy and that the policy is fully implemented in all settings/service areas;
- Ensure that all staff and volunteers understand the procedures for and are supported in raising concerns with regard to children;
- Ensure that sufficient resources and time are allocated to enable the designated person and other staff to discharge their responsibilities including taking part in strategy discussions and other inter-agency meetings, and contributing to the assessment of children;

#### **5.11- THE ROLE OF THE MANAGER OF LOCAL AUTHORITY DEPARTMENTS SUCH AS EDUCATION WELFARE, BEHAVIOUR SUPPORT, SPECIAL EDUCATIONAL NEEDS, EDUCATIONAL PSYCHOLOGY, SCHOOLS INFORMATION SERVICES, ADMISSIONS SERVICES, & OTHERS**

Managers of Local Authority Departments that provide services for schools and individual children, young people and their families should:

- Ensure that all staff are trained in child protection and safeguarding on a bi-annual basis;
- Ensure that all staff understand the Monmouthshire Safeguarding policy and their responsibilities to comply with this;
- Ensure that all staff understand that child protection disclosures and/or concerns should be reported to the designated person for safeguarding in the schools/settings that they are working in;
- Ensure that all staff understand their responsibility to make a referral direct to Children's Services if there is no designated person available.

#### **5.12- THE ROLE OF LOCAL AUTHORITY MANAGERS/OFFICERS WHO COMMISSION SERVICES FOR CHILDREN, YOUNG PEOPLE AND FAMILIES**

Managers and Local Authority Officers who commission services for children and young people in Monmouthshire should:

- Provide a copy of the Monmouthshire Safeguarding and Child Protection Policy at the point of commissioning and agreeing services.
- Ensure that all those providing services understand that they are required to comply with the policy in all their work for MCC.
- Ensure that all adults who work directly with children, young people or families are in possession of an up to date DBS check.
- Follow appropriate procedures(as outlined in this policy for designated officers) in the event of any allegation or safeguarding concern.

## **6. CHILD PROTECTION TRAINING**

All staff, whether permanent or temporary, and volunteers who work with children in Monmouthshire should, as part of their induction be given a written statement about the policy and procedures within the relevant setting, and the name and contact details of the designated child protection person when they start work (see appendix 3).

All staff who work with children and families in Monmouthshire County Council should have Level 1 (Basic Awareness) Child Protection training updated at least every two years. The objectives of this are to ensure that all staff know their responsibilities for safeguarding children; can recognise basic signs and symptoms of abuse and neglect and know what to do if they have a concern.

Designated teachers and Senior Members of staff responsible for Child Protection should attend interagency Child Protection training at Level 2 (Safeguarding Children Board) updated at least every three years.

Designated teachers should be able to evidence their on-going professional development in respect of safeguarding and child protection through attendance at level 3 Safeguarding Children Board training courses, or other specialist learning or training events.

All educational settings and partners working with children in Monmouthshire should keep records of training and carry out regular audits to ensure that all staff training for safeguarding/child protection is kept up to date. Educational establishments and partner agencies will be required to provide information on staff training to the local authority and the Safeguarding Children Board on request.

The Safeguarding and Quality Assurance Unit in Children's Services for Monmouthshire County Council will be responsible for informing educational settings and partner agencies of the Safeguarding Children Board Training Programme at levels 1, 2 and 3.



Attendance and take up of training by staff from schools and other services in Monmouthshire will be monitored via a bi-annual audit which will be undertaken with all services on a rolling programme.

## **7. RECORDS AND RECORD KEEPING**

Well-kept records are essential in situations where it is suspected that a child may be at risk of harm.

All establishments, organisations and services in Monmouthshire are required to maintain accurate and relevant child protection records. These records must be kept in a secure place and separate from all other records pertaining to the child. These Child Protection Records should be accessed and maintained by the designated person/s only. Records should be clear, accurate, timed and dated with all actions and decisions recorded.

Each establishment, organisation or service in Monmouthshire will need to include in their child protection policy specific procedures for the information sharing and the transfer of sensitive records as and when required.

Each establishment, organisation or service will keep and maintain records which detail allegations of abuse against any member of staff working for them, whether in a paid or voluntary capacity, whatever the outcome. There are clear requirements of when this information is to be shared with legal or statutory organisations such as ISA and the General Teaching Council for Wales (GTCW) to name but two. Advice and guidance for the sharing of this specific information must be sought from the Human Resources Department in Monmouthshire County Council.

## **8. INFORMATION SHARING**

Monmouthshire County Council recognises that information sharing is essential to ensure effective safeguarding practices in all its establishments which provide services for children. All information sharing in Monmouthshire establishments should be informed by and follow the principles laid out in the Welsh Government guidance Safeguarding Children: Working Together under the Children Act 2004.

In order to keep children safe from harm, professionals must share relevant information across geographical and professional boundaries as required. As a general rule, information relevant to child protection will be about:

- The health and development of a child and his / her exposure to possible harm;

- A parent / carer who is unable to care adequately for a child
- Other individuals who may present a risk of harm to children.

Information about children, young people and families must be shared appropriately and always in accordance with the All Wales Child Protection Procedures. It is critical that, when there is a reasonable cause to believe that a child or young person may be suffering or may be at risk of suffering significant harm, consideration should always be given to referring these concerns to Children's Services and / or the Police.

All information sharing should be carried out in accordance with the Human Rights Act 1998, Crime and Disorder Act 1998 and Data Protection Act 1998 and confidential information must only be shared for genuine purposes.

## **9. RECRUITMENT, SELECTION AND MANAGEMENT OF STAFF**

Monmouthshire Council will implement Safe Recruitment and Employment standards in accordance with Safeguarding Children Board regional guidance and as set out in the Monmouthshire Recruitment and Selection Policy and Guidance Handbook and DBS Guidance September 2012.

For the purpose of implementing these standards, "staff" will be defined as all those engaged as part of the workforce, including permanent and temporary employees, workers provided by an employment agency, contractors, consultants and volunteers.

The Council's Disciplinary Procedures set out what action should be taken against employees who do not comply with the Council's policies and procedures, including those in place to safeguard and promote the welfare of children.

To promote safe recruitment and HR practices the council will:

- Review its recruitment and selection procedures regularly and will carry out regular auditing on DBS checks for staff working in educational settings and partner agencies in Monmouthshire;
- Ensure that managers responsible for recruitment receive safer recruitment training which must be updated on a regular basis, according to their role and remit and / or ensure that managers have access to appropriate advice and support; (Induction programmes for new managers should include training on safe recruitment.)
- Ensure that safe recruitment procedures are made accessible to and used by all managers;

- Ensure that safer recruitment standards are applied and monitored within the contractual arrangements in services that are commissioned by the council or supported through grants;
- Monitor staff compliance with its policies and procedures for safeguarding and promoting the welfare of children through training opportunities and auditing of HR processes.

## 9.1 DBS CHECKS

All managers are required to:

- Ensure that staff and volunteers working with children and young people hold up to date DBS checks;
- Ensure that they have sight of and record (on a local database) the details of all new DBS checks;
- Update all staff and volunteer DBS checks every 3 years;
- Submit the number and date of all new and updated DBS checks to the HR department on the appropriate proforma;
- Submit summary DBS information for their department/school/setting to the HR department at regular intervals throughout the year;

In the event of an employee or volunteer becoming involved in any criminal activity during the 3 year term of their DBS check managers are required to report this to the Safeguarding Unit and the HR department. A risk assessment should be completed by the manager and submitted to the LA.

A similar process of informing the LA and carrying out a risk assessment will be required in the event of any disclosure of information on the DBS check.

**NB Staff on long term sickness leave and maternity leave are required to hold up to date DBS checks during their leave period while they remain as employees of Monmouthshire County Council.**

## 10. ALLEGATIONS AGAINST ADULTS WHO WORK WITH CHILDREN AND YOUNG PEOPLE

It is essential that all allegations of abuse are dealt with fairly, quickly and consistently, providing effective protection for the child while supporting the person who is the subject of the allegation. Allegations should be dealt with in line with the All Wales Child Protection Procedures 2008, Regional Safeguarding Children Board guidelines on Professional Abuse and the Monmouthshire County Council Flowchart for schools issued

November 2012 (See Appendix 4). Child protection enquiries by Children's Services and / or the Police will take priority over disciplinary investigations, and will determine whether investigations can be carried out concurrently.

The sharing of information about an allegation must be handled sensitively and must be restricted to those who have a need to know in order to:

- Protect children;
- Facilitate enquiries, or
- Manage disciplinary / complaints aspects.

Information about the child or family must not be shared with the individual against whom the allegation was made or anyone representing them.

On the completion of Police or Social Services investigations, if formal disciplinary action is not required, appropriate action should be instituted within three working days (e.g. arrangements made for a suspended employee to return to work). If a disciplinary hearing is required and can be held without further investigation, the hearing should be held within 15 working days.

Governing bodies are responsible for staff disciplinary matters in all maintained schools.

Any Monmouthshire employee who believes that allegations or suspicions are not being investigated properly has a responsibility to escalate their concern to a higher level within the Council, or directly to the Lead Officer for Safeguarding Children in Education.

The Council has a Whistleblowing Policy that can be used for confidential reporting of any abusive, inappropriate or unprofessional behaviour towards children or young people, or any conduct that breaches criminal law or statute; compromises health and safety; breaches accepted professional codes of conduct, or otherwise falls below established standards of practice in relation to children and young people.

## **11. SUMMARY OF APPENDICES**

Appendix 1 provides a list of associated Monmouthshire policies, documents and guidance for all employees, schools and educational establishments.

Appendix 2 gives details of relevant websites with hyperlinks to additional guidance, advice and information relating to child protection and to the safeguarding and wellbeing of children.

Appendix 3 gives a model policy for schools and educational establishments to follow and an example safeguarding statement.

Appendix 4 provides flowcharts for the reporting of child protection concerns

Appendix 5 provides information about the councils anti-bullying policy and reporting requirements

Appendix 6 gives some key definitions and a glossary of terms.

Appendix 7 is the Safeguarding Audit tool which will be sent out to schools and services on a bi-annual basis.

## **APPENDIX 1**

The policies and guidance listed below are all available on The Monmouthshire Point <http://thepoint.monmouthshire.gov.uk>

Monmouthshire Whistleblowing Policy

Monmouthshire Whistleblowing Procedure

Monmouthshire Safer Recruitment Policy

Monmouthshire Policy on Recruitment and Selection for Schools

Monmouthshire Race Equality Policy for Schools

Monmouthshire DBS Check Policy

Monmouthshire Code of Conduct

Monmouthshire Disciplinary Procedure July 2009

Monmouthshire Policy on Employing People with Convictions

Monmouthshire Domestic Abuse Policy Nov 2012

## APPENDIX 2

All these documents can be found on the Government website:

[www.wales.gov.uk/educationandskills](http://www.wales.gov.uk/educationandskills)

- All Wales Child Protection Procedures- April 2008
- Safeguarding Children in Education- April 2008
- Education Records, School Reports and the Common Transfer System-circular 13/2006
- Safeguarding Children: Working Together Under the Children Act 2004-circular 12/2007
- Teaching Drama: guidance on Safeguarding Children and Child protection for managers and drama teachers- circular 23/2006
- Procedures for Whistle blowing in Schools and Model policy- circular 36/2007
- Reporting Cases of Misconduct or Professional Incompetence in the Education Service- circular 018/2009 (replaces no: 33/2005)
- Information and Guidance on Domestic Abuse: Safeguarding Children and Young People 2010
- Children Missing from Education 2010
- Safe and effective intervention-use of reasonable force and searching for weapons October 2010

### Documents from other sources

- Sexual Offences (Amendment) Act 2000: Chapter 44- Sections 1-7, Her Majesty's Stationary Office and Queen's Printer of Acts of Parliament.
- Safeguarding Children and Safer recruitment in Education (Came in to force 1st January 2007 in England) Every Child Matters: Change for Children.
- The Children Act 2004
- The Education Act 2002
- The Education Act 2011
- The Human Rights Act 1998
- The Data Protection Act 1998
- The Children Act 1989

**Hyperlinks to websites that have important links to Safeguarding, and in particular Child Protection (This is not an exhaustive list)**

- <http://sewsc.org.uk/>
- [www.wales.gov.uk](http://www.wales.gov.uk)

- [www.awcpp.org.uk/areasofwork/safeguardingchildren/awcpprg/index.html](http://www.awcpp.org.uk/areasofwork/safeguardingchildren/awcpprg/index.html)
- [www.gtcw.org.uk](http://www.gtcw.org.uk)
- [www.homeoffice.gov.uk](http://www.homeoffice.gov.uk)
- [www.education.gov.uk/publications/standard/publicationDetail/Page1/DfES/1081/2004](http://www.education.gov.uk/publications/standard/publicationDetail/Page1/DfES/1081/2004)
- [www.DCSF.gov.uk](http://www.DCSF.gov.uk)
- [www.wales.gov.uk/domesticabuse](http://www.wales.gov.uk/domesticabuse)
- <http://www.governorswales.org.uk/>

Hyperlinks to All Wales Child Protection Procedures additional Practice Guidance

<http://www.childreninwales.org.uk/areasofwork/safeguardingchildren/awcpprg/proceduresandprotocols/index.html>

- Safeguarding and Promoting the Welfare of Children and Young People Who Are At Risk of Abuse Through Sexual Exploitation
- Female Genital Mutilation
- Procedural Response to Unexpected Deaths in Childhood (PRUDIC)
- Safeguarding Children and Young People Affected by Domestic Abuse
- Safeguarding and Promoting the Welfare of Unaccompanied Asylum Seeking Children and Young People
- Safeguarding and Promoting the Welfare of Children Who May Have Been Trafficked
- Missing Children – Children Who Run Away or go Missing From Home or Care

Regional Guidance includes and can be accessed via the SEWSCB website link below:

<http://sewsc.org.uk/>

- Suicide and Self-Harm Practice Guidance
- Resolving Professional Differences
- Professional Abuse Allegations and Safe Recruitment
- Neglect Practice Guidance

## APPENDIX 3

### Example Child Protection Policy for Education.

It is recommended that the model policy recorded in Safeguarding Children in Education produced by the WAG (April 2008) is used as the basis for all establishments, organisations and services linked to Education in Monmouthshire. This format can be adapted to meet the needs and requirements of those linked to Education and can be used as the starting point for specifically constructed policies to suit their roles and responsibilities in working with and supporting children. (An example policy has been constructed and can be found below in Appendix 3.1)

The Safeguarding and Quality Assurance Unit will monitor school policy and procedures via a bi-annual audit. (Safeguarding Audit tool attached – Appendix 7)

**This format can be found on pages 47-51 of the document *Safeguarding Children in Education 2008* named above.**

Added to the above reference to other related school or organisation policies can be added, as in the examples given for 'Bullying' and 'Physical Intervention'. Other associated additions could include:-

- E Safety and the use of the Internet
- Dealing with Allegations against Staff (including MCC Whistle Blowing Policy)
- Children with Special Needs and or Disabilities
- Child Protection Procedures Process: From Referral to Action and Support
- Abuse of Trust as noted in the Sexual Offences (Amendment) Act 2000

Other information for children, parents, staff and governors could be added as appendices to the main policy. This could include methods of internal recording of concerns and guidance and advice to children, staff and parents in raising concerns. It would be useful for the policy to be dated and also notification when the next formal review is intended. Where appropriate the date of approval by the Governing Body or Management would be important to be recorded on the policy.

Basic items from the policy could be included in school and or organisations' publications for parents and children. A full copy of the policy can be made available to parents on request, but a nominal cost may be incurred.



## APPENDIX 3.1

An example Safeguarding and Child Protection Policy that follows the 'Safeguarding Children in Education guidance April 2008' format.

**Child Protection & Safeguarding Policy** for (Name of School if not already noted above)

### Introduction

1.1 The school fully recognises the contribution it makes to child protection.

There are three main elements to our policy:-

- A. Prevention through the teaching and pastoral support offered to pupils;
- B. Procedures for identifying and reporting cases, or suspected cases of abuse. Because of our day to day contact with children school staff are well placed to observe the outward signs of abuse;
- C. Support to those pupils who may have been abused.

1.2 This policy applies to all staff and volunteers working in the school and its governors. It is recognised by this school that all staff that come into contact with children can often be the first point of disclosure for a child. This first point of contact is an important part of the child protection process and it is essential that all staffs are aware of and implement the school procedures as noted in this policy.

### Prevention

2.1 We recognise that high self-esteem, confidence, supportive friends and good lines of communication with a trusted adult help to safeguard children at our school.

The school will therefore:-

- A. Establish and maintain an ethos where children feel secure, are encouraged to talk and share their concerns and will be listened to;
- B. Ensure that children know that all adults in this school can be approached if they are worried or concerned about matters that concern them or their siblings or friends.
- C. Include in the curriculum, activities and opportunities for PSE which equip children with the skills they need to stay safe from abuse and to know that they can turn to staff for help;

- D. Include in the curriculum, material which will help children develop realistic attitudes to the responsibilities of adult life, particularly with regard to childcare and parenting skills.

## Procedures

3.1 At this school we will follow the All Wales Child Protection Procedures (April 2008) and other guidance and protocols that have been endorsed and agreed by the South East Wales Safeguarding Children Board.

3.2 The school will:-

- A. Ensure it has a named designated senior member of staff who has undertaken the appropriate training in line with agreed national and local requirements. This school will also nominate a named deputy who will be the central contact in times when the designated person is absent. In the unlikely event that both are absent or unavailable the most senior person will act as a contact point for other staff.
- B. Recognise the role of designated person and arrange support and training. The school will look to the SEWSCB and in particular the local authority's Designated Officer for Safeguarding in Education for guidance and support in all child protection matters in assisting the school's designated person.
- C. Ensure that all members of staff, including permanent, part time and adult volunteers, along with every governor knows:-

- The name and contact details of both the designated and deputy person responsible for child protection;

- That it is the named designated person and/or their deputy who have the responsibility for making child protection referrals within timescales, by completing the agreed multi-agency form.

- That the designated person and deputy will seek advice from the Designated Officer and or Social Services Duty and Assessment Team if necessary when a referral is being considered; if in doubt a referral must be sent.

- D. Ensure that all members of staff are aware of the need to be alert to signs of abuse and know how to respond to a pupil who may disclose abuse. That all members of staff will be offered and expected to attend appropriate training and updates as arranged by the school.
- E. Ensure that parents have a clear understanding of the responsibility placed on the school and its staffs for child protection by setting out their obligations in the school prospectus and other forms of communications. In particular, there is a clear obligation that 'the welfare of the child is paramount' and in some circumstances this may mean that the parents are not initially informed of a

referral made by the school. This circumstance is in line with All Wales Child Protection Procedures guidance.

F. Provide training for all staff so that they:-

- i) Understand their personal responsibility;
- ii) Are cognisant of agreed local procedures
- iii) Understand the need to be vigilant in identifying suspected cases of abuse;
- iv) Know how to support a child who discloses abuse, particularly the do's and don'ts.

G. Notify Social Services if:-

- A looked after pupil or a pupil on the child protection register is excluded either for a fixed term or permanently;
- There is an unexplained absence of a looked after pupil or a pupil on the child protection register of more than two days duration from school (or one day following a weekend)

H. Work to develop effective links with relevant agencies and co-operate as required with their enquiries regarding child protection matters including attendance at initial and review child protection conferences and core groups and support these with the submission of written reports.

I. Keep written records of concerns about children (noting date, event and action taken), even where there is no need to refer the matter to agencies responsible for formal investigation.

J. Ensure that all records and files are kept secure and in locked locations. The designated person is responsible for the security, compilation and storage of all records and should be able to access and produce them in times of need. It is the responsibility of the designated person to ensure that any transfer of records is conducted sensitively and securely.

K. Adhere to the procedures set out in the Welsh Assembly Government guidance circular 45/2004 Staff Disciplinary Procedures in Schools.

L. Ensure that all recruitment and selection procedures follow all national and local guidance. The school will seek advice and guidance from the local authority's Human Resources Department on recruitment and selection.

M. Seek to designate a governor for child protection who will champion and oversee the school's child protection policy and practice. This governor will feed back to the Governing body on child protection matters as and when required but will be required to write an annual report to the governing body on the school's child protection activities.

### **Supporting the pupil at Risk**

4.1 At this school we recognise that children who are at risk, suffer abuse or witness violence are often affected by these in adverse ways, some may be deeply troubled by these events.

4.2 This school may be the only stable, secure and predictable element in the lives of children at risk. Nevertheless when at school due to these adverse factors their behaviour may be challenging and defiant or they may be withdrawn. At this school we will endeavour to be patient and supportive to the children at risk.

4.3 The school will endeavour to support the pupil through:-

- A. The content of the curriculum to encourage self esteem and self motivation (see section 2 of this policy on Prevention);
- B. The school ethos which:-
  - i) Promotes a positive, supportive and secure environment; and
  - ii) Gives pupils a sense of being valued (see section 2 on Prevention);
- C. The school's behaviour policy is aimed at supporting vulnerable pupils in the school. All staff will follow a consistent approach which focuses on the behaviour of the offence committed by the child but does not damage the pupil's sense of self worth. The school will express and explain to all pupils that some behaviour is unacceptable, (Shared with parents via school brochures and other points of communication) but each individual is valued and not to be blamed for any abuse which has occurred. Staff should read the school's Behaviour Policy in conjunction with this and other named policies noted in this policy.
- D. Liaison with other agencies who support the student such as Social services, Child and Adolescent Mental Health services, the Educational Psychology Service, Education Welfare Service and others;
- E. Keeping records and notifying Social Services if there is a recurrence of a concern with the individual.
- F. Making a JAFF referral when co-ordinated support would benefit the child and family.

4.4 When a pupil on the child protection register leaves, we will transfer the sensitive information to the new school immediately (Using the agreed policy and procedures for the 'Transfer of Sensitive Information' and the designated person will be central to this process) and if not already done, to inform Social Services of the move.

### **Behaviour**

4.5 This school has a behaviour policy which clearly states our values and expectations. This is a separate policy which is reviewed on a regular basis by the Governing Body and can be located. (State where)

## **Bullying**

4.6 The school's policy on Bullying has been set out in (a separate document/ the school's behaviour policy etc). It would be useful to note any guidance from the Authority within any documentation. This policy/information can be located (state where).

## **Physical Intervention**

4.7 The school's policy on physical intervention has been set out in (a separate document/ the school's behaviour policy etc) It would be useful to note any guidance, support and training provided by the Authority within any documentation. This policy/information can be located (state where).

## **E Safety**

4.8 The school's policy on E Safety has been set out in (a separate document/ the schools IT policy etc) It would be useful to note any guidance, support and training provided by the Authority within any documentation. This policy/information can be located (state where).

## **Children with Statements of Special Educational Needs (SEN)**

4.9 This school recognises that statistically children with behavioural difficulties and disabilities are most vulnerable to abuse. School staff who deal with children with children with profound and multiple disabilities, sensory impairment and or emotional and behaviour problems need to be particularly sensitive to signs of abuse. The school's policy on SEN has been set out in (a separate document) this policy/information can be located (state where).

## **Children who enter the Looked after System**

4.10 This school recognises that children who enter the Looked after System are often the most vulnerable and needy. The school has a responsibility to support the council in its role as corporate parent. The school's policy on Looked after Children (LAC) has been set out in (A separate document) this policy/information can be located (state where).

## **Information for all staff**

5.1 What to do if a child tells you they have been abused by someone other than a member of staff.

Where the allegation is against a member of staff you should refer to authority's guidance which takes into account the Welsh Assembly Government's guidance circular 45/2004 and the SEWSCB guidance launched in Autumn 2013.

All staff should be aware that they can raise concerns through the MCC's Whistle Blowing Policy.

If an allegation of abuse is made against a member of staff this must be reported to the Head Teacher/Designated Person for Safeguarding/Child Protection.

If the concern is about the Head Teacher/Principal this must be reported to the Chair of Governors. If in doubt you can contact the Designated Officer for Safeguarding in Education for guidance and advice.

A child may confide in any member of staff and may not always go to a member of the teaching staff. Staff to whom an allegation is made should remember:-

- Yours is a listening role, do not interrupt the child when they are freely recalling events. Limit any questions to clarifying your understanding of what the child is saying. Any questions should be framed in an open manner so not to lead the child;
- You must report orally to the school's **Designated Person for Child Protection or their Deputy** in their absence immediately to inform them of what has been disclosed. In the unlikelyhood of both being absent seek out the most senior person in the school;
- Make a note of the discussion, as soon as is reasonably practical (but within 24 hours) to pass on to the school's designated person for child protection. The note which should be clear in its use of terminology should record the time, date, place, and people who were present and should record the child's answers/responses in exactly the way they were said as far as possible. This note will in most cases be the only written record of what has been disclosed and as it records the initial disclosure from the child it is an important one in the child protection process. Remember, your note of the discussion may be used in any subsequent formal investigation and or court proceedings. It is advised that you retain a copy in a safe place;
- Do not give undertakings of absolute confidentiality. (see note following this section for more details) You will need to express this in age related ways to the child as soon as appropriately possible during the disclosure. This may result in the child 'clamming up' and not completing the disclosure, but you will still be required to share the fact that they have shared a concern with you to the designated person. Often what is initially shared is the tip of an iceberg;
- Your responsibility in terms of referring concerns ends at this point, but you may have a future role in terms of supporting or monitoring the child, contributing to

an assessment or implementing child protection plans. You can ask the designated person for an update but they are restricted by procedures and confidentiality and may be limited in their response. The level of feedback will be on a need to know basis, but whatever is shared is strictly confidential and not for general discussion with others.

## **Confidentiality**

6.1 The school and staff are fully aware of confidentiality issues if a child divulges that they are or have been abused. A child may only feel confident to confide in a member of staff if they feel that the information will not be divulged to anyone else. However education staff (that is all staff at this school) has a professional responsibility to share relevant information about the protection of children with the designated statutory agencies when a child is experiencing child welfare concerns.

It is important that each member of staff deals with this sensitively and explains to the child that they must inform the appropriate people who can help the child, but they will only tell those who need to know in order to be able to help. Staff should reassure the child and tell them that their situation will not be common knowledge within the school. (I.E. not discussed with other staff) Staffs need to be aware that it may well have taken significant courage on the part of the child to disclose the information and they may also be experiencing conflicting emotions, involving feelings of guilt, embarrassment, disloyalty (if the abuser is someone close) and hurt.

## **Training**

The school will be cognisant of national and local training requirements and guidance, which will include Safeguarding Children Board guidance, advice and training opportunities.

7.1 The school will ensure that the Designated Person for Child Protection (DO) will have received initial training when starting their role and continued professional updates as required. Specific updates as suggested by national and local requirements will be central to the DO's development. The designated deputy will be initially supported by the designated person and consideration for joint opportunities for training with the designated person will be given.

7.2 All staff will be regularly updated during the year as appropriate from the designated person, but will receive specific awareness raising training within a 2 year period.

7.3 It will be a recommendation that the governing body will also receive awareness raising training and the nominated governor will be offered opportunities for more specific training.

**The designated person** for child protection at this school is:-

.....

**The deputy designated** person for child protection at this school is:-

.....

**The nominated governor** for child protection at this school is:-

.....

**The Monmouthshire Lead Officer for Safeguarding in Education is:-**

**Heather Heaney** who can be contacted by:-

Phone- 01633 644392

Mobile- 07917707343

Email- heatherheaney@monmouthshire.gov.uk

**Monmouthshire Children's Services** can be contacted as follows:-

Phone: 01291 635669

Out of hours telephone number: 0800 328 4432

This policy was updated on \_\_\_\_\_ by \_\_\_\_\_

This policy was presented and accepted by the Governing Body on \_\_\_\_\_

Staffs were made aware of this policy and or updates on \_\_\_\_\_

This policy will be reviewed on \_\_\_\_\_



## APPENDIX 3.2

### EXAMPLE SAFEGUARDING STATEMENT FOR SCHOOLS AND EDUCATIONAL SETTINGS

#### EXAMPLE SAFEGUARDING STATEMENT:

The following statement was agreed by the Head teacher, staff and governors on .....

The Head teacher, staff and Governors of ..... School recognise their responsibility to safeguard all the pupils in our care.

We recognise that we all have a responsibility to help prevent the physical, sexual, emotional abuse and neglect of our pupils and to report any such abuse that we discover or suspect.

- We believe every child should be valued, safe and happy. We want to make sure that children we have contact with know this and are empowered to tell us if they are suffering harm.
- All children and young people have the right to be treated with respect, to be listened to and to be protected from all forms of abuse.
- We recognise the personal dignity and rights of pupils, and staff, and will ensure all our policies and procedures reflect this.
- We undertake to exercise proper care in the appointment and selection of all those who will work with children.

We are committed to:

- Following the guidance in the *All Wales Child Protection Procedures*
- Respecting the rights of children
- Nurturing, protecting and safeguarding all of our pupils
- Implementing the requirements of legislation in regard to people with disabilities.
- Ensuring that workers adhere to the agreed procedures of our safeguarding policy.
- Keeping up to date with national and local developments relating to safeguarding.
- Following any local authority guidelines in relation to safeguarding children and adults in need of protection.

- Supporting parents and families.
- Sharing information with partner agencies where this is necessary to safeguard and promote the well-being of children.

We recognise:

- Monmouthshire Children’s Services has lead responsibility for investigating all allegations or suspicions of abuse where there are concerns about a child
- Safeguarding is everyone’s responsibility.

We will review this statement and our policy and procedures annually.

If you have any concerns for a child or family then speak to one of the following who are designated to take the lead in safeguarding in this school.

**DESIGNATED PERSON FOR SAFEGUARDING**

.....

**DEPUTY DESIGNATED PERSON FOR SAFEGUARDING**

.....

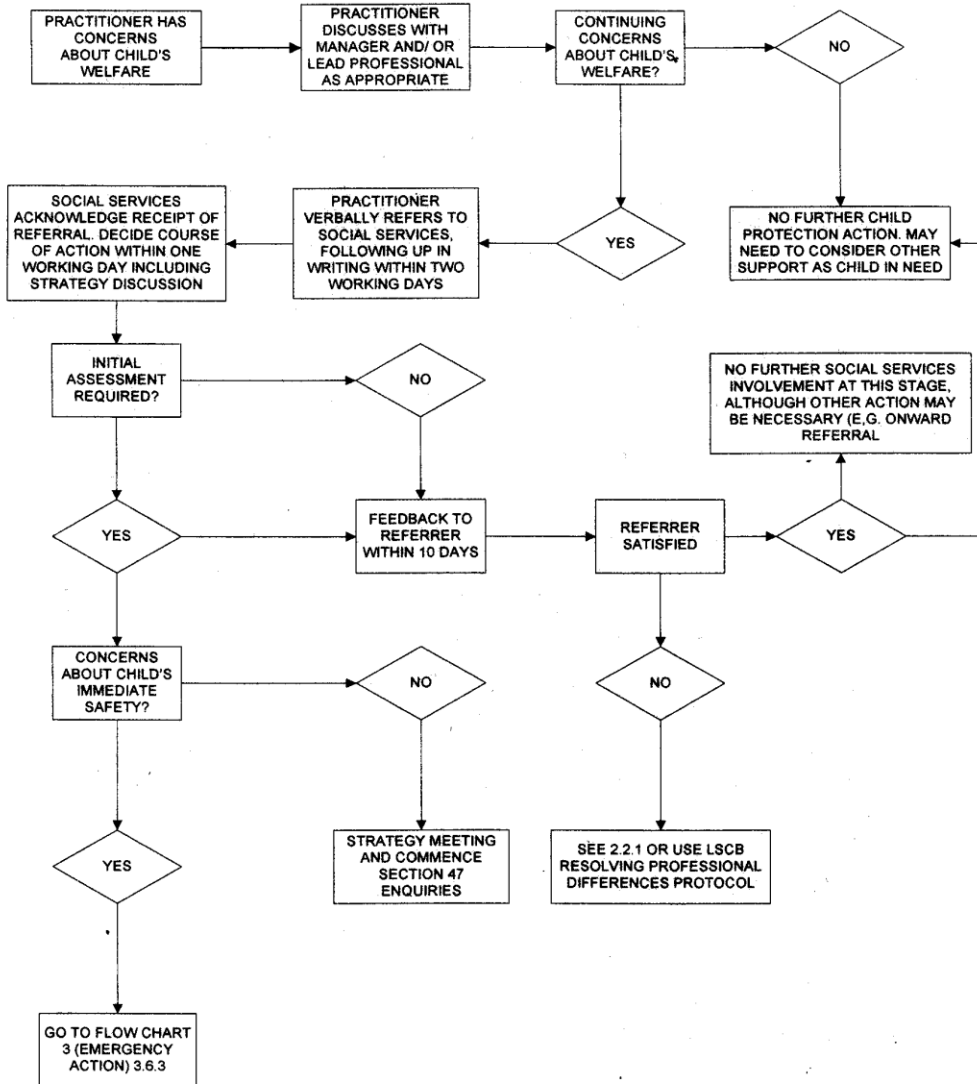
**GOVERNOR WITH RESPONSIBILITY FOR SAFEGUARDING**

.....

