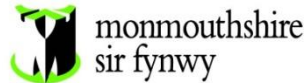


Public Document Pack



Neuadd y Sir
Y Rhadyr
Brynbuga
NP15 1GA

County Hall
Rhadyr
Usk
NP15 1GA

Tuesday, 30 May 2017

Dear Councillor

CABINET

You are requested to attend a **Cabinet** meeting to be held at **Council Chamber - Council Chamber** on **Wednesday, 7th June, 2017**, at **2.00 pm**.

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. **Welsh Language Monitoring Report 2016/17** 1 - 42
Divisions/Wards Affected: All

Purpose: To ask Cabinet to note the contents of the attached Welsh Language Monitoring Report 2016 – 2017 that has been produced in line with the requirements of the Welsh Language (Wales) Measure 2011. The Monitoring report details our compliance with the specific areas that the Welsh Language Commissioner has specified.

Author: Alan Burkitt, Policy Officer Equalities and Welsh Language

Contact Details: alanburkitt@monmouthshire.gov.uk
 - ii. **Corporate Safeguarding Policy** 43 - 104
Division/Wards Affected: All

Purpose: To inform Members of the introduction of the new Corporate Safeguarding Policy.

Author: Claire Marchant - Chief Officer, Social Care and Health

Contact Details: Clairemarchant@monmouthshire.gov.uk
 - iii. **Children and Young People Directorate Re-structure** 105 - 122
Division/Wards Affected: All

Purpose: To propose changes to the structure of the CYP directorate.

Author: Nikki Wellington - Finance Manager, Children and Young People Directorate

Sharon Randall-Smith - Head of Attainment and Standards, Children and Young People Directorate.

Contact Details: Nicolawellington@monmouthshire.gov.uk;
SharonRandall-Smith@monmouthshire.gov.uk

- iv. **Whistleblowing Policy** 123 -
Division/Wards Affected: All 142

Purpose: The purpose of this report is to provide a revised Whistleblowing Policy, which is applicable to all employees including those based in schools.

This revised policy will replace the current Whistleblowing policy.

Author: Sally Thomas, HR

Contact Details: sallythomas@monmouthshire.gov.uk

- v. **Attendance Management Policy** 143 -
Division/Wards Affected: All 182

Purpose: The purpose of this report is to provide a revised Attendance Management Policy, which is applicable to all employees including those based in schools.

This revised policy will replace the current Attendance Management policies for corporate staff and those staff employed in schools.

Author: Sally Thomas, HR

Contact Details: sallythomas@monmouthshire.gov.uk

- vi. **Transport grant and Section 106 Schemes** 183 -
Division/Wards Affected: All 196

Purpose: To seek member approval for highway and transportation schemes as part of Welsh Government transport grants and Section 106 agreements associated with new developments throughout Monmouthshire as shown in appendix A and B.

Author: Paul Keeble - Group Engineer (Highway & Flood Management)

Contact Details: paulkeeble@monmouthshire.gov.uk

- vii. **Revenue and Capital Monitoring 2016/17 Outturn Forecast Statement** 197 -
Division/Wards Affected: All 230

Purpose: The purpose of this report is to provide Members with information on the revenue outturn position of the Authority at the end of reporting period 4, which represents the financial outturn position for the 2016/17 financial year.

This report will also be considered by Select Committees as part of their responsibility to:

- Assess whether effective budget monitoring is taking place.
- Monitor the extent to which budgets are spent in accordance with agreed budget and policy framework.
- Challenge the reasonableness of projected over or underspends.
- Monitor the achievement of predicted efficiency gains or progress in relation to savings proposals.

Author: Mark Howcroft – Assistant Head of Finance; Dave Jarrett – Senior Accountant Business Support

Contact Details: markhowcroft@monmouthshire.gov.uk

- viii. **Anti-Fraud, Bribery and Corruption Policy Statement - Revised and Updated** 231 - 254

Division/Wards Affected: All

Purpose: To receive, consider and approve the Council's updated and revised Anti Fraud, Bribery and Corruption Policy Statement.