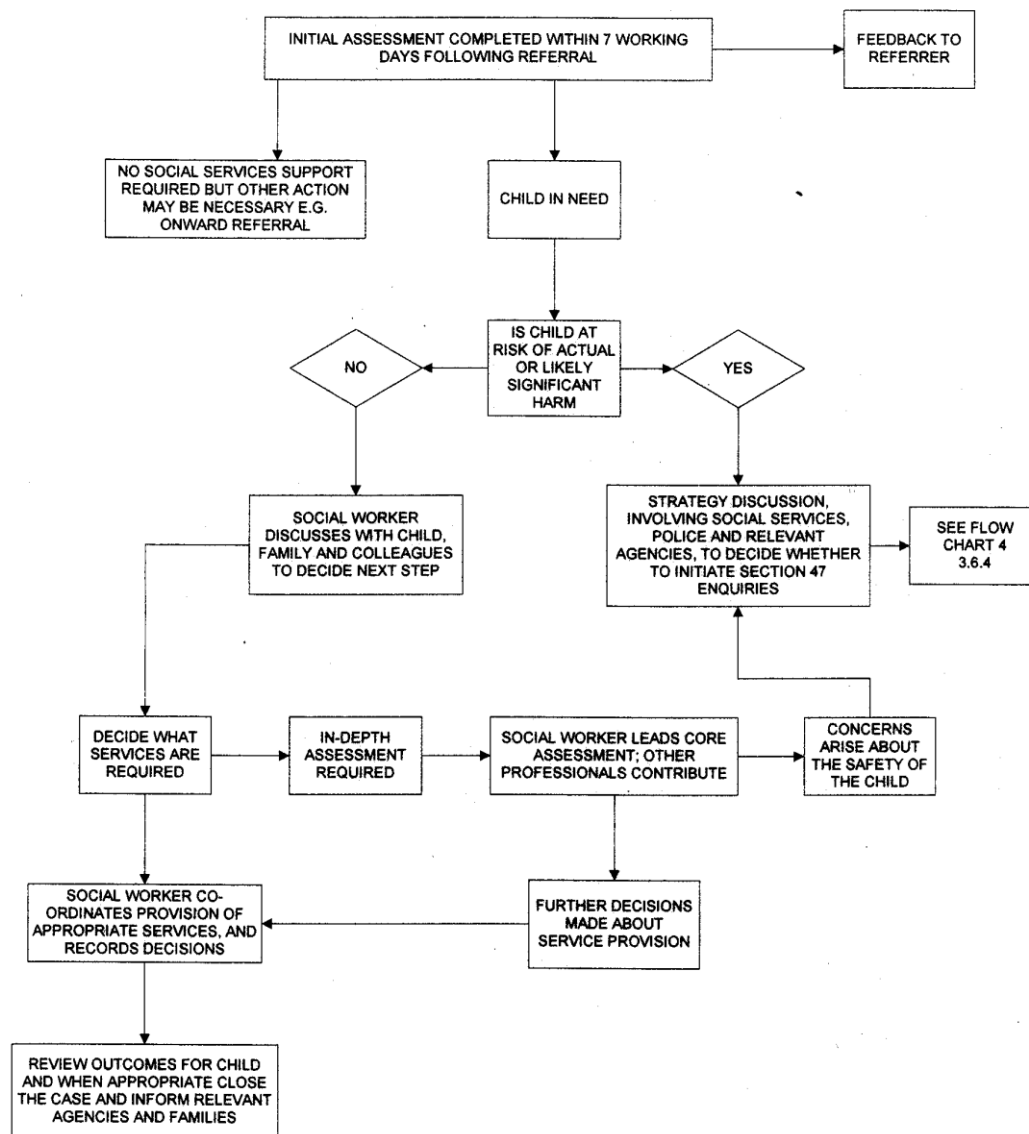
DRAFT UPDATE RE ESTYN APRIL 2013 & Full Review September 2013

## APPENDIX 4 – FLOWCHARTS

### 3.2.5 Flowchart 1: referral



### 3.3.6 Flow chart 2: action following initial assessment

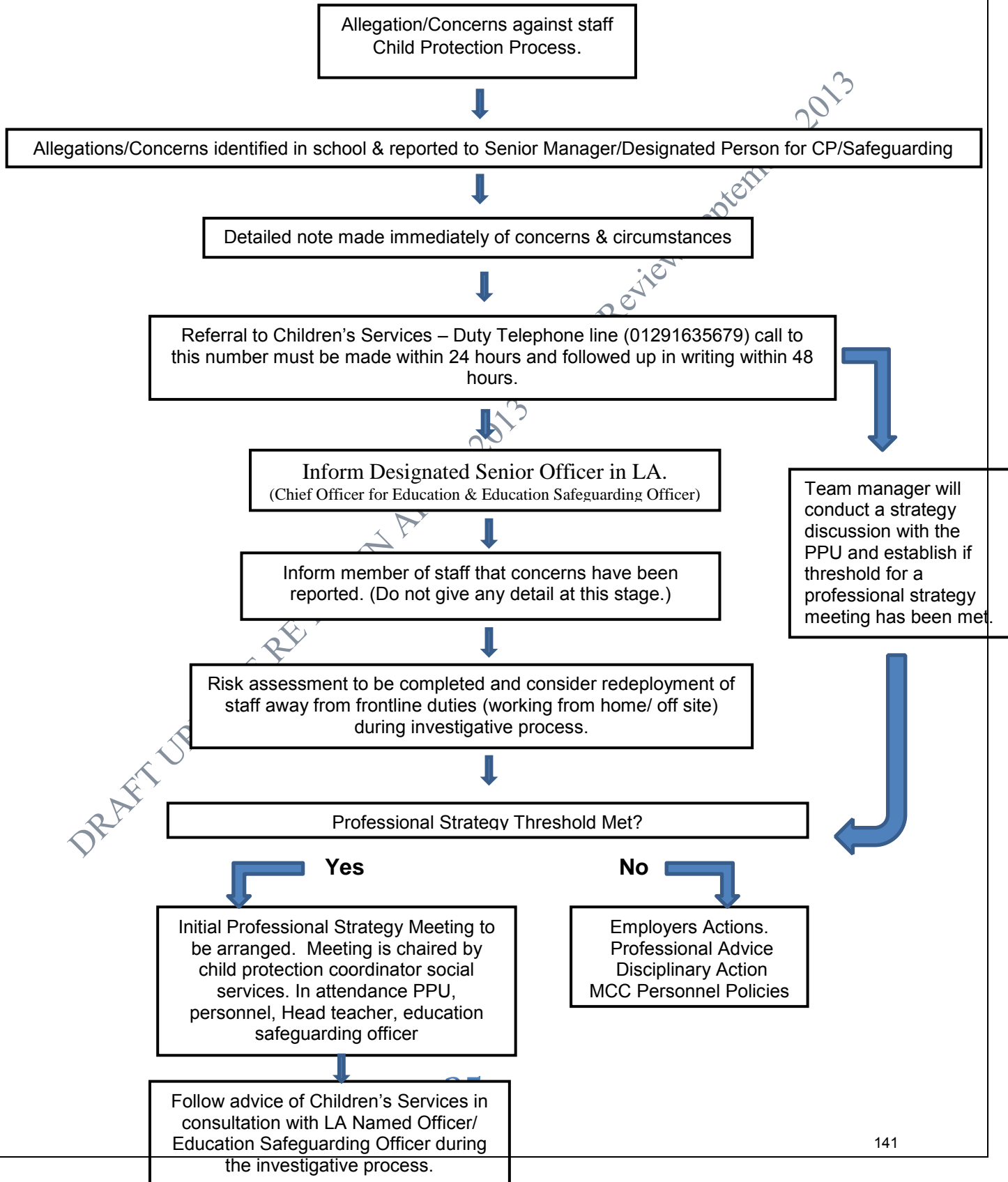


DK

**IN THE EVENT OF AN ALLEGATION  
AGAINST A PROFESSIONAL**

**This Flowchart 3 should be used as a brief checklist of procedure in the event of an allegation against a professional in school.**

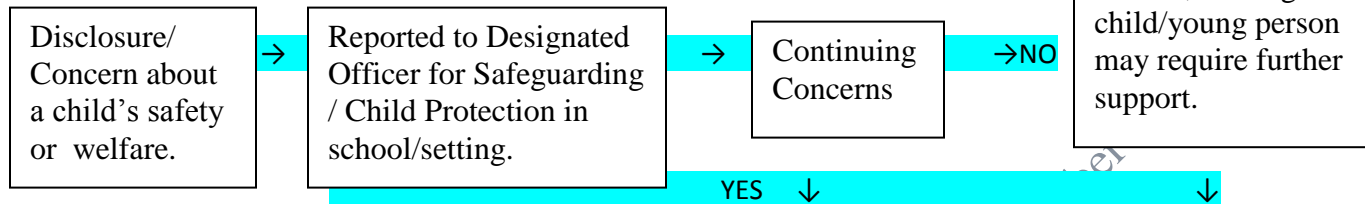
Detailed procedures to follow are outlined in All Wales Child Protection Procedures 2008, Section 4. Responsibilities are outlined in *Safeguarding Children: Working together under the Children Act 2004* – Welsh Assembly Government 2007.



## CROSS BORDER CHECKLIST – Flowchart 4 – to be used:

(Detailed procedures to follow are outlined in All Wales Child Protection Procedures 2008)

### WHEN AN ALLEGATION OF ABUSE IS RECEIVED FROM A CHILD OR YOUNG PERSON LIVING AWAY FROM HOME



DO verbally refers concern to CS duty officer in MCC and also to the duty officer in the home authority of the child/young person.  
If the allegation is of professional abuse the MCS Safeguarding team should be informed at the same time. See below for contact details

Social Services acknowledge receipt of the referral and decide course of action. Local Authority departments communicate and agree where / who will hold the initial strategy meeting/ discussion with the police. (AWCPP – p99 “...the initial strategy meeting will be convened by the authority where the child is found when he or she makes the complaint..... The initial strategy meeting/ discussion must be organised to allow for the attendance of a representative of the originating authority and the authority where the incident is alleged to have happened ....”)

A decision will be made during the initial strategy meeting/discussion as to which authority should have responsibility for carrying out any child protection enquiries (although this will usually be the authority in whose area the incident occurred). The initial strategy meeting will also decide what part should be played in the investigation by the other relevant authorities. Any decisions and reasons must be clearly recorded and made in the best interests of the child.

Section 47 enquiries initiated// Professional Abuse enquiries initiated alongside and/or following CP procedures.

**MONMOUTHSHIRE CHILDRENS SERVICES DUTY CHILD PROTECTION OFFICER: TEL: 01291 635669**

**MONMOUTHSHIRE CHILDRENS SERVICES SAFEGUARDING TEAM:**

MANAGER	JANE RODGERS	<a href="mailto:janerodgers@monmouthshire.gov.uk">janerodgers@monmouthshire.gov.uk</a>	TEL: 01633 644054	07795334786
LEAD OFFICER FOR EDUCATION	HEATHER HEANEY	<a href="mailto:heatherheaney@monmouthshire.gov.uk">heatherheaney@monmouthshire.gov.uk</a>	TEL: 01633 644392	07917707343
CHILD PROTECTION CO-ORDINATOR	KELLY TURNER	<a href="mailto:kellyturner@monmouthshire.gov.uk">kellyturner@monmouthshire.gov.uk</a>	TEL: 01291635606	07825681913

## APPENDIX 5

[http://thepoint.monmouthshire.gov.uk/Doc\\_Lib/Forms/default.aspx](http://thepoint.monmouthshire.gov.uk/Doc_Lib/Forms/default.aspx)



MCC Bullying  
Prevention and Racism

## APPENDIX 6

### Key Definitions and Glossary

<b>Child in need</b>	A child is a child in need if: <ul style="list-style-type: none"><li>- he/she is unlikely to achieve or maintain, or have the opportunity of achieving or maintaining, a reasonable standard of health or development without the provision for him/her of services by a local authority;</li><li>- his/her health or development is likely to be significantly impaired, or further impaired, without provision for him/her of such services; or</li><li>- He/she is disabled.</li></ul>
<b>Child protection</b>	<b>Child protection</b> is a part of safeguarding and promoting welfare. This refers to the activity which is undertaken to protect specific children who are suffering or are at risk of suffering significant harm as a result of abuse or neglect.
<b>Children</b>	A <b>child</b> is anyone who has not yet reached their 18 <sup>th</sup> birthday. 'Children' therefore means 'children and young people' throughout. The fact that a child has become sixteen years of age is living independently or is in Further Education, or is a member of the armed forces, or is in hospital, or in prison or a young offenders institution does not change their status or their entitlement to services or protection under the Children Act 1989.
<b>Development</b>	Physical, intellectual, emotion, social or behavioural development.
<b>Harm</b>	Ill-treatment or the impairment of health or development, including, for example, impairment suffered from seeing or hearing the ill-treatment of another.
<b>Health</b>	Physical or mental health.
<b>Local Authority</b>	A county council or county borough council.
<b>Abuse: emotional</b>	The persistent emotional ill-treatment of a child such as to cause severe and persistent adverse effects on the child's emotional and behavioural development.

<b>Abuse: neglect</b>	See <i>Neglect</i> below.
<b>Abuse: physical</b>	The hitting, shaking, throwing, poisoning, burning or scalding, drowning, suffocating, or other causing physical harm to a child. Physical harm may also be caused when a parent or carer fabricates or induces illness in a child whom they are looking after.
<b>Abuse: sexual</b>	Forcing or enticing a child or young person to take part in sexual activities, whether or not the child is aware of what is happening, including: <ul style="list-style-type: none"> <li>- physical contact, including penetrative or non-penetrative acts;</li> <li>- non-contact activities, such as involving children in looking at, or in the production of , pornographic material or watching sexual activities; or</li> <li>- Encouraging children to behave in a sexually inappropriate ways.</li> </ul>
<b>Neglect</b>	The persistent or sever neglect of a child; or the failure to protect a child from exposure to any kind of danger, including cold, starvation or extreme failure to carry out important aspects of care, resulting in the significant impairment of the child’s health or development, including non-organic failure to thrive.
<b>Safeguarding and promoting the welfare of children</b>	<ul style="list-style-type: none"> <li>- Protecting children from abuse and neglect;</li> <li>- Preventing impairment of their health and development; and</li> <li>- Ensuring that they receive safe and effective care;</li> </ul> ... so as to enable them to have optimum life chances.
<b>Significant harm</b>	Section 31 (10) of the Children Act 1989 states that “where the question of whether harm suffered by a child is significant turns on the child’s health or development shall be compared with that which could reasonably be expected of a similar child”.
<b>Welfare and Well-being</b>	There is no statutory definition. The Children Act 1989 introduced the welfare checklist that a court shall have regard to in certain circumstances. The 1989 Act states that a “court shall have regard in particular to – <ul style="list-style-type: none"> <li>- the ascertainable wishes and feelings of the child concerned (considered in the light of his age and understanding);</li> <li>- his physical, emotional and educational needs;</li> <li>- the likely effect on him of any change in his circumstances;</li> <li>- his age, sex, background and any characteristics of his which the court considers relevant;</li> <li>- any harm which he has suffered or is at risk of suffering;</li> <li>- how capable each of his parents, and any other person in relation whom the court considers the question be relevant, is meeting his needs;</li> <li>- the range of powers available to the court under this Act in the proceedings in question.”</li> </ul>



## APPENDIX 7

The following audit tool will be used to monitor and gather information from schools and services working with children and families in Monmouthshire. The audit will be sent out on a bi-annual basis and information gathered will be used to improve safeguarding for all the children and young people in Monmouthshire.

### **MONMOUTHSHIRE SAFEGUARDING COMPLIANCE AUDIT** .....DATE.....

Following the LA Estyn inspection a need has been highlighted for Monmouthshire to carry out an audit of safeguarding practices in all schools and organisations that provide services for or work with children, young people and families.

The following audit is set out in sections related to different standards and requires you to think about your own practices and procedures in your school/organisation. It is designed to give you an understanding of safeguarding in your own establishment and to provide the Safeguarding and Quality Assurance Unit with an overview of the current situation regarding safeguarding in Monmouthshire.

The audit tool is based on Section 28 of the Children Act 2004 as set out in Chapter 2 of Safeguarding Children: Working Together under the Children Act 2004. Section 28 requires organisations to carry out their functions in a way that takes into account the need to safeguard and promote the welfare of children.

**Please undertake the following audit and return it to ..... by  
..... using the following contact details:**

Heather Heaney, Lead Officer for Safeguarding in Education  
[heatherheaney@monmouthshire.gov.uk](mailto:heatherheaney@monmouthshire.gov.uk)

Please think carefully about your own practices and procedures, complete the audit to the best of your knowledge and think about how you will evidence your responses. Please complete the RAG System (Red, Amber or Green – see below) and then produce an action plan with any actions that are required to improve safeguarding in your school. See page 8 below.

We will collate the information you give us, follow up every 2 years and also use this information to support and improve safeguarding practices in general. Please try to be

as realistic and honest as you can be and use this document to help you to identify your current position re safeguarding and set targets/actions to improve.

**ORGANISATION / SERVICE AREA / SCHOOL/ESTABLISHMENT**

**NAME**.....

**PERSON COMPLETING THIS AUDIT**.....

**ROLE/POSITION**.....

**DATE COMPLETED**.....**DATE RETURNED TO LA**.....

Please list below all the individual services / organisations / establishments that you are responsible for and reporting on in this audit? Where relevant be specific in your audit regarding which service is being commented upon. (eg. Primary School, Comprehensive School, Nursery, Breakfast Club, After School Club, Sports Activities, etc.)

.....

.....

.....

.....

STANDARD	EVIDENCE	RAG RATING	FURTHER ACTIONS REQ'D
<b>STANDARD 1: DESIGNATED OFFICERS</b>			
1.1 There is a designated officer (DO) for Child Protection and Safeguarding and all staff know who that person is.			
1.2 There is a deputy designated officer for Child Protection and Safeguarding (to act when the DO is off site) and all staff know who that person is.			
1.3 The role of the designated officer is clearly defined in a job description which sets out their responsibilities in safeguarding.			
1.4 The DO and deputy DO are adequately trained and supported to fulfil their roles.			

<b>STANDARD 2: POLICIES AND PROCEDURES</b>			
2.1 Your school/organisation has adopted the Monmouthshire Safeguarding Policy (formally via governing body/trustee/management body if appropriate).	Give Date when adopted:		
2.2 The LA policy has been communicated to all staff members and is implemented in your setting.			
2.3 Your setting has its own written safeguarding policies and procedures which are reviewed regularly (at least every 3 years)	List any relevant policies:		
2.4 All staff and volunteers are made aware of all safeguarding policies and procedures and how these are applied within the setting.			
<b>STANDARD 3: ACCOUNTABILITY</b>			
3.1 Your setting has a clear accountability framework which all staff are aware of.			
3.2 All staff understand to whom they are directly accountable with regards to child welfare, and the level of accountability they have.			
3.3 All job descriptions are explicit and recognise responsibilities regarding safeguarding and promoting the welfare of children.			
<b>STANDARD 4: LISTENING AND RESPONDING TO CHILDREN &amp; YOUNG PEOPLE</b>			
4.1 There is an organisational awareness and focus on preventative activities in order to reduce the likelihood of children suffering harm.			
4.2 Children and young people have opportunity to express views about their safety and wellbeing, and the setting responds to children's feelings, wishes, concerns.			

STANDARD 5: STAFF AND VOUNTEER TRAINING			
5.1. All staff and volunteers receive appropriate training (at the relevant levels) to enable them to discharge their safeguarding duties.			
5.2 There is a record kept of all child protection / safeguarding training and this is updated as appropriate. (L1 Bi-annually for all staff)			
STANDARD 6: Safe Recruitment & Handling Allegations Against Workers and Volunteers			
6.1. All staff have up to date DBS checks which are reviewed every 3 years, by a designated member of staff. There is a record of dates and DBS numbers for all staff and volunteers in your setting.			
<p>6.2. All staff who have contact with children, young people and families are properly selected and have appropriate checks in line with current legislation and guidance:</p> <ul style="list-style-type: none"> <li>- References are always taken up prior to appointment.</li> <li>- Identity and qualifications are verified.</li> <li>- Face to face interviews are carried out.</li> <li>- Previous employment history is checked.</li> <li>- Any anomalies or discrepancies are followed up.</li> <li>- Necessary checks are carried out before the employee takes up the post (e.g. DBS).</li> </ul>			
6.3 There is a Safe Recruitment policy in place			

6.4 There is a named senior officer with responsibility in respect of allegations against staff and volunteers. All staff know who this person is.			
6.5 There is a written procedure for handling allegations against staff and volunteers in place.			
6.6 Incidents and allegations of abuse are recorded appropriately and maintained confidentially.			
<b>STANDARD 7: Effective inter-agency working to safeguard and promote the welfare of children</b>			
7.1 Staff participate in multi-agency meetings and forums to consider the needs of and provide support for individual children and their families.			
7.2 Staff are able to recognise when children need additional support and are able to make the appropriate referral e.g. referrals to other single agencies, referral to JAFF, referral to Children's Services as Child in Need or Child Protection.			
7.3 Staff clearly understand how to share confidential information in order to safeguard and protect children.			
7.4 Any decisions made or actions taken in relation to child protection or safeguarding are recorded appropriately and maintained confidentially.			

## **RAG RATING**

Green - Means everything is in place, up to date, and meets the required minimum standard.

Amber – Means that something requires review or improvement.

Red – Means that something needs to be developed as a matter of urgency.

## **Part 2: Action Plan**

**Name of Agency:**.....

<b>No</b>	<b>Standard</b>	<b>RAG Rating</b>	<b>Action Needed</b>	<b>Timescale</b>	<b>Lead Officer and Contact Details</b>

DRAFT UPDATE RE ESTIN APRIL 2013 & Full Review September

# MCC Equality Impact Assessment process guidance document

## 1. When do you carry out an Equality Impact Assessment (EQIA)

The Equality Act 2010 specifies in its **general duties** that when exercising its functions the Council must have due regard to:

- **eliminate** unlawful discrimination, harassment and victimisation and any other conduct that is prohibited by the Act;
- **advance** equality of opportunity between people who share a relevant protected characteristic and those who do not;
- **foster** good relations between people who share a protected characteristic and those who do not;

It also requires public bodies to carry out an equality impact assessment (EQIA) if they propose to do any of the following:

- **developing** or reviewing policies strategies and services.
- **assessing** the impact of a new project or proposal.
- **procuring** products or services.
- **preparing** service delivery plans.
- **scoring** or assessing grant applications.
- **considering** making financial savings (annual financial savings proposal process).

## 2. The Protected Characteristics in Monmouthshire

The EQIA process enables organisations such as this Council to gather and consider data and other evidence to assess whether what is proposed could have a negative or positive impact on the people or groups of people from Monmouthshire from one or more of the protected characteristics (below). (The process should also look for opportunities to promote equality of opportunity and foster good relations).

- Age – (50-64) **19,726**, (65-84) **16,602**, (85-89) **1,701**, (90+) **925**.
- Race – **3,541** from black minority ethnic backgrounds.
- Disability – **8,820** have considerable day to day activity limitations and **8,325** have some day to day activity limitations.
- Sex - Males **44,922** Females **46,401**.
- Religion and belief – **62.5%** Christian, **1.4%** other, No religion or belief **28.5%**, Not stated **7.6%**.
- Sexual orientation - (No figures collected in the 2011 Census).
- Pregnancy and maternity – **812** births in 2012.
- Transgender status - (No figures collected in the 2011 Census).
- Marriage and civil partnership - **450** marriages and **12** civil partnerships over the last 12 months.
- Welsh Language (covered under the Welsh Language Act 1993) – **8,780** or **9.9%** of population on the County are Welsh speakers according to the Census of 2011.



### 3. The EQIA process

All officers who are proposing to do any of the actions listed in section 1 above are required to complete the **Equality Challenge form** (appendices A and B) at the earliest possible stage and this will enable them to assess whether the proposal/s will have a potential negative or positive impact on one or more of the above protected characteristics. Carrying out this assessment at this point in the process will allow time for officers to gather data, and to consider possible mitigations or changes to be made to the proposals to try and lessen or remove any assessed negative impact.

If ultimately it is assessed that there is still going to be a **significant negative impact** on one or more of the protected characteristics then there is a legal requirement under the Equality Act 2010 to carry out an **engagement exercise** with interested parties (**details in 4 below**).

**It is important to remember that the EQIA process does not prevent organisations from making difficult decisions and indeed decisions can be made despite an assessment of negative impact. The EQIA process requires them to evidence and demonstrate that they are making these difficult decisions in a fair, transparent and accountable way taking into consideration the different needs and requirements of their communities. It is recommended that any options or mitigations that have been considered in forming the proposal are recorded in detail.**

### 4. Engagement for Equality Impact Assessments

#### Who do we need to engage with?

This very much depends on what outcomes you need and what issue you are engaging on. It can be a countywide initiative or something very local. Decide on what outcomes you want and then decide who your target audience needs to be. The community like to know that they can help influence decisions but you must always be honest with them and tell them whether you are engaging just to share information, give advice or to gain their views before making a decision. In terms of the equality impact assessment

process, you may already know certain groups of people or communities that are more likely to be affected by the proposed policy or decision and wish to engage in a more targeted way.

## **How do we engage?**

There are many ways of engaging with our communities (communities include local citizens, tourist and partners) and it is vital that you are aware of your audience and ensure that the list of options below are all accessible.

The list below defines some of the ways and is not exhaustive but you can do many things as long as you can obtain the outcomes you want:

- Poster campaign
- Leaflet drop
- Displays in Council buildings
- Information stall
- Newsletter
- Radio
- Council Website
- Facebook
- Twitter
- E mail
- Newspaper
- Booklet
- Programmed meetings
- Area forums
- Focus groups
- User panels
- Public meetings
- Workshops

For more information on **engagement** please contact Alan Burkitt at [alanburkitt@monmouthshire.gov.uk](mailto:alanburkitt@monmouthshire.gov.uk) for a copy of the MCC Engagement Toolkit.

### **When you are looking to Engage:**

- **Don't think you are alone**; there are so many people out there with expertise in this field who are engaging on a day to day basis.
- The **Partnership and Engagement team** can help signpost you to engagements that have taken place before and departments to ask. There may already be a relevant engagement event arranged that you may be able to join in with. Using existing events is far cheaper and you already have a footfall of people going to the event. This works well for wider engagement issues. There is a health warning with using event. Make sure you know who the event is attracting. It needs to be the right audience or the information you require may be flawed. (Bridget Barnet 01633 644883 or Rhian Cook on 01633 644364).
- **Local knowledge** about the area, the diverse make up of our communities and an understanding of how local groups if they are to be used is essential. Local contacts will also be aware of any conflict which will help you prepare answers if needed for your engagement.

## **5. Presentation of proposal to Cabinet**

Once an engagement has been carried out you should have gathered the information that will allow you to either justify going ahead as proposed, amend the original proposals, or develop mitigations to lessen or eradicate any negative impact. As a result of the completion of this process you should be in a very strong and informed position and will be able to take the proposal through the Cabinet process for formal approval thereby demonstrating fully that you have paid due regard.

When taking a policy or proposal to Cabinet an **EQIA form and Sustainable Development Checklist** (Appendix C) will need to be completed to accompany the Cabinet report that will detail the process so far, thus enabling Cabinet to make a decision informed with the aid of a very strong evidence base.

## Conclusion

It is vitally important that officers adhere to the process laid down in this guidance note as case law has quite clearly shown that when EQIA's are either not done, or not done with enough rigor, organisations that do not demonstrate “**due regard**” are being challenged in the courts. As well as suffering financial penalties they also suffer reputational damage.

For examples of case law please click on the links below:

<http://www.ecu.ac.uk/inclusive-practice/equality-impact-assessment>

<http://www.equalityhumanrights.com/relevant-case-law/>

<http://www.thompsons.law.co.uk/ltxt/127-case-law-public-sector-equality-duty.htm>

<http://publicsector.practicallaw.com/blog/publicsector/plc/?p=386>

## Appendix A “Equality Challenge” – guidance notes

The following are a list of the challenges/thought processes that have been evident in producing equality challenges to date. The list is not meant to be exhaustive, just indicative of the approach:

<p><b>Is there any form of Discrimination?</b></p> <p>Direct</p> <p>Indirect</p> <p>Association:</p> <p>Positive Action:</p>	<p>Discrimination directly related to the protected characteristic/s.</p> <p>Where an action has, for other reasons, an impact eg: actions involving increased costs to service users could affect those with disabilities more than others as they are 3 times more likely to live in a family where no one is employed.</p> <p>People, such as carers, who are associated with people with a protected characteristic have the right to be given the same due regard.</p> <p>Positive action can be an action that addresses a pre-existing disadvantage or can be action that adversely affects one characteristic for the benefit of others – ie a saving in one area that protects the interests/services of others</p>
<p><b>Where the proposal concerns one protected characteristic, does it unintentionally disadvantage any sub-groups?</b></p>	<p>For example, a proposal for a cross-authority partnership to address <b>Adult Learning Disability</b> service users might be seen to disadvantage <b>younger</b> people if similar arrangements were not put in place for them.</p>
<p><b>The ‘significance’ of impacts will need to be assessed. What constitutes ‘significant’?</b></p>	<p>There are a number of elements – the number of service users affected; the degree of impact, the financial implications, health, access to key services, impact on employment, human rights etc.</p>


<p><b>Is the proposal creating a post code lottery within the County?</b></p>	<p>Do we as a result of certain proposals create a disadvantage for people from different regions of Monmouthshire.</p>
<p><b>Have positive impacts been optimized?</b></p>	<p>The Equality Act 2010 is as strong on ensuring that effort is put into maximising positive benefits as it does into mitigating negative impacts.</p>
<p><b>Have all reasonable steps been taken to mitigate negative impacts (including making reasonable adjustments)?</b></p>	<p>Note: some decisions (normally financial) have to be made even though they have obvious negative impacts – this is lawful. However, how the impacts can be minimised has to have been thought through very carefully and mitigations need to be considered.</p>
<p><b>Does the proposal evidence an understanding of the current (baseline) situation with respect to the protected characteristics?</b></p>	<p>You can't assess impact without knowing where you are starting from!</p> <p>You need to know your service users – gathering relevant data! Where possible consider future changes and also future service users prevented from accessing services. If you lack data on specific on particular groups then you need to consider other ways of gathering information through <b>engagement</b> eg focus groups, face to face meetings etc.</p>
<p><b>Is this proposal associated with any others – is there a cumulative impact to be assessed?</b></p>	<p>Individual proposals can be appropriate and well considered, but when cumulative impacts are considered a protected characteristic can be affected disproportionately.</p>

## The “Equality Initial Challenge”

Name: Jane Rodgers Service area: Safeguarding and Quality Assurance Unit Date completed: 15 <sup>th</sup> April 2014		Please give a <b>brief description</b> of what you are aiming to do.  Revision of MCC Safeguarding and Child Protection Policy	
Protected characteristic	Potential <b>Negative</b> impact Please give details	Potential <b>Neutral</b> impact Please give details	Potential <b>Positive</b> Impact Please give details
Age			The revisions made to this policy will further enable children and young people within MCC to be safeguarded.
Disability			As above – the model child protection policy for settings Appendix 3.1 continues to highlight that children with disabilities are additionally vulnerable to child abuse.
Marriage + Civil Partnership			
Pregnancy and maternity			
Race			
Religion or Belief			
Sex (was Gender)			
Sexual Orientation			
Transgender			

Welsh Language			
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Please give details about any potential <b>negative Impacts</b> .	How do you propose to <b>MITIGATE</b> these <b>negative impacts</b>
➤	➤
➤	➤
➤	➤
➤	➤



**Signed :**

**Dated: 30/04/14**

**Designation :** Safeugarding & Quality Assurance Manager



## EQUALITY IMPACT ASSESSMENT FORM

What are you impact assessing	Service area
Safeguarding and Child Protection Policy November 2013	Safeguarding and Quality Assurance Unit
Policy author / service lead	Name of assessor and date
Jane Rodgers	Jane Rodgers 15/04/14

### 1. What are you proposing to do?

The Safeguarding and Child Protection Policy November 2013 is a revision of the November 2012 policy. There has been a period of consultation and some amendments to the 2012 policy were required. It is good practice, and the stated intention at the time of the initial policy being implemented, to review the policy in the 12 months following its implementation.

Members of CYP select committee have had the opportunity to consider the revised policy.

The policy would be re-launched across Monmouthshire, and it applies to to **all settings providing services for children, young people and families in Monmouthshire** including schools, early years, grant funded and commissioned services, leisure and youth services, central support services and social services.

2. Are your proposals going to affect any people or groups of people with protected characteristics in a **negative** way? If **YES** please tick appropriate boxes below.

Age		Race	
Disability		Religion or Belief	
Gender reassignment		Sex	
Marriage or civil partnership		Sexual Orientation	
Pregnancy and maternity		Welsh Language	

3. Please give details of the negative impact

4. Did you take any actions to mitigate your proposal? Please give details below including any consultation or engagement.

5. Please list the data that has been used to develop this proposal? eg Household survey data, Welsh Govt data, ONS data, MCC service user data, Staff personnel data etc..



**Signed...** \_\_\_\_\_ **Designation...** Safeguarding & Quality Assurance Manager... **Dated...** 30/04/14

## MCC Sustainability Challenge guidance document

### When do you carry out a Sustainability Challenge?

The forthcoming Future Generations Bill will require all public bodies, including local authorities, to make sustainable development their central organizing principle. This means that we will have to demonstrate that every significant decision we make has taken sustainable development into account. One way that we can do this is to make sure that all decisions that go to committee, Cabinet, Council or Single Member decision have been through the Sustainability Challenge.

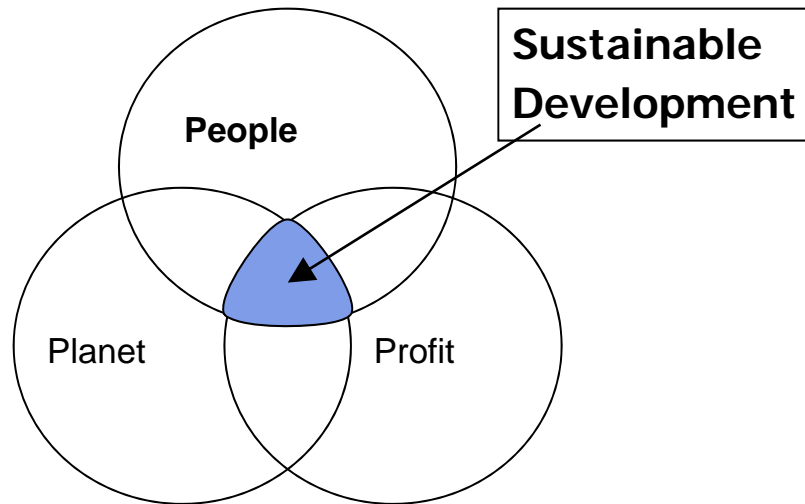
The Sustainability Challenge would also be useful when doing any of the following:

- **developing** or reviewing policies strategies and services
- **assessing** the impact of a new project or proposal
- **procuring** products or services
- **preparing** service delivery plans
- **scoring** or assessing grant applications
- **considering** making financial savings (annual financial savings proposal process)

The best time to use the Sustainable Development Checklist is at the development stage of a project, so that sustainability can be built in and considered from the very beginning. However, it can also be used once a project is underway.

# What is Sustainability?

Sustainability or Sustainable development is about making sure that what we do today isn't at the expense of the world which we pass on to our children and grandchildren. Another way of describing this is the "triple context" or the 3 Ps where People, Planet and Profits are all in balance. This could look like this:



## The Sustainability Challenge process

All officers who are proposing to do any of the actions listed in section 1 above are required to complete the **Sustainability Challenge Form** (appendix A) at the earliest possible stage and this will enable them to assess whether the proposal/s will have a potential negative or positive impact on one or more aspects of sustainability. Carrying out this assessment at this point in the process will allow time for officers to consider possible mitigations or changes to be made to the proposals to try and lessen or remove any assessed negative impact.

**It is important to remember that the Sustainability Challenge process does not prevent organisations from making difficult decisions and indeed decisions can be made despite an assessment of negative impact. The Sustainability Challenge process requires them to evidence and demonstrate that they are making these decisions in a fair, transparent and accountable way and will provide evidence that Sustainability has been considered as part of the decision making process.**

Once the Sustainability Challenge has been completed, any mitigations or changes to the proposal that need to be carried out to reduce the negative impact should be documented on the form.

### **Presentation of proposal to Cabinet, Council, Committee or Single Member Decision**

Once the Sustainability Challenge has been carried out you should have enough information that will allow you to either justify going ahead as proposed, amend the original proposals, or develop mitigations to lessen or eradicate any negative impact. As a result of the completion of this process you should be in a very strong and informed position and will be able to take the proposal through the Committee process for formal approval thereby demonstrating fully that you have paid due regard to sustainable development. When taking a policy or proposal to Cabinet an **EQIA form and Sustainable Development Checklist** will need to be completed to accompany the committee report that will detail the process so far, thus enabling Elected Members to make an informed decision.

The main positive and negative impacts will need to be summarized in the “Sustainability and Equalities Implications” paragraph on the report.

**Appendix A**

**The “Sustainability Challenge”**

<p><b>Name of the Officer</b> completing “the Sustainability challenge”</p> <p><b>Jane Rodgers</b></p>	<p>Please give a <b>brief description</b> of the <b>aims</b> proposed policy or service reconfiguration</p> <p>This policy document has been produced to support good practice within educational settings and other child and family services in Monmouthshire. We believe that all children and young people in Monmouthshire have the right to be safe from harm and deserve the opportunity to fulfil their potential. The Council recognises its role and responsibilities in safeguarding and promoting the welfare of children, including the contribution it must make to working together with other agencies to ensure the well-being of the children in the county.</p> <p>Monmouthshire County Council places significant emphasis on the need for equality of opportunity to permeate all child related activities, and will continue to promote and develop its role as an advocate and protector of those who face special difficulties in realising their full potential.</p>
<p><b>Name</b> of the Division or service area</p> <p>Safeguarding and Quality Assurance Unit</p>	<p><b>Date</b> “Challenge” form completed 15<sup>th</sup> April 2014</p>

Aspect of sustainability affected	<b>Negative impact</b> Please give details	Neutral impact Please give details	<b>Positive Impact</b> Please give details
<b>PEOPLE</b>			
Ensure that more people have access to healthy food			
Improve housing quality and provision			
Reduce ill health and improve healthcare provision			
Promote independence			
Encourage community participation/action and voluntary work			
Targets socially excluded			The policy aims to ensure that all agencies work together to protect children who may be at risk of harm from abuse or neglect.
Help reduce crime and fear of crime			The policy sets out the responsibilities of all agencies to be alert to the signs and symptoms of abuse and report children in accordance with the procedures where there are any suspicions or concerns that a child might be victimised.



Improve access to education and training			
Have a positive impact on people and places in other countries			
<b>PLANET</b>			
Reduce, reuse and recycle waste and water			
Reduce carbon dioxide emissions			
Prevent or reduce pollution of the air, land and water			
Protect or enhance wildlife habitats (e.g. trees, hedgerows, open spaces)			
Protect or enhance visual appearance of environment			
<b>PROFIT</b>			
Protect local shops and services			
Link local production with local consumption			
Improve environmental awareness of local			

businesses			
Increase employment for local people			
Preserve and enhance local identity and culture			
Consider ethical purchasing issues, such as Fairtrade, sustainable timber (FSC logo) etc			
Increase and improve access to leisure, recreation or cultural facilities			

What are the potential negative Impacts	Ideas as to how we can look to <b>MITIGATE</b> the <b>negative impacts</b> (include any reasonable adjustments)
➤	➤
➤	➤
➤	➤
➤	➤

### The next steps

- If you have assessed the proposal/s as having a **positive impact please give full details** below

- If you have assessed the proposal/s as having a **Negative Impact** could you please provide us with details of what you propose to do to mitigate the negative impact:



**Signed**

**Dated 30/04/14**

If you would like to discuss the completion of this form or any issues arising out of its completion please contact:

Name: Hazel Clatworthy, Sustainability Community Officer, Tel: 01633 644843

Contact Email: [hazelclatworthy@monmouthshire.gov.uk](mailto:hazelclatworthy@monmouthshire.gov.uk)



**SUBJECT: Revised Budget monitoring arrangements 2014/15**

**DIRECTORATE: Chief Executives**

**MEETING: Cabinet**

**DATE: 4<sup>th</sup> June 2014**

**DIVISION/WARDS AFFECTED: Countywide**

**1. PURPOSE:**

A review of the budget monitoring arrangements for 2014/15 with the intention to improve the timeliness and access to budget monitoring information for Cabinet and Select Committees.

**2. RECOMMENDATIONS:**

2.1 To approve revised arrangements proposed.

**3. KEY ISSUES:**

3.1 The existing revenue and capital budget monitoring arrangements to Cabinet and then to Select Committee for scrutiny have been in place for a number of years. The revenue budget monitoring reports have been produced quarterly and presented on a Directorate basis and then split accordingly to accommodate particular Select committee portfolios. There have been separate arrangements for capital budget monitoring arrangements at month 5, 8 and 10. Both sets of reports are mainly narrative in nature, tending to be long and detailed. There is an overhead in terms of staff time taken to prepare such reports and sometimes a considerable delay in the reports being considered, especially for scrutiny by Select committees. Consideration has been given to what improvements can be made to the format, content and timeliness of budget monitoring information for the 2014/15 financial year. The opportunity has been taken to consider how this process might be streamlined so that efficiency savings can be made.

3.2 The main issues with the current reporting framework are:

- Timeliness of reports, especially to select committee for scrutiny
- The reporting of information on Directorate basis (to Cabinet) and then changing this for Select committee portfolios
- Separate reports for revenue and capital budget monitoring
- The overhead involved in producing long and detailed reports
- Lack of integration of performance information and VFM assessment

3.3 It is suggested that the revenue and capital budget monitoring reporting arrangements are changed such that:

- One report is produced that covers both capital and revenue monitoring
- The information is produced according to the Select committee portfolios, for both Cabinet and Select Committees
- Reports are circulated to all Select Committee members at the same time that Cabinet meets to consider the reports
- The format of the report is more tabular in nature, focusing on the main issues, and providing the opportunity for connections to be made with performance information and unit cost data.

3.4 The proposed changes will enable more timely information to be circulated and considered by Members that cover all budgets each quarter. Earlier sight of the information by Members could enable key areas of focus to be identified in advance of the Select committee meeting so that the most appropriate officers can be called to attend the meeting for the scrutiny of that particular item. This will allow questions to be addressed/considered in advance and explanation/resolution brought to a subsequent Select meeting, rather than as at present dealt with at the next financial reporting stage, which can be circa 6 months after the issue becomes apparent. A succinct, tabular format will enable the reader to focus on the main issues and identify areas for further investigation. Efficiency savings in the production of the information will allow finance staff time to assist service managers in meeting the further financial challenges over the next period.

3.5 An example of the type of information to be contained in the revised report for both revenue and capital is contain in Appendix 2. The example reflects historic service groupings, however, quarter 1 monitoring for 2014/15 will reflect the new service groupings following numerous restructures that have recently taken place. It is intended to report Enterprise Directorate to Economy & Development Select and Operations and Chief Executives' units alongside Appropriations and Financing to Stronger Communities Select.

#### 4. REASONS:

4.1 To improve the current revenue and capital budget monitoring arrangements for Cabinet and Select Committees

**5. RESOURCE IMPLICATIONS:**

- 5.1 Streamlining the processes for the production of revenue and capital budget monitoring information for Members should enable more timely and accessible presentation of this information to Members to enable them to gain comfort and challenge the financial management performance of service areas without the need for additional resources.

**6. SUSTAINABLE DEVELOPMENTS AND EQUALITY IMPLICATIONS:**

There are no significant equality impacts, see attached Appendix 1

**7. CONSULTEES:**

Cabinet  
Leadership Team

**8. AUTHOR:**

**Mark Howcroft, Assistant Head of Finance**  
**Joy Robson, Head of Finance**

- 9. CONTACT:** Email: [markhowcroft@monmouthshire.gov.uk](mailto:markhowcroft@monmouthshire.gov.uk) on **01633 644740**

## Appendix 1

## The “Equality Initial Challenge”

Name: Mark Howcroft Service area: Finance Date completed: 17th May 2014.		Please give a <b>brief description</b> of what you are aiming to do.  <b>Revise financial monitoring arrangements</b>	
Protected characteristic	Potential <b>Negative</b> impact Please give details	Potential <b>Neutral</b> impact Please give details	Potential <b>Positive</b> Impact Please give details
Age		X	
Disability		X	
Marriage + Civil Partnership		X	
Pregnancy and maternity		X	
Race		X	
Religion or Belief		X	
Sex (was Gender)		X	
Sexual Orientation		X	
Transgender		X	

Welsh Language		X	
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Please give details about any potential <b>negative Impacts</b> .	How do you propose to <b>MITIGATE</b> these <b>negative impacts</b>
➤ <i>The impact of this charging may have an impact on low income families.</i>	➤ Ensuring that all pupils that are entitled to free school meals are exempted from this charge.
➤	➤
➤	➤
➤	➤

Signed Mark Howcroft Designation Assistant Head of finance Dated 17th May 2014.



## EQUALITY IMPACT ASSESSMENT FORM

<b>What are you impact assessing</b>	<b>Service area</b>
Revising the Financial monitoring arrangements for members	CEO, CYP and SCH finance
<b>Policy author / service lead</b>	<b>Name of assessor and date</b>
Mark Howcroft	Mark Howcroft 17 <sup>th</sup> May 2014

### 1. What are you proposing to do?

Revise financial monitoring arrangements to members,

- More closely align Directorate reporting with Select portfolios
- Improve timeliness of information
- To report capital and revenue information in the same holistic report.
- Identify particular responsible officer and to inform Select work programmes
- To make the provision of information more sustainable given the reduction in resources involved in its preparation

2. Are your proposals going to affect any people or groups of people with protected characteristics in a **negative** way? If **YES** please tick appropriate boxes below.

Age		Race	
Disability		Religion or Belief	
Gender reassignment		Sex	
Marriage or civil partnership		Sexual Orientation	
Pregnancy and maternity		Welsh Language	

3. Please give details of the negative impact

4. Did you take any actions to mitigate your proposal? Please give details below including any consultation or engagement.

5. Please list the data that has been used to develop this proposal? eg Household survey data, Welsh Govt data, ONS data, MCC service user data, Staff personnel data etc..

Existing monitoring information Examination of other Council websites
--

**Signed Mark Howcroft Designation Assistant Head of Finance Dated 17<sup>th</sup> May 2014.**

**The “Sustainability Challenge”**

<b>Name of the Officer</b> completing “the Sustainability challenge” <b>Mark Howcroft</b>		Please give a <b>brief description</b> of the <b>aims</b> proposed policy or service reconfiguration  <b>Revise financial monitoring arrangements</b>	
<b>Name</b> of the Division or service area  Finance section		<b>Date</b> “Challenge” form completed 20th May 2014.	
Aspect of sustainability affected	<b>Negative impact</b>  <b>Please give details</b>	Neutral impact  <b>Please give details</b>	<b>Positive Impact</b>  <b>Please give details</b>
<b>PEOPLE</b>		All impacts are neutral	
Ensure that more people have access to healthy food	.		
Improve housing quality and provision			
Reduce ill health and improve healthcare provision			
Promote independence			
Encourage community participation/action and			

voluntary work			
Targets socially excluded			
Help reduce crime and fear of crime			
Improve access to education and training			
Have a positive impact on people and places in other countries			
<b>PLANET</b>			
Reduce, reuse and recycle waste and water			
Reduce carbon dioxide emissions			
Prevent or reduce pollution of the air, land and water			
Protect or enhance wildlife habitats (e.g. trees, hedgerows, open spaces)			
Protect or enhance visual appearance of environment			
<b>PROFIT</b>			

Protect local shops and services			
Link local production with local consumption			
Improve environmental awareness of local businesses			
Increase employment for local people			
Preserve and enhance local identity and culture			
Consider ethical purchasing issues, such as Fairtrade, sustainable timber (FSC logo) etc			
Increase and improve access to leisure, recreation or cultural facilities			

What are the potential negative Impacts	Ideas as to how we can look to <b>MITIGATE</b> the <b>negative impacts</b> (include any reasonable adjustments)
➤	➤

➤	➤
➤	➤
➤	➤

**The next steps**

- If you have assessed the proposal/s as having a **positive impact please give full details** below

- If you have assessed the proposal/s as having a **Negative Impact** could you please provide us with details of what you propose to do to mitigate the negative impact:

**Signed Mark Howcroft**

**Dated 20<sup>th</sup> May 2014**

## APPENDIX 2i - EXAMPLE MONITORING EXTRACT

### STRONGER COMMUNITIES SELECT COMMITTEE: OPERATIONS & CHIEF EXECUTIVE'S DIVISION COSTS

The financial performance for those areas subject to Stronger Communities Select scrutiny is as follows,

#### SUMMARY EXPLANATION FORECAST OVER SPEND

##### REVENUE

	Actual Outturn £000's	Revised Budget £000's	Over/(Under) Spend £000's	Forecast Over/(Under) Spend at Month 09 £000's
Operations				
Chief Executives Unit	10,256	11,027	(771)	(304)
<b>Net Directly Managed Expenditure</b>	<b>10,256</b>	<b>11,027</b>	<b>(771)</b>	<b>(304)</b>

##### CAPITAL

Scheme Type	Original Budget (Including b/f slippage)	Budget	Revised Budget	Provisional Slippage c/f	Adjusted	Forecast	Forecast Over/ (Under) Spend
		Virements & Revisions			Budget (Reduced by Slippage)	Outturn	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Development Schemes >£250k	4,089	1,212	5,300	3,516	1,784	1,615	(170)
Development Schemes <£250k	1,013	538	1,551	806	746	746	1
Infrastructure Upgrade & renewal	5,201	(66)	5,135	731	4,404	4,491	87
Maintenance Programmes	1,657	(230)	1,427	433	994	886	(108)
Sc106 and other grant specific schemes	801	586	1,387	998	389	353	(35)
Housing schemes	622	165	787	60	727	639	(87)
ICT Schemes	612	365	977	633	344	421	77
Vehicle leasing	3,085	(1,385)	1,700		1,700	1,454	(246)
Other Schemes		76	76		76	76	
<b>Total</b>	<b>17,080</b>	<b>1,261</b>	<b>18,341</b>	<b>7,177</b>	<b>11,164</b>	<b>10,682</b>	<b>-482</b>

#### Key Issues:



Appendix 2 ii - Example monitoring report

REVENUE BUDGET OUTTURN STATEMENT 2013/2014 Period 13					
Chief Executive's Unit					
	ACTUAL TO MONTH 13 £	ANNUAL FORECAST 0 to 13 £	REVISED BUDGET £	FORECAST OVER / (UNDER) SPEND AT M13 £	Commentary (where variance is anticipated to exceed £10,000)
<i>DIRECT COSTS ONLY</i>					
<i>DIRECTORATE SERVICE</i>					
Deputy Chief Executive	4,337,668	4,337,668	4,636,509	(298,841)	
Democratic Services and Improvement	1,825,836	1,825,836	1,971,015	(145,179)	
Finance	1,875,288	1,875,288	1,978,512	(103,224)	
Information Communication Technology	2,441,948	2,441,948	2,441,193	755	
<b>Net Directly Managed Expenditure</b>	<b>10,480,740</b>	<b>10,480,740</b>	<b>11,027,229</b>	<b>(546,489)</b>	<b>0</b>
<u>Deputy Chief Executive</u>					
Adult Services other	16	16	(21)	37	
Citizen Engagement	(748)	(748)	(6,294)	5,546	
Corporate	289,732	289,732	292,025	(2,293)	
Customer Access	1,011,814	1,011,814	1,126,185	(114,371)	Staff vacancies
Customer Relations	6,241	6,241	21,082	(14,841)	One off receipt for services to MHA
Innovation	261,544	261,544	261,545	(1)	
Legal & Land Charges	452,327	452,327	465,934	(13,607)	Increased land charge income
Registration of births, Deaths and marriages	7,270	7,270	29,827	(22,557)	Mix of increased income and reduced expenditure
Office services	404,863	404,863	369,337	35,526	Telephone call cost overspend
Personnel	880,789	880,789	933,347	(52,558)	Invest to save funding not required (£45k), reduction in external occupational health assessment (£8k)
Communications	121,392	121,392	119,659	1,733	
Community Safety	354,967	354,967	362,451	(7,484)	
Policy	306,873	306,873	364,357	(57,484)	Leaves and subscription underspend (£13k), part yr staff vacancy (£15k), equipment underspend (£33k)
Training	240,588	240,588	297,076	(56,488)	Staff vacancies
	<b>4,337,668</b>	<b>4,337,668</b>	<b>4,636,510</b>	<b>(298,842)</b>	
<u>Democratic services &amp; improvement</u>					
Democratic services	166,525	166,525	227,585	(61,060)	Staff vacancies
Elections	105,604	105,604	186,237	(80,633)	Individual Registration process deferred to June 2014
Members services	1,008,525	1,008,525	987,269	21,256	Inability to find budget assumed employee savings
Improvement	401,981	401,981	423,383	(21,402)	Staff secondment to Nesta
Policy	143,202	143,202	146,541	(3,339)	
	<b>1,825,837</b>	<b>1,825,837</b>	<b>1,971,015</b>	<b>(145,178)</b>	
<u>Finance</u>					
Audit	239,016	239,016	239,097	(81)	
Accountancy	542,883	542,883	627,979	(85,096)	Staff vacancies
Management	120,850	120,850	122,597	(1,747)	
Revenues, benefits and debtors	972,539	972,539	988,839	(16,300)	salary savings and underspend on benefits offset by increase in bad debt provision
	<b>1,875,288</b>	<b>1,875,288</b>	<b>1,978,512</b>	<b>(103,224)</b>	
<u>ICT</u>	<b>2,441,948</b>	<b>2,441,948</b>	<b>2,441,193</b>	<b>755</b>	

## APPENDIX 2 iii Example capital monitoring report

### MONTH 13 CAPITAL BUDGET MONITORING REPORT FOR STRONG COMMUNITIES

Project Description	Budget Holder	Annual Forecast	Total Approved Budget	Provisional Slippage C/F	Annual Overspend / (Underspend)	Reason for Outturn Variance or Proposed Slippage exceeding £10,000
<b>Development Schemes Over £250k</b>						
Llanfoist Transfer station	Dave Harris	636	0		636	
Shire Hall Restoration	Robert O'Dwyer	(533)	0		(533)	
Drainage Works at Caldicot School & LC Site	Robert O'Dwyer	289,966	296,762	6,796	0	
County Hall replacement	Robert O'Dwyer	464,883	467,674	2,792	1	
Shire Hall - Furniture and Equipment Costs	Mike Booth	8,748	25,959	17,211	0	Delays in sourcing equipment for the project & delays in final snagging to complete the building phase of the project. This was completed and HLF sign off in March 2014.
Shire Hall - Interpretation Costs	Mike Booth	18,000	18,626		(626)	
Proposed New Abergavenny Library	Robert O'Dwyer	2,238	3,435,540	3,433,302	(0)	Project on hold while future strategy of the library service in Abergavenny is decided.
County Hall Demolition and Remodelling	Robert O'Dwyer	847,543	1,055,813	56,000	(152,270)	Additional works due to flooding
Magor, Usk & Other Agile Bases Internal Fit & ICT	Robert O'Dwyer	(16,718)	0		(16,718)	
		<b>1,614,763</b>	<b>5,300,374</b>	<b>3,516,101</b>	<b>(169,510)</b>	
<b>Development Schemes Under £250k - CED's</b>						
Village Hall Umbrella Grants Fund	Mike Moran	2,941	0		2,941	
	Mike Moran	<b>2,941</b>	<b>0</b>	<b>0</b>	<b>2,941</b>	
<b>Development Schemes Under £250k - Essential Works</b>						
County Farms Fixed Asset Disposal Costs	Louise Attwood	9,448	30,616	20,899	(268)	Sub schemes have slipped budget – due to a) Additional time taken to appraise disposal options b) Choice between selling to tenant or elsewhere c) The need for planning permission for some options
Non County Farms Fixed Asset Disposal Costs	Louise Attwood	81,570	305,686	224,116	(0)	10 Sub schemes have slipped budget – 84% relating to LDP schemes which could not go ahead until the LDP had been ratified. Others due to a) Additional time taken to appraise disposal options b) Time to get planning permission and other legal consents c) Imminent sale to MHA – budget required if this falls through
Raglan Depot Car Park	Roger Hoggins	3,197	38,264	35,067	(0)	Project delayed over the winter due to newts hibernating. Programme to manage removal and observation will be starting soon. Once removed then the project will start.
Improve Income Gen – Museums Rec/Retail Facilities	Ann Jones	0	10,000	10,000	0	
Caldicot Cast SW Tower, Roof & Stone Works Mus R	Matthew Lewis	(2,539)	6,420	6,420	(2,539)	
		<b>91,676</b>	<b>390,986</b>	<b>296,502</b>	<b>(2,808)</b>	
<b>Development Schemes Under £250k - Other Recommend</b>						
Access For All	Robert O'Dwyer	292,249	515,869	223,619	(1)	Slippage required due to uncertainty over extent of 21st century schools programme and affect on provision of leisure services.
Ifton Common Sewerage Treatment Plant	Ian Bakewell	0	10,070	10,070	0	Project was scheduled for early 2014. Quotes were received from current maintenance contractor and instruction was given to proceed. However, the contractor re-quoted. The new quote was higher than the original quote. It was subsequently necessary to challenge this and subsequent discussions have not been finalised. A response is currently awaited from the contractor
Area Management	Debbie McCarty	14,220	15,000		(780)	
Area Management - RER	Alan Brown	22,054	29,028		(6,974)	
Area Management - LLL	Tom James	8,928	25,504	15,725	(851)	Awaiting completion of orders and additional fund raising by organisations. Schemes agreed at area committee in February 14.
Area Management - SHS	Alan Brown	23,605	15,000		8,605	
Cemeteries Investigations	Tim MacDermott	5,854	21,761	15,907	0	
PV Scheme - Old Pill Farm	Ian Hoccom	1,635	0		1,635	
PV Scheme - Gilwern Primary	Ian Hoccom	33,121	33,521		(400)	
PV Scheme - Usk Primary	Ian Hoccom	750	30,084	29,334	0	Failure to come to legal agreement with Diocesan Directors regarding the Church in Wales Schools. MCC do not own the buildings and therefore a legal agreement needs to be in place in order for us to undertake the work.  Negotiations are continuing and we hope to complete the agreement and works in 2014-15.
PV Scheme - Undy Primary	Ian Hoccom	27,832	27,774		58	
PV Scheme - Monmouth LC	Ian Hoccom	54,168	53,924		244	
PV Scheme - Durand Primary	Ian Hoccom	31,000	31,500		(500)	
Car Park Granville St & Wyebridge St	Roger Hoggins	0	200,000	200,000	0	The scheme is presently being challenged by a local action group on the basis that the car park will adversely affect air quality in the area (which is presently being monitored by environmental health colleagues). Highways projects team has commissioned a study by

**SUBJECT: DRAFT REVENUE BUDGET OUTTURN 2013/14**  
**MEETING: Cabinet**  
**DATE: 04<sup>th</sup> June 2014**  
**DIVISIONS/WARD AFFECTED: All Authority**

**1. PURPOSE:**

- 1.1 The purpose of this report is to provide Members with information on the revenue outturn position of the Authority at the end of the 2013/14 financial year.

**2. RECOMMENDATION:**

- 2.1 That Members consider the information contained within this report noting that the figures may be subject to adjustment through the external audit process.
- 2.2 That Members agree to contribute the surplus balance of £877,000 on the revenue account to general reserves.
- 2.3 That Members approve the budgets for 2014/15 to undertake specific projects funded by earmarked reserves carried forward from 2013/14, as outlined in Appendix 3, caveated on an agreed robust spending plan.
- 2.4 That £500,000 of the Single Status and Equal Pay reserve is used to replenish the Pension and Redundancy reserve.
- 2.5 That Select Committees scrutinise the outturn position for the services within their remit.

### 3. KEY ISSUES:

- 3.1 This report provides an assessment of the actual outturn position and the accuracy of the forecasts at month 09. Table 1 below summarises the outturn position for the Council Fund for the 2013/14 financial year and shows a £877,000 under spend at year end. This is an improvement from the month 9 position of a £336,000 overspend, which has resulted from continued close management of Directorate budgets.
- 3.2 All Directorates have seen an improvement from their position at month 9 and the resulting underspend on net cost of services was £1,227,000. Overspends in SCH and CYP have both reduced. R&C moved from an anticipated overspend at month 9 to a £210,000 underspend over the last quarter; despite an unexpected overspend in passenger transport area. The Chief Executive's Unit and Corporate costs also exhibited an increasing underspend position in the last quarter.
- 3.3 The net cost of service underspend has been complimented by underspends on treasury and capital financing activities of £405,000. The main financial challenges facing the Council remains the provision of Children's' services within SCH (which exhibited £980,000 net overspend) and the overspend in passenger transport, predominantly from school transport and special needs. A report is being collated on the situation in Children's social services, outlining in more detail the reasons for the overspend situation and what action is being taken to address it. A review of the business practices with the Passenger Transport unit is being undertaken to ensure that more robust financial forecasts can be established and early action taken with regard to any overspends arising.
- 3.4 In the light of the outturn position, the application of earmarked reserves has been reviewed. Further detail on the use of earmarked reserves against budget can be found in the Appropriations section in the Appendix. There have been a number of areas where reserves have not been required either because there have been underspends or slippage has been incurred. This has led to a reduced call of £653,000 from earmarked reserves. A number of underspends have resulted in requests for these to be carried forward to 2014-15 in earmarked reserves so that specific projects can be completed. These are outlined in Appendix 3.
- 3.5 The review of reserves has also led to a proposal to replenish the Pension and Redundancy reserve as it forecast to go into deficit. It is considered that the Single Status and Equal Pay reserve will no longer be required at its current level, and maybe extinguished altogether pending finalisation of the 2013/14 accounts. The recommendation is therefore to take £500,000 from this reserve to replenish the Pension and Redundancy reserve. This transaction has to flow through the revenue account and has been taken into account in the outturn figures in this report both as a contribution from reserves and contribution to reserves.
- 3.6 The contribution to earmarked reserves has been greater than budgeted due in part to the transaction outlined above in 3.5 but also the need to have reserve cover in place to cover the estimated liability on MMI and other outstanding insurance claims. In addition, MCC's contribution to the EAS has been £70,000 less in 2013/14 than budgeted, due to an underspend in the EAS. It is expected that this

funding will be required in 2014/15. Therefore, the underspend has been put into a reserve and will be able to be accessed pending confirmation of the spending plan for the same.

- 3.7 Members should note that the balance on the revenue account will flow through to the general reserve in line with the plan put in place at budget setting to underwrite the MTFP with reserve funding across the 4 years of the plan. The general and earmarked reserves position will be kept under review as part of the development of the 2015-19 Medium Term Financial Plan. Any subsequent recommendations will be taken back to Cabinet for approval.
- 3.8 The year-end position on Schools is also pleasing to note with an overall reduced reliance on reserve funding totalling £251,000 against the original budgeted draw against reserves of £752,000. Much of this improvement can be attributed to Schools expenditure being eligible for grant funding and therefore reducing the call against the school budget. Earlier consideration and coding of such resources are anticipated to enable Schools to refine and improve their early year (month 3 and month 6 monitoring) outturn predictions.
- 3.9 Further information on the outturn position is provided in the attached appendix.

Table 1: Council Fund Outturn 2013/14 – Summary Total Net Expenditure Position		Outturn	Revised Budget	Over/(Under) Spend at Outturn	Forecast Over/(Under) Spend at Month 09	Variance Month 09 to Outturn
		£000's	£000's	£000's	£000's	£000's
Social Care & Health	1	37,216	36,384	832	880	(48)
Children & Young People	2	52,223	52,051	172	545	(373)
Regeneration & Culture	3	27,812	28,022	(210)	233	(443)
Chief Executive's Unit	4	10,516	11,027	(511)	(304)	(207)
Corporate Costs & Levies	5	16,884	18,394	(1,510)	(1,128)	(382)
<b>Net Cost of Services</b>		<b>144,651</b>	<b>145,878</b>	<b>(1,227)</b>	<b>226</b>	<b>(1,453)</b>
Attributable Costs – Fixed Asset Disposal	6	103	199	(96)	(17)	(79)
Interest and Investment Income	6	(93)	(30)	(63)	(59)	(4)
Reduction in Heritable Investment Losses	6	(73)	0	(73)	0	(73)
Interest Payable and Similar Charges	6	3,670	3,798	(128)	(130)	2
Charges Required Under Regulation	6	4,950	4,970	(20)	(88)	68
Other Investment Income	6	(25)	0	(25)	0	(25)
Contributions to Reserves	6	1,276	125	1,151	790	361
Contributions from Reserves	6	(3,293)	(3,446)	153	149	4
Capital Expenditure financed from revenue	6	76	76	0	0	0
<b>Amounts to be met from Government Grants and Local Taxation</b>		<b>151,242</b>	<b>151,570</b>	<b>(328)</b>	<b>871</b>	<b>(1,199)</b>
General Government Grants	7	(74,755)	(74,755)	0	0	0
Non-Domestic Rates	7	(28,376)	(28,376)	0	0	0
Council Tax	7	(54,763)	(54,508)	(255)	(285)	30
Council Tax Benefits Support	7	5,775	6,069	(294)	(250)	(44)
<b>Net Council Fund (Surplus)/Deficit</b>		<b>(877)</b>	<b>0</b>	<b>(877)</b>	<b>336</b>	<b>(1,213)</b>
Contribution to/(from) Council Fund		877	0	877		

## **REASONS**

4.1 To present the revenue outturn position for 2013/14 for Member scrutiny.

## **4. RESOURCE IMPLICATIONS**

5.1 As contained in the report.

## **5. SUSTAINABLE DEVELOPMENT AND EQUALITY IMPLICATIONS:**

6.1 There is no equality or sustainable development implications directly arising from this report. The assessment is contained in the attached appendix.

## **6. CONSULTEES:**

Senior Leadership Team  
All Cabinet Members  
Head of Legal Services  
Head of Finance

## **7. BACKGROUND PAPERS:**

Appendix 1 – Explanation of forecast variances  
Appendix 2 – Movements from original budget to revised budget  
Appendix 3 – Carried forward reserves from 2013/14 for use in 2014/15  
Appendix 4 – Eqia  
Appendix 5 – Budget savings 2013/14

## **8. AUTHORS:**

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## **9. CONTACT DETAILS**

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## APPENDIX 1 Summary Explanation of Year-end Position

The outturn position on the net costs of services (including Corporate Costs) shows an under spend of £1,227,000. Explanations for forecast variances are included in the relevant sections within this Appendix. The principal reasons for the year end position are summarised as follows:

- a) Social Care & Health – An over spend, at outturn, of £832,000. The majority of this overspend relates to the Children’s Services Division which over spent by £980,000. Throughout 2013/14, this Division has seen the considerable pressure continue from 2012/13, most notably within the external placement budget (£398,000) and internal fostering budget (£114,000). Also, the purchase of Adoption Placements has over spent by £81,000 and there was an £141,000 over spend in regard to younger peoples accommodation costs for 16-25 years olds. There has been a four fold increase in Legal Proceedings which has led to a £122,000 over spend in regard to legal costs due to the increased number of cases and a un-forecasted rise in legal fees, and the Council has incurred an overspend of £60,000 in relation to child and parental transport and £64,000 in respect of overspends on premises and staffing efficiency savings assumed but not materialising.
- b) Children & Young People – An over spend, at outturn of £172,000. This outturn position contains £383,000 of un-incurred reserve funded costs given a true outturn position of £555,000. Pressures in Resources and Performance due to on-going delays in staffing restructures (£77,000), SRS ‘data hall’ costs (£86,000) and SEN transport costs (£18,000) contributed to a £287,000 overspend. Also, the School Improvement Division has to bear the cost of redundancies this year which has resulted in a £446,000 over spend on Premature Retirement Costs. Though, the School library Service and ALN Management overspends of £44,000 and £41,000, have been offset by savings within .Additional Learning Needs (£264,000) and Collaborative Arrangements (£85,000).
- c) Regeneration & Culture – An under spend of £210,000, at outturn. The most notable under spends relate to increased leisure activity income (£88,000) Shirehall underspend of £86,000 (significantly affected by unanticipated grant) and net libraries underspend of £37,000 and a very beneficial Highways position (£677,000 underspend) due in the main to additional income from SWTRA work (£525,000), which has been reported through the year. Pressures within the PTU are giving cause for concern with a reported £537,000 overspend which included overspends on contract costs, vehicle costs, sickness and maternity cover costs and the inability to achieve the budget saving of £150,000 on SEN transport. Car Parks are over- spent (£72,000) due to the continued delay in implementing price increases and a downturn in activity. Within the Facilities Management over spend (£78,000), Grounds Maintenance (£144,000) underspent due to increased demand for its services partially offset overspends within Building Cleaning (£98,000) and Schools Catering (£124,000).
- d) Chief Executive’s Unit – An under spend of £511,000. This under spend comprises of the following key items. Firstly, the One Stop Shops under spent by £114,000 mainly due to staff vacancies. Secondly, Central Finance under spent by £85,000 due to unfilled vacancies Thirdly, Elections Section under spent by £81,000 principally as a result of the Individual Registration process being further delayed The restrictions on filling vacancies and service and supplies expenditure account for the majority of the remaining under spend spread across all divisions.



- e) Corporate Costs & Levies – An under spend of £1,510,000. The under spend is a combination of items, the most notable of which are: a £778,000 saving on the Single Status Budget as this has not been required. Savings in the Insurance section of £154,000 and £130,000 in a reduced provision for Settlement and Self-Insured costs respectively. There is a larger than unexpected dividend of £138,000 from the Greater Gwent Crematorium, a saving of £97,000 in transition costs and a £67,000 savings on Wales Audit fees costs due to improvements in the internal grants claims process. These under spends are offset by a £84,000 over spend due to unbudgeted early retirement costs as more employees are taking retirement as a result of staffing restructures..

The total outturn for the Council Fund for the 2013/14 financial year is a summation of the net cost of services (as outlined above) and the other transactions that flow through the revenue account. These other transactions relate primarily to the treasury functions, earmarked reserve contributions and council tax collection. Taken together, the total outturn position for the Authority is an under spend of £877,000. The under spend on services outlined above is offset against these other transactions for the principal reasons outlined below:

- a) Out performance of Council Tax recovery results in additional £255,000 income to the Authority as well as £294,000 in relation to savings in Council Tax Benefit Support;
- b) A net under spend of £309,000 on treasury and capital financing activities mainly resulting from the strategy to adopt less long term borrowing and to continue with internal borrowing;
- c) Fixed Asset disposal costs under spent by £96,000 principally due to delays in asset sales;
- d) Contributions to earmarked reserves increased by £1,151,000 from budgeted levels of £125,000. These related to £562,000 submitted to cover an estimated liability on MMI and outstanding claims. There was a £500,000 movement from the Single Status Reserve to the Redundancy and Pensions Reserve in anticipation of future re-organisational costs. Smaller amounts were set aside for the Education Achievement Service (£69,000), Outdoor Education (£24,000), CCTV (£20,000), Elections reserve (£25,000) and Capital support reserve (£75,000).
- e) Contributions from earmarked reserves were £153,000 less than budgeted, as a number of approved projects drew down less in year than was originally budgeted. Specific movements are detailed in Section 6 Appropriations below.
- f) In conclusion, the Authority's year-end reserves, excluding school balances, amount to £20.329m, comprising a Council Fund balance of £7.080m (£6.203m in 2012/13) and earmarked revenue reserves of £13.249m (£15.552m in 2012/13). It should be noted that many of these reserves are due to be used to support the current medium-term revenue and capital budgets and to provide cover against potential liabilities.

### **Movement from the Month 9 Forecast**

The table shows a positive variation of £1,453,000 on net cost of services from the forecast under spends reported at month 9. Some of the principal reasons for the variation from month 9 relate to the following:

- a) Social Care & Health – A favourable variance of £48,000 is mainly due to the repayment of outstanding residential nursing home fees.
- b) Children & Young People – A positive variance of £373,000. Individual School budget Division's outturn improved by £353,000, as a previously agreed budget funded from reserves was not spent this year. The over spend against the School Improvement Division reduced by £171,000. This positive movement is predominantly a combination of additional income for Collaborative arrangements from the Visually Impaired Service and Communication and Intervention Service of £78,000 and £10,000 retrospectively. and a reduction of £92,000, reflecting changes in placements at non-maintained schools, which compensated from the increased costs of £150,000 experienced in the Resources and performance division.
- c) Regeneration & Culture – A positive variance of £443,000 is mainly attributable to net favourable movements in Highways, Procurement, an improved waste underspend, combined unspent draws upon reserves, an improved housing bad debt position, improvements within Economic Development, Development Plans and control, compensating for significant increased costs in the passenger transport unit.
- d) Chief Executive's Unit – A positive variance of £207,000 which was mainly made up of Training grant funding not having to be repaid (£32,000), a recharge of One Stop Shop costs to CMC2 (£32,000) and a general reduction in spend across the Directorate following the request to reduce spending and not fill vacancies.
- e) Corporate Costs & Levies – A positive variance of £382,000 is made up of primarily of a £130,000 saving in self-insured insurance costs as the liability on outstanding claims has not materialised and an unbudgeted dividend of £138,000 for the Greater Gwent Crematorium. Also, a redundancy provision of £97,000 is now longer required due to an update in circumstances of the provision.

Below the net cost of services line there is a net adverse variation from Month 9 of £254,000. This variation principally relates to contributions from reserves. The month 9 forecast identified that contributions from reserves would need to increase, reflecting the over spend position being reported against the Net cost of services. However the improved position at outturn has meant that this additional contribution is no longer required.