Author: Andrew Wathan - Chief Internal Auditor, Finance

Contact Details: andrewwathan@monmouthshire.gov.uk

- ix. **Welsh Church Fund Working Group** 255 - 266

Division/Wards Affected: All

Purpose: The purpose of this report is to make recommendations to Cabinet on the Schedule of Applications for the Welsh Church Fund Working Group meeting 5 of the 2016/17 financial year held on the 20th March 2017.

Author: David Jarrett – Senior Accountant, Central Finance Business Support

Contact Details: davejarrett@monmouthshire.gov.uk

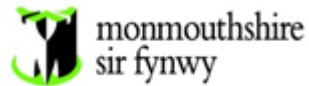
Yours sincerely,

Paul Matthews
Chief Executive

CABINET PORTFOLIOS

County Councillor	Area of Responsibility	Partnership and External Working	Ward
P.A. Fox (Leader)	Whole Authority Strategy & Direction CCR Joint Cabinet & Regional Development; Organisation overview; Regional working; Government relations; Public Service Board; WLGA	WLGA Council WLGA Coordinating Board Public Service Board	Portskewett
R.J.W. Greenland (Deputy Leader)	Enterprise Land use planning; Economic development; Tourism; Development control; Building control; Housing & homeless; Leisure; Youth; Adult education; Outdoor education; Community Hubs; Cultural services	WLGA Council Capital Region Tourism	Devauden
P. Jordan	Governance Council & Executive decision support; Scrutiny; Regulatory Committee standards; Community governance; Member support; Elections; Democracy promotion & engagement; Law; Ethics & standards; Whole Authority performance; Whole Authority service planning & evaluation; Regulatory body liaison		Cantref
R. John	Children & Young People School standards; School improvement; School governance; EAS overview; Early years; Additional Learning Needs; Inclusion; Extended curriculum; Admissions; Catchment areas; Post 16 offer; Coleg Gwent liaison.	Joint Education Group (EAS) WJEC	Mitchel Troy
P. Jones	Social Care, Safeguarding & Health Children; Adult; Fostering & adoption; Youth offending service; Supporting people; Whole Authority safeguarding (children & adults); Disabilities; Mental Health; Public Health; Health liaison.		Raglan
P. Murphy	Resources Finance; Information technology (SRS); Human Resources; Training; Health & Safety; Emergency planning; Procurement; Audit; land & buildings (inc. Estate, Cemeteries, Allotments, Farms); Property maintenance; Digital office; Commercial office	Prosiect Gwrydd Wales Purchasing Consortium	Caerwent

S.B. Jones	County Operations Highways maintenance, Transport, Traffic & Network Management, Fleet management; Waste including recycling, Public conveniences; Car parks; Parks & open spaces; Cleansing; Countryside; Landscapes & biodiversity; Flood Risk.	SEWTA Prosiect Gwyrdd	Goytre Fawr
S. Jones	Social Justice & Community Development Community engagement; Rural deprivation/isolation; Community safety; Social cohesion; Poverty; Equalities; Diversity; Welsh language; Public relations; Trading standards; Environmental health; Licensing; Communications		Llanover



Sustainable and Resilient Communities

Outcomes we are working towards

Nobody Is Left Behind

- Older people are able to live their good life
- People have access to appropriate and affordable housing
- People have good access and mobility

People Are Confident, Capable and Involved

- People's lives are not affected by alcohol and drug misuse
- Families are supported
- People feel safe

Our County Thrives

- Business and enterprise
- People have access to practical and flexible learning
- People protect and enhance the environment

Our priorities

- Schools
- Protection of vulnerable people
- Supporting Business and Job Creation
- Maintaining locally accessible services

Our 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.

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SUBJECT:	Welsh Language Monitoring Report 2016/17
MEETING:	Cabinet
DATE:	7th June 2017
DIVISION/WARDS AFFECTED:	All

1. PURPOSE:

To ask Cabinet to note the contents of the attached Welsh Language Monitoring Report 2016 – 2017 that has been produced in line with the requirements of the Welsh Language (Wales) Measure 2011. The Monitoring report details our compliance with the specific areas that the Welsh Language Commissioner has specified.

2. RECOMMENDATIONS:

- 2.1 To approve the report as a record of the Council's activities over the last year in respect of compliance with the Welsh Language Standards. The report will then be forwarded to the Welsh Language Commissioner's Office by the 30th June 2017 for their scrutiny, response and formal approval. It will also be posted on the council's English and Welsh web sites.

3. KEY ISSUES:

- 3.1 The Council was informed by the Welsh Language Commissioner of the standards that it was expected to comply with on the 1st August 2016 and with the exception of a few time extension caveats was expected to have everything in place for the 30th March 2016.

4. REASONS:

Monmouthshire County Council has a statutory responsibility to produce an Annual Monitoring Report under the Welsh Language (Wales) Measure 2011.

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. FUTURE GENERATIONS AND EQUALITY IMPLICATIONS:

As this is a monitoring report there is no need to carry out an impact assessment.

7. CONSULTEES:

All Cabinet members, Senior Management Team,

8. BACKGROUND PAPERS:

Monmouthshire County Council's Welsh Language Standards 1st August 2016.

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 Annual Welsh Language Monitoring Report 2016-2017

This report reflects Monmouthshire County Council's progress on its Welsh language commitments under the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards during the financial year 2016-2017.

The report presents data on the required indicators in the following fields in compliance with Standards 158,164 and 170: complaints, staff language skills, Welsh medium training for staff and recruiting to empty posts. This report will be published by 30th June 2017 in compliance with Standard 158.

Legislative requirements

This year has been a year of ensuring that we know where we are in terms of levels of compliance with the Standards allocated to us. Also we have looked at trying to establish how consistent we are in terms of compliance to the Standards across all directorates/divisions. It has once again been a very challenging time due to the tight timescale, the sheer volume of the Standards and also the complexity of interpreting what does each individual standard actually mean without having any guidance to follow. Having said that for an authority that has a comparatively low proportion of Welsh speakers we are rightly proud of the level of compliance that has been reached and the "can do" attitude of the staff that are in the vast majority not Welsh speakers and have very little knowledge or skills in the Welsh language.

Managing change

We have been in contact with directorates/divisions to speak to them regarding some of the more challenging standards and the dialogue has always been positive and solutions to any problems have always been found and enthusiastically implemented. It was decided that in order to monitor our progress in service delivery that we procure the services of our partners – Menter Iaith BGTM are being commissioned to carry out a "mystery shopper exercise" to see where we are at in certain key areas. On St David's Day we launched our bilingual website with its Welsh Language resource page and our Facebook and separate twitter accounts to encourage the public to take up our Welsh Language services. Our Welsh Language line is becoming ever more popular with 70+ phone calls received and dealt with or transferred to the relevant officers through the medium of Welsh.

Data required each year from 1 April – 31 March 2017

- Information on complaints (*Standard 158(2); 164(2); 170(2)(d)*)
- Information on staff language skills (*Standard 170(2)(a)*)
- Welsh medium training for staff (*Standard 170 (2)(b+c)*)
- Recruiting to empty posts (*Standard 154, 170(ch)*).

Information on complaints (Standard 158(2); 164(2); 170(2)(d))

One complaint was received in 2016-2017 regarding the provision of swimming lessons through the medium of Welsh in the county but the final adjudication as to whether we are non-compliant has not yet been received.

Information on staff language skills (Standard 170(2)(a))

Welsh Language Skills of Employees as at 31/03/17

Staff Welsh Competency	Total posts	Beginner	Intermediate	Advanced	Fluent
Welsh Language	3,096	1	20	5	30

Welsh language spoken skills by service area at 31 March 2017.

	Beginner	Intermediate	Advanced	Fluent	Total
Resources	5	2	1	3	11
Social care	19	4	0	11	34
Highways/Operations	9	1	0	2	12
Children and Young People	3	1	0	2	6
Partnership/Communications	3	1	1	2	7
Enterprise Directorate	69	10	3	10	92
Elected Members	4	1	0	1	6
Grand Total	112	20	5	31	168

Welsh medium training for staff (*Standard 170 (2)(b+c)*)

In 2016-17, we ran the following Welsh Language sessions:-

3 members of staff attending the Cwrs Mynediad Year 2 Cymraeg yn y Gweithle 2 hour 30 week course provided by Coleg Gwent Welsh for Adults.