## **Schools**

Each of the Authority's Schools is directly governed by a Board of Governors, which is responsible for managing the schools finances. However, the Authority also holds a key responsibility for monitoring the overall financial performance of schools.

At the end of the 2013/14 financial year schools drew £251,000 from school balances in total against a budgeted draw of £752,000, resulting in year-end school balances decreased to £989,000. The following information is worthy of note:

- At the beginning of the financial year, schools reserves amounted to £1,240,000, with 5 of our 37 schools in a deficit position. By the end of the financial year the number of schools in a deficit position has risen to 6 with Chepstow Comprehensive being of a major concern with a £216,589 draw on reserves and the overall school reserve balances standing at £989,000.
- The impact of school budget recovery plans and opportunities for schools to make in year savings have made a significant contribution to the year end position for many schools.
- The pressure within the central Children and Young People's budget to cover School Based Redundancies (SBR) has continued from 2011/12. It is anticipated that the level of SBR will continue to be high for 2014/15 as it has been in 2013/14.

Further information is provided in section 8 of this appendix, including the school balances note which itemising individual school balances.

<b>Table 2: School Balances Outturn Position 2013/14</b>	<b>Opening School Balances</b>	<b>Contribution to/ (from) School Balances</b>	<b>Closing School Balances</b>
	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>
Comprehensive Schools	339	(248)	91
Primary Schools	775	68	843
Special School	126	(71)	55
<b>Totals</b>	<b>1,240</b>	<b>(251)</b>	<b>989</b>

## 1 SOCIAL CARE & HEALTH

The directly managed position for the Social Care & Health Directorate at outturn is to over spend by £832,000 for the 2013/14 financial year. This overspend includes £34,000 of Children's Services expenditure which is subject to reserve funding.

### Chief Officer Comments:

This outturn report marks the end of a challenging financial year for SCH with some encouragement, since it records the first decrease in the Children's Services overspend since 2010/11. Excluding reserve funding arrangements, Children's Services recorded a small (£11,000) decrease, with the overall position improving since month 9 by £82,000.

In Community Care/Adults, it is a major achievement to have managed demographic pressures and savings requirements and come in under budget. This is due to the impact of new working practices to manage demand differently and it is exciting to see this impact on the budget as well as the quality of support that we offer.

In Children's Services the significant demand pressures continue, exacerbated by additional burdens around legal and housing costs as described below. There is intense activity within Children's Services to understand and respond to the pressures, including monthly analysis of key spend areas and external support and intervention via Dr Paul Thomas

As the demand led pressures in both Children's and Adult Services are set to continue into the current year, we are working hard to ensure the systems, resources and practice change required are in place.

### SUMMARY EXPLANATION FORECAST OVER/ (UNDER) SPEND

Table 4: Social Care & Health Outturn 2013/14 – Summary Forecast Net Direct Expenditure Position at Outturn.

	Actual Outturn	Revised Budget	Over/(Under) Spend	Forecast Over/(Under) Spend at Month 09	Variance M9 to Outturn
	£000's	£000's	£000's	£000's	£000's
Adult Services Other	26	26	0	0	0
Adult Services	7,451	7,387	64	123	(59)
Children's Services	7,586	6,572	1,014	991	23
Community Care	19,373	19,467		(83)	

			(94)		(11)
Commissioning	1,849	1,869	(20)	2	(22)
Resources & Performance Management	931	1,063	(132)	(153)	21
<b>Net Directly Managed Expenditure</b>	<b>37,216</b>	<b>36,384</b>	<b>832</b>	<b>880</b>	<b>(48)</b>

The over spend comprises the following notable over and under spends: -

### Adult Services

At outturn the Division has over spent by £64,000, a decrease since month 9 of £59,000.

The main reason for the overspend is within the GWICES pooled partnership, which has over spent by £59,000 for the financial year.

The reason for the reduction in overspend since month 9 is largely due to the sale of two client properties at the end of March, which allowed the finance team to reclaim care fees owed to our Severn View residential home from the sale proceeds of the properties in question.

However, the full effect of the fees from these property sales was diluted by £26,000 due to backdated enhanced payments to our home carers during the final quarter.

### Children's Services

At outturn the Division has over spent by £1,014,000, an increase since month 9 of £23,000.

However, within the outturn spend is £34,000 of expenditure relating to £32,000 of costs for the engagement work of Dr Paul Thomas and £2,000 Youth Offending Service overspend, which are subject to reserve funding. Hence the outturn after reserve funding shows this division overspending by £980,000, a slight reduction of £11,000 since month 9.

During this year, we have concentrated on a number of unit cost exercises to get a greater understanding of the budget. One unit cost calculated is around Looked after Children (LAC). Based on the 2012/13 LAC outturn position of £4,230,015 and a caseload of 107, an overall unit cost per LAC case of £39,533 was derived. Upon completion of the Welsh Government outturn, an update unit cost will be calculated for 2013/14.

There are a number of individual over and under spends, with the main areas contributing to the overspend position being: -

- The external placement budget incurred a £398,000 overspend. This budget incorporates independent fostering agency placements and also private and voluntary placements, which include residential and specialist school placements. The budget supported 55 external placements in total during 2013/14, an increase of one from 2012/13.
- The unit cost associated with external placements is greater than that associated with internal fostering placements. The unit cost of an external placement was calculated to be £58,965; hence the 2013/14 external placements budget of £1,335,356 would be able to support only about 23 external placements. Any opportunity to reduce external placements costs depends on growing the internal fostering market in the region. We already engage with the South East Wales Information Collaborative who negotiates costs on our behalf with external agencies to derive best value for money.
- Internal fostering costs, which include payments to carers such as weekly fostering allowances and birthday/holiday payments over spent by £114,000. At the end of 2013/14, we are supporting about 56 children within our in house foster carer service. The unit cost associated with in-house foster care is £33,300, which is £25,665 lower than that of an external placement.
- Purchase of Adoption Placements over spent by £81,000, relating to invoices for four adoptive placements that took place in the last financial quarter.
- There is a £141,000 overspend on younger peoples accommodation costs for 16-25 years olds. During the year all current young people in supported accommodation were reviewed to ensure those eligible to housing benefit entitlement were maximised. The Southwark Judgement has impacted on the budget which brings young people 16 plus into the care system because they are declaring themselves as homeless. Additionally, some of our post 18 asylum seekers had their appeals dismissed and we continue to have to maintain them until we have completed the legal process to cease maintenance. The following table illustrates the current activity and housing benefit received: -

Age of Young Person	Nos. Eligible and Claiming Housing Benefit	Nos. Not Eligible to Claim Housing Benefit	<b>TOTAL</b>
16-18	0	8	<b>8</b>
18-25	12	24	<b>36</b>
Asylum Seekers	0	15	<b>15</b>
<b>TOTAL</b>	<b>12</b>	<b>47</b>	<b>59</b>

- Travel costs incurred in providing children with home to school transport, allowing them to remain in their existing school and taking parents to facilitate contact with their children has over spent by £60,000.
- Legal costs over spent by £122,000. Legal costs are a particular issue, with 46 proceedings completed and 32 initiated during the year, compared to 11 proceedings initiated in 2012/13 and 4 for 2011/12. Recent changes in court fees, resulting in an increase in fees payable, have further added to pressures in this area. The Head of Children’s Services has engaged with Newport City Council as to whether their legal

department had spare capacity but unfortunately not; and in addition explored with Cardiff Chambers around fees payable, but Chambers have a fixed fee structure which is being applied.

- The remaining £64,000 overspend is a combination of spends in other areas such as staffing due to efficiency savings for staff turnover, and premises costs for the Therapeutic Service.

At outturn, the over spend increased by £23,000 since month 9, and below is a summary of some of the major contributory factors: -

- External placement costs decreased by £39,000, mainly due to a forecasted contribution to reserve at month 9 not required at year end and placement changes.
- In-house fostering costs reduced by £9,000 due to various movements in placements and lower allowances claimed than forecasted at month 9.
- Younger people's accommodation costs fell by £45,000. The main reasons for the fall are: one young person's accommodation costs were less than forecasted at Month 9, one young person's accommodation and support costs were forecasted at Month 9 had reduced significantly in the final quarter and Supporting People funding increased from £27,000 at month 9 to £50,000.
- Adoptive placement costs of £81,000 have been incurred as mentioned previously.
- Reserve funding for engagement cost for Dr Paul Thomas and Youth Offending Service overspend.
- The net cost of all other budget areas increased by £1,000.

## **Community Care**

At outturn the Division has under spent by £94,000, an increase since month 9 of £11,000.

When a service user is assessed as requiring care, they have an option, if eligible, to either have services arranged by the Authority, or to receive the cash equivalent called a Direct Payment to arrange their own care. The direct payment finance officer regularly audits the service users and if there is an excess of funds, the funds are reclaimed. For this year, the amount reclaimed by the finance team was a little over £92,000.

Within this budget, we have some success stories such as: -

- Within the area of ordinary residence, we can confirm that the target saving of £150,000 was successfully achieved.
- On-going financial scrutiny, control and review of care packages within the flexible domiciliary care budgets effectively 'capped' the over spend at £900,000. This overspend was funded by an equivalent saving in residential spend due to practice changes, allowing service users to have



Community based care packages, and the impact of Frailty supports this. We did not to realign budgets in year as the above provides a benchmark for Frailty and is a means of measuring success. However budgets for 2014/15 have been realigned in light of this year end outturn.

- The number of residential placements remains constant.

### **Commissioning / Resources and Performance Management**

At outturn, these combined divisions under spent by £152,000, an increase since month 9 of £1,000.

The main reasons for the under spend in year remain the same as reported in previous quarters being facilities, the purchase of new vehicles being delayed until 2014/15 when the day services reconfiguration will take place; and the remainder due to staff vacancies mainly within the SCH finance team equating to £29,000.

## 2 CHILDREN AND YOUNG PEOPLE DIRECTORATE

The directly managed position for the Children & Young People Directorate, outturn is over spent by £172,000 for the 2013/14 financial year.

This includes the following specific amounts where requests are to be made at the end of the financial year for funding from reserves:

- School Library Service in year overspend £44,000

This also includes the following to be transferred back to reserves that have been transferred to the CYP Directorate in year:

- Transition funding amounting to £200,000
- Raising Standards funding not fully utilised £130,000
- ICT technician funding not fully utilised £28,000
- Commissioning funding for EAS service amounting to £69,000

Adjusting for these reserve funded items increases the Children and Young People Directorate over spend to £555,000.

### **Chief Officer Commentary:**

The Directorate's outturn position is an over spend of £555,000, once reserve contributions have been taken into account. 82% of this overspend relates to Directorate Based Redundancy Costs.

Additional Learning Needs (ALN) remains a volatile area for the Directorate where movement in pupil placements has a considerable impact on budget. A decrease in the need for pupil placements outside of the Authority has resulted in a reduced spend for 13-14 as we have been successful in finding local provision at a lower cost.

Cost centre managers have increased efforts to improve value for money and have utilised their budgets with greater efficiency, where each service area has been able to contribute in some way.

### **SUMMARY EXPLANATION FORECAST OVER SPEND**

Table 4: Children and Young People Directorate Outturn 2013/14 – Summary Forecast Net Direct Expenditure Position at Outturn.

	<b>Actual Outturn</b>	<b>Revised Budget</b>	<b>Over / (Under) Spend</b>	<b>Forecast Over/(Under) Spend at Month 9</b>	<b>Variance Month 9 to Outturn</b>
	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>
Individual School Budget	43,325	43,544	(219)	134	(353)
Resources & Performance	2,201	1,914	287	137	150
School Improvement	6,697	6,593	104	275	(171)
<b>Net Directly Managed Expenditure</b>	<b>52,223</b>	<b>52,051</b>	<b>172</b>	<b>546</b>	<b>(374)</b>

The main areas of under or over spending are:

## **Individual School Budget**

At outturn the Division has under spent by £219,000, a decrease in spend since Month 9 of £353,000.

Reserve funding of £100,000 was allocated to the Children and Young People Directorate in 13-14 to establish improved practices in the transition of children from primary to secondary education. Slippage from 12-13 amounting to £100,000 was also brought forward. Due to additional staffing changes within the directorate management team throughout the year, a plan of expenditure was not given adequate time to materialise, thus meaning that the funding was not utilised. This was not reported at Month 9 as plans were still being discussed.

Reserve funding of £150,000 was allocated to secondary schools in 13-14 to form improvements in the 14 to 16 standards. In addition, £19,000 of funding was brought forward from 12-13. £130,000 was not utilised and should be transferred back to reserves. This was not reported at Month 9 because the final plans were not agreed until after the report.

Reserve funding for £70,000 was allocated to the Children and Young People Directorate in 13-14 for the cost of ICT technicians required at Monmouthshire Schools. A brought forward amount of £9,000 was also available to spend. The actual cost of the technicians amounted to £51,000; therefore £28,000 should be transferred back to reserves. This was not reported at Month 9 as actual costs were not known until the end of the financial year.

The above under spends have been partially offset due to the following, which were reported at Month 9:

Restructuring at schools has resulted in staff protection costs to be compensated by the Local Education Authority amounting to £56,000. The staff protection policy has now been reviewed, the impact of which will be to reduce future cost implications. Efficiency savings of £56,000 were imposed and additional support to schools of £27,000 has also been delegated to schools. This, however, amounts to £5,000 more than reported at Month 9.

## **Resources & Performance**

At outturn the Division has over spent by £287,000, an increase since Month 9 of £150,000.

- **Management - £216,000 Overspend.**

SEN transport provided by the Authority at the discretion of the Chief Officer amounted to £53,000, resulting in an over spend of £18,000. A review of SEN transport will be undertaken as part of a wider review of transport. This is £2,000 less than anticipated at Month 9 as actual costs were not known until year end.

Employee related efficiencies of £77,000 identified in the savings plan were not fully achievable in the financial year and have therefore resulted in an over spend for the Directorate. This includes staff savings that have been subject to previous Cabinet reports, and the part year effect of the costs associated with two Head of Service posts. This was reported at Month 9.

Costs associated with the schools' data hall in the SRS amounted to £86,000. Costs were not finalised until after Month 9. These costs have now been budgeted going forward.

Identified works at a primary school on fencing amounted to £24,000. These costs were met by the service as they had not been included in the property maintenance programme, and this was not known at the Month 9 stage.

Employee advertising costs amounting to £11,000 have been incurred due to the advertisement for the recruitment of Head of Service positions within the Children and Young People Directorate. This was not reported at Month 9 as we were awaiting final confirmation of the full cost.

A charge of £6,000 was incurred to Llantarnam Grange Arts Centre for the delivery of workshop sessions engaging with young people. This was not known at Month 9.

- **Youth Service - £10,000 Overspend.**

During the budget process the budget was reduced by £140,000, these savings were anticipated to be achieved through a staffing restructure which was put in place for the 1<sup>st</sup> September. The proposals were subject of a Cabinet paper on the 3<sup>rd</sup> April 2013, this paper provided details of how the savings were to be made and the timing around the restructure.

A £10,000 overspend has been incurred, however, due to the receipt of a backdated Rates bill, the cost of which was shared equally with the Adult Education Service. This was reported at Month 9.

- **Adult Education - £61,000 Overspend.**

Due to staff absence, cover costs have resulted in an overspend of £37,000. In addition to these costs, the service has recently received a backdated rates bill to 2010 for two sites (one of which is shared with the Youth Service), resulting in an additional, unanticipated spend of £50,000. The outturn position is £26,000 better than Month 9, however, due to a review of all non-essential spend, an increase in course fee income received, and the securing of additional grant funding.

### **School Improvement**

At outturn the Division has over spent by £104,000, a decrease since Month 9 of £171,000.

- **Premature Retirement Compensation - £456,000 Overspend.**

Monmouthshire Schools, in an effort to remain efficient, have incurred a number of redundancies. This is due to a requirement in some schools to reduce a deficit and in others this is a result of staffing restructures. The total cost of the redundancies amounted to £422,000. As in previous years, redundancy costs are borne by the Directorate and no budget provision exists for these costs. A paper was agreed by Cabinet in October requesting that these costs be met from reserves. Two additional papers have been agreed by Cabinet to fund £7,000 central redundancy costs and £35,000 redundancy costs incurred due to a restructure of the Youth Service.

The actual invoice for Torfaen pensions was £8,000 less than originally anticipated. This was not reported at Month 9 as the invoice is not received until the end of the financial year.

- **Education Achievement Service - £96,000 Underspend.**

The contribution to the Education Achievement Service was £27,000 less than anticipated in the business plan. This was not reported at Month 9 as the final contribution amount was not agreed until the end of the financial year. In addition, late notification was received that the EAS had under spent and therefore a credit note will be issued for £69,000. It is anticipated that this amount will be transferred back to the EAS in 14-15 upon receipt of a plan of expenditure.

- **School Maternity & Supply - £6,000 Overspend.**

This scheme compensates schools when employees are on sickness or maternity leave. A service level agreement approach was agreed for this scheme and commenced at the start of the financial year. An overspend has occurred of £6,000 which was not known at Month 9 due to the requirement to compensate for additional absences late in the financial year. We will closely monitor the cost of the SLA to schools in 14-15, with the aim of achieving and maintaining a break-even position over time.

- **School Library Service - £44,000 Overspend.**

A reduction in contributions and no changes to service provision has resulted in the School Library collaborative arrangement incurring an overspend of £44,000. The service currently holds a deficit reserves balance and this will further increase the deficit. This service is subject to a budget mandate resulting in a complete review of provision for 14-15. This is an improvement of £1,000 compared with Month 9.

- **ALN Management - £41,000 Overspend.**

An agreement has been made that CYP will fund a safeguarding post currently employed by Social Care and Housing, the Directorate has no budget for this and has resulted in a £40,000 overspend. This was reported at Month 9.

The eligible expenditure for administration of the School Effectiveness Grant has reduced from £32,000 to £16,000. This resulted in an overspend of £16,000 which was reported at Month 9. The overspend has further increased by £16,000 since Month 9, however, due to the decision to allocate those grant monies to the CYP Finance team to better reflect where the actual costs were incurred.

The above have been offset by savings that have materialised due to a member of staff leaving and not being replaced. This was reported at Month 9.

- **Additional Learning Needs - £264,000 Underspend.**

During the budget process the budget for ALN was reduced by £150,000, these savings were anticipated through efficiencies and savings in placement costs and were indeed achieved.

At Month 9, it was reported that the service was anticipating an under spend of £151,000 due to a reduction in contingency funding allocated to schools and that additional savings of £22,000 were also expected due to a reduction in staffing levels as per a previous Cabinet paper.

In addition to those savings highlighted at Month 9, £92,000 of savings were achieved through reduced pupil placement costs at non-maintained schools.

- **Collaborative Arrangements - £85,000 Underspend.**

Due to a review of Collaborative Arrangements reserve funds, the Visually Impaired Service and Communication and Intervention Service has reimbursed the Authority, £78,000 and £10,000 retrospectively. A £3,000 additional spend was incurred against the Ethnic Minorities budget. This was reported at Month 9.

- **Flying Start - £2,000 Overspend.**

Due to an unexpected claw back of funding relating to the 2012-13 grant claim, a £2,000 overspend has resulted in this area. This was not known until year end and was therefore not reported at Month 9.

### 3 REGENERATION & CULTURE

The directly managed position for the Regeneration and Culture Directorate at outturn is to under spend by £210,000 for the 2013/14 financial year a £443,000 improvement from Month 9.

#### Chief Officer Commentary:

I am pleased with the overall out-turn position and recognise the significant progress that has been made in-year with restricting expenditure to essential items only, vacancy freeze and a keen focus on income generation. Areas in which progress has been substantial include Leisure, Grounds, Highways, Shire Hall, Housing and DC Planning. It would be remiss not to highlight the critical issues encountered in the Passenger Transport Unit and to state that a strategic review has now been convened to fundamentally improve and strengthen all aspects of budget setting, management and monitoring and to ensure these circumstances cannot recur.

#### SUMMARY EXPLANATION FORECAST OVER SPEND

Table 6: Regeneration & Culture Outturn 2013/14– Summary Forecast Net Direct Expenditure Position at Outturn.

	Actual Outturn	Revised Budget	Over/(Under) Spend	Forecast Over/(Under) Spend at Month 09	Variance M9 to Outturn
	£000's	£000's	£000's	£000's	£000's
Infrastructure and Networks	19,325	19,290	35	97	(62)
Public Life and Culture	5,069	5,324	(255)	33	(288)
Planning, Place and Enterprise	3,132	3,122	10	103	(93)
Regeneration & Culture Management	286	286	0	0	0
<b>Net Directly Managed Expenditure</b>	<b>27,812</b>	<b>28,022</b>	<b>(210)</b>	<b>233</b>	<b>(443)</b>

#### Movement From/To Reserves

The budget reflects a number of one-off Invest to Redesign reserve funded initiatives approved as part of the 13-14 budget totalling £845,000. Of this, a net £249,000 hasn't been incurred and consequently not drawn upon from reserves. When this adjustment is taken into account, then the real underlying position of the directorate would be an overspend of £39,000.

#### Infrastructure & Networks

At outturn the Division has over spent by £35,000, an improvement of £62,000 since month 09. This position includes reserve movements of £92,000, when these are taken into account then the true position would be a £127,000 over spend.



## Overspends

- Car Parks has overspent by £72,000, a £5,000 improvement from month 9. Income levels have increased slightly but the unit was unable to achieve budgeted targets and is forecasting a £108,000 shortfall in this area, this is due to :-
  - Car park prices have not yet increased in line with budget assumptions (currently set at 2.5% per year)
  - The unit has seen a reduction in Pay and Display income as activity has been in decline since 2011-12

This deficit has been partly offset by staff vacancy savings of £27,000 and savings on expenditure of £9,000 due to 'essential spend only' restrictions. The improvement from Month 9 can mainly be attributed to improved income streams that came in above month 9 profile (£5,000).

- The Waste section has over spent by £65,000, an improvement of £31,000 from Month 9. The main variances are :-
  - The delayed implementation of efficiency saving initiatives within Pest Control £35,000 and Admin restructure £30,000 means we will not see the benefits of these until the new financial year.
  - The service has faced considerable income pressures in 13-14 and has seen a £150,000 reduction in income against budget, made up as follows:-
    - Loss of Trade income of £33,000 due to a reduction in the value of the lifts required by our customers as they are recycling more.
    - A reduction in Welsh Government's Waste management grant of £70,000.
    - The loss of recycling income of £10,000 and garden waste income of £23,000.
    - The budget also assumed continued income of £14,000 for sale of green garden waste bags which were removed from public usage on 1<sup>st</sup> July 2013.
  - A net under spend in expenditure of £150,000 as increases in spend on recycling and food bags has been offset by reduced expenditure on landfill and organic waste treatment due to the waste changes made in July 2013.

The £31,000 improvement from Month 9 is due to savings gained from the renegotiation of food bags prices and further savings in residual waste costs, both of which were not factored in at Month 9.

- The Council Vehicle Usage Scheme has overspent by £61,500. The scheme to capture savings generated from charging employees to take vehicles home was not implemented in 13-14 as expected.
- The Green Car Scheme has returned a £31,000 overspend, a £7,000 increase since Month 9. It was anticipated that the scheme re-launch would improve membership enough to cover the budgeted saving, but fell £31,000 short of the £66,000 target. The £7,000 increase in over spend has been caused by a number of staff leaving the scheme which has affected the level of savings achievable. Going forward a new marketing scheme has been introduced.
- The PTU was tasked with delivering £225,000 in budget reduction in 2013/14. The out turn for 2013/14 shows an overspend against budget of £537,000. Given the size and scale of the service area, there are routinely budget variations in terms of general operational cost and business volume,
- Reflected in labour costs, fuel, materials, 3<sup>rd</sup> party contracts etc. However the analysis of the accounts demonstrates major budget variation in the following areas:
  - Contract costs (i.e. School bus services provided by private operators) increased by £105,000 above the budgeted increase (budget increase set at 1% year on year). This is reliant upon the tender process and simply reflects the actual increase that operators' bid rather than the budget increase set by the authority.
  - Vehicle costs increased by £148,000 above budget. Much of the overspend is associated with one off costs to works to vehicles prior to return to the leasing company to reduce lease company penalty costs, a refit of seating to a bus to increase passenger capacity and fuel costs above budget (budget increase assumption set at 1%).
  - Assumptions were made when the budget was set that SEN transport costs could be reduced by £150,000 in the year. Despite early efforts by officers to revise and re-assess SEN transport needs, it proved impossible to progress this with resources available. Furthermore the situation was exacerbated in year as extra SEN transport demands increased the budget burden by a further £70,000 expenditure.
  - Employee costs out stripped the budget by £200k largely attributable to cover for several cases of long term sickness absence and maternity cover over and above what might be typically expected. As a front line service it is not possible to ask others to 'act up' or to spread the workload across the remaining team so all additional costs to provide staff cover impact directly upon the budget.

This indicates a gross budget overspend of some £673,000 that has been offset by income through hire, grants and fees of around £135,000 (in particular hire income outperformed the budgeted assumption of £75,000 by a further £65,000).

Whilst the reason for the over spend is outlined above it is of particular concern that much of this was not forecast at month 9 reports. Senior officers have investigated the reason behind this poor forecasting and understand that increased contract costs had not been included through in year projections as they occurred. Income was not monitored centrally and it is also fair to say that confidence that the position could be recovered was not borne out in practice. As a result an internal review of the PTU service and Fleet management has been commenced to ensure that,

amongst other things, operational financial management is much improved and more robust to ensure that budget management and particularly forecasting information provided is more accurate and timely.

- Facilities Management has overspent by £78,000 a £13,000 increase from month 9. This is due to:-
  - Building Cleaning overspending by £98,000. The cleaning function is split between the in-house cleaning section and an external provider Regent Cleaning. Set-up costs and management costs have exceeded budget by £51,000 and along with an increase in operational costs of £24,000 the contract as a whole is overspending by £75,000. Discussions are ongoing with the contractor to bring this in line financially for 14-15. In addition there is a net overspend in the internal cleaning function of £23,000 due to:-
    - A £12,000 unbudgeted redundancy expense for two cleaners who left in year.
    - The sections inability to meet targeted staff restructure and employee savings of £23,000.
    - £14,000 compensation paid to Unison staff as a result of an error during their TUPE transfer over to Regent cleaning sites.
    - A £9,000 net under spend on supplies and services and a £17,000 under spend on transport

This is a £58,000 increase in overspend from month 9 and is mainly due to the full impact of the contract management and set up costs not materialising before Month 9.

- School Meals have over spent by £124,000 a £1,000 improvement from month 9. This service transferred from CYP across to R&C mid-year with a deficit budget. This is due to:
  - Staff costs have exceeded budget by £94,000, due to additional overtime payments relating to staff training (£46,000), £30,000 additional salary costs to cover long term sick leave and the inability to meet targeted staff restructure and employee vacancy savings (£18,000).
  - The Supplies and services budget has overspent by £76,000 as improving meal numbers have increased our grocery costs over and above original estimates

Offset by:-

- An under spend in premises expenditure as kitchen maintenance costs came in £12,000 under budget.
- An improvement in actual meal income over budget of £39,000.

- Grounds Maintenance has under spent by £144,000. This is mainly due to income exceeding in year projections by £81,000 and savings in transport costs (£36,000) and employee costs (£36,000) offset by a backdated rates bill of £8,000. The £44,000 improvement from Month 9 is due to income levels exceeding month 9 predictions.
- Public conveniences has over spent by £22,000, due to additional costs incurred relating to the opening and closing of toilets in Chepstow that are unbudgeted (£13,000) and an overspend on utility costs of £9,000.
- Property Services Building Maintenance has over spent by £35,000. This is due to additional expenditure incurred from extra surveys undertaken following Health and Safety requirements and additional flooding repairs. These were not known until late in the year and are the reason for the variance from Month 9.
- Raglan Training centre has over spent by £14,000. External course income has slowed in recent months meaning turnover hasn't been enough to cover the in-house corporate training that the unit undertake.

These over spends have been offset by a number of under-spends, the main being:-

- The Estates section has under spent by £28,000 due to:-
  - Expenditure savings across the section of £130,000 due to savings in our Sustainability Carbon credit payments of £78,000 and a net reduction in premises maintenance of £52,000.
  - Offset by an over spend in the wider budget of £102,000 as the income generated from our current renewable energy projects fell short of target
- The Highways Department has under spent by £677,000. Included in this figure is an unspent draw on reserves of £92,000 that relates to the "connected worker" project currently ongoing in operations. When this reserve movement is taken into account the true under spend of the department is £585,000, this is a £287,000 improvement from month 9 with the notable variances comprising :-
  - SWTRA has under spent by £525,000. Income levels have been very good all year with actuals outstripping budgeted projections in areas including Task Orders and Safety Fence inspections. In addition since month 9 the unit has been allocated extra unexpected work in the bridges & culverts and street lighting patrols functions, this extra work coupled with managed efficiencies in operational expenditure has improved profitability and is the main reason for the increase in under spend of £275,000.
  - Highways Operations has under spent by £115,000 (This includes the £92,000 reserve and if removed would reduce the under spend to £23,000). The unit has had to deal with unplanned repair costs to roads and landslides. In spite of this the unit has managed to return a

small under spend, mainly due to a milder than expected winter with the authority using £45,000 less salt than previous year, and no snow clearing costs. A contingency for snow had been built into the Month 9 forecast figures, wasn't fully utilised and has resulted in a positive variance of £23,000.

- Traffic, Transport Policy and Networks has under spent by £52,000, a £19,000 improvement from month 9. This has been achieved through savings in employee costs of £7,000, an under spend in fees and general supplies of £17,000 and an increase in fee income of £28,000. The £19,000 improvement from month 9 is due to street work fines continuing to outstrip original projections (£5,000) and the saving on professional fees that was not factored in at month 9.
- The Transport unit has under spent by £44,000. This is due to increased income from MOTs and a small reduction in supplies and services.
- The Accommodation budget has under spent by £56,000. This is as a result of a reduction in building maintenance costs at the Usk and Magor offices. Many items in the new buildings remain under warranty and we have not incurred the repair charges originally anticipated.
- The Procurement section has under spent by £69,000. This primarily relates to a £40,000 reduction in our contribution towards the Joint Procurement Unit, along with restricting spend where appropriate. The variance from month 9 to outturn is due to the delayed WG Health check, it was forecast at month 9 that we would incur expenditure when implementing any recommendations from this review but this has not taken place as yet.

The reduction in overspend of £62,000 from Month 9 is due to a number of reasons, the most notable being:-

- The improvement in the Highways position of £379,000 due to the increased turnover within SWTRA and Networks and the reduction in spend in Highways ops mainly due to the milder winter, both of which were not fully factored in at Month 9.
- The £49,000 increased underspend in Procurement mainly due to the delay in WG Health check expenditure.
- The £31,000 improvement in Waste under spend as further residual waste savings and food bag price savings were not known at Month 9.
- The £44,000 under spend in Transport not being reported at Month 9 although this predominately relates to an unspent draw on reserves.

Offset by:-

- The increase in overspend within PTU of £389,000 as the full costs of increased contract work was not fully identified and communicated until year end..
- The increased spend on Corporate Building Maintenance of £35,000 as additional survey work and flooding repairs were not known at Month 9.

- The Facilities over spend increasing by £13,000 as the additional contract cleaning costs of £58,000 were offset by increased income and cost savings within Grounds, all of which were not included at Month 9.

## **Public Life and Culture**

The division has returned an under spend of £255,000 a £288,000 improvement from Month 9. Included in this figure is £53,000 of unspent reserves that need to be carried forward into 14-15, when this movement is taken into account the real underlying under spend is £190,000.

- The Borough Theatre has over spent by £42,000 as the authority has had to pay legal fees relating to the transfer to trust status. This is a £3,000 increase in overspend from month 9.
- Monmouth Shirehall has returned an under spend of £86,000. This is due to efficiency savings of £39,000 relating to premises costs and people savings. In addition the section has benefited from an unexpected grant windfall received late on in the year of £48,000. This relates to the Heritage Lottery Fund agreeing that £48,000 of maintenance works could be funded from grant, this was not confirmed until the claim was finalised late in the year and explains the swing from Month 9.
- The Museums Section has under spent by £4,000, included in this figure is an unspent draw on reserves of £27,000 so the real underlying position is a £23,000 over spend. The section worked hard to restrict expenditure to only essential items but did not meet in full, the income target for fundraising as reported on throughout 13-14.
- The Libraries Section has under spent by £37,000. Spending has been restricted to essential items only with reductions on book purchases and cleaning costs reflecting in an improved position on Month 9...
- Leisure has under spent by £108,000, included in this figure is an unspent draw on reserves of £20,000 so the true position is a £88,000 under spend. Leisure Income has exceeded all expectations with the 13-14 budget target of £100k increased membership achieved. In addition swimming income has increased in all four sites and this has contributed to the positive position. There has also been under-spends across the sites on gas (£16,000), contract cleaning (£9,000) and water (£17,000). This is a £108,000 improvement from Month 9 relating to swimming income and utility savings not factored in at Month 9.
- Public Health & Trading Standards has under spent by £25,000, included in this figure is £13,000 unspent reserve so the real underlying position is a £12,000 under spend. The under spend is due to late grant funding from the Better Regulation Delivery Office not originally factored into our budgets and this is the main reason for the £12,000 improvement from Month 9.
- The Outdoor Education Service has under spent by £24,000. The section has seen an increase in income in the latter stages of the financial year and although Newport City Council has pulled out of the arrangement they still continue to use the centre. This has meant that income has

exceeded projected targets and is the reason for the swing from Month 9. This is a collaborative arrangement and any under/over spends are transferred to a specific reserve at the end of the year.

The £288,000 improved position from Month 9 is due in the main to:-

- The Leisure position improving by £108,000 as the full impact of the increased income position and the reduction in utility costs were not known at Month 9.
- Shirehall under-spending by £86,000 as cost savings and the Grant windfall were not known until late in the year and hence not included at Month 9.
- Further restrictions in spending and a late saving in building cleaning costs improving the Libraries position by £27,000.
- The increased saving in Public Health and Trading Standards of £25,000 that was not included at Month 9.
- The improved income position in Outdoor Pursuits of £24,000 that was not known at Month 9
- The unspent draw on reserves in Museums pushing the outturn into an under spend, a £19,000 variance from Month 9.

### **Planning, Place and Enterprise**

Planning, Place and Enterprise has overspent by £10,000 a £93,000 improvement from the Month 9 position. This figure includes unspent draw on reserves of £33,000 so the true over spend is £43,000. The notable variances are as follows:-

- Countryside has over spent by £100,000. Lower than expected visitor expenditure coupled with failure to meet income targets have resulted in shortfalls at Caldicot Castle and Tintern Station of £93,000. In addition the Castle has had to incur £42,000 worth of unfunded redundancy costs following a staff restructure. These overspends have been offset by under spends in Rights of way (£12,000) and Countryside (£22,000) as a result of staff vacancies and through restricting expenditure to only essential spend.
- Development Plans has under spent by £28,000 although this relates to an unspent draw on reserves in respect of LDP cost slippage that will be rolled forward into 14-15 so the true position is breakeven.
- Development Control has under spent by £7,000 although £5,000 relates to an unspent draw on reserves. The true under spend is £2,000 that is due to increased fee income.

- Housing has under spent by £54,000. Staff vacancies in Homelessness (£16,000), reductions in Telecare expenditure (£10,000) and a positive movement in bad debt (£36,000) have been offset by overspends in sewerage treatment plant costs (£4,000), increased service charges (£12,000) and a reduction in fee income from Disabled Facilities Grant (£4,000). This is a £50,000 improvement from Month 9 due to late improvement in DFG fees and year end movement in bad debt...
- Economic Development has over spent by £3,000. The section hasn't met income targets to the tune of £31,000. In addition redundancy costs of £17,000 and a £6,000 over spend in supplies and services have impacted. . This has been offset by an under spend in Tourism of £40,000 due to a saving on contributions to Brecon Beacons National Park and a contribution to the now lapsed Capital Region Tourism a saving on postage costs of £8,000 and a £7,000 net improvement on grant funding. The section has also seen a net saving on Wentwood timber centre through the final sale of stock (£3,000) and a positive balance (£11,000) on RDP grants that was not included at Month 9.

The reduction in overspend of £93,000 from Month 9 is mainly due to:-

- The £50,000 improvement in Housing due to a year end positive bad debt adjustment of £36,000 and an improvement in DFG fees, both of which were not known at Month 9.
- Improved positions on Development Plans and Development Controls of £35,000 mainly due to unspent draws on reserves that were assumed would be spent at Month 9.
- A £28,000 positive swing in Economic Development as savings in contributions to Bridgend CC plus a positive balance on grants and a sale of Timber Stock was not included at Month 9.

Offset by:

- The increase in overspend in Countryside of £25,000 as unfunded redundancy costs have been offset by further reductions in spend within Rights of Way.

### **R&C Management**

R&C Management has returned a break-even position.



## 4 CHIEF EXECUTIVES UNIT

The directly managed position for the Chief Executive's Unit is to under spend by £511,000 for the 2013/14 financial year.

### Chief Officer Commentary:

The under spending within the unit has increased from that reported at month 9 as considerable efforts were made to restrict expenditure to items of an essential nature an applying strict criteria to the filling of posts

### SUMMARY EXPLANATION FORECAST OVER SPEND

Table 7: Chief Executive's Unit Outturn 2013/14 – Summary Forecast Net Direct Expenditure Position at Outturn.

	Actual Outturn	Revised Budget	Over/(Under) Spend	Forecast Over/(Under) Spend at Month 09	Variance M9 to Outturn
	£000's	£000's	£000's	£000's	£000's
Deputy Chief Executive	4,338	4,637	(299)	(179)	(120)
Democratic Services & Improvement	1,826	1,971	(145)	(104)	(41)
Finance	1,875	1,978	(103)	(62)	(41)
Information Communication Technology	2,462	2,441	21	24	(3)
Transition	15	0	15	17	(2)
<b>Net Directly Managed Expenditure</b>	<b>10,516</b>	<b>11,027</b>	<b>(511)</b>	<b>(304)</b>	<b>(207)</b>

### Deputy Chief Executive's Division

At outturn the Division has an under spent by £299,000, an increase since month 9 of £120,000. The under spend principally comprises:

- Citizen Engagement– Over spend of £7,000 which mainly consists of:
  - Markets – Over spend of £24,000 as rental income did not achieve budget, assumed to be due to the economic downturn. There is no variance on that reported at month 9.
  - Communications – Over spend of £2,000 due to the inability to find efficiency savings, there was an under spend of £8,000 reported at month 9.

- Citizen Engagement Management – Overspend of £5,000. This is mainly due to the inability to find efficiency savings. There is no variance on that reported at month 9.
- Cemeteries – Under spend of £24,000 due to adjustments made to bills for water charges where we have been historically charged incorrectly and increased income. The increase in under spend from month 9 of £17,000 is due from increased income and lower costs for weather damage than originally forecast.
- Customer Relations – Under spend of £116,000 consisting of :
  - One Stop Shops – Under spend of £114,000. This is the net result of vacant posts that remain unfilled in 2013/14, further reduced expenditure in line with organisational policy and a one off income receipt of £12,500 offset in part by additional £15,000 software and hardware costs. An under spend of £67,000 was reported at month 9, the increase in under spend of £32k is due to costs not now being transferred to CMC2.
  - Registrars – Under spend of £23,000, from an increase in income. An under spend of £8,000 was reported at month 9, the increase in under spend from month 9 is due to increased income and the effort to minimise expenditure.
  - Office Services & Telephones – Over spend £36,000 which relates mainly to telephone call costs. An over spend of £26,000 was reported at month 9.
  - Publications – Under spend of £15,000 due to the stock levels being maintained at a lower level. There is no variance to that reported at month 9.
- Legal and Land Charges Section £13,000 under spend that consists of:
  - Legal – Over spend of £8,000 due to an employee cost pressure as a result of budget efficiency savings could not be achieved.
  - Land Charges – £21,000 under spend as income exceeded that of previous years.
- Personnel – Under spend of £53,000. The main reason for this under spend is the inclusion of a £45,000 one off budget as part of a HR restructure invest to save scheme which has not been fully utilised. This budget will be removed for 2014/15. The other under spend is from Occupational Health limiting the use of external providers. There was a £47,000 under spend reported at month 9.
- Community Safety – Under spend of £8,000 through a reduction in staff hours. There was an under spend of £22,000 reported at month 9.
- Policy – Under spend £58,000. A saving of £15,000 in respect of levies, subscriptions and donations being below inflation, a saving of £9,000 from a partly vacant post and £33,000 savings from the equipment purchase budget. An under spend of £23,000 was reported at month 9 and the movement is due to the saving on the equipment budget.

- Training – Under spend of £56,000 – Staffing vacancies for part of the year within the grant funded area. There has been an increase in savings of £32,000 from that reported at month 9 due mainly to a reduction on repayment of the 12-13 grant.
- Corporate – Under spend £2,000 as a result of staffing vacancies, an under spend of £5,000 was forecast at month 9.
- Centre for Innovation – the outturn matched the budget for 13/14, no variance to that reported at month 9.

### **Democratic Services and Improvement Division**

At outturn the Division has an under spend by £145,000, an increase since month 9 of £41,000. The under spend principally comprises:

- Democratic Services - Under spend of £61,000 through savings from a combination of Maternity Leave and vacant posts.
- Elections Section - Under spend of £81,000 is principally the result of the Individual Registration process being further delayed. It is now scheduled to commence in July 2014 whereas it was originally scheduled for 2011. This is augmented by a vacant staffing position which has not been filled.
- Improvement – Under spend of £21,000, the result of a staff secondment to NESTA.
- Policy – Under spend of £3,000 from supplies and services. There was no variance reported at month 9.
- Members – Over spend of £21,000 due to the inability to find the employee related savings, there was no variance reported at month 9.

The under spend has increased by a further £41,000 from that reported at month 9. This is mainly due to vacancies.

### **Finance Division**

At outturn the Division has an under spend by £103,000, an increase since month 9 of £62,000. The under spend principally comprises:

- Audit Section have a balanced outturn, there has been a variance from month 9 of £15,000, due to a concerted effort to reduce the over spend.
- Central Finance have an under spend of £85,000 from staff vacancies. There has been an increase in savings of £13,000 from that reported at month 9 due to a further vacancy which has remained unfilled.
- Performance Management have an over spend of £13,000 from a redundancy payment that will be funded from reserves. There was no variance reported at month 9.

- Revenues, Systems and Exchequer under spent by £43,000. This under spend is a combination of items. The non-pay budget under spent by £60,000, largely due to one off savings against the system consultancy and maintenance budgets. However this is offset by a £12,000 over spend against the pay budgets, reflecting the new staffing structure that was put in place this year; and £4,000 additional costs for credit and debit card handling fees. The outturn position has improved by £13,000 since we last reported at month 9. This is mainly because we were unable to book Agresso Consultancy until the new financial year.
- Benefits budget has over spent by £12,000, a reduction of £11,000 when compared to the month 9 forecast. This over spend is a combination of a net £161,000 under spend against Housing Benefit transactions made during the year reflecting the payments and subsidy received and awarded, £50,000 additional one off Administration Grant income, offset by a £223,000 increase in the Housing Benefit Bad Debt provision.

### **Information Communication Technology**

At outturn the Division has over spent by £21,000, a decrease since month 09 of £3,000.

### **Transition**

The over spend of £15,000 is due to employee costs that are unable to be charged to transition projects, and will therefore be funded from reserves at year end. The movement from month 9 is £2,000.

## 5 CORPORATE COSTS & LEVIES

The outturn position for Corporate Costs & Levies at is to under spend by £1,510,000 for the 2013/14 financial year, compared to a forecast under spend of £1,128,000 at month 09.

### SUMMARY EXPLANATION FORECAST OVER SPEND

Table 7: Corporate Directorate Outturn 2013/14 – Summary Forecast Net Direct Expenditure Position at Month Outturn.

	Actual Outturn	Revised Budget	Over/(Under) Spend	Forecast Over/(Under) Spend at Month 09	Variance M9 to Outturn
	£000's	£000's	£000's	£000's	£000's
Precepts and Levies	15,074	15,081	(7)	(7)	0
Corporate Management	128	459	(331)	(203)	(128)
Non Distributed Costs	705	719	(14)	65	(78)
Strategic Initiatives	0	93	(93)	(93)	0
Office Equipment & Furniture	22	28	(6)	0	(6)
Single Status	2	780	(778)	(780)	2
Insurance	953	1,233	(280)	(109)	(170)
Net Expenditure	16,884	18,394	(1,510)	(1,128)	(380)

The main areas of under or over spending are:

#### Corporate Management

At outturn the Division has under spent by £331,000, an increased under spend since month 09 of £108,000.

This is mainly due to:

- A reduction in external audit costs relating to grant claims (£67,000) and external audit services (£8,000). This includes an adjustment to an over-accrual on grant claims of £35,000 which was not previously reported.
- A surplus of £87,000 resulting from unbudgeted income from historic and written off bills (£23,000) and creditor refunds from previous financial years (£64,000) which have materialised and reported only at year-end.

- An unbudgeted dividend of £138,000 from the Gwent Crematorium Service (reported at month 9).
- Numerous small NNDR refunds in relation to council properties totalling £34,000 (£16,000 reported at month 09).

## **Non-Distributed Costs**

Non-Distributed costs have under spent by £14,000, compared to an over spend of £65,000 forecast at month 09. This is mainly due to:

- Unbudgeted early retirement pension costs of £91,000 relating to the cost of redundancies in the current year across various directorates and the cost spread from previous financial years. Charges from 2013/14 redundancies are spread over 5 years so will also impact on future financial years.
- This is offset by a provision for redundancy costs of £97,000 which is no longer required as the cost has not materialised.

## **Single Status**

Single status costs have under spent by £778,000 due to:

- An under spend of £595,000 based on costs incurred by directorates during the year.
- The budgeted Job evaluation incremental pay costs of £185,000 did not materialise due to the directorates managing these costs within their current budget allocations and therefore a call on reserves will not be required.

This under spend was predicted throughout the year and reported accordingly, together with the proposal that the under spend is taken as a caveated reserve contribution to meet further potential pressures.

## **Strategic Initiatives**

Strategic Initiatives has under spent by £93,000 with no change from the forecast at month 09, predominantly due to:

A surplus of £100,000 against pension auto enrolment costs that could have been taken by employees has been deferred to later years.

Offset by:

A shortfall of £11,000 against the senior management restructure savings budget following the final outturn position being established within services.

## **Insurance**

Insurance costs have under spent by £280,000, a £170,000 increase from that reported at month 09. This is mainly due to:

- A favourable insurance premium being negotiated for the second half of the financial year (£16,000), reported at month 9.

- A saving in specialist fees & employee overheads where costs are lower than originally budgeted (£18,000). (£41,000 reported at month 09).
- A decrease in the FRS12 provision of £154,000 for potential settlement cost liabilities when compared to the amount provided for at the end of 2012/13. (£50,000 reported at month 09). An assessment of open claims is made at year-end which identifies the likelihood of the Authority having to pay out for outstanding claims. When comparing the open claims at the end of 2013/14 to those at the end of 2012/13, the amount the Authority is estimated to pay to settle claims has reduced resulting in the reduction in provision required. Certain larger claims potentially payable at the end of 2012/13 have now been settled at reduced cost due to diligent defence.
- A reduction in self-insured costs of £130,000 following a lower number of incidents than anticipated. There were a low level of settlements in work related injury claims (employers' liability) due to low severity of incident and settlement being deferred at year end. There were also fewer property claims than anticipated. This was not reported at month 09 as although the trend was showing a possible reduction, previous experience had shown this may not be realised at year-end.
- This is offset by an additional payment of £38,000 in relation to Municipal Mutual Insurance (MMI) claims following receipt of the year end positions for the former Gwent fund and Monmouth Borough. (This was not reported at month 09).

## 6 APPROPRIATIONS ACCOUNT

The position for the Appropriations Account at outturn is to over spend by £899,000 for the 2013/14 financial year.

### SUMMARY EXPLANATION FORECAST UNDER SPEND

Table 8: Appropriations Account Outturn 2013/14 – Summary Forecast Net Direct Expenditure Position at Outturn.

	Actual Outturn	Revised Budget	Over/(Under) Spent	Forecast Over/(Under) Spend at Month 09	Variance M9 to Outturn
	£000's	£000's	£000's	£000's	£000's
Attributable Costs – Fixed Asset Disposal	103	199	(96)	(17)	(79)
Interest & Investment Income	(93)	(30)	(63)	(59)	(4)
Reduction in Heritable Investment Losses	(73)	0	(73)	(67)	(5)
Interest Payable & Similar Charges	3,670	3,798	(128)	(130)	2
Charges Required Under Regulation	4,950	4,970	(20)	(21)	1
Other Investment Income	(25)	0	(25)	0	(25)
Capital Expenditure financed from revenue	76	76	0	0	0



	8,608	9,013	(405)	(294)	(111)
Contribution to Earmarked Reserves	1,276	125	1,151	790	361
Contribution from Earmarked Reserves	(3,294)	(3,447)	153	149	4
<b>Net Expenditure</b>	<b>6,590</b>	<b>5,691</b>	<b>899</b>	<b>645</b>	<b>254</b>

The main areas of under or over spending are:

### **Fixed asset disposals costs**

At outturn the Division has under spent by £96,000, an increased under spend since month 09 of £79,000. The under spend is mainly due to:

- An under spend of £99,000 (£44,000 at month 6) as the sale of sixteen (six at month 9) assets did not complete in 2013/14. This budget will be required to slip into 2014/15 in order to complete the schemes.
- An under spend of £27,000 (£9,000 at month 9) on six (two at month 9) fixed asset sales. The sale of the LDP site is not going ahead. The remaining sites have been sold and expenditure completed under budget.

Offset by:

- An overspend relating to the sale of two plots of land at Brecon Road Depot due to additional costs in dealing with Japanese knotweed, fencing and legal fees (£3,000). £15,000 was reported at month 9.
- An overspend relating to the Sale of the Caldicot school field (£12,000) as legal and selling fees have been incurred in 2013/14 but budget is in 2014/15.
- Overspends due to a lack of accrual for auction costs relating to several sales in 2012/13 (£10,000) and other small overspends (£5,000).

### **Interest and Investment Income / Other Investment Income**

At outturn the Division has achieved a surplus of £89,000, an increased surplus of £30,000 compared to month 9. The surplus is mainly due to:

- A £67,000 investment surplus was achieved due to average cash balances being higher than the budgeted level of £5m but also due to a higher average interest rate return on investments for the year of 0.59% compared to budget of 0.50%. A £51,000 surplus was reported at month 9; the increase is mainly attributable to an enhanced interest rate payable on balances held in the Barclays contingency current account.
- Investment balances were higher than anticipated mainly due to slippage in the capital programme.

- In addition a surplus of £22,000 was achieved due to windfall receipts of. £7,000 from the sale of Raglan Public Convenience and £14,000 from freehold reversions. The £14,000 receipt relating to freehold reversions was not anticipated at month 9.

### **Interest payable and similar charges**

At outturn the division has under spent by £128,000, similar to that reported at month 9. The under spend is mainly due to:

- A saving of £32,000 on the existing PWLB debt portfolio, mainly due to a reduction in interest payable on a variable rate loan.
- A saving of £90,000 on temporary borrowing costs caused by a reduced need to borrow consequential to slippage in the capital programme and average borrowing rates (0.49%) being less than anticipated (0.92%). These preferential rates have been achieved in borrowing from other Local Authorities rather than money markets and is testament to sound treasury management practice.
- An under spend of £6,000 on interest payable to trust funds, mainly the Welsh Church fund. This is due to a change in the investment strategy of the Welsh Church fund, which is moving its investments from the pool run by the Authority to directly owned investments, thus reducing interest payable to the WCF as a reduction in the principal value in the pooled sum.

### **Investment Losses**

At outturn the Authority is pleased to report a surplus of £73,000 due to the recovery of historic investment losses.

- As at 31<sup>st</sup> March 2013 and based on advice in the LAAP bulletin the Authority were expecting 88%. A further payment from Heritable administrators was received in August 2013 bringing the total repayment to 94%. This was reported through the year.

### **Charges required under Regulation**

At outturn the division has under spent by £20,000 due to a reduction in the minimum revenue provision (MRP) charge relating to 2013/14 capital expenditure.

### **Contribution from Earmarked Reserves**

An overall reduced 'contribution from' reserves of £153,000 was required in 2013/14. (A reduced contribution from reserves of £149,000 was reported at month 9) a variance to outturn of £4,000.

### **Single Status and Equal Pay Reserve**

A £500,000 increased 'contribution from' the Single Status and Equal Pay reserve.

As part of the annual review of the adequacy of reserves balances it was decided to transfer £500,000 from the Single Status and Equal Pay reserve to the Redundancy and Pensions reserve. The balance held within the Single Status reserve was deemed to be in excess of any potential further claims value.

#### Invest to Redesign Reserve

A reduced 'contribution from' the Invest to Re-design reserve of £210,000 was required in 2013/14. Attributable to the following:

Up-front investment for savings schemes – A reduced in year draw from reserves of £177,000 relating to various savings initiative schemes that have encountered delays. It is requested that the balance be carried forward for utilisation in 2014/15.

HR Restructure - A reduced in year draw from the reserve of £45,000 due to a favourable outturn position in the division. It is requested that the balance be carried forward into 2014/15.

Monmouthshire Cycling Strategy – A reduced in year draw from the reserve of £20,000 due to unexpected delays in expenditure from Police costs and British cycling television contracts. It is requested that the balance be carried forward into 2014/15.

Offset by:

An increased draw from the reserve of £32,000 relating to approved costs incurred within SCH Directorate looking at different working practices within Childrens' Services. Cabinet approved a £75,000 reserve contingency fund as part of the Medium Term Financial Planning process to ensure utilisation of proposed budget savings. The balance of £43,000 will be budgeted for use in 2014/15.

#### Insurance and Risk Management Reserve

A reduced 'contribution from' the Insurance and Risk Management reserve of £3,000 relating to a small in year under spend on Thornwell Primary demountable costs.

#### Capital Receipt Generation Reserve

A reduced 'contribution from' the Capital Receipt Generation reserve of £125,000, mainly due to a delay in asset sales. It is requested that a balance of £99,000 be made available in 2014/15.

#### Treasury Equalisation Reserve

A budgeted £201,000 contribution from the Treasury Equalisation reserve was not required due to an overall favourable outturn position.

#### Redundancy and Pensions Reserve

An overall increased contribution of £47,000 from the Redundancy and Pensions reserve due to the funding of caveated redundancy costs where services could not directly afford.

#### Priority Investment Reserve

A reduced 'contribution from' the Priority Investment reserve of £206,000. Attributable to the following:

A reduced draw of £28,000 due to an under spend on Local Development Plan works completed in year. It is requested that the balance be made available in 2014/15.

A £250,000 budgeted contribution to finance capital unsupported borrowing was not required due to an under spend in the division. It is requested that a balance of £50,000 be made available in 2014/15.

A reduced draw of £28,000 relating to an under spend on ICT Technicians in Schools. It is requested that the balance be carried forward into 2014/15.

A reduced draw of £130,000 relating to an under spend on Raising Education Standards. It is requested that the balance be carried forward into 2014/15.

A £200,000 budgeted contribution to fund improved practices in the transition of children from primary to secondary education was not utilised. Staffing changes within the Directorate management team during the year meant that a plan of expenditure was not put in place. It is requested that the balance be carried forward into 2014/15, its use being predicated on a robust quantified plan.

Offset by:

An overall increased contribution from the reserve of £429,000, mainly relating to the funding of school based redundancy costs that were un-affordable by the Directorate.

#### School Library Service Partnership Reserve

An un-budgeted £44,000 contribution from the reserve was required to fund an over spend in the service.

#### Youth Offending Team Service Partnership Reserve

An identified and agreed £2,000 contribution from the reserve was required to fund an over spend in the service.

#### **Contribution to Earmarked Reserves**

An overall increased 'contribution to' reserves of £1,151,000 was submitted in 2013/14. (An increased contribution to reserves of £790,000 was reported at month 9) a variance to outturn of £360,000.

### Redundancy and Pensions Reserve

A £500,000 'contribution to' the Redundancy and Pensions reserve was submitted at outturn as part of the adequacy of reserves review.

The Redundancy and Pensions reserve was originally forecasting a deficit position for 2014/15 so it was deemed appropriate to utilise a surplus balance from the Single Status and Equal Pay reserve.

Redundancy and Pensions costs are on-going as a result of pension strain costs and further potential redundancy costs following service reviews.

### Insurance and Risk Management Reserve

An un-budgeted contribution to the reserve of £562,000 was submitted to cover an estimated liability on MMI and outstanding claims.

### Outdoor Education Trading Partnership Reserve

An un-budgeted contribution to the reserve of £24,000 was submitted due to an under spend in the division.

### Education Achievement Service Reserve

An un-budget contribution to the reserve of £70,000 was submitted due to an under spend in the service.

### Grass Routes Buses Reserve

The service were unable to make a budgeted £5,000 contribution to the reserve due to an over spend in the division.

## 7 FINANCING

The outturn position for the Financing Section is to under spend by £549,000 for the 2013/14 financial year.

### SUMMARY EXPLANATION FORECAST UNDER SPEND

Table 9: Financing Outturn 2013/14 – Summary Forecast Net Direct Expenditure Position at Outturn.

	Actual Outturn	Revised Budget	Over/(Under) Spend	Forecast Over/(Under) Spend at Month 09	Variance M9 to Outturn
	£000's	£000's	£000's	£000's	£000's
General Government Grants	(74,755)	(74,755)	0	0	0
Non-Domestic Rates Redistribution	(28,376)	(28,376)	0	0	0
Council Tax	(54,763)	(54,508)	(255)	(285)	30
Council Tax Benefits Support	5775	6,069	(294)	(250)	(44)
<b>Net Directly Managed Expenditure</b>	<b>(152,119)</b>	<b>(151,570)</b>	<b>(549)</b>	<b>(535)</b>	<b>(14)</b>

The main areas of under spending are:

#### Council Tax

Throughout the year, this area of the budget has been expected to generate additional income, as the number of new properties built in the area was in excess of the original estimate. At outturn this surplus income stands at £255,000. However this surplus has reduced by £30,000 on the position reported at month 9 reflecting changes to the bad debt profile, changes in occupation and the subsequent discounts and exemptions awarded.

#### Council Tax Benefits Support

We have been anticipating an under spend against this area of the budget all year. At outturn the under spend had increased by a further £44,000, taking the final under spend for the year to £294,000. This reflects the amounts awarded to assist the citizens of Monmouthshire with the payment of their Council Tax under the Council Tax Reduction Scheme.

## 8 SCHOOLS OUTTURN REPORT

### Chief Officer Commentary:

Given another difficult budget settlement for schools, I am encouraged that the level of school balances at outturn is £500,000 better than the budgeted position. The impact of budget recovery plans and opportunities for schools to make in year savings and utilise grant funding have made a significant contribution to the end of year position for many of the schools. Those schools holding higher surplus balances have invested funds with guidance from the EAS, and have thus contributed to an overall decrease in the level of schools' reserves.

It is disappointing that the number of schools in a deficit position has increased from five to six, however I am pleased that the majority of those schools have made considerable progress during 13/14 to reduce their deficits and have robust recovery plans in place, that are being monitored closely by the CYP Finance team.

School based redundancy costs were high for the authority in 2013/14 and are likely to remain high in 2014/15 as schools lose staff as numbers on roll decline.

### SUMMARY EXPLANATION

At the beginning of the financial year, schools reserves amounted to £1,240,000, this included 5 of the 37 schools in a deficit position.

In-year contributions from reserves were required, as anticipated, resulting in a decrease in balances held by the schools as at 31<sup>st</sup> March 2014 to £988,000. The number of schools in a deficit position has increased to six. Two of these had not started the financial year in a deficit position and one school came out of a deficit position. The CYP Finance team will now be working closely with those schools in a deficit position by completing a Recovery Plan, which aims to bring the school back into a surplus over a three year period.

Table 10: Monmouthshire School Balance Summary

Opening Balance	Budgeted Information		Outturn Information		Variance
School Balances as at the 31st March 2013 Surplus/(Deficit) £000	Budgeted contributions to/(from) School Balances for the financial year 2013/14 £000	Budgeted School Balances as at the 31st March 2014 Surplus/(Deficit) £000	Outturn contributions to/(from) School Balances as at Month 13 for the financial year 2013/14 £000	Actual School Balances as at the 31st March 2014 Surplus/(Deficit) £000	Variance on Budgeted contributions to/(from) School Balances £000

#### School Type

Comprehensive Schools	339	(112)	227	(248)	91	(136)
Primary Schools	775	(626)	149	68	843	694
Special Schools	126	(14)	112	(72)	54	(58)

Totals	1,240	(752)	488	(252)	988	500
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Table 14 above is split into two elements, the original budgeted position for the schools and the outturn position. A more detailed school-by-school analysis is provided in table 15 below.

The budgeted Information shows that the School Balances as at 1<sup>st</sup> April 2013 amounted to £1,240,000 and during budget setting the schools identified that £752,000 of these balances would be utilised during the financial year 2013/14, leaving a budgeted closing reserves balance for all schools of £488,000.

At outturn, school balances have decreased to £988,000, a significant variance of £500,000 from the budgeted position. Since month 9, the position has improved by £542,000.

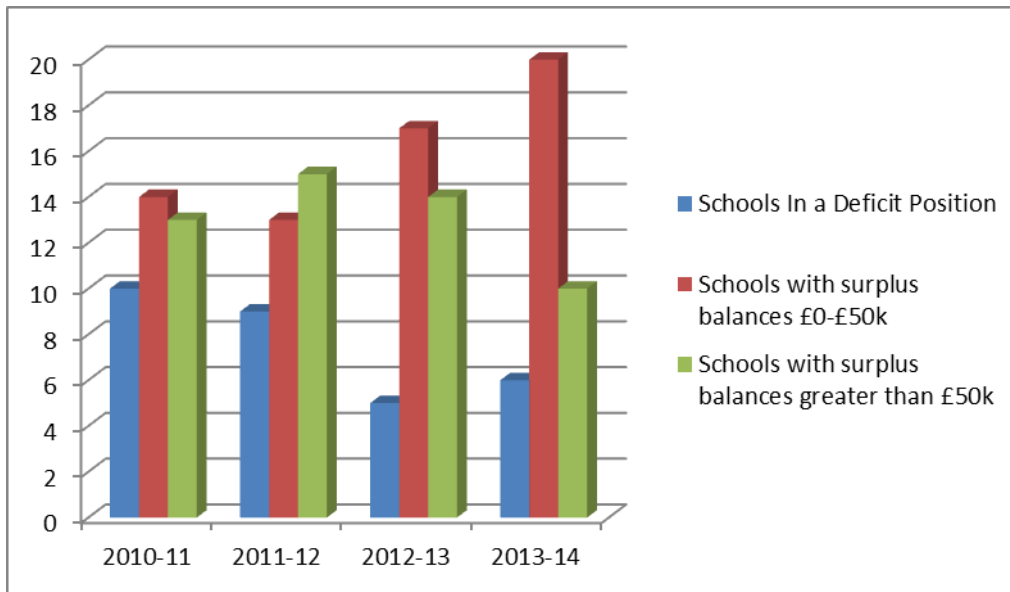
CYP Finance continue to work closely with schools in order to look at potential savings areas with the aim of achieving a break even position over the next few financial years by periodically reviewing their Recovery Plan documents. Recovery Plans, which ensure schools achieve a break even position, are formulated over a three year period. Whilst school budgets are being set for 2014/15, all of those schools that are in a deficit position have incorporated a Recovery Plan into their agreed budget, which will be monitored on a termly basis.

The number of schools in a deficit position at the end of a financial year has reduced year on year, but has increased slightly this year from 5 to 6. Since month 9 however, one of the schools which had forecasted to go into a deficit position, has come out of this at year-end. No further schools have gone into a deficit since month 9.

The schools in a deficit position will be monitored closely with the aid of a recovery plan, to ensure that they break even within the next 3 years.

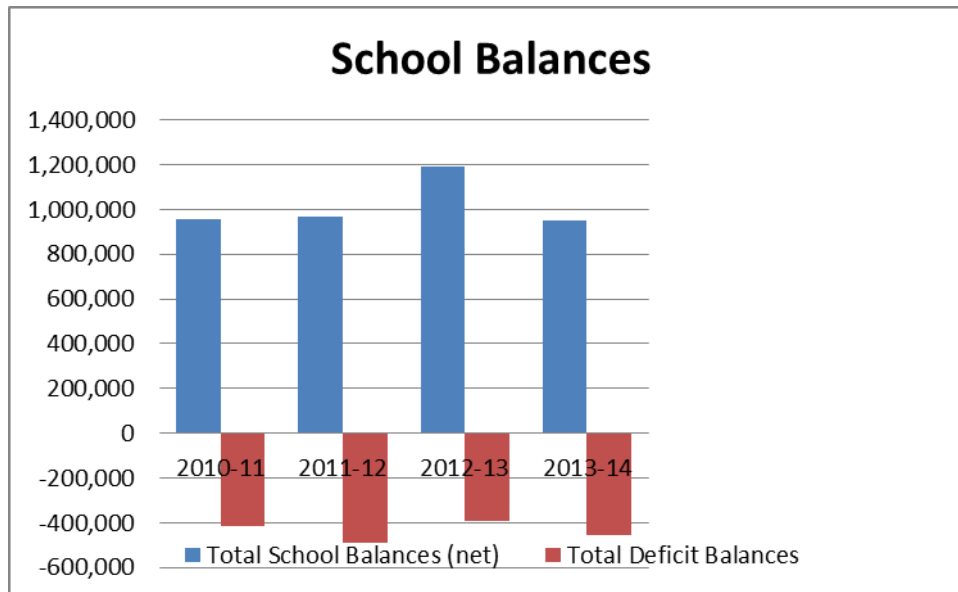
Since 2012/13 the number of schools with surplus reserves greater than £50,000 has reduced from 14 to 10. This shows that most schools in this position are implementing their investment plans. Complimentary to this, the schools with surplus reserves between £0 and £50,000 has increased from 17 to 20.





In previous financial years there has been a substantial reduction to the draw on reserves, from the agreed budgets to the actual outturn position. This is the case again this year, with the call on reserves being £501,000 less than the budgeted position.

In 2011-12 and 2012-13 net reserve balances increased but the reserves balance has reduced by £252,000 by the end of 2013/14. As the graph also shows, the total balance of the schools in a deficit has increased slightly from £390,000 to £457,000.



Many of the savings seen throughout a financial year cannot be factored into the budget build as they are unknown and fluctuate throughout the year. The main reasons for changes to year end school balances are:

Supply and Maternity compensation budgets amounting to £486,000 are held centrally. The schools are compensated when a member of staff is off due to ill health or on maternity/paternity leave. Schools are liable for the first 15 days an employee is not in work due to ill health and are then compensated at agreed rates of pay. Maternity compensation compensates schools for the actual costs of the member of staff on maternity leave. Schools often benefit from these schemes as the replacement staff may be on a lower grade, not in the pension scheme or the Headteacher may not deem it necessary to seek cover for the post in the short term, generating savings from the vacant post.

Additional Learning Needs' contingency budget of £216,000 is held centrally to fund schools for pupils with Band D and E statements that are identified within the financial year. The funding is to cover additional staff to support the needs of the pupils with those statements. Schools are sometimes able to utilise existing staff to meet the needs of the statement. Schools also tend to be supporting the pupil prior to receipt of the funding and therefore the member of staff is already identified within the budget.

Nursery Top-Up Funding amount to £100,000, this funding is to support schools with a change in the number of pupils attending the nursery. The original funding is based on January plasc data and additional top up is then provided in April, September and January. As the pupil numbers are not known at the time of building the budgets no top up income is included in the budget and therefore will be surplus income unless an additional nursery teacher is required.

Investment and Recovery Plans are completed once the year end balances and budget builds are known, therefore there are changes to the budget which are then reported throughout the financial year.

The School Effectiveness Grant, Welsh Education Grant and Pupil Deprivation Grant plans were not completed until after the budgets were set. Some schools as part of these plans identify staff that will be involved in the initiatives and can be funded from these grants instead of school budget.

Energy forecasts are provided by the energy officer. With contracts being renewed in October, any changes in rates identified will affect schools' budgets.

General Teaching Council Wales funding is routinely allocated to schools, although to pay for costs incurred due to supply cover, the supply cover is usually managed within the existing budget allocation.

The following table shows the brought forward balances and in year spends for each of the schools (columns 1 & 2). It also shows budgeted information and the actual carry forward balance for each school (columns 3, 4 & 5), then finally some month 9 information (columns 6 & 7). Recovery plans are required from all schools in a deficit position. Primary and Secondary schools are required to complete an investment plan if their surplus reserves exceed £50,000 and £100,000 retrospectively. Detailed reasons for the individual school changes are also provided.

## **Secondary Schools**

### **Caldicot School**

The school had budgeted to increase surplus from £37,000 to £43,000. This actually increased to £60,000 which is a favourable variance of £17,000.

The month 9 position was an in-year deficit of £35,000, giving a variance of £59,000.

The variance from month 9 is due to utility costs amounting to £11,000 less than anticipated. Exam fees £35,000 less than expected due to a reduction in modular entries and additional ALN funding of £13,000.

### **Chepstow Comprehensive**

The school had budgeted to go from a £2,000 surplus to a £18,000 deficit. The year-end position is a £214,000 deficit, which is an adverse variance of £196,000.

This substantial adverse variance is due to additional investment in staffing, in order to raise standards. Also due to a loss of income that was expected from GTCW and the learning pathways grant, the vast majority of which was reported at month 9.

Month 9 position was a £192,000 deficit, which is £22,000 less than the year end position.

A meeting has recently taken place in order to address the substantial deficit balance and a recovery plan has now been drafted, in order to achieve a break even position in 3 years.

## King Henry VIII Comprehensive

The school had budgeted to reduce from £220,000 surplus to £121,000. The year-end position had reduced to £114,000, which is a variance of £7,000.

The variance from month 9 is £75,000 less overspent. This is due to utility costs being £9,000 less than anticipated, £24,000 reduction in materials bought by subject leaders.

Exam fees £18,000 less than expected due to a reduction in modular entries. Additional grant funding secured of £24,000.

## Monmouth Comprehensive

The school had budgeted to retain surplus of £81,000. The surplus actually increased to £131,000. This is a variance of £50,000 to budget as well as to month 9.

This is due to a £16,000 saving against ICT, as a result of data storage and technician costs being met centrally. Also utility costs were £17,000 less than anticipated. There was also £12,000 additional grant funding received that was not known at month 9. The remainder was due to projects which were unable to be completed by year end, meaning these costs will be incurred in 2014/15.