7 members of staff attending Cwrs Mynediad year 3 Cymraeg yn y Gweithle 2 hour 30 week course also provided by Coleg Gwent Welsh for Adults.

53 members of staff attending a bespoke 2 hour 2x per week 20 week reception course designed and run by Coleg Gwent Welsh for Adults

9 members of staff attending a bespoke 2 hour 2x per week 8 week reception course designed and run by Coleg Gwent Welsh for Adults

5 members of staff attending a second bespoke 2 hour 2x per week 15 week reception course designed and run by Coleg Gwent Welsh for Adults.

4 members of staff are attending Sylfaen courses outside of work time

Recruiting to empty posts (*Standard 154, 170(ch)*).

Job application processes have been amended to be fully accessible in Welsh in accordance with the Standards.

Below are the details of advertised posts in **2016 - 2017**

(a) The number of vacant/new posts advertised from 1st April 2016 – 31st March 2017;
402 (250 in 2015 – 2016)

(b) The number of the vacant/new vacant posts advertised from 1st April 2016 - 31st March 2017 that had 'Welsh language skills essential'; 21 (10 in 2015 – 2016)

(c) The number of vacant/new vacant posts advertised from 1st April 2016 – 31st March 2017 that had 'Welsh language skills desirable'; 105 (2 in 2015 – 2016)

(d) The number of vacant/new posts advertised from 1st April 2016 – 31st March 2017 specified as posts where it is 'necessary to learn Welsh-language skills when someone is appointed to the post';
8 (0 in 2015 – 2016)

(e) The number of vacant/new posts advertised from 1st April 2016 – 31st March 2017 that 'did not require Welsh language skills'; 90 (230 in 2015 – 2016)

It has also been noted that there were 176 with no assessments carried out and two that were unclear.

A great deal of work has been carried out over the last year working closely with HR and other colleagues in developing an assessment process that has reaped dividends in terms of essential and desirable assessments being made. The non-assessments above were from very early on in the year when the process was not in place. It is anticipated that the figures next year will be even better. A pilot project has been established to carry out a workforce planning review with the Recycling and Refuse Service. Once this has been completed the process will be amended if required and the process carried out with all divisions. The project will establish the existing Welsh language skills within services and then look at front line or specific service gaps. Posts will then be identified as either Welsh essential or desirable and it is hoped that this will lead to us discovering existing Welsh speaking staff and lead to an incremental increase in the council's capacity to communicate and offer services through the medium of Welsh.



COMPLIANCE NOTICE – SECTION 44 WELSH LANGUAGE (WALES) MEASURE 2011

Monmouthshire County Council – Issue Date: 30/09/2015

The following standards were varied on 1 August 2016 following a determination of an application to challenge future duties under section 57 Welsh Language (Wales) Measure 2011.

○ Standard 64

Standard Number	Class of Standard	Standard	Imposition Date
1	Service Delivery	If you receive correspondence from a person in Welsh you must reply in Welsh (if an answer is required), unless the person has indicated that there is no need to reply in Welsh.	30/03/2016
2	Service Delivery	When you correspond with an individual ("A") for the first time, you must ask A whether A wishes to receive correspondence from you in Welsh, and if A responds to say that A wishes to receive correspondence in Welsh you must - (a) keep a record of A's wish, (b) correspond with A in Welsh when corresponding with A from then onwards, and (c) send any forms you send to A from then onwards in Welsh.	30/09/2016
3	Service Delivery	When you send correspondence addressed to two individuals who are members of the same household (for example, the parents of a child) for the first time, you must ask them whether they wish to	30/09/2016