<b>Table 11: Monmouthshire School Balance Detailed Summary</b>	<b>As at 1st April 2013 Surplus / (Deficit)</b>	<b>Outturn Surplus / (Deficit) in Year</b>	<b>Revised Budget Surplus / (Deficit) In Year</b>	<b>Variance to Budget (Over) / Under Spend</b>	<b>As at 31st March 2014 Surplus / (Deficit)</b>	<b>Forecast Surplus / (Deficit) Spend at Month 9</b>	<b>Variance to M9 F/cast (Over) / Under Spend</b>
	<b>£'s</b>	<b>£'s</b>	<b>£'s</b>	<b>£'s</b>	<b>£'s</b>	<b>£'s</b>	<b>£'s</b>
<b>Comprehensive Schools</b>							
Caldicot Comprehensive	36,934	23,686	5,989	17,697	60,620	(35,179)	58,865
Chepstow Comprehensive	2,000	(216,589)	(20,192)	(196,397)	(214,589)	(192,306)	(24,283)
King Henry VIII Comprehensive	219,715	(105,197)	(98,503)	(6,694)	114,518	(180,401)	75,204
Monmouth Comprehensive	80,538	50,437	26	50,411	130,975	26	50,411
<b>Sub Total</b>	<b>339,187</b>	<b>(247,663)</b>	<b>(112,680)</b>	<b>(134,983)</b>	<b>91,524</b>	<b>(407,860)</b>	<b>160,197</b>
<b>Primary Schools</b>							
Archbishop Rowan Williams Primary	(18,555)	40,546	26,882	13,664	21,991	52,879	(12,333)
Cantref Primary	75,384	(7,246)	(44,588)	37,342	68,138	(29,943)	22,697

Castle Park Primary	(97,802)	(196)	(11,165)	10,969	(97,998)	(11,541)	11,345
Cross Ash Primary	61,832	(13,845)	(26,192)	12,347	47,987	(14,255)	410
Deri View Primary	(170,667)	90,715	(85,211)	175,926	(79,952)	69,049	21,666
Dewstow Primary	94,370	11,743	(48,806)	60,549	106,113	(34,801)	46,544
Durand Primary	64,772	(20,047)	(28,677)	8,630	44,725	(23,855)	3,808
Gilwern Primary	54,827	(13,770)	(17,534)	3,764	41,057	(17,800)	4,030
Goytre Fawr Primary	7,809	(3,100)	(28,299)	25,199	4,709	(16,690)	13,590
Kymin View Primary	10,162	24,193	(6,271)	30,464	34,355	5,221	18,972
Llandogo Primary	7,539	(13,319)	(6,883)	(6,436)	(5,780)	(8,352)	(4,967)
Llanfair Kilgeddin Primary	23,474	(863)	0	(863)	22,611	(6,880)	6,017
Llanfoist Primary	18,234	14,699	(25,408)	40,107	32,933	13,291	1,408
Llantillio Pertholey Primary	105,594	(40,254)	(68,901)	28,647	65,340	(46,239)	5,985
Llanvihangel Crocorney Primary	(60,486)	19,830	(20,714)	40,544	(40,656)	14,581	5,249
Magor Church in Wales Primary	24,665	6,472	5,377	1,095	31,137	(9,183)	15,655
New Pembroke Primary	42,353	37,318	38,650	(1,332)	79,671	14,980	22,338
Osbaston Church In Wales Primary	36,343	12,369	(6,946)	19,315	48,712	(1,890)	14,259
Our Lady & St Michael's RC Primary	45,192	(21,529)	(11,453)	(10,076)	23,663	(20,787)	(742)
Overmonnow Primary	66,628	(32,899)	(37,754)	4,855	33,729	(51,181)	18,282
Raglan Primary	42,940	(1,681)	(28,354)	26,673	41,259	4,345	(6,026)
Rogiet Primary	71,372	11,780	(49,619)	61,399	83,152	(16,864)	28,644
Shirenewton Primary	75,178	6,390	(26,929)	33,319	81,568	(24,042)	30,432
St Mary's Chepstow RC Primary	2,952	(2,139)	(8,118)	5,979	813	(881)	(1,258)
The Dell Primary	21,699	28,408	(10,379)	38,787	50,107	(12,512)	40,920
Thornwell Primary	62,403	(46,267)	(47,858)	1,591	16,136	(37,065)	(9,202)
Trellech Primary	29,209	4,396	6,450	(2,054)	33,605	(185)	4,581
Undy Primary	7,189	2,928	2,031	897	10,117	(6,638)	9,566
Usk Primary	19,992	8,695	(12,559)	21,294	28,687	5,901	2,794
Ysgol Gymraeg Y Fenni	92,213	(60,052)	(47,272)	(12,780)	32,161	(77,333)	17,281
Ysgol Gymraeg Y Ffin	(42,365)	24,451	777	23,674	(17,914)	21,063	3,388
<b>Sub Total</b>	<b>(774,450)</b>	<b>67,726</b>	<b>(625,763)</b>	<b>693,489</b>	<b>842,176</b>	<b>(267,607)</b>	<b>335,333</b>
<b>Special School</b>							
Mounton House	76,592	(58,128)	(13,830)	(44,298)	18,464	(62,527)	4,399
PRU	49,815	(13,823)	0	(13,823)	35,992	(55,667)	41,844
<b>Sub Total</b>	<b>126,407</b>	<b>(71,951)</b>	<b>(13,830)</b>	<b>(58,121)</b>	<b>54,456</b>	<b>(118,194)</b>	<b>46,243</b>
<b>TOTAL</b>	<b>1,240,044</b>	<b>(251,888)</b>	<b>(752,273)</b>	<b>500,385</b>	<b>988,156</b>	<b>(793,661)</b>	<b>541,773</b>

## **Primary Schools**

### **ARW Primary**

The school has completed a recovery plan and has a carried forward surplus of £22,000, meaning that it has come out of a deficit position. This is £14,000 more than was budgeted.

The deficit variance from month 9 is £12,000.

### **Cantref Primary**

The £75,000 brought forward surplus has reduced to £68,000, which is £37,000 higher than the budgeted amount. This is mainly due to building maintenance and IT hardware costs not coming to fruition in year as planned, plus some savings due to maternity leave.

There is also a £23,000 favourable variance since month 9 forecast.

### **Castle Park Primary**

The school brought forward a substantial deficit reserve, which has remained stable at £98,000 in 2013/14. The 3 year budget projections show this deficit reducing and the school will have a small surplus at the end of 2015/16.

Subsequent to the school being invited in to meet with the directorate management team in order to discuss how the school can get back on track with the agreed recovery plan, the position improved from month 9 by £11,000.

### **Cross Ash Primary**

The £62,000 brought forward surplus has reduced to £48,000, which is a £12,000 favourable variance to what was budgeted.

There is no variance on the month 9 position.

### **Deri View Primary**

The £170,000 brought forward deficit has decreased to £80,000. This represents a favourable variance of £175,000 on the budgeted amount.

The improved financial position is due to Nursery top up income, the Pupil Deprivation Grant supporting existing staff and additional SEN funding. Additional income has also been received for the Integrated Children's Centre from the flying start grant. There has also been a restructure resulting in considerable staff savings.

The position improved another £22,000 since the month 9 forecast.

### **Dewstow Primary**

The £94,000 brought forward surplus has increased to £106,000. This represents a favourable variance of £61,000 on the budget. The majority of this is due to SEG amounts identified in the last three months and expected building maintenance costs that did not come to fruition.

There is a £47,000 variance since month 9.

The budget has been set for 2014/15 and the vast majority of this surplus is forecast to be used. The finance team will monitor this on a monthly basis to ensure that this is delivered.

### **Durand Primary**

The £65,000 brought forward surplus has reduced to £45,000, which is an £8,000 favourable variance on the budget set.

There was a £4,000 favourable variance since month 9 forecast.

### **Gilwern Primary**

The £55,000 brought forward surplus has reduced to £41,000, which is a £4,000 favourable variance on the set budget.

There was a £4,000 favourable variance since month 9 forecast.

### **Goytre Fawr Primary**

The £8,000 brought forward surplus has reduced to £5,000, which is a £25,000 favourable variance to budget. This is mainly due to IT planned expenditure not being incurred and some salary related savings.

There was a £14,000 favourable variance since month 9 forecast, for the same reasons as above.

### **Kymin View Primary**

The £10,000 brought forward surplus has increased to £34,000. This is £30,000 better than the budget. The improvement from budget is due to nursery top up funding, additional SEN funding and changes to staff due to maternity leave.

There was a £19,000 variance from the month 9 forecast.

### **Llandogo Primary**

The £8,000 brought forward surplus has reduced to a deficit of £6,000, which is £6,000 worse than the budgeted position.

A recovery plan was put in place since the month 6 reporting position, which is due to bring the budget back into surplus by 2015/16.

There is a £5,000 adverse variance since month 9.

### **Llanfair Kilgeddin Primary**

There was a brought forward surplus of £23,000 and this is still the situation at year end. There was a slight variance of £6,000 from month 9 to year end.

### **Llanfoist Fawr Primary**

The brought forward surplus of £18,000 has increased to £33,000. This is a variance to budget of £40,000.

Savings since budget are due to two staff on maternity leave and a full time caretaker budget only being utilised on a casual basis, a small increase in Foundation Phase funding and PTA donations being received for expenditure initially thought to be borne by the school's budget.

As the school was originally budgeted to go into a deficit, this is a marked improvement. The improvement that has been made is due to following the recovery plan, agreed with the finance team.

### **Llantilio Pertholey Primary**

Investment plan has been largely adhered to for the 2013/14 year. Surplus has reduced to £65,000, a reduction of £40,000.

This was £29,000 less than budgeted but due to reduce below the £50,000 threshold in 2014/15.

There was a £6,000 favourable variance since month 9 forecast.

### **Llanvihangel Crucorney Primary**

The £60,000 brought forward deficit has been reduced to £40,500 in line with the recovery plan, which states that the school will be back in a surplus position by 2015/16. This is a £40,000 improvement on the original budget set. There is a £5,000 improvement since the month 9 forecast.

### **Magor Church in Wales Primary**

The £25,000 brought forward surplus has increased to £31,000, which is in line with the budget set.

There is a £16,000 favourable variance from month 9 forecast.



### **New Pembroke Primary**

The £42,000 brought forward surplus has increased to £80,000, which is in line with the budget set.

There is a £22,000 favourable variance from month 9 forecast.

The finance team will liaise with the Headteacher on a monthly basis, to ensure implementation of the investment plan, in order to reduce the surplus.

### **Osbaston Church in Wales Primary**

The £36,000 brought forward surplus has increased to £49,000, which is £19,000 better than the set budget. No investment plan is required.

This is a £14,000 improvement on the month 9 position.

### **Our Lady & St Michaels RC Primary**

The £45,000 brought forward surplus has reduced to £24,000, which is £10,000 more than budgeted.

There is no variance from the month 9 forecast.

### **Overmonnow Primary**

The £67,000 brought forward surplus has reduced to £34,000, which is only £5,000 out from the budgeted position.

There was an improvement of £18,000 from the month 9 forecast.

### **Raglan Primary**

The £43,000 brought forward surplus has reduced slightly to £41,000, which is £27,000 less than was budgeted.

There was a £6,000 adverse variance from the month 9 forecast.

### **Rogiet Primary**

The £71,000 brought forward surplus has increased to £83,000, which is a £61,000 variance on what was budgeted.

The reasons for this are that there were a few different Headteachers in the financial year, which meant that there was a lack of co-ordination with the spend on the budget. In addition and due to this, within the in-year forecasts it was assumed that the SEG monies would not be claimed. When the substantive Headteacher returned following maternity absence after month 9, they were in a position to agree SEG expenditure with their systems leader, therefore improving the budgetary position considerably and thus contributing to a £29,000 variance from the month 9 position.

### **Shirenewton Primary**

The £75,000 brought forward surplus has increased to £82,000, which is a £33,000 variance on what was budgeted.

The finance team will liaise with the Headteacher on a monthly basis, to ensure implementation of the investment plan, in order to reduce the surplus.

There was also a £30,000 variance from the month 9 position.

### **St Mary's Chepstow RC Primary**

The £3,000 brought forward surplus has reduced to £1,000, which is £6,000 better on the budgeted position, where the school was budgeted to go into a deficit position.

This is in line with the month 9 forecast.

The finance team will meet regularly with the Headteacher in order to control this position, as the school is very close to going into a deficit position.

### **The Dell Primary**

The £22,000 brought forward surplus has increased to £50,000, which is £39,000 variance on the budgeted position.

This is also a £41,000 variance on the month 9 position.

### **Thornwell Primary**

The £62,000 brought forward surplus has reduced to £16,000, which is in line with what was budgeted.

There is a £9,000 variance reducing the surplus further, since the month 9 forecast.

### **Trellech Primary**

The £29,000 brought forward surplus has increased to £34,000, which is in line with what was budgeted and also what was forecast at month 9.

### **Undy Primary**

The £7,000 brought forward surplus has increased slightly to £10,000, which is in line with what was budgeted.

There was a £10,000 favourable variance since month 9.

### **Usk Primary**

The £20,000 brought forward surplus has increased to £29,000, which is a £21,000 variance from what was budgeted.

There was a £3,000 favourable variance since month 9.

### **Ysgol Gymraeg Y Fenni**

The £92,000 brought forward surplus has reduced significantly to £32,000, which is £13,000 more than what was budgeted.

There was a £17,000 favourable variance since month 9.

### **Ysgol Gymraeg Y Ffin**

The £42,000 brought forward deficit has reduced to £18,000, which is a £24,000 improvement on what was budgeted.

There was a £3,000 favourable variance since month 9.

The recovery plan shows that the school will return to a surplus by the end of 2014/15.

### **Special Schools**

#### **Mounton House**

The £77,000 brought forward surplus has reduced significantly to £18,000, which is an adverse variance of £45,000 on what was budgeted.

There was a £4,000 favourable variance since month 9.

#### **PRU**

The £50,000 brought forward surplus has reduced to £36,000, which is a £14,000 adverse variance on what was budgeted.

There was a £42,000 favourable variance since month 9.

### Movements from Original Budget to Revised Budget

This appendix provides an overview of changes made to the Authority's revenue budget since the Original Budget was approved by Council on 13<sup>th</sup> February 2013. Changes comprise budget virements and budget revisions, and all changes made to the revenue budget between directorates up to the end of the 2013-14 financial year are included.

<b>Table 1: Revised Budget analysis at 2013-14 outturn</b>	<b>Original Budget</b>	<b>Budget Virements</b>	<b>Budget Revisions</b>	<b>Revised Budget</b>
	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>
Social Care & Health	36,339	45	0	36,384
Children & Young People	51,984	67	0	52,051
Regeneration & Culture	26,667	1,355	0	28,022
Chief Executive's Unit	17,028	(6,001)	0	11,027
Corporate Costs & Levies	18,848	(454)	0	18,394
<b>Net Cost of Services</b>	<b>150,866</b>	<b>(4,988)</b>	<b>0</b>	<b>145,816</b>
Appropriations Section	6,773	(1,081)	0	5,692
<b>Amounts to be met from Government Grants and Local Taxation</b>	<b>157,639</b>	<b>(6,069)</b>	<b>0</b>	<b>151,570</b>
Financing Section	(157,639)	(6,069)	0	(151,570)
<b>Council Fund (Surplus)/Deficit</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
Budgeted contribution from Council Fund	0	0	0	0
<b>Budget Control Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

Budget virements and budget revisions are further illustrated below in separate tables that analyse the key movements:

## **Budget Virements**

**Table 2: Budget Virements analysis at Outturn (£000's)**

	Revised Budget as Month 09	Virement 1	Virement 2	Virement 3	Virement 4	Virement 5	Revised Budget at Outturn
	£000's	£000's	£000's	£000's	£000's	£000's	£000's
<b>Social Care &amp; Health</b>	36,383	0	0	0	0	0	36,384
<b>Children &amp; Young People</b>	52,108	(57)	0	0	0	0	52,051
<b>Regeneration &amp; Culture</b>	27,550	57	307	45	0	62	28,022
<b>Chief Executive's Unit</b>	11,040	0	0	0	(12)	0	11,027
<b>Corporate Costs &amp; Levies</b>	18,382	0	0	0	12	0	18,394
<b>Net Cost of Services</b>	<b>145,463</b>	<b>0</b>	<b>307</b>	<b>45</b>	<b>0</b>	<b>0</b>	<b>145,878</b>
<b>Appropriations Section</b>	6,106	0	(307)	(45)	0	(62)	5,692
<b>Amounts to be met from Government Grants and Local Taxation</b>	<b>151,570</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>151,570</b>
<b>Financing Section</b>	(151,570)	0	0	0	0	0	(151,570)
<b>Council Fund (Surplus)/Deficit</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Budgeted contribution from Council Fund</b>	0	0	0	0	0	0	0
<b>Budget Control Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

The key virements that have taken place to the 2013/14 original budget from Month 9 to outturn comprise:

### **CYP**

- Virement 1 – Transfer of CYP Support Services Manager to Property Services (£57,679) cr

**R&C**

- Virement 1 – Transfer of CYP Support Services Manager to Property Services 57,679 dr
- Virement 2 – Movements between Capital and Revenue mis-postings £307,170 dr
- Virement 3 – Up-front Business Savings for Fuel Saving technology £40k dr and Commercial Sector £5k dr
- Virement 5 – Invest to Redesign initiatives funded from Reserves £62,341 dr

**CEO**

- Virement 4 – Transfer of Fees & Charges income budget to Local Land Charges (£12k) cr

**Corporate**

- Virement 4 – Transfer of Fees & Charges income budget to Local Land Charges £12k dr

**Appropriations**

- Virement 2 – Movements between Capital and Revenue mis-postings (£307,170) cr
- Virement 3 – Up-front Business Savings Investments for Fuel Saving technology (£40k) cr and Business Support to the Commercial Sector (£5k ) cr
- Virement 5 – Invest to redesign initiatives funded from Reserves (£62,341) cr

**Budget Revisions**

There have been no budget revisions.

### Appendix 3 – Carry forward reserves from 2013/14 to use in 2014/15

Reserve name	Specific Initiative	Amount £s
Invest to redesign	Museum income generation	27,000
	Highways Street scene Systems review	92,000
	HGVs fuel saving technology	40,000
	Business support to commercial sector	5,000
	Public Health in house delivery	13,000
	HR restructure	45,000
Capital receipt generation reserve	Fixed asset disposal	99,000
Priority Investment Reserve	IT Technicians in schools	28,000
	CYP Development Fund	200,000
	Raising Education Standards	130,000
	Local Development Plan	28,000
Restricted use reserve	Education Advisory Service 2013-14 underspend	69,000
<b>Total</b>		<b>776,000</b>

## Appendix 4 : The “Equality Initial Challenge”

Name: Joy Robson Service area: Central Finance Date completed: 20 <sup>th</sup> May 2014		Please give a <b>brief description</b> of what you are aiming to do.  Reporting of the Revenue budget forecast statement 2013/14 at Outturn, and specifically endorsement of the use of highlighted reserves as part of 2014-15 budget	
Protected characteristic	Potential <b>Negative</b> impact  Please give details	Potential <b>Neutral</b> impact  Please give details	Potential <b>Positive</b> Impact  Please give details
Age			The proposals identify £399,000 anticipated resource usage in respect of child education during 2014-15.
Disability		Neutral	
Marriage + Civil Partnership		Neutral	
Pregnancy and maternity		Neutral	
Race		Neutral	
Religion or Belief		Neutral	
Sex (was Gender)		Neutral	
Sexual Orientation		Neutral	
Transgender		Neutral	
Welsh Language		Neutral	



Please give details about any potential <b>negative Impacts</b> .	How do you propose to <b>MITIGATE</b> these <b>negative impacts</b>
➤ <i>NONE</i>	➤
➤	➤
➤	➤
➤	➤

**Signed J Robson      Designation      Head of Finance (Section 151 Officer)**

**Dated      20<sup>th</sup> May 2014**

## EQUALITY IMPACT ASSESSMENT FORM

<b>What are you impact assessing</b>	<b>Service area</b>
Revenue Outturn Report 2014/15	Central Finance
<b>Policy author / service lead</b>	<b>Name of assessor and date</b>
Joy Robson	D Jarrett 20 <sup>th</sup> May 2014

### 1.What are you proposing to do?

Reporting of the Revenue Outturn Position for 2014-15 to Cabinet and Members  
Recommending reserve funding be utilized to progress particular initiatives

2. Are your proposals going to affect any people or groups of people with protected characteristics in a **negative** way? If **YES** please tick appropriate boxes below.

Age	No	Race	No
Disability	No	Religion or Belief	No
Gender reassignment	No	Sex	No
Marriage or civil partnership	No	Sexual Orientation	No
Pregnancy and maternity	No	Welsh Language	No

3. Please give details of the negative impact

No Negative consequences towards any groups with protected characteristics

4. Did you take any actions to mitigate your proposal? Please give details below including any consultation or engagement.

N/A

5. Please list the data that has been used to develop this proposal? eg Household survey data, Welsh Govt data, ONS data, MCC service user data, Staff personnel data etc..

Revenue Outturn Report

**Signed** D Jarrett...**Designation**...Central Finance Management Accountant.....**Dated**.....20<sup>th</sup> May 2014.....

## The “Sustainability Challenge”

<b>Name of the Officer</b> completing “the Sustainability challenge” <b>Joy Robson</b>		Please give a <b>brief description</b> of the <b>aims</b> proposed policy or service reconfiguration  <b>Review of the Revenue Outturn Report for 2014-15</b>	
<b>Name</b> of the Division or service area  <b>Central Finance</b>		<b>Date</b> “Challenge” form completed  <b>20th May 2014</b>	
Aspect of sustainability affected	<b>Negative impact</b>  <b>Please give details</b>	Neutral impact  <b>Please give details</b>	<b>Positive Impact</b>  <b>Please give details</b>
<b>PEOPLE</b>			
Ensure that more people have access to healthy food		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Improve housing quality and provision		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Reduce ill health and improve healthcare provision		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Promote independence		No impact as report is used to analysis budgetary performance of approved MCC policies and	

		Procedures	
Encourage community participation/action and voluntary work		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Targets socially excluded		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Help reduce crime and fear of crime		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Improve access to education and training		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Have a positive impact on people and places in other countries		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
<b>PLANET</b>			
Reduce, reuse and recycle waste and water		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Reduce carbon dioxide emissions		No impact as report is used to analysis budgetary performance of approved MCC policies and	

		Procedures	
Prevent or reduce pollution of the air, land and water		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Protect or enhance wildlife habitats (e.g. trees, hedgerows, open spaces)		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Protect or enhance visual appearance of environment		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
<b>PROFIT</b>			
Protect local shops and services		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Link local production with local consumption		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Improve environmental awareness of local businesses		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Increase employment for local people		No impact as report is used to analysis budgetary performance of approved MCC policies and	

		Procedures	
Preserve and enhance local identity and culture		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Consider ethical purchasing issues, such as Fairtrade, sustainable timber (FSC logo) etc		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	
Increase and improve access to leisure, recreation or cultural facilities		No impact as report is used to analysis budgetary performance of approved MCC policies and Procedures	

What are the potential negative Impacts	Ideas as to how we can look to <b>MITIGATE</b> the <b>negative impacts</b> (include any reasonable adjustments)
➤ <b>None,</b>	➤
➤	➤
➤	➤
➤	➤

## The next steps

Version - March 2014



- If you have assessed the proposal/s as having a **positive impact please give full details** below

No positive impact as a result of the production of the report

- If you have assessed the proposal/s as having a **Negative Impact** could you please provide us with details of what you propose to do to mitigate the negative impact:

No negative impact as a result of the production of the report

**Signed**

**M Howcroft**

**Dated 20<sup>th</sup> May 2014**

## APPENDIX 5 2013/14 Budgeted Savings progress at Outturn

DIRECTORATE	Saving included in 2013/2014 Budget £'000	Savings achieved £000s	Delayed savings £000s	Shortfall / (Surplus)
CYP	645	385	160	100
SCH	395	395	0	0
R&C	1,900	1,655	122	123
CEO	155	155	0	0
CORPORATE	1,157	1,057	100	0
<b>Total Budgeted Savings 2013-14</b>	<b>4,252</b>	<b>3,647</b>	<b>382</b>	<b>223</b>

**SUBJECT: CAPITAL OUTTURN REPORT 2013/14**

**MEETING: Cabinet**

**DATE: 4<sup>th</sup> June 2014**

**DIVISION/WARDS AFFECTED: Countywide**

**1. PURPOSE:**

- 1.1 The purpose of this report is to present the draft capital outturn expenditure for 2013/14 compared to the total budget for the year. The report identifies and provides explanations for variances against budget and the funding implications of the draft outturn position. The report also recommends slippage to be carried forward into 2014/15. Members are asked to note that the figures provided may be subject to change during the audit process.

**2. RECOMMENDATIONS:**

- 2.1 It is recommended that Members receive the information in this report regarding the draft capital outturn position for 2013/14.
- 2.2 It is recommended that Members approve the slippage schedule as identified in Appendix 6, to allow it to be subsequently incorporated into the Authority's capital programme for 2014/15 and beyond.
- 2.3 It is recommended that Members approve the planned financing position as in Table 1, which includes the previously unfinanced overspends of £216,000 being funded from capital receipts.

**3. KEY ISSUES:**

**Overall Summary**

- 3.1 The capital year-end position for 2013/14 is as follows:

- 64% of the approved capital budget was committed by the end of the year (63% in 2012/13), (49% at month 10)
- A net under spend of £271,000.

- £10,991,000 of the budget is recommended to be slipped into 2014/15 (£12,216,000 in 2012/13), (£10,149,000 at month 10)
- Due to the under spend there is a reduced financing call principally on capital receipts (£272,000) offset by grant financing (£1,000).
- Capital receipts received in the year are £154,000 higher than originally forecast in the 2013-17 MTFP. This is mainly due to the bringing forward of one receipt from the 2014/15 financial year.
- The Total useable Council fund and Education fund capital receipts available at the end of 2013/14 are greater than forecast in the 2013/17 MTFP by £2,775,000. This is mainly due to slippage of £2,957,000 of projects that are due to be financed by capital receipts into 2014/15 plus a reduction in budgeted set aside (£1,000,000) offset by a lower receipts balance brought forward (£1,184,000).

3.2 Though it is pleasing to note a net under spend on the current year programme, Members need not be surprised that the forward outlook remains challenging. The forward programme is very much dependent on capital receipt generation, against which there continues to be significant risk, and success in receiving grant awards under the 21<sup>st</sup> Century Schools programme.

Table 1: Capital Programme 2013/14 – Outturn Summary

<b>Scheme Category</b>	<b>Capital Outturn</b>	<b>Revised Budget</b>	<b>Slippage C/F</b>	<b>Adjusted Budget (Reduced by Slippage)</b>	<b>Over/ (Under) Spend</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
Asset Management Schemes	3,727	4,921	1,036	3,886	(159)
School Development Schemes	3,364	6,053	2,553	3,499	(136)
Infrastructure and Transport Schemes	4,612	5,292	732	4,560	52
Regeneration Schemes	5,803	10,803	5,190	5,612	191
Sustainability Schemes	275	303	29	274	1
County Farms Schemes	219	577	258	320	(100)
Inclusion Schemes	932	1,302	373	930	2
ICT Schemes	487	1,064	565	499	(12)
Other Schemes	233	488	256	233	0
Unallocated 12.13 Slippage	0	108	0	108	(108)
<b>TOTAL</b>	<b>19,650</b>	<b>30,912</b>	<b>10,991</b>	<b>19,920</b>	<b>(271)</b>

<b>Financing Stream</b>	<b>Amount to be Financed</b>	<b>Revised Financing Budget</b>	<b>Slippage Financing C/F</b>	<b>Adjusted Financing Budget (Reduced by Slippage)</b>	<b>Increased / (Reduced) Financing</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
Supported Borrowing	2,325	2,325	0	2,325	0
General Capital Grant	1,420	1,420	0	1,420	0
Grants and Contributions	1,689	1,741	53	1,688	1
S106 Contributions	229	784	555	229	0
Insurance Settlement Income	1,970	1,970	0	1,970	0
Unsupported Borrowing	10,363	17,073	6,710	10,363	0
Earmarked Reserve & Revenue Funding	315	971	656	315	0
Capital Receipts	1,339	4,568	2,957	1,611	(272)
Low Cost Home Ownership	0	60	60	0	0
<b>Total</b>	<b>19,650</b>	<b>30,912</b>	<b>10,991</b>	<b>19,920</b>	<b>(271)</b>

**Memorandum - Vehicle Replacement Programme:**

Vehicle Purchases 1,454

*Financed by:*

Unsupported Borrowing 736  
Lease drawdown - sale and leaseback 671  
Grass Routes Buses Reserve 47

**Main Over and Under spends**

- 3.6 Against a total approved budget of £30,912,000, £19,650,000 or 63% was committed in the year.
- 3.7 Schemes totalling £10,991,000 (36% of total approved budget) are being recommended for slippage approval and there is a resultant under spend of £271,000 (1.4%) against the adjusted budget of £19,921,000.
- 3.7 The under spend of £271,000 can be principally attributed to the following notable variances:

- County Farms maintenance - An under spend at outturn of £100,000 as one scheme to vacate a property is no longer going ahead
- County Hall demolition project is underspending by £152,000, this scheme is jointly funded with TCBC so the net underspend to MCC is £76,000
- The new school at Caldicot Green Lane has underspent by £71,000 due a favourable final settlement with the main contractor
- The Brewery Yard development scheme has underspent by £28,000 due one grant funding scheme no longer being pursued
- Surplus financing slipped from 2012/13 and not utilised in 2013/14 of £108,000

Offset by:

- The Abergavenny Regeneration scheme including legal costs relating to the new cattle market site (£216,000)

- 3.1 Two schemes in the 2013/14 programme are forecasting unbudgeted pressures outside the current financial year which are expected to require financing. The unused financing resulting from the net under spends identified in this report could be applied to cover or part cover these shortfalls should they materialize. Details of the pressures are as follows:  
Additional legal costs and a potential compensation payment included within the Abergavenny regeneration project relating to the Shooting Rights at High House Farm. There is a possibility that this may be a very significant sum, but as the outcome is highly unpredictable a monetary figure cannot be put on this potential liability at present. A Cabinet report will be presented to approve this additional financing once the situation is clearer. An over spend of £82,000 is also anticipated in later years for legal costs in addition to the compensation potentially payable in relation to shooting rights.
- Additional cost pressures to the Caldicot 3g pitch scheme circa £60,000, resulting from the 2 year delay, which has been caused in part by the unanticipated need to undertake sewer diversion works. A Cabinet report was presented on the 2<sup>nd</sup> April 2014 to request this additional funding.

A detailed explanation of the main under and over spends, together with movements from month 10, are provided in Appendix 1.

### **Proposed Slippage into 2014/15**

- 3.2 Year-end slippage amounts to £10,991,000 (£12,216,000 in 2012/13). £4,400,000 (40.0%) of this slippage results from events that were outside the control of the budget holder. The most notable of the slippage requests are:

Proposed New Abergavenny Library - £3,433,000 (Authority Controllable)

21<sup>st</sup> Century Schools - £1,702,000 – (Authority Controllable)

Section 106 Schemes - £998,000 – (Various)

Property Maintenance Schemes - £657,000 – (Various)

New Thornwell Primary - £598,000 – (Authority Controllable)

Caerwent House Major Repairs - £300,000 – (Third Party)

Carriageway Resurfacing - £268,000 – (Third Party)

- 3.3 The level of slippage requested increased by £842,000 from month 10 monitoring when total slippage of £10,149,000 had been identified.
- 3.4 The 8 schemes highlighted above account for 65% of the slippage. In other areas, over optimistic expectations of spending within the year have contributed to the level of slippage.
- 3.5 Though a proportion of the increase in slippage from month 10 to outturn has occurred as a result of events that have taken place since month 10, this is not the case for all slippage requested at outturn. As has been the case in previous years, a review will be undertaken to ascertain improvements that need to be made in overall project and financial management to ensure that slippage is more accurately reported during the year. The results of this review will initially be reported to the Capital Working Group.
- 3.6 The 2013/14 capital programme consisted of 201 individual projects. 117 (58%) of these projects were completed by the end of the financial year with 84 (42%) requiring slippage. This compares with the 2012/13 financial year where 144 (64.0%) of the 226 projects required slippage.

### **Financing the Outturn Position**

- 3.7 The capital expenditure requiring financing amounts to £19,650,000, and is illustrated together with the proposed financing of this expenditure in table 1 above. The under spend at outturn of £271,000 requires a corresponding net reduction in financing in 2013/14.
- 3.8 Variances in capital financing against budget and as a result of the reduced financing requirement can be principally summarised as follows:
  - A reduced call on capital receipts of £272,000, resulting from under spends on the capital programme that do not have other specific funding sources (£488,000), offset by the funding of unfinanced over spends (£216,000) that have arisen at outturn

- Additional grant financing of £1,000

3.9 Further information is provided in appendix 5.

### Useable Capital Receipts Available

3.10 In table 2 below, the effect of the changes to the forecast capital receipts on the useable capital receipts balances available to meet future capital commitments is shown. This is also compared to the balances forecast within the 2013/17 MTFP capital budget proposals.

Table 2: Movement in Available Useable Capital Receipts Forecast

<b>TOTAL RECEIPTS</b>	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>2016/17</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
Balance b/f 1 <sup>st</sup> April	6,552	7,853	16,141	29,533
Receipts received / forecast in year	2,529	22,083	13,556	4,000
Castlewood Properties	105	0	0	0
Deferred Capital Receipts	5	4	4	4
Less: Set aside Capital Receipts	0	(10,452)	0	0
Less: Receipts to be applied	(1,339)	(3,346)	(167)	(167)
<b>TOTAL Actual / Estimated balance c/f 31<sup>st</sup> March</b>	<b>7,853</b>	<b>16,141</b>	<b>29,533</b>	<b>33,369</b>
<b>TOTAL Estimated balance reported in 2013/17 MTFP Capital Budget proposals</b>	<b>5,078</b>	<b>16,990</b>	<b>33,526</b>	<b>33,362</b>
<b>Increase / (Decrease) compared to MTFP Capital Receipts Forecast</b>	<b>2,775</b>	<b>(849)</b>	<b>(3,993)</b>	<b>7</b>

3.11 With regards to total Capital receipts, the above table illustrates that, based on:

- The 2013/14 outturn;
- The capital receipts forecast; and
- The capital budgets in place for 2013/17,



There will be a balance of available receipts at the end of the MTFP window of £33,369,000 (£32,165,000 at month 10). This is an increase of £7,000 compared to the MTFP, which is due to:

- An increase in the total forecast receipts (£449,000)
- A reduction in planned set aside as the related Capital receipt did not materialize (£1,000,000)

Offset by

- An increase in forecast applied receipts (£258,000)
- Decreased receipts brought forward at 31 March 2012 (£1,184,000)

However, as is shown below this is also very much dependent on the capital receipts forecasts provided materializing which in itself is a significant risk. To that extent the balance of total useable capital receipts at the end of 2014/15, currently £16,141,000, and other future year balances should be closely monitored.

3.12 Furthermore, the above forecast of available useable capital receipts does not take account of the following future pressures that have yet to receive formal Cabinet approval:

- The additional Authority contribution towards the 21<sup>st</sup> Century Schools programme.
- Any further ICT capital bids that may be required under the new ICT strategy.
- Any pressures anticipated in 2014/15 relating to the completion of schemes in the current year programme noted in this report.

#### **4. REASONS:**

4.1 The information contained in the report is the final stage of capital budget monitoring for 2013/14. The report and appendices have been compiled following detailed one-to-one discussions with Capital Budget Holders and through bi-monthly directorate capital monitoring group meetings.

4.2 Chief Officers are to continue in ensuring that capital budget holders undertake effective and timely project and financial management to ensure that reliable and timely forecasts are provided, forecast over and under spends are communicated at the earliest opportunity and best endeavours are taken to ensure that capital slippage only results from events that fall outside of the authority's control.

#### **5. RESOURCE IMPLICATIONS**

5.1 As outlined in the body of the report and the adjoining appendices.

**6. SUSTAINABLE DEVELOPMENT AND EQUALITY IMPLICATIONS:**

6.1 This report is essentially a monitoring report and as such does not have any sustainable development or equality implications. However, the decision to slip capital budgets into the following financial year has been assessed in the attached EIA screening form (appendix 7) with no resultant significant equality implications.