		<p>receive correspondence from you in Welsh; and if -</p> <p>(a) both individuals respond to say that they wish to receive correspondence in Welsh, you must keep a record of that wish and correspond in Welsh from then onwards when sending correspondence addressed to both of those individuals;</p> <p>(b) one (but not both) of the individuals responds to say that he or she wishes to receive correspondence in Welsh, you must keep a record of that wish and provide a Welsh language version of correspondence from then onwards when sending correspondence addressed to both of those individuals.</p>	
4	Service Delivery	When you send the same correspondence to several persons, you must send a Welsh language version of the correspondence at the same time as you send any English language version.	30/03/2016
5	Service Delivery	If you don't know whether a person wishes to receive correspondence from you in Welsh, when you correspond with that person you must provide a Welsh language version of the correspondence.	30/03/2016
6	Service Delivery	If you produce a Welsh language version and a corresponding English language version of correspondence, you must not treat the Welsh language version less favourably than the English language version (for example, if the English version is signed, or if contact details are provided on the English version, then the Welsh version must be treated in the same way).	30/03/2016
7	Service Delivery	<p>You must state -</p> <p>(a) in correspondence, and</p> <p>(b) in publications and official notices that invite persons to respond to you or to correspond with you,</p> <p>that you welcome receiving correspondence in Welsh, that you will</p>	30/03/2016

		respond to any correspondence in Welsh, and that corresponding in Welsh will not lead to delay.	
8	Service Delivery	When a person contacts you on your main telephone number (or numbers), or on any helpline numbers or call centre numbers, you must greet the person in Welsh.	30/03/2016
9	Service Delivery	When a person contacts you on your main telephone number (or numbers), or on any helpline numbers or call centre numbers, you must inform the person that a Welsh language service is available.	30/03/2016
11	Service Delivery	When a person contacts you on your main telephone number (or numbers), or on any helpline numbers or call centre numbers, you must deal with the call in Welsh if that is the person's wish until such point as - (a) it is necessary to transfer the call to a member of staff who does not speak Welsh who can provide a service on a specific matter; and (b) no Welsh speaking member of staff is available to provide a service on that specific subject matter.	30/03/2016
12	Service Delivery	When you advertise telephone numbers, helpline numbers or call centre services, you must not treat the Welsh language less favourably than the English language.	30/03/2016
13	Service Delivery	If you offer a Welsh language service on your main telephone number (or numbers), on any helpline numbers or call centre numbers, the telephone number for the Welsh language service must be the same as for the corresponding English language service.	30/03/2016
14	Service Delivery	When you publish your main telephone number, or any helpline numbers or call centre service numbers, you must state (in Welsh) that you welcome calls in Welsh.	30/03/2016
15	Service Delivery	If you have performance indicators for dealing with telephone calls, you must ensure that those performance indicators do not treat	30/03/2016

		telephone calls made in Welsh any less favourably than calls made in English.	
16	Service Delivery	Your main telephone call answering service (or services) must inform persons calling, in Welsh, that they can leave a message in Welsh.	30/03/2016
17	Service Delivery	When there is no Welsh language service available on your main telephone number (or numbers), or any helpline numbers or call centre numbers, you must inform persons calling, in Welsh (by way of an automated message or otherwise), when a Welsh language service will be available.	30/03/2016
19	Service Delivery	If a person contacts one of your departments on a direct line telephone number (including on staff members' direct line numbers), and that person wishes to receive a service in Welsh, you must deal with the call in Welsh until such point as - (a) it is necessary to transfer the call to a member of staff who does not speak Welsh who can provide a service on a specific subject matter; and (b) no Welsh speaking member of staff is available to provide a service on that specific subject matter.	30/03/2016
20	Service Delivery	When a person contacts you on a direct line number (whether on a department's direct line number or on the direct line number of a member of staff), you must ensure that, when greeting the person, the Welsh language is not treated less favourably than the English language.	30/03/2016
21	Service Delivery	When you telephone an individual ("A") for the first time you must ask A whether A wishes to receive telephone calls from you in Welsh, and if A responds to say that A wishes to receive telephone calls in Welsh you must keep a record of that wish, and conduct telephone	30/09/2016

		calls made to A from then onwards in Welsh.	
22	Service Delivery	Any automated telephone systems that you have must provide the complete automated service in Welsh.	30/03/2016
24	Service Delivery	If you invite one person only ("P") to a meeting you must ask P whether P wishes to use the Welsh language at the meeting, and inform P that you will, if necessary, provide a translation service from Welsh to English for that purpose.	30/03/2016
24A	Service Delivery	If you have invited one person only ("P") to a meeting and P has informed you that P wishes to use the Welsh language at the meeting, you must arrange for a simultaneous translation service from Welsh to English to be available at the meeting (unless you conduct the meeting in Welsh without the assistance of a translation service).	30/03/2016
26	Service Delivery	If you invite an individual ("A") to a meeting, and the meeting relates to the well-being of A, you must ask A whether A wishes to use the Welsh language at the meeting, and inform A that you will, if necessary, provide a translation service from Welsh to English and from English to Welsh for that purpose.	30/03/2016
26A	Service Delivery	You must arrange for a simultaneous translation service from Welsh to English and from English to Welsh to be available at a meeting - (a) if the meeting relates to the well-being of an invited individual ("A"), and (b) if A has informed you that A wishes to use the Welsh language at the meeting; unless you conduct the meeting in Welsh without the assistance of a translation service.	30/03/2016
27	Service Delivery	If you invite more than one person to a meeting (which does not relate to the well-being of one or more of the individuals invited), you must ask each person whether they wish to use the Welsh language	30/03/2016

		at the meeting.	
27A	Service Delivery	If you have invited more than one person to a meeting (which does not relate to the well-being of one or more of the individuals invited), and at least 10% (but less than 100%) of the persons invited have informed you that they wish to use the Welsh language at the meeting, you must arrange for a simultaneous translation service from Welsh to English to be available at the meeting.	30/03/2016
27D	Service Delivery	If you have invited more than one person to a meeting (which does not relate to the well-being of one or more of the individuals invited), and all of the persons invited have informed you that they wish to use the Welsh language at the meeting, you must arrange for a simultaneous translation service from Welsh to English to be available at the meeting (unless you conduct the meeting in Welsh without the assistance of a translation service).	30/03/2016
29	Service Delivery	If you invite more than one person to a meeting, and that meeting relates to the well-being of one or more of the individuals invited, you must - (a) ask that individual or each of those individuals whether he or she wishes to use the Welsh language at the meeting, and (b) inform that individual (or those individuals) that, if necessary, you will provide a translation service from Welsh to English and from English to Welsh for that purpose.	30/03/2016
29A	Service Delivery	You must provide a simultaneous translation service from Welsh to English and from English to Welsh at a meeting - (a) if you have invited more than one person to the meeting, (b) if the meeting relates to the well-being of one or more of the individuals invited, and (c) if at least one of those individuals has informed you that he or she	30/03/2016

		wishes to use the Welsh language at the meeting; unless you conduct the meeting in Welsh without the assistance of a translation service.	
30	Service Delivery	If you arrange a meeting that is open to the public you must state on any material advertising it, and on any invitation to it, that anyone attending is welcome to use the Welsh language at the meeting.	30/03/2016
31	Service Delivery	When you send invitations to a meeting that you arrange which is open to the public, you must send the invitations in Welsh.	30/03/2016
32	Service Delivery	If you invite persons to speak at a meeting that you arrange which is open to the public you must - (a) ask each person invited to speak whether he or she wishes to use the Welsh language, and (b) if that person (or at least one of those persons) has informed you that he or she wishes to use the Welsh language at the meeting, provide a simultaneous translation service from Welsh to English for that purpose (unless you conduct the meeting in Welsh without a translation service).	30/03/2016
33	Service Delivery	If you arrange a meeting that is open to the public, you must ensure that a simultaneous translation service from Welsh to English is available at the meeting, and you must orally inform those present in Welsh - (a) that they are welcome to use the Welsh language, and (b) that a simultaneous translation service is available. You must comply with standard 33 in every circumstance, except: <ul style="list-style-type: none"> ○ where an invitation or material advertising the meeting has asked persons to inform you whether you wish to use 	30/03/2016