**7. CONSULTEES:**

Senior Leadership Team  
All Cabinet Members  
Head of Legal Services  
Head of Finance  
Capital Working Group Members

**8. BACKGROUND INFORMATION:**

Appendix 1 Explanation of over and under spends  
Appendix 2 Slippage Summary  
Appendix 3 Capital Receipts  
Appendix 4 Movement from Original to Revised Budget  
Appendix 5 Capital Financing Summary  
Appendix 6 Detailed Analysis of Slippage Requests  
Appendix 7 Equality Impact Assessment

**9. AUTHOR:**

Joy Robson - Head of Finance

**10. CONTACT DETAILS:**

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## 1. EXPLANATION OF OVER & UNDER SPENDS

1.1 Table 3 below summarises the outturn variances and compares them with the variances forecast at month 10:

Table 3: Capital Programme 2013/14 – Summary Outturn Position (Excluding Vehicle Replacement)

<b>Scheme Type</b>	<b>Actual Outturn</b>	<b>Adjusted Revised Budget</b>	<b>Over/ (Under) Spend</b>	<b>Forecast Over/ (Under) Spend at Month 10</b>	<b>Variance Increase/ (Decrease)</b>
	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>
Asset Management Schemes	3,727	3,886	(159)	(97)	(62)
School Development Schemes	3,364	3,499	(136)	(22)	(114)
Infrastructure and Transport Schemes	4,612	4,560	52	0	52
Regeneration Schemes	5,803	5,612	191	218	(27)
Sustainability Schemes	275	274	1	0	1
County Farms Schemes	219	320	(100)	3	(103)
Inclusion Schemes	932	930	2	2	0
ICT Schemes	487	499	(12)	(87)	75
Other Schemes	233	233	0	23	(23)
Surplus Finance Slipped 12/13 to 13/14	0	108	(108)	(108)	0
<b>Total</b>	<b>19,650</b>	<b>19,920</b>	<b>(271)</b>	<b>(68)</b>	<b>(202)</b>

1.2 The main schemes contributing to the under spend of £271,000 are as follows:

## 1.2.1 Asset Management schemes

### Property Maintenance

Property Maintenance schemes have balanced to budget at outturn, (as forecast at month 10). However, the following variances within the division are of note:

#### a) Electrical Services

An under spend of £19,000 in the electrical services section. This is mainly attributable to an under spend of £13,000 on the Mardy Park upgrade to energy efficient lighting scheme due to competitive tendering, an under spend of £10,000 on the St Mary's RC Primary upgrade fire detection and emergency lighting scheme due to the re-utilisation of redundant equipment from a closed building. Offset by an over spend of £5,000 on the replacement of light fittings schemes due to the need to purchase additional lamps.

#### b) External Areas

An over spend of £20,000 in the external areas section mainly due to an overstated accrual.

#### c) External Walls, Doors and Windows

An over spend of £39,000 in the external walls, doors and windows section. This is mainly due to an over spend of £36,000 on the Chepstow Comprehensive, timber windows repair scheme. Upon commencement of the project additional emergency works were identified due to unforeseen dangerous structures.

#### d) Internal Walls and Doors

An under spend of £15,000 in the Internal Walls and Doors section. This is attributable to a £5,000 under spend on the Hilston Park refurbish shower and changing rooms scheme, an under spend of £5,000 on the upgrade fire doors and screens scheme where final contractor invoices were lower than the accrual. In addition an under spend of £5,000 was achieved on the Abergavenny Market wall penetration scheme where a more economic repair solution was found.

#### e) Mechanical Services

An overall under spend of £50,000 in the Mechanical Services section. This is mainly attributable to a £15,000 under spend on the Ysgol Y Ffin boiler replacement and kitchen heating scheme due to a revised scope of works and contingency not being

required; an under spend of £9,000 on the Tudor Street boiler replacement scheme due to contingency and day works not being required and an under spend of £9,000 on the St Mary's RC Primary school boiler replacement scheme due to competitive tendering. The balance is the total of several other small under spends on heating or air conditioning system works mainly due to competitive tendering.

#### **f) Roofs**

An over spend of £13,000 in the Roofs section mainly attributable to a £10,000 over spend on the Caldicot Castle repairs to roof and stonework scheme due to the requirement to undertake additional health and safety works to walls of tower adjacent to moat.

#### **g) Ceilings**

An over spend of £12,000 in the Ceilings section where Osbaston Primary replacement of suspended ceilings scheme over spent by £16,000. Upon commencement of the project, additional works were identified over and the above the initial budget allocation. Offset by an under spend of £4,000 on the Monmouth Leisure Centre replace ceiling with anti-vandal system scheme.

### **County Hall Demolition and Remodelling**

The County Hall demolition and remodelling scheme under spent by £152,000 at outturn (£95,000 under spend forecast at month 10). The under spend is attributable to competitive tendering and a reduced contingency requirement. The increased under spend is partly due to a reduction in property services fees charged to the scheme. The month 10 forecast included a fee estimate over and above the level agreed with Torfaen CBC. The increase in under spend is also due to a reduction in the forecast cost for works to deal with flooding of the police access road.

The scheme is joint funded between Monmouthshire and Torfaen which results in a net forecast under spend to Monmouthshire of £76,000 for 2013/14.

### **1.2.2 School Development schemes**

School Development schemes have under spent by £136,000 at outturn, compared to a £22,000 under spend forecast at month 10.

#### **a) New Caldicot Green Lane**

The scheme has under spent by £71,000 (not reported at month 10). At month 10, the scheme was forecasting an overall under spend due to a favourable final settlement with main contractor which was then vired to the 21<sup>st</sup> Century Schools project. At outturn an additional £71,000 under spend has materialised due to an overstated retention value being included in the month 10 forecast. There has been no request to vire the additional sum to 21<sup>st</sup> Century Schools.

**b) Caldicot Castle Park Remodelling**

The scheme is complete and has achieved an under spend of £24,000 due to a favourable final settlement. (£9,000 reported at month 10)

**c) Rogiet Primary**

The scheme is complete and has achieved an under spend of £16,000 due to a favourable final settlement. (Not reported at month 10)

**d) Pembroke Primary (Major Extension)**

The post occupancy review has now been completed. The overall cost of works was lower than remaining budget allocation resulting in an under spend of £16,000. (Not reported at month 10)

The balance relates to other minor under spends on completed projects within this division.

**1.2.3 Infrastructure and Transport schemes**

Infrastructure and Transport schemes have over spent by a net amount of £52,000 at outturn, which was not reported at month 10.

This is made up of additional expenditure, mainly relating to the Blake Street Wyesham flood alleviation scheme (£65,000) which will be financed by unbudgeted grant funding of £65,000, offset by a surplus of £13,000 which relates to the Monmouth Safe Routes in the Communities Initiatives 2012/13 where the final cost of works was less than the accrual.

**1.2.4 Regeneration schemes**

Regeneration schemes have over spent at outturn by £191,000, compared to a £218,000 over spend forecast at month 10.

### **a) Abergavenny Regeneration**

The Old Abergavenny cattle market regeneration scheme over spent by £216,000 at outturn. (£247,000 forecast at month 10)

A very significant claim has been lodged against the council for the loss of shooting rights at High House Farm. This will be subject to a preliminary hearing to determine the correct legal interpretation of relevant case law in June 2014. This hearing will determine the outcome for a significant proportion of this claim. Legal advice has been provided to the Council but the final outcome remains highly unpredictable as does the amount of compensation payable. In 2013/14 costs will be incurred for:

- 1) Legal and expert advice relating to the compensation claim for shooting rights
- 2) To achieve a cleared site with vacant possession for Morrisons
- 3) Conclusion of negotiations with existing tenants.

An over spend of £82,000 is also anticipated in later years for legal costs in addition to the compensation potentially payable in relation to shooting rights.

### **b) Brewery Yard Development**

The Brewery Yard Development scheme under spent by £28,000 at outturn. (As reported at month 10)

The owner of Oasthouse is now unlikely to proceed with the renovation scheme resulting in a reduced call on the balance of slippage brought forward. The deadline for the owner to claim the grant from the Authority has lapsed and there has been no contact from them.

## **1.2.5 County Farms schemes**

### **County Farms maintenance**

This section has under spent by £100,000 at outturn, one scheme to vacate a property which was anticipated to cost in the region of £100,000 is no longer going ahead. (Not reported at month 10)

### **1.2.6 ICT Schemes**

This section has under spent by £12,000. The under spend relates to the ARC project which was completed in year with a total project cost lower than original budget estimate.

### **1.2.7 Surplus Finance Slipped from 2012/13**

A surplus of £108,000 remains at outturn. This is due to the slippage brought forward as a result of the late receipt of 2012/13 Welsh Government education maintenance grant. The grant was successfully claimed in 2012/13 as the Authority had already incurred sufficient maintenance expenditure to meet the conditions of the grant. The £108,000 surplus finance was not allocated in 2013/14 and therefore contributes to the reduced call on Capital receipts being recommended as part of this report. These capital receipts will therefore be available if required to financing major capital pressures identified elsewhere in this report should there be no other financing options available. (Reported at month 10)

#### ***Note: Memorandum Item – Vehicle Replacement Programme***

A budget of £1,700,000 was held for the purchase, sale and leaseback arrangements for vehicle replacement. Reporting of progress is excluded in this report due to the nature of the expenditure.



**2. 2013/14 SLIPPAGE SUMMARY**

- 2.1 The total slippage requested from the 2013/14 capital programme into the 2014/15 capital programme is £10,991,000. This represents 36% of the revised capital budget for 2013/14 of £30,912,000. This compares with the approved 2012/13 slippage of £12,216,000 which was 36% of the revised budget for 2012/13 of £34,342,000.
- 2.2 The table below analyses the schemes with slippage requested by scheme category and compares the level of slippage with that estimated at month 10:

Table 4: Capital Programme 2013/14 – Analysis of 2013/14 Slippage

Scheme Type	Approved Slippage c/f	Provisional Slippage	Slippage Requested	Slippage Increase/ (Decrease)
	Year End	Month 10	Year End	
	2012/13	2013/14	2013/14	
	£000's	£000's	£000's	£000's
Asset Management Schemes	1,049	1,026	1,035	9
School Development Schemes	2,422	2,349	2,553	204
Infrastructure and Transport Schemes	592	383	732	349
Regeneration Schemes	6,746	5,190	5,190	0
Sustainability Schemes	0	0	29	29
County Farms Schemes	294	351	258	(93)
Inclusion Schemes	(92)	447	373	(74)
ICT Schemes	114	388	565	177
Other Schemes	68	15	256	241
<b>Comparative Totals</b>	<b>12,216</b>	<b>10,149</b>	<b>10,991</b>	<b>842</b>

- 2.3 The cause of the requirement for the slippage of £10,991,000 can be analysed into three categories:

Third Party  
 Authority – Controllable by Budget Holder

## Authority – Uncontrollable by Budget Holder

Cause of Slippage	Number of Schemes	Slippage (£)
Third Party	34	2,325,000
Authority - Controllable	23	6,639,000
Authority - Uncontrollable	27	2,027,000
	<b>84</b>	<b>10,991,000</b>

## 2.4 Explanation of Slippage Requests

Details of all the slippage requests, together with reasons are provided in appendix 6. The following major slippage requirements in the 2013/14 capital programme are to be noted:

### 2.4.1 Asset Management Schemes

Total slippage of £1,035,000 is proposed for 19 schemes which is £9,000 more than the provisional slippage reported at month 10, and can be summarised as follows:

Scheme	Slippage Proposed £	Slippage Month 10 £
Property Maintenance (10 Schemes)	657,000	630,000
Car Park Granville and Wyebridge Street	200,000	200,000
County Hall Demolition and Remodelling	56,000	50,000
Upgrade School Kitchens	44,000	50,000
Raglan Depot Car Park	35,000	35,000
Car Park, Riverside	15,000	0
Itton Common Sewerage Treatment Plant	10,000	0
Caldicot Castle SW Tower Roof and Stone Works	9,000	7,000
Drainage Works at Caldicot School and LC Site	7,000	54,000
County Hall Replacement	3,000	0
	<b>1,035,000</b>	<b>1,026,000</b>

## 2.4.2 School Development Schemes

Total slippage of £2,553,000 is proposed for 7 schemes which is £204,000 more than the provisional slippage reported at month 10, and can be summarised as follows:

<b>Scheme</b>	<b>Slippage Proposed £</b>	<b>Slippage Month 10 £</b>
21 <sup>st</sup> Century Schools	1,702,000	1,542,000
New Thornwell Primary	598,000	575,000
ESR: Access For All	127,000	127,000
New Caldicot Green Lane	50,000	50,000
New Raglan Primary	46,000	25,000
Rogiet Primary	15,000	15,000
Caldicot Castle Park (St Mary's Remodel)	15,000	15,000
	<b>2,553,000</b>	<b>2,349,000</b>

## 2.4.3 Infrastructure and Transport Schemes

Total slippage of £732,000 is proposed for 10 schemes which is £349,000 more than the provisional slippage reported at month 10, and can be summarised as follows:

<b>Scheme</b>	<b>Slippage Proposed £</b>	<b>Slippage Month 10 £</b>
<i>Infrastructure maintenance schemes:</i>		
Carriageway Resurfacing	268,000	0
Bridges and Retaining Walls	122,000	0
Safety Fences	103,000	103,000
Accessibility Enhancements	73,000	184,000
Structural Repairs – PROW	52,000	52,000
Signing Upgrades and Disabled Facilities	51,000	0
Parking Studies	32,000	44,000
Road Safety and Traffic Management	21,000	0
Implementation and Review of TRO's	10,000	0
<i>Specific grant funded schemes:</i>		
Tidy Towns	1	0
	<b>732,000</b>	<b>383,000</b>

#### 2.4.4 Regeneration Schemes

Total slippage of £5,190,000 is proposed for 26 schemes which is equal to the provisional slippage reported at month 10, and can be summarised as follows:

<b>Scheme</b>	<b>Slippage Proposed £</b>	<b>Slippage Month 10 £</b>
Proposed New Abergavenny Library	3,433,000	3,424,000
Section 106 (10 Schemes)	998,000	961,000
Caerwent House Major Repairs	300,000	300,000
Replacement Cattle Market	226,000	300,000
Rural Development Plan (9 Schemes)	182,000	157,000
Shire Hall (Furniture and Equipment)	17,000	17,000
Brewery Yard Development	13,000	13,000
Woodstock Way Linkage Schemes	11,000	9,000
Improve Income Generation –Museums	10,000	10,000
	<b>5,190,000</b>	<b>5,190,000</b>

#### 2.4.5 County Farms Schemes

Total slippage of £258,000 is proposed for 2 schemes which is £93,000 less than the provisional slippage reported at month 10, and can be summarised as follows:

<b>Scheme</b>	<b>Slippage Proposed £</b>	<b>Slippage Month 10 £</b>
County Farms Maintenance	237,000	344,000
County Farms Asset Disposal Costs	21,000	7,000
	<b>258,000</b>	<b>351,000</b>

#### 2.4.6 Inclusion Schemes

Total slippage of £373,000 is proposed for 3 schemes which is £74,000 less than the provisional slippage reported at month 10, and can be summarised as follows:

<b>Scheme</b>	<b>Slippage Proposed £</b>	<b>Slippage Month 10 £</b>
Access For All	224,000	237,000
Disabled Facilities Grants	89,000	150,000
Low Cost Home Ownership	60,000	60,000
	<b>373,000</b>	<b>447,000</b>

## 2.4.7 ICT Schemes

Total slippage of £565,000 is proposed for 12 schemes, which is £177,000 more than provisional slippage reported at month 10, and can be summarised as follows:

<b>Scheme</b>	<b>Slippage Proposed £</b>	<b>Slippage Month 10 £</b>
CRM	147,000	147,000
Agile Working	57,000	29,000
Highways Asset Management and Road System	50,000	47,000
Replace Central Storage Devices	49,000	0
Upgrade Agresso System	48,000	31,000
Improve Physical and Virtual Access Museums	44,000	40,000
Internet/Intranet Functionality	40,000	39,000
Purchase of Sharepoint and Active Directory Licences	39,000	0
Land Charges M3 System	36,000	32,000
SIMS Development Costs	21,000	10,000
Replacement of Video Conferencing Facility	20,000	0
Provision of online facilities – Revenue's	13,000	13,000
	<b>565,000</b>	<b>388,000</b>

#### 2.4.8 Other Schemes

Total slippage of £256,000 is proposed for 3 schemes which is £241,000 more than the provisional slippage reported at month 10, and can be summarised as follows:

<b>Scheme</b>	<b>Slippage Proposed £</b>	<b>Slippage Month 10 £</b>
Non County Farms Fixed Assets Disposal Costs	224,000	15,000
Area Management	16,000	0
Cemeteries Investigations	16,000	0
	<b>256,000</b>	<b>15,000</b>

#### 2.4.9 Sustainability Schemes

Total Slippage of £29,000 is proposed for 1 scheme which is £ 29,000 more than the provisional slippage reported at month 10, and can be summarised as follows:

<b>Scheme</b>	<b>Slippage Proposed £</b>	<b>Slippage Month 10 £</b>
PV Scheme – Usk Primary	29,000	0
	<b>29,000</b>	<b>0</b>

**3. CAPITAL RECEIPTS**

**Capital Receipts received at Outturn – comparison to MTFP**

3.1 In table 5 below, the 2013/14 actual capital receipts and the forecast capital receipts for 2014/15 to 2016/17 at outturn have been compared to the MTFP capital receipts forecast presented in the capital budget proposals approved by Cabinet on 13<sup>th</sup> February 2013.

Table 5: 2012/13 Outturn Capital Receipts forecast for 2012/13 to 2015/16 – comparison to MTFP 2012/16 capital receipts forecast

	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>2016/17</b>	<b>Total</b>
	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>	<b>£000's</b>
Education Receipts	163	1,747	9,306	0	11,216
County Farms Receipts	1,749	565	100	0	2,414
General Receipts	127	17,520	0	0	17,647
Strategic Accommodation Review	490	1,500	150	0	2,140
Dependent on Outcome of LDP	0	750	4,000	4,000	8,750
<b>Total</b>	<b>2,529</b>	<b>22,082</b>	<b>13,556</b>	<b>4,000</b>	<b>42,168</b>
MTFP Capital Receipts Forecast	2,375	22,750	16,700	0	41,825
<b>Increase / (Decrease) compared to 2012/16 MTFP Capital Receipts Forecast</b>	<b>154</b>	<b>(667)</b>	<b>(3,144)</b>	<b>4,000</b>	<b>343</b>

3.2 The Capital receipts received in 2013/14 totaled £2,529,000, an increase of £128,000 from £2,401,000 forecast at month 10. Receipts received during 2013/14 become available for financing current and future years' capital programmes.

3.3 The expected total forecast Council fund and Education capital receipts for the year from the MTFP approved by Cabinet in February 2013 was £2,375,000. At outturn, this has increased by £154,000 compared to £26,000 at month 10, the movement primarily being due to the bringing forward of one receipt from the 2014/15 financial year.

3.4 Total forecast receipts for 2013/14 to 2016/17 have increased compared to the MTFP capital receipts forecast by £343,000 (a decrease of £688,000 at month 10). This is mainly as a result of:

- A net decrease in the forecast receipt values (£845,000). This includes a reduction in the forecast receipt value of £2,250,000 for one LDP site offset by an increase in the forecast receipt values for two significant disposals (£1,356,000) now that the conditional exchange and exchange stages have been reached.
- Actual or forecast receipts for twelve assets which were not forecast as part of the MTFP (£1,847,000).
- Eight receipts which were previously forecast for 2012/13 were delayed and are now being forecast in the MTFP window (£1,590,000)

Offset by:

- Receipts relating to one LDP site which is not currently expected to go ahead (£250,000) and receipts relating to two LDP sites which have been delayed beyond the MTFP window (£2,000,000).

3.5 All of the sales have obtained Member approval as part of budget setting through Council or through separate Cabinet reports being considered.

### Useable Capital Receipts Available

3.6 In table 6 below, the effect of the changes to the forecast total Council Fund and Education capital receipts on the useable capital receipts balances available to meet future capital commitments is shown. This is also compared to the balances forecast within the 2013/17 MTFP capital budget proposals.

Table 6: Movement in Available Useable Capital Receipts Forecast

<b>TOTAL RECEIPTS</b>	<b>2013/14</b>	<b>2014/15</b>	<b>2015/16</b>	<b>2016/17</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
Balance b/f 1 <sup>st</sup> April	6,552	7,853	16,141	29,533
Receipts received / forecast in year	2,529	22,083	13,556	4,000
Castlewood Properties	105	0	0	0
Deferred Capital Receipts	5	4	4	4
Less: Set aside Capital Receipts	0	(10,452)	0	0
Less: Receipts to be applied	(1,339)	(3,346)	(167)	(167)
<b>TOTAL Actual / Estimated balance c/f 31<sup>st</sup> March</b>	<b>7,853</b>	<b>16,141</b>	<b>29,533</b>	<b>33,369</b>



<b>TOTAL Estimated balance reported in 2013/17 MTFP Capital Budget proposals</b>	<b>5,078</b>	<b>16,990</b>	<b>33,526</b>	<b>33,362</b>
<b>Increase / (Decrease) compared to MTFP Capital Receipts Forecast</b>	<b>2,775</b>	<b>(849)</b>	<b>(3,993)</b>	<b>7</b>

3.7 The Total Council Fund and Education Fund balance at 31<sup>st</sup> March 2014 has increased by £2,775,000 (£2,542,000 at month 10) compared to the MTFP due to:

- Slippage in the capital programme into 2014/15 which is financed by capital receipts (£2,957,000)
- A budgeted set aside of £1,000,000 did not go ahead as the related capital receipt did not occur in 2013/14
- An increase in receipts in 2013/14 (£261,000)
- An under spend of £272,000 financed by capital receipts;

*Offset by:*

- A lower receipts balance brought forward (£1,184,000)
- An increase in budgeted expenditure financed from capital receipts (£531,000)

3.8 With regards to total receipts, the above table illustrates that, based on:

- a) The 2013/14 outturn;
- b) The capital receipts forecast; and
- c) The capital budgets in place for 2013/17,

There will be a balance of available receipts at the end of the MTFP window of £33,369,000 (£32,165,000 at month 10). This is an increase of £7,000 compared to the MTFP, which is due to:

- An increase in the total forecast receipts (£449,000)
- A reduction in planned set aside as the related Capital receipt did not materialize (£1,000,000)

*Offset by*

- An increase in forecast applied receipts (£258,000)
- Decreased receipts brought forward at 31 March 2012 (£1,184,000)

However, as is shown below this is also very much dependent on the capital receipts forecasts provided materializing which in itself is a significant risk. To that extent the balance of total useable capital receipts at the end of 2014/15, currently £16,141,000, and other future year balances should be closely monitored.

3.9 Furthermore, the above forecast of available useable capital receipts does not take account of the following future pressures that have yet to receive formal Cabinet approval:

- The additional Authority contribution towards the 21<sup>st</sup> Century Schools programme.
- Any further ICT capital bids that may be required under the new ICT strategy.
- Any pressures anticipated in 2014/15 relating to the completion of schemes in the current year programme noted in this report.

3.10 Table 7 below summarises the risk factors associated with capital receipts materialising in the respective years of account and at the value forecast.

Table 7: Risk Factors associated with the Capital Receipts Forecast

<b>Risk Factor – as at outturn</b>	<b>2014/15</b>	<b>2015/16</b>	<b>2016/17</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>
Low	0	0	0
Medium	17,472	100	0
High	4,610	13,456	4,000
	<b>22,082</b>	<b>13,556</b>	<b>4,000</b>
<b>And as a percentage of in year receipts</b>			
	<b>%</b>	<b>%</b>	<b>%</b>
Low	0	0	0
Medium	79	1	0
High	21	99	100
	<b>100</b>	<b>100</b>	<b>100</b>

3.11 Forecast receipts for 2014/15 onwards are usually marked as high risk in terms of the timing of receipt or of their value, unless further information is available which suggests otherwise.

## Low Cost Home Ownership receipts

- 3.12 As in table 8 below, the balance of low cost home ownership capital receipts at the end of 2012/13 is £60,000. Of this, £47,000 is required to finance the expenditure slippage into 2013/14.

Table 8: Low Cost Home ownership 2012/13 Capital Receipts Forecast Outturn Position

	<b>Low Cost Home Ownership £000</b>
Balance b/f 1 <sup>st</sup> April 2013	60
Receipts received in year	109
Receipts to be applied	0
<b>Balance c/f 31<sup>st</sup> March 2014</b>	<b>169</b>

#### 4. MOVEMENT FROM ORIGINAL TO REVISED BUDGET

4.1 The revised capital budget at outturn of £30,912,000 is made up of £15,265,000 of original budget, slippage from 2012/13 totalling £12,216,000 and £3,431,000 of budget revisions.

Table 9: Summary of movement from original to revised 2013/14 capital budget

<i>Scheme Type</i>	<b>Original Budget £000</b>	<b>Slippage b/f from 2012/13 £000</b>	<b>Budget Virements £000</b>	<b>Budget Revisions £000</b>	<b>Revised Budget £000</b>
Asset Management Schemes	2,783	1,049	9	1,189	5,029
School Development Schemes:	3,249	2,422	0	382	6,053
Infrastructure and Transport Schemes	4,611	592	0	89	5,292
Regeneration Schemes	3,300	6,746	(9)	765	10,803
Sustainability Schemes	0	0	0	303	303
County Farms Schemes	273	294	10	0	577
Inclusion Schemes	850	287	0	165	1,302
ICT Schemes	0	612	0	452	1,064
Other Schemes	198	214	(10)	86	488
<b>Total</b>	<b>15,265</b>	<b>12,216</b>	<b>0</b>	<b>3,431</b>	<b>30,912</b>
Memorandum: Vehicle Leasing	3,045	0	0	(1,385)	1,700

4.2 Virements made within the programme have, as expected, had no net effect on the programme. All virements have been processed in accordance with the virement rules outlined with the Authority's Financial Regulations.

4.3 The £3,431,000 of budget revisions during 2013/14 has decreased by £231,000 from the £3,662,000 reported at month 10 and comprises the following items:

- i. £1,189,000 Asset Management schemes - £915,000 County Hall demolition and remodelling (Torfaen share), £266,000 Drainage works at Caldicot Comprehensive and Leisure Centre site, £200,000 Car Park Granville and Wyebridge street,

£25,000 Car Park Riverside, south of rowing club, £100,000 Thornwell Sewerage Diversion. Less capital expenditure transferred to revenue as deemed to be revenue in nature, £317,000.

- ii. £382,000 School Development Schemes - £349,000 New Raglan Primary 21<sup>st</sup> Century Schools, £33,000 Flying Start Minor Improvements, increase in grant.
- iii. £89,000 Infrastructure and Transport schemes - £65,000 RTCG Road Safety, £80,000 Walking and Cycling scheme, £10,000 Rail Strategy Update. Less capital expenditure transferred to revenue as deemed to be revenue in nature, £66,000.
- iv. £765,000 Regeneration schemes - £440,000 Section 106 schemes, £300,000 Caerwent House major repairs, £25,000 Woodstock Way Linkage scheme.
- v. £303,000 Sustainability schemes – PV Schemes various sites
- vi. £165,000 Inclusion schemes – Low Cost Home Ownership
- vii. £452,000 ICT schemes - £220,000 Replace MCC central storage devices, £45,000 purchase of Sharepoint and active directory licences, £20,000 replacement of video conferencing facilities, £87,000 Sims Development Costs, £48,000 Agresso Upgrade, £13,000 Provision of online facilities (Revenues), £9,000 Feasibility Study for provision of Wi-Fi, £10,000 Development of digital strategy and action plan.
- viii. £86,000 Other Schemes – £10,000 increase in asset disposal costs budget, £76,000 revenue expenditure transferred to capital as deemed to be capital in nature.

4.4 All of the revisions and future year changes are supported by Member decisions or awarding documentation where appropriate.

## 5. CAPITAL FINANCING SUMMARY

### Introduction

- 5.1 In addition to the budgetary control and monitoring required over the capital expenditure for the Authority, it is of equal importance to maintain similar control and monitoring over the financing that supports this expenditure.
- 5.2 Capital expenditure incurred by the Authority will need to be financed. The following important points need to be considered:
- An over spend against budget on a capital scheme leads to a need for additional financing to be identified.
  - A reduction in available financing compared to budget on a capital scheme also leads to a need for additional alternative financing to be identified.

### Outturn Capital Financing Summary

- 5.3 The Capital outturn for the 2013/14 financial year for the capital programme is £19,650,000, which compared against a revised budget adjusted for slippage of £19,921 gives an under spend of £271,000.
- 5.4 The capital expenditure requiring financing amounts to £19,650,000, and is illustrated in table 1 of the covering report. The under spend at outturn of £271,000 requires a corresponding reduction in financing in 2013/14. The financing streams available are:

### External Funding

- 5.5 External Funding sources either comprise fixed general sums or sums to be allocated towards specific expenditure.
- Supported Borrowing / General Capital Grant
  - Grants and Contributions
  - S106 and S278 Contributions
  - Low Cost Home Ownership / Education capital receipts

### Council Resources

- 5.6 Council Resources are ultimately under the control of the Authority and are the balances that are available to finance additional unplanned expenditure.

- Unsupported Borrowing
- Capital Receipts
- Direct Revenue Financing
- Earmarked Reserve Funding

5.7 The capital financing summary at Outturn is illustrated in table 10 below:

Table 10: Capital Programme 2013/14 –Capital Financing – Outturn

	Revised Budget	Provisional Slippage	Adjusted Revised Budget	Outturn	Increased /(Reduced) Financing
	£000	£000	£000	£000	£000
Supported Borrowing	2,325	0	2,325	2,325	0
General Capital Grant	1,420	0	1,420	1,420	0
Grants and Contributions	1,741	53	1,688	1,689	1
S106 Contributions	784	555	229	229	0
Insurance Settlement Income	1,970	0	1,970	1,970	0
Unsupported Borrowing	17,073	6,710	10,363	10,363	0
Earmarked Reserve & Revenue Funding	971	656	315	315	0
Capital Receipts	4,568	2,957	1,611	1,339	(272)
Low Cost Home Ownership	60	60	0	0	0
	<b>30,912</b>	<b>10,991</b>	<b>19,921</b>	<b>19,650</b>	<b>(271)</b>

5.8 The reduced financing on the capital financing summary above can be explained as follows:

### Grants and Contributions

5.9 The adjusted revised budget for financing by way of Grants and Contributions amounts to £1,688,000. The outturn is £1,689,000 representing an increase in grants and contributions financing of £1,000. This is mainly due to:

- An increase in grant claimable from WAG for the Blake Street Wyesham flood alleviation scheme as costs have increased above original budget but WAG have indicated they will fund this overspend (£87,000).
- An increase in grant received for Caldicot Castle Property Maintenance scheme which was not budgeted (£13,000).

Offset by:

- A reduction in the 50% contribution receivable from TCBC (£76,000) when compared to budget for the County Hall Demolition scheme due to a reduction in total expenditure (£152,000).

- A reduction in grant claimable on two Specific grant funded highways schemes compared to budget as they have under spent their budgets (£23,000).

### **Capital Receipts**

5.10 The adjusted revised budget for financing by way of capital receipts amounts to £1,611,000. The outturn is £1,339,000, representing reduced capital receipt financing of £272,000. This is principally due to:

Underspends on the following schemes:

- £100,000 on the County Farms maintenance & reinvestment scheme as a potential arrangement to vacate a County Farm is no longer going ahead.
- A reduction in the MCC 50% contribution to the County Hall Demolition project (£76,000) due to an underspend on the overall scheme.
- £71,000 on the new school at Caldicot Green Lane due a favourable final settlement with the main contractor.
- £28,000 on the Brewery Yard development scheme due one grant funding scheme no longer being pursued.
- Various underspends in the Education Strategic Review area (£63,000).
- Other small net underspends (£42,000)
- Surplus financing slipped from 2012/13 and not utilised in 2013/14. (£108,000).

Offset by Overspends on the following schemes:

- The Abergavenny Regeneration scheme including legal costs relating to the new cattle market site (£216,000)



## APPENDIX 7

### EQUALITY IMPACT ASSESSMENT SCREENING FORM

<b>Name of Policy/Service: Draft Capital Outturn Report</b>			
<b>Assessor(s):</b>	<b>Directorate:</b>	<b>Department:</b>	<b>Date assessed:</b>
Jonathan Davies	Chief Executive's Unit	Central Finance	16 <sup>th</sup> May 2013
<b>Report Author:</b>	<b>Date:</b>	<b>Cabinet Date:</b>	
Jonathan Davies	16 <sup>th</sup> May 2013	TBC	

### EQUALITY IMPACT ASSESSMENT SCREENING

#### 1 Purpose of Policy/Service:

To present the draft capital outturn expenditure for 2012/13 compared to the total budget for the year. The report also identifies and provides explanations for variances against budget and the funding implications of the draft outturn position.

To approve slippage of capital budgets per the schedule provided such as to allow it to be subsequently incorporated into the Authority's capital programme for 2013/14 and beyond.

#### 2 Which groups of people is the policy/service likely to effect (either positive, negative or neutral)?

	Positive	Negative	Neutral		Positive	Negative	Neutral
Age			X	Race			X
Disability			X	Religion or Belief			X
Gender reassignment			X	Sex			X
Marriage or civil partnership			X	Sexual Orientation			X
Pregnancy and maternity			X	Welsh Language			X

**Please explain the nature of the effect:**

Slippage only falls below the amount of uncommitted budget at year-end where: (a) There is a revised and reduced expenditure profile for the forthcoming year(s); or (b) Schemes are awaiting confirmation of funding award or where funding will form part of 2013/14 grant allocations.

However, in the short-term and as a result of any project delays, there could be some negative impacts on some of the protected characteristics, though this is seen as minimal. The slippage is principally unavoidable, and has resulted from events outside of the authority's control or as a result of third party delays.

The Authority should ensure that lessons are learnt in project management to reduce the uncontrollable and third party slippages that can cause impacts.

**3 Is there any evidence (actual or hypothetical) for a negative impact or discriminatory effect on any group(s)? Please describe adverse effects and tick relevant groups. If no negative impact please state evidence for this conclusion.**

Age		Race	
Disability		Religion or Belief	
Gender reassignment		Sex	
Marriage or civil partnership		Sexual Orientation	
Pregnancy and maternity		Welsh Language	

Recommendation of slippage of existing capital budgets has no impact on any of these groups as the recommendation constitutes approval of carrying forward of existing approved budgets.

**4 Is there any evidence (actual or hypothetical) for a negative impact or discriminatory effect on staff? Please describe adverse effects and tick relevant groups. If no negative impact please state evidence for this conclusion.**

Age		Race	
Disability		Religion or Belief	
Gender reassignment		Sex	
Marriage or civil partnership		Sexual Orientation	
Pregnancy and maternity		Welsh Language	

Not applicable

**5 What data has been used for this assessment?**

Month 10 capital budget monitoring report, capital outturn data, information supplied by capital budget holders through year-end meetings and other supplementary correspondence received.