		the Welsh language, and that no person has informed you that he or she wishes to use the Welsh language at the meeting.	
34	Service Delivery	If you display any written material at a meeting that you arrange which is open to the public, you must ensure that that material is displayed in Welsh, and you must not treat any Welsh language text less favourably than the English language text.	30/03/2016
35	Service Delivery	If you organise a public event, or fund at least 50% of a public event, you must ensure that, in promoting the event, the Welsh language is treated no less favourably than the English language (for example, in the way the event is advertised or publicised).	30/03/2016
36	Service Delivery	If you organise a public event, or fund at least 50% of a public event, you must ensure that the Welsh language is treated no less favourably than the English language at the event (for example, in relation to services offered to persons attending the event, in relation to signs displayed at the event and in relation to audio announcements made at the event).	30/03/2016
37	Service Delivery	Any publicity or advertising material that you produce must be produced in Welsh, and if you produce the advertising material in Welsh and in English, you must not treat the Welsh language version less favourably than you treat the English language version.	30/03/2016
38	Service Delivery	Any material that you display in public must be displayed in Welsh, and you must not treat any Welsh language version of the material less favourably than the English language version.	30/03/2016
41	Service Delivery	If you produce the following documents you must produce them in Welsh - (a) agendas, minutes and other papers that are available to the public, which relate to management board or cabinet meetings;	30/03/2016

		<p>(b) agendas, minutes and other papers for meetings, conferences or seminars that are open to the public.</p> <p>You must comply with standard 41(a) in every circumstance, except:</p> <ul style="list-style-type: none"> ○ other papers that are available to the public, which relate to management board or cabinet meetings. <p>You must comply with standard 41(b) in every circumstance, except:</p> <ul style="list-style-type: none"> ○ other papers for meetings that are open to the public. 	
42	Service Delivery	Any licence or certificate you produce must be produced in Welsh.	30/03/2016
43	Service Delivery	Any brochure, leaflet, pamphlet or card that you produce in order to provide information to the public must be produced in Welsh.	30/03/2016
44	Service Delivery	<p>If you produce the following documents, and they are available to the public, you must produce them in Welsh -</p> <p>(a) policies, strategies, annual reports and corporate plans;</p> <p>(b) guidelines and codes of practice;</p> <p>(c) consultation papers.</p>	30/09/2016
45	Service Delivery	Any rules that you publish that apply to the public must be published in Welsh.	30/03/2016
46	Service Delivery	When you issue any statement to the press you must issue it in Welsh and, if there is a Welsh language version and an English language version of a statement, you must issue both versions at the same time.	30/03/2016
47	Service Delivery	<p>If you produce a document for public use, and no other standard has required you to produce the document in Welsh, you must produce it in Welsh -</p> <p>(a) if the subject matter of the document suggests that it should be</p>	30/03/2016

		produced in Welsh, or (b) if the anticipated audience, and their expectations, suggests that the document should be produced in Welsh.	
48	Service Delivery	If you produce a document in Welsh and in English (whether separate versions or not), you must not treat any Welsh language version less favourably than you treat the English language version.	30/03/2016
49	Service Delivery	If you produce a Welsh language version and a separate English language version of a document, you must ensure that the English language version clearly states that the document is also available in Welsh.	30/03/2016
50	Service Delivery	Any form that you produce for public use must be produced in Welsh.	30/03/2016
50A	Service Delivery	If you produce a Welsh language version and a separate English language version of a form, you must ensure that the English language version clearly states that the form is also available in Welsh.	30/03/2016
50B	Service Delivery	If you produce a form in Welsh and in English (whether separate versions or not), you must ensure that the Welsh language version is treated no less favourably than the English language version, and you must not differentiate between the Welsh and English versions in relation to any requirements that are relevant to the form (for example in relation to any deadline for submitting the form, or in relation to the time allowed to respond to the content of the form).	30/03/2016
51	Service Delivery	If you pre-enter information on a Welsh language version of a form (for example, before sending it to a member of the public in order for him or her to check the content or to fill in the remainder of the form), you must ensure that the information that you pre-enter is in Welsh.	30/09/2016
52	Service Delivery	You must ensure that - (a) the text of each page of your website is available in Welsh,	30/03/2016

		(b) every Welsh language page on your website is fully functional, and (c) the Welsh language is not treated less favourably than the English language on your website.	
55	Service Delivery	If you have a Welsh language web page that corresponds to an English language web page, you must state clearly on the English language web page that the page is also available in Welsh, and you must provide a direct link to the Welsh page on the corresponding English page.	30/03/2016
56	Service Delivery	You must provide the interface and menus on every page of your website in Welsh.	30/03/2016
57	Service Delivery	All apps that you publish must function fully in Welsh, and the Welsh language must be treated no less favourably than the English language in relation to that app.	30/03/2016
58	Service Delivery	When you use social media you must not treat the Welsh language less favourably than the English language.	30/09/2016
59	Service Delivery	If a person contacts you by social media in Welsh, you must reply in Welsh (if an answer is required).	30/03/2016
60	Service Delivery	You must ensure that any self service machines that you have function fully in Welsh, and the Welsh language must be treated no less favourably than the English language in relation to that machine.	30/03/2016
61	Service Delivery	When you erect a new sign or renew a sign (including temporary signs), any text displayed on the sign must be displayed in Welsh (whether on the same sign as you display corresponding English language text or on a separate sign); and if the same text is displayed in Welsh and in English, you must not treat the Welsh language text less favourably than the English language text.	30/03/2016

62	Service Delivery	When you erect a new sign or renew a sign (including temporary signs) which conveys the same information in Welsh and in English, the Welsh language text must be positioned so that it is likely to be read first.	30/03/2016
63	Service Delivery	You must ensure that the Welsh language text on signs is accurate in terms of meaning and expression.	30/03/2016
64	Service Delivery	<p>Any reception service you make available in English must also be available in Welsh, and any person who requires a Welsh language reception service must not be treated less favourably than a person who requires an English language reception service.</p> <p>You must comply with standard 64 in relation to the following by 30 March 2016:</p> <ul style="list-style-type: none"> ○ The body's main reception service <p>You must comply with standard 64 in relation to the following by 30 September 2017:</p> <ul style="list-style-type: none"> ○ All other reception services 	30/03/2016
65	Service Delivery	<p>If you arrange a visit or appointment in advance for a person ("P") which will mean that P will come to your reception, you must ask P whether P wishes to receive a Welsh language reception service (unless you already know whether P wishes to receive that service in Welsh).</p> <p>You must comply with standard 65 in the following circumstances until 30 September 2017:</p> <ul style="list-style-type: none"> ○ All other reception services 	30/03/2016
65A	Service Delivery	You must provide a face to face Welsh language reception service	30/03/2016

		<p>for a person ("P") at your reception if you have arranged a visit or appointment for P in advance and - (a) P has informed you in advance that P wishes to receive the service in Welsh, or (b) you are already aware that P wishes to receive the service in Welsh.</p> <p>You must comply with standard 65A in the following circumstances until 30 September 2017:</p> <ul style="list-style-type: none"> ○ All other reception services 	
67	Service Delivery	<p>You must display a sign in your reception which states (in Welsh) that persons are welcome to use the Welsh language at the reception.</p> <p>You must comply with standard 67 in relation to the following by 28 October 2016:</p> <ul style="list-style-type: none"> ○ The body's main reception service <p>You must comply with standard 64 in relation to the following by 30 September 2017:</p> <ul style="list-style-type: none"> ○ Every other reception service 	30/03/2016
68	Service Delivery	<p>You must ensure that staff at the reception who are able to provide a Welsh language reception service wear a badge to convey that.</p>	30/03/2016
69	Service Delivery	<p>Any official notice that you publish or display must be published or displayed in Welsh, and you must not treat any Welsh language version of a notice less favourably than an English language version.</p>	30/03/2016
70	Service Delivery	<p>When you publish or display an official notice that contains Welsh language text as well as English language text, the Welsh language text must be positioned so that it is likely to be read first.</p>	30/03/2016
71	Service Delivery	<p>Any documents that you publish which relate to applications for a grant, must be published in Welsh, and you must not treat a Welsh</p>	30/03/2016

		language version of such documents less favourably than an English language version.	
72	Service Delivery	When you invite applications for a grant, you must state in the invitation that applications may be submitted in Welsh and that any application submitted in Welsh will be treated no less favourably than an application submitted in English.	30/03/2016
72A	Service Delivery	You must not treat applications for a grant submitted in Welsh less favourably than applications submitted in English (including, amongst other matters, in relation to the closing date for receiving applications and in relation to the time-scale for informing applicants of decisions).	30/03/2016
74	Service Delivery	If you receive an application for a grant in Welsh and it is necessary to interview the applicant as part of your assessment of the application you must - (a) offer to provide a translation service from Welsh