**6 Please indicate below whether you consider this policy/service to have a high, medium or low risk as follows:**

	Risk of Inequality		
	High	Medium	Low
Are a large number of people affected?			1
Is the potential impact significant?			1
Is the scale/cost to the Authority significant?			1
<b>Score</b>	<b>3</b>		

**Scoring**

- 3 Minor No significant impact No further action required
- 4 - 6 Medium Some impact Further consultation to decide whether full impact assessment is necessary
- 7 - 9 High Significant impact Full impact assessment

**7 Is a full equality impact assessment required? A high rating in question 6 will require a full assessment. A medium rating will require, as a first stage, further consultation in order to determine whether a full impact assessment is required**

**No**

SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
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DEVELOPMENT SCHEMES OVER 250K

E&D	#NAME?	#NAME?	12,500	12,900	(400)	Delays to completion of Bethany Chapel restoration project, in respect of installation of disabled access to the premises - a condition of original grant.	Beach of grant terms and possible counter claim.	TP
E&D	90038	Replacement Cattle Market	226,325	300,000	(73,675)	Extended design and value engineering exercise	Insufficient funds for completion of remedial works and works arising from post occupancy surveys.  Further works to be carried out include reformation of landscaping, additional car parking, sewage treatment plant works and lighting revisions.	AC
E&D	90320	Caerwent House, Major Repairs	300,000	300,000	0	Difficulty in progressing the CPO process. Slow response from the Building Conservation Trust who has expressed interest in purchasing the property to be run as high quality holiday accommodation. Awaiting the survey of the property from the Trust to calculate the market value of the property to progress the CPO.	The listed building will remain at risk and elements will collapse as it is showing substantial signs of deterioration. It's adverse effect on the Conservation Area will cause even further harm and would deter investment in the local area.	TP
SCOMM	90303	Drainage Works at Caldicot School & LC Site	6,796	54,247	(47,451)	Project delayed due to additional unforeseen works.	Unable to complete	AC
SCOMM	90305	County Hall replacement	2,792	0	2,792	Delay in completion of reception screen information points at Magor and Usk.	Unable to provide customer information points.	AC
SCOMM	90307	Shire Hall - Furniture and Equipment Costs	17,211	17,095	116	Delays in sourcing equipment for the project & delays in final snagging to complete the building phase of the project. This was completed and HLF sign off in March 2014.	Project cannot be completed.	AU
SCOMM	90310	Proposed New Abergavenny Library	3,433,302	3,423,515	9,787	Project on hold while future strategy of the library service in Abergavenny is decided.	Scheme would not go ahead	AC
SCOMM	90313	County Hall Demolition and Remodelling	56,000	50,000	6,000	Additional works due to flooding	Scheme would be not be completed and flooding issues would continue to cause health and safety concerns.	AC
			<b>4,054,926</b>	<b>4,157,757</b>	<b>(102,831)</b>			

SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
<b>DEVELOPMENT SCHEMES UNDER 250K - CEDS</b>								
E&D	93178	Rural Development Plan for Wales	6,430	6,430	0	This project is part of Monmouthshire's Rural Development mainly funded through European and Welsh Government grant which forms part of Business Plan 2, a rolling programme extended to 31st December 2014. A cabinet reports exists agreeing to provide match funding support through CEDS Capital to the project over the 3 years. Although much of the expenditure has occurred It has been anticipated that the remaining spend would be in the period 14/15 and therefore requires slippage to ensure draw down of external funding to successfully complete the project and achieve the desired outcomes.	Loss of European and Welsh Government funding, severely dent Monmouthshire's Rural Development Plan. Loss of confidence in MCC being able to deliver RDP projects.	TP
E&D	93220	Tintern Angiddy Proj Ltd Comm Micro Hydro Scheme	51,681	51,681	0	Due to the change in the feed in tariff the project has had to revise its funding strategy. They have approached and are in the process of securing other revenues of match funding.	A considerable amount of money, time and effort has been in put into this unique project it would not be able to complete and would lose out on other funding and a source of energy. Any future revenue raised from the project will be to fund local community projects these would also lose out.	TP
E&D	93239	Cap - Agripreneurial Monmouthshire MON51	4,614	0	4,614	This project is part of Monmouthshire's Rural Development mainly funded through European and Welsh Government grant which forms part of Business Plan 2, a rolling programme extended to 31st December 2014. A cabinet reports exists agreeing to provide match funding support through CEDS Capital to the project over the 3 years. Although much of the expenditure has occurred It has been anticipated that the remaining spend would be in the period 14/15 and therefore requires slippage to ensure draw down of external funding to successfully complete the project and achieve the desired outcomes.	Loss of European and Welsh Government funding, severely dent Monmouthshire's Rural Development Plan. Loss of confidence in MCC being able to deliver RDP projects.	TP
E&D	93240	Cap - Broadening Business MON52	66,163	60,842	5,321	" "	" "	TP
E&D	93241	Cap - Welcome Monmouthshire MON53	31,821	25,949	5,872	" "	" "	TP

SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
E&D	93242	Cap - Vital Villages MON54	8,654	8,513	141	" "	" "	TP
E&D	93243	Cap - Origins Monmouthshire MON55	5,318	207	5,111	" "	" "	TP
E&D	93244	Cap - Next Steps MON56	2,414	2,814	-400	" "	" "	TP
E&D	93245	Cap - Connecting Monmouthshire MON57	4,932	984	3,948	" "	" "	TP
			<b>182,027</b>	<b>157,420</b>	<b>24,607</b>			

DEVELOPMENT SCHEMES UNDER 250K - Essential Works

SCOMM	98058	County Farms Fixed Asset Disposal Costs	20,899	7,000	13,899	Sub schemes have slipped budget – due to a) Additional time taken to appraise disposal options b) Choice between selling to tenant or elsewhere c) The need for planning permission for some options	The sales would not go ahead or the budgets would be exceeded.	AU
SCOMM	98060	Non County Farms Fixed Asset Disposal Costs	224,116	15,000	209,116	10 Sub schemes have slipped budget – 84% relating to LDP schemes which could not go ahead until the LDP had been ratified. Others due to a) Additional time taken to appraise disposal options b) Time to get planning permission and other legal consents c) Imminent sale to MHA – budget required if this falls through	The sales would not go ahead or the budgets would be exceeded.	TP
SCOMM	98221	Raglan Depot Car Park	35,067	35,114	(47)	Project delayed over the winter due to newts hibernating. Programme to manage removal and observation will be starting soon. Once removed then the project will start.	Car park will not be built and the authority will struggle to park it's vehicles.	TP/UC

APPENDIX 6

SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
SCOMM	98222	Improve Income Gen – Museums Rec/Retail Facilities	10,000	10,000	0	We were on the point of selecting an EPOS system for the Museums and Shire Hall – we had selected 3 companies' systems to investigate further and they had all come and presented to us. The following week came the mandate to merge TICs with Museums, and for Shire Hall to go cost neutral (and shed its TIC function and change emphasis) all of which would impact on the requirements that we would each have from an EPOS system.		AU
SCOMM	98224	Caldicot Cast SW Tower, Roof & Stone Works Mus Rsv	8,959	6,420	2,539	Works delayed to allow consideration of works to support new operating model. Further works on gatehouse to co-incide with property services planned maintenance which is underway on site.	Failure to complete works	AC
CYP	98219	Upgrade School Kitchens	44,325	50,000	(5,675)	Urgent works identified at Llanvihangel Crucorney and Llantilio Pertholey late in the year that could not be done until Easter holidays due to health & safety issues.	Work will not be done and kitchens will have to be closed.	AU
			<b>343,366</b>	<b>123,534</b>	<b>219,832</b>			

DEVELOPMENT SCHEMES UNDER 250K - Other Recommended Projects

E&D	97285	Woodstock Way Linkage Scheme	11,170	8,600	2,570	Delays due to need to involve key landowning interests across site.	Inability to progress project to completion resulting in inadequate linkage to the town at the time of foodstore opening	TP
SCOMM	91100	Access For All	223,619	236,537	(12,918)	Slippage required due to uncertainty over extent of 21st century schools programme and affect on provision of leisure services.	Planned schemes at schools and leisure centres would be not be completed in 2014/15	AC
SCOMM	95803	Ifton Common Sewerage Treatment Plant	10,070	0	10,070	Project was scheduled for early 2014. Quotes were received from current maintenance contractor and instruction was given to proceed. However, the contractor re-quoted. The new quote was higher than the original quote. It was subsequently necessary to challenge this and subsequent discussions have not been finalised. A response is currently awaited from the contractor	Risk of prosecution if pollution occurs.	TP
SCOMM	97236	Area Management - LLL	15,725	0	15,725	Awaiting completion of orders and additional fund raising by organisations. Schemes agreed at area committee in February 14.	Issues completing the scheme	TP

SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
SCOMM	98826	Car Park Granville St & Wyebridge St	200,000	200,000	0	The scheme is presently being challenged by a local action group on the basis that the car park will adversely affect air quality in the area (which is presently being monitored by environmental health colleagues). Highways projects team has commissioned a study by a specialist company to assess whether the creation of a car park will have any material effect upon the air quality debate. This study is not yet available and without it we will not get planning permission.	Car Park will not be built.	TP
SCOMM	98827	Car Park Riverside, south of Rowing club	14,670	0	14,670	Delays caused by severe weather and flooding and negotiations with protest group this leading to design amendments and involvement of third party advice and additional permissions required from Natural Resources Wales.	Grasscrete material will remain in storage and ground works will not be able to be undertaken and thus car park will not be complete.	AU
SCOMM	98822	PV Scheme - Usk Primary	29,334	0	29,334	Failure to come to legal agreement with Diocesan Directors regarding the Church in Wales Schools. MCC do not own the buildings and therefore a legal agreement needs to be in place in order for us to undertake the work.  Negotiations are continuing and we hope to complete the agreement and works in 2014-15.	Project will not go ahead. Church in Wales schools will need to fund their own solar installations and MCC will miss out on the potential income generation of these schemes.	TP
SCOMM	98805	Cemeteries Investigations	15,907	0	15,907	NRW delayed getting info to us about the site. Staffing issues due to turnover in estates.	Unable to complete	TP
			<b>520,495</b>	<b>445,137</b>	<b>75,358</b>			

INFRASTRUCTURE

SCOMM	97215	Bridges And Retaing Walls	121,947	0	121,947	Adverse weather / extreme natural events.	Structure will remain in a poor condition and further structural deterioration will take place. Potential impact on integrity of the County road network	TP
SCOMM	97239	Safety Fences	102,500	102,500	0	Adverse weather / extreme natural events.	Barriers will remain in a poor condition and further structural deterioration will take place. Potential impact on integrity of the County road network	TP
SCOMM	97302	Signing Upgrades And Disabled Facilities	51,250	51,250	0	Delays as a result of consultation process/engagement with disability groups.	Not able to deliver	AU



SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
SCOMM	97304	Implementation & Review Of TRO's	10,250	10,250	0	Need to resource further work possibly using new framework consultants. Project part completed.	Unable to complete	AU
SCOMM	97305	Parking Studies	31,779	44,250	(12,471)	Still developing scope of project	Unable to deliver	AC
SCOMM	97306	Structural Repairs - PROW	52,336	52,106	230	As reported at month 10 the Castle Meadows bridge completed but coast path and other bridge schemes delayed due to poor weather/ground conditions. Schemes will commence as soon as ground conditions improve.	Failure to carry out urgent and safety related rights of way structure work as no other source of funding, failure to have match funding for approved NRW coastal access grant resulting in inability to take up grant offer	AU
SCOMM	97342	Carriageway Resurfacing - Various	267,704	0	267,704	Adverse weather / extreme natural events.	Route will remain in a poor condition and further structural deterioration will take place. Potential impact on integrity of the County road network	TP
SCOMM	97351	Accessibility Enhancements	72,643	72,643	0	Delays due to consultation on proposals of identified schemes	Unable to deliver	AU/TP
SCOMM	97352	Road Safety & Trafficman Programme	20,832	49,720	(28,888)	Delays due to consultation process	Unable to deliver	AU/TP
			<b>731,241</b>	<b>382,719</b>	<b>348,522</b>			

School Development Schemes

CYP	96619	New Raglan Primary, 21st Century Schools Programme	45,857	25,000	20,857	Slippage due to extended consultation and engagement process.	Insufficient funds to complete project.	AC
CYP	98621	ESR: Access For All	127,380	127,280	100	Budget available for provision of special adaptations for children requiring entry to schools. No requirements for adaptations in 13/14.	Insufficient funds for special adaptations to accommodate children with specific requirements in 14/15	AU
CYP	98628	Rogiet Primary	15,000	15,000	0	Prolonged completion of post occupancy evaluation and completion of resulting improvement works.	Improvement works not undertaken	AC
CYP	98638	Caldicot Castle Park (St Mary's Remodelling)	15,000	15,000	0	Awaiting completion of post occupancy evaluation.	Unable to complete recommended improvement works.	AC
CYP	98645	New School Caldicot Green Lane Site	50,000	50,000	0	Awaiting completion of post occupancy evaluation	Unable to complete works recommended in post occupancy evaluation.	AC
CYP	98650	New Thornwell Primary	598,037	575,214	22,823	Extended option appraisal phase before commencement of project on site.	Unable to complete works	AC
CYP	98674	Monmouth Comp – 21C Feasibility	839,133	724,684	114,449	Extended consultation and engagement process.	Insufficient funds for pre-construction design work.	AC

SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
CYP	98675	Caldicot Comp – 21C feasibility	863,063	817,199	45,864	Extended consultation and engagement process.	Insufficient funds for pre-construction design work	AC
			<b>2,553,470</b>	<b>2,349,377</b>	<b>204,093</b>			

IT SCHEMES - Infrastructure/Hardware

CYP	96618	SIMS Development Costs (ICT Reserve funded)	21,270	10,000	11,270	New technology/software used by SRS which needed to be thoroughly tested before rollout to schools.	This would impact the continuation of centralisation of the SIMS databases and schools would not have a remote access solution.	AU
SCOMM	96055	Agile Working	57,480	24,172	33,308	There are further adaptations to office accommodation and digitization of systems to enable completion of remote working facilities. Most of this relates to further video conferencing facilities at the Usk HQ.	We will be unable to complete the adaptation of buildings, systems and equipment to fully enable flexible and remote working. As Agile Working is an integral part of the way we work it is imperative that we continue to enable systems self service over the web and to enhance video conferencing / streaming facilities to make sure we enable efficiency savings and business continuity.	AU
SCOMM	96056	CRM	146,652	146,652	0	This budget has now been passed on to the Enterprise Unit for the establishment of a bespoke custom built CRM system for MCC. A prototype system is in progress with completion by October 2014.	We will be unable to establish a CRM along with the benefits of customer relationship interface and recording system. The system will allow seamless and speedy access to information and data contained within legacy systems across the authority, and enable the recording of customer interfaces with MCC. The system will enable us to spotlight performance issues in particular service areas from the analysis of customer data.	AU
SCOMM	96605	Highways Asset Management & Road	50,089	47,473	2,616	Budget is being expended as the project develops	The initiative will not be fully developed	TP
SCOMM	96612	Land Charges - M3 System	36,000	32,000	4,000	Issues with the upgrade of M3 Planning Test caused the slippage.	Official order has been issued for the data capture project.	TP

SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
SCOMM	96615	Replace MCC Central Storage Devices(Net App Servers)	49,299	0	49,299	The majority of the central servers have been replaced, though there are some residual server purchase requirements for specific web based systems ( Resource Link web self service, web recruitment, sharepoint servers, web site servers). These systems have yet to be implemented and the server purchase requirements not defined.	The reserved servers won't be available to run the web based systems and prevent their implementation.	AU
SCOMM	96616	Replacement of Video Conferencing Facility	20,000	5,000	15,000	This system was installed in April 2014 and expenditure has been completed in full.	Budget pressure in new year	AU
SCOMM	96617	Purchase of Sharepoint and Active Directory Licences	38,737	0	38,737	The Sharepoint system has been updated to SP2013 in order to ensure compatibility with Office 365 rollout. The purchase of licences will be affected by this rollout, with the possibility that the licence costs can be reduced or consolidated so we made the decision to delay purchase with the exception of essential licences.	We will be unable to ensure access to information for all employees, effectively creating a digital imbalance for our non-office based workforce.	AC
SCOMM	96620	Upgrade to the Agresso system	48,000	30,600	17,400	Delay in consultancy from Unit 4 Supplier. Delay in Purchase of Servers by SRS	Cannot progress with Upgrade  Expenditure has been committed with external party and servers have finally been received and installed (£20,000)	TP
SCOMM	96621	Provision of online facilities Revenue's section	13,000	13,000	0	Work on the project commenced in October 2013 with new servers installed. However we were advised that a major new version of the software was due for release in January 2014 and that we should await the new version rather than load old version and pay for upgrade. Yet to receive date as to when new version will be available.	Unable to progress the modernisation agenda and deliver against planned efficiency savings.	TP
SCOMM	98223	Imp. Physical & Virtual Access-Museums Collections	44,480	40,838	3,642	Linked to project officers salary where appointment continues into 2014/15	Project cannot be completed and the Project Officer's salary will have to be found from elsewhere.	AC
			<b>525,007</b>	<b>349,735</b>	<b>175,272</b>			

IT WEB RELATED

SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
SCOMM	96020	Internet / Intranet Functionality	40,104	38,574	1,530	The web and intranet design has taken on several iterations since the budget was put in place, and final stages have been delayed due to the introduction of new technology and interfaces that feed into the web and intranet.	Both the Web site and the Intranet are information interfaces that are crucial to service delivery. Both are being re-designed to keep up to date with accessibility and ease of use. Funding of these re-build using new platforms are essential.	AU
			<b>40,104</b>	<b>38,574</b>	<b>1,530</b>			

MAINTENANCE SCHEMES GENERAL

SCOMM	98059	County Farms Maintenance & Reinvestment	236,877	343,796	(106,919)	Delay in completion of maintenance works due to legal issues, property access problems, ecology issues, delay associated with NRW, tenants refusals and poor weather conditions.	Unable to provide necessary maintenance program on county farms units.	TP
			<b>236,877</b>	<b>343,796</b>	<b>(106,919)</b>			

SECTION 106

SCOMM	90723	Magor & Undy Community Hall	49,846	49,846	0	Delay in promoter of the scheme (MUSLA – Magor and Undy Sports and Leisure Association) accessing sufficient match funding to enable the project to proceed.	The scheme is unlikely to be able to proceed	TP
SCOMM	90752	Multi Use Games Area Bayfield Open Space	70,470	70,470	0	Delay in obtaining planning permission – consultation with local residents taking place prior to submission of an application; will need to request developer to extend deadline for use of the funding – alternatively the funding will be used for upgrading the LEAP play area at The Danes if a deadline extension is not agreed.	The scheme would not be able to proceed	AC
SCOMM	90757	Castle Oak, Usk	103,001	103,001	0	Original scheme involved land purchase but was unable to proceed because of land contamination – new development project plan put forward by the Club, now awaiting the outcome of two planning applications	The scheme would not be able to complete	TP

SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
SCOMM	90759	S106 – Recreation Croesonen	40,000	40,000	0	The total cost of the project exceeds £100,000 and the scheme promoter (Mardy Football Club) has been unable to attract the match funding required to enable the project to proceed. Discussions are still taking place with the club and the Llantilio Pertholey Community Council (landowner) but it is possible that the funding may need to be re-allocated to another project or projects	The funding will not be lost as there is no "spend by" date included in the S106 agreements, but the implications will depend on how the funding is used.	TP
SCOMM	90760	S106 - Llanfoist and Llanwenarth Ultra	141,052	143,858	(2,806)	There were eight projects approved originally but the projects had to be phased over two years, as the S106 funding was received in two tranches. The second tranche of funding was included in 2013/14 Capital Budget. One project (village hall extension) requires planning permission	The projects would be unable to proceed	AU
SCOMM	90761	Section 106 – Caldicot new 3G ATP	469,961	469,961	0	The contract was let two years ago but work has been delayed due to the discovery of previously uncharted underground sewers crossing the site. Works to divert and relocate these sewers is now at practical completion stage.	The scheme will not be able to proceed	AU
SCOMM	90762	S106 – Church Road Caldicot – Offsite Rec	70,619	59,165	11,454	Two projects (Sudbrook Cricket Club and Caldicot Play Project) have been delayed whilst they attract the necessary match funding but this has now been confirmed. The final project has been completed (Sustrans Feasibility Study) but payment has yet to be made	The projects will be unable to proceed.	TP
SCOMM	90795	S106 - Pedestrian Improvement RE Land off Sudbrook Road	28,334	0	28,334	Works to be considered as part of a potential wider scheme and in line with agreement which is not restricted to current financial year.	n/a - external forms part of s106 agreement	AC
SCOMM	90797	S106 - Adult and Youth Recreation Portskewett	1,162	1,162	0	The completion of the project has been delayed because the applicant has been seeking match funding to enable the works to be completed.	The project will be unable to be completed	TP
SCOMM	90799	S106 - Croesonen Infants Site, Abergavenny	23,374	23,374	0	Scheme to be developed, not required to be delivered in current financial year	n/a - external forms part of s106 agreement	AC
			<b>997,819</b>	<b>960,837</b>	<b>36,982</b>			

SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
<b>MAINTENANCE SCHEMES - Property</b>								
CYP	95912	Thornwell Primary - Re-render panels	25,000	25,000	0	Agreed with school and contractor that project would be more appropriate for completion during summer holidays.	Scheme will be cancelled	AU
CYP	98830	Park Street School - H&S Works	56,750	56,750	0	Insufficient time to complete work in financial year.	Unable to carry out H&S works	AU
CYP	98831	Thornwell Sewerage Division	349,000	349,000	0	Due to additional requirements to divert drainage around new building.	Unable to complete drainage alteration work	AU
CYP	95815	Ysgol Y Ffin - Repl flat roof coverings	5,000	0	5,000	Additional works delayed the project completion	Insufficient funds for completion of scheme	AC
CYP	95845	Dell Primary - Refurb Toilet & imp ventilation	4,998	0	4,998	Additional works delayed completion of project	Insufficient funds for completion of scheme and defects	AC
CYP	95846	Mon Comp - Refurb Toilets	7,500	0	7,500	Additional works delayed completion of project	Insufficient funds for completion of scheme and defects	AC
SCOMM	95895	Penyrhiw - improvements to treatment plant	62,335	61,098	1,237	Delays caused by land ownership dispute.	Unable to commence complete contract	AU
SCOMM	95902	Various sites - Repair freestanding/boundary wall	9,050	0	9,050	Awaiting structural engineers reports before proceeding.	Scheme will only be part complete	AU
SCOMM	95855	Mon LC - Upgrade air handling unit	85,400	85,400	0	Scheme has been delayed pending approval of financial support via salex funding.	Unable to commence contract	AU
SCOMM	95625	Caldicot Castle - SW Tower, Stonework & Kitchen Repairs	51,567	53,000	(1,433)	Awaiting CADW approval for works in the kitchen area	Scheme will be part complete	AU
			<b>656,600</b>	<b>630,248</b>	<b>26,352</b>			

SPECIFIC GRANT FUNDED

SCOMM	97254	Tidy Towns 2011/12 Usk Island Car Park	653	0	653	Minor snagging works to be completed		AU
			<b>653</b>	<b>0</b>	<b>653</b>			

APPENDIX 6

SLIPPAGE REQUESTS

DIRECTORATE	PROJECT CODE	SCHEME TITLE	Year End Slippage Request	Month 10 Slippage Request	Slippage Variance Mth 10 - Outturn	Reason for Slippage	Implication if slippage not approved	Third Party/ Authority Controllable/ Authority Uncontrollable
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LOW COST HOME OWNERSHIP

SCOMM	83700	Low Cost Home Ownership	60,000	60,000	0	Not enough budget to run the Home Finder Scheme in 2013/14. Budget is being used to provide equity loans for the Castlewood Scheme. £27K in the process of being used for sale on a 50/50 basis of 14 Castlewood.	Money will not be available to assist first time buyers into home ownership	TP
			<b>60,000</b>	<b>60,000</b>	<b>0</b>			

RENOVATION GRANTS

SCOMM	99202	Disabled Facilities Grants (Private)	88,912	150,000	(61,088)	Grants approved but works not complete	Unable to finance approved works.	TP
			<b>88,912</b>	<b>150,000</b>	<b>(61,088)</b>			

			<b>10,991,497</b>	<b>10,149,134</b>	<b>842,363</b>			
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842,363

10,991,497  
(10,991,497)  
0

**SUBJECT: WELSH CHURCH FUND WORKING GROUP**  
**MEETING: Cabinet**  
**DATE: 4<sup>th</sup> June 2014**  
**DIVISIONS/WARD AFFECTED: All**

**1. PURPOSE:**

- 1.1 The purpose of this report is to make recommendations to Cabinet on the Schedule of Applications 2014/15, meeting 1 on the 10<sup>th</sup> April 2014

**2. RECOMMENDATION:**

- 2.1 We resolved that the remaining balance from 2013/14 of £9,059 be carried forward into 2014/15 and that the following grants be awarded to:

Busy Bees Toddler Group: request £500 to assist in creating a Community Garden near Kymin View School for picnics, messy and water play areas as well as an environmental learning zone

Recommendation - £500 contribution for community asset

Llanfair Cilgoed Parochial Church Council: request £500 for contribution to new roof and windows at the church

Recommendation – £500 as contribution towards restoration fund

First Magor Scouts: request £370 to help replace unusable camping equipment

Recommendation – £370 to assist valued community group



St Mary's Church, Magor: request £1,000 for the rectification of a churchyard path due to Health & safety concerns

Recommendation: - £1,000 to assist in resurfacing path as also serves community hall

Friends of Castle Park Primary: request £1,300 funding for updating of audio – visual facilities

Recommendation: - £500 contribution towards updating facilities to facilitate modern educational learning

St Peter's Church, New Church: request £516 for the replacement of church sign

Recommendation: - £516 for the replacement of church sign

Simon Stephens: request £2,300 for educational advancement

Recommendation: - The committee felt that they couldn't support the nature of the application.

St Thomas A Beckett Church, Wolvesnewton: request £1,000 for the essential re-wiring of the church

Recommendation: - £1,000 contribution for the essential maintenance work

Tintern Festivals Association: request £350 towards running of the community fete

Recommendation: - £350 contribution for community event

Raglan Parish Church: request £1,000 for the replacement of old lights in the church nave

Recommendation: - £500 contribution towards more modern efficient lighting

St Stephen's and St Tatham's Church, Caerwent: request £500 contribution towards repairing damaged boundary entrance wall

Recommendation: £500 to assist in the repairing of churchyard entrance boundary wall

Home Start Monmouthshire: request £1,000 to assist in the training of volunteer counsellors

Recommendation: £500 awarded to assist this community charity in assisting vulnerable residents

Rogiet Cheerful Club: request £1,000 for contribution for members vacation

Recommendation: The committee felt that they couldn't support the nature of the application.

Hood Memorial Hall, Devauden: request £1,300 for an interpretation panel telling the story of the first school headmaster

Recommendation: The committee felt that they couldn't support the nature of the application.

2.2 Deferred application(s):

Not applicable

2.3 Late application(s):

Llansoy "Our Village" publication: request £500

Recommendation: This application was deferred in request of receiving further information about the project,

**2.4 KEY ISSUES**

The nature of the request in each case is set out in the attached schedule.

**3. REASONS**

A meeting took place on Thursday, 10th April 2014 of the Welsh Church Fund Cabinet Working Group to recommend the payment of grants as detailed in the attached schedule.

County Councillors in attendance:

D.L. Edwards, D. J Evans, B. Strong and A. E. Webb

Officers in attendance:

Mr D. Jarrett and Mrs E.M. Tapper

Declarations of Interest:

County Councillor A. E. Webb declared an interest pursuant to the Members Code of Conduct, Local Government Act 2000, within the capacity of signatory of the application from the Tintern Festivals Association.

County Councillor A. E. Webb declared an interest pursuant to the Members Code of Conduct, Local Government Act 2000, within the capacity of signatory of the late application from Llansoy "Our Village" publication.

County Councillor D.J. Evans declared an interest pursuant to the Members Code of Conduct, Local Government Act 2000, within the capacity of Chair of Governors of Castle Park Primary School in respect of the application from Friends of Castle Park Primary.

#### **4. RESOURCE IMPLICATIONS**

As set out in the working group recommendations. .A balance remaining of £24,224 is available for further awards within the financial year after these distributions.

#### **5. SUSTAINABLE DEVELOPMENT AND EQUALITY IMPLICATIONS:**

There is no equality or sustainable development implications directly arising from this report. The assessment is contained in the attached appendix.

#### **6. CONSULTEES:**

Senior Leadership Team

All Cabinet Members

Head of Legal Services

Head of Finance

Central Management Accountant

**7. BACKGROUND PAPERS:**

Welsh Church Fund Schedule of Applications 2014/15 – Meeting 1

**8. AUTHOR:**

David Jarrett – Central Management Accountant

**9. CONTACT DETAILS**

Tel. 01633 644657

e-mail: [davejarrett@monmouthshire.gov.uk](mailto:davejarrett@monmouthshire.gov.uk)

## The “Equality Initial Challenge”

Name: Dave Jarrett Service area: Central Finance Date completed: 30 <sup>th</sup> April 2014		Please give a <b>brief description</b> of what you are aiming to do.  To assess the Grant Allocation Processes of the Welsh Church Fund for the meeting of the Welsh Church Fund Working Group on the 10th April 2014.	
Protected characteristic	Potential <b>Negative</b> impact Please give details	Potential <b>Neutral</b> impact Please give details	Potential <b>Positive</b> Impact Please give details
Age			positive
Disability			positive
Marriage + Civil Partnership		Neutral	
Pregnancy and maternity		Neutral	
Race		Neutral	
Religion or Belief			Positive
Sex (was Gender)		Neutral	
Sexual Orientation		Neutral	
Transgender		Neutral	
Welsh Language		Neutral	

Please give details about any potential <b>negative Impacts</b> .	How do you propose to <b>MITIGATE</b> these <b>negative impacts</b>
➤ <i>NONE</i>	➤
➤	➤
➤	➤
➤	➤

**Signed** D Jarrett      **Designation**      **Central Finance Management Accountant**  
**Dated**      30<sup>th</sup> Aril 2014

## EQUALITY IMPACT ASSESSMENT FORM

<b>What are you impact assessing</b>	<b>Service area</b>
Welsh Church Fund Working Group Meeting 1 2014/15	Central Finance
<b>Policy author / service lead</b>	<b>Name of assessor and date</b>
Joy Robson	D Jarrett 30 <sup>th</sup> April 2014

### 1. What are you proposing to do?

To assess the Grant Allocation Processes of the Welsh Church Fund for the meeting of the Welsh Church Fund Working Group on the 10th April 2014

2. Are your proposals going to affect any people or groups of people with protected characteristics in a **negative** way? If **YES** please tick appropriate boxes below.

Age		Race	
Disability		Religion or Belief	
Gender reassignment		Sex	
Marriage or civil partnership		Sexual Orientation	
Pregnancy and maternity		Welsh Language	

3. Please give details of the negative impact

No Negative consequences towards any groups with protected characteristics

4. Did you take any actions to mitigate your proposal? Please give details below including any consultation or engagement.

Applications are considered and decisions made by the Welsh Church Fund Working Group



5. Please list the data that has been used to develop this proposal? eg Household survey data, Welsh Govt data, ONS data, MCC service user data, Staff personnel data etc..

Applications to Welsh Church Fund Working group on a standard application form where questions and requirements are consistent across all applications

**Signed** D Jarrett...**Designation**...Central Finance Management Accountant.....**Dated**.....30<sup>th</sup> April 2014.....

## The “Sustainability Challenge”

<b>Name of the Officer</b> completing “the Sustainability challenge” <b>Dave Jarrett</b>		Please give a <b>brief description</b> of the <b>aims</b> proposed policy or service reconfiguration  <b>The Purpose of the Working Group is to assess and consider applications and grant aid from the Welsh Church Fund in line with the Charitable Objectives of the Trust.</b>	
<b>Name</b> of the Division or service area  <b>Central Finance</b>		<b>Date</b> “Challenge” form completed  <b>30<sup>th</sup> April 2014</b>	
Aspect of sustainability affected	<b>Negative impact</b>  <b>Please give details</b>	Neutral impact  <b>Please give details</b>	<b>Positive Impact</b>  <b>Please give details</b>
<b>PEOPLE</b>			
Ensure that more people have access to healthy food		No effect at this meeting	
Improve housing quality and provision		No effect at this meeting	
Reduce ill health and improve healthcare provision			Grant awarded for family support group
Promote independence			Grant awarded for family support group
Encourage community participation/action and voluntary work			Grants for Community Projects

Targets socially excluded			Grant awarded for family support group
Help reduce crime and fear of crime		No effect at this meeting	
Improve access to education and training			Grant awarded for family support group
Have a positive impact on people and places in other countries		No effect at this meeting	
<b>PLANET</b>			
Reduce, reuse and recycle waste and water		No effect at this meeting	
Reduce carbon dioxide emissions		No effect at this meeting	
Prevent or reduce pollution of the air, land and water			Grants for Community and Religious Projects
Protect or enhance wildlife habitats (e.g. trees, hedgerows, open spaces)			Grants for Community and Religious Projects
Protect or enhance visual appearance of environment			Grants for Community and Religious Projects
<b>PROFIT</b>			
Protect local shops and services		No effect at this meeting	

Link local production with local consumption		No effect at this meeting	
Improve environmental awareness of local businesses		No effect at this meeting	
Increase employment for local people		No effect at this meeting	
Preserve and enhance local identity and culture			Grants for Community and Religious Projects
Consider ethical purchasing issues, such as Fairtrade, sustainable timber (FSC logo) etc		No effect at this meeting	
Increase and improve access to leisure, recreation or cultural facilities			Grants for Community and Religious Projects

What are the potential negative Impacts	Ideas as to how we can look to <b>MITIGATE</b> the <b>negative impacts</b> (include any reasonable adjustments)
➤ <b>None, as grants for benefit of Applicants</b>	➤
➤	➤
➤	➤

➤	➤
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## The next steps

- If you have assessed the proposal/s as having a **positive impact please give full details** below

There are positive outcomes in relation to age (mainly as most organisations that apply seem to contain a higher majority of older retired people). Also disabled people have a positive outcome as the Welsh Church Fund indicates that applications are looked upon favourable for this area. The churches and applications with religious protected characteristics have the most positive outcome as the applications from this area tend to receive the highest awards as the fund was initially set up to support churches by charitable donations. The grant aid supports and highlights the positive effect that future decisions have on the Religious, Age and Disability characteristics, with particular emphasis on helping religious organisational applicants.

The Grant Allocation Policy is set in accordance with the charitable objects of the Trust.

- If you have assessed the proposal/s as having a **Negative Impact** could you please provide us with details of what you propose to do to mitigate the negative impact:

No adverse effects can be detected in regard to who can apply for budgeted funding based upon any of the characteristics.

**Signed**

**D Jarrett**

**Dated 30<sup>th</sup> April 2014**

**SCHEDULE 12A LOCAL GOVERNMENT ACT 1972  
EXEMPTION FROM DISCLOSURE OF DOCUMENTS**

**MEETING AND DATE OF MEETING:** Cabinet 4<sup>th</sup> June 2014  
**TITLE OF REPORT:** Capita Gwent Consultancy Ltd Pension Issue  
**AUTHOR:** Joy Robson – Head of Finance

I have considered grounds for exemption of information contained in the report referred to above and make the following recommendation to the Proper Officer:-

**EXEMPTIONS APPLYING TO THE REPORT:**

Report is not for publication paragraphs 1, 14 and 16 of part 4 of schedule 12A of the Local Government Act 1972 (as amended by the access to information variation order Wales 2007).

**FACTORS IN FAVOUR OF DISCLOSURE:**

None, whilst in negotiations

**PREJUDICE WHICH WOULD RESULT IF THE INFORMATION WERE DISCLOSED:**

Prejudice negotiations with the company


**MY VIEW ON THE PUBLIC INTEREST TEST IS AS FOLLOWS:**

Outweighed by need to exempt.

**RECOMMENDED DECISION ON EXEMPTION FROM DISCLOSURE:**

To apply exemption.

Date: 22<sup>nd</sup> May 2014

Signed: 

Post: Head of Finance

I accept/~~do not accept~~ the recommendation made above

Proper Officer: Paul Matthey

Date: 23/5/14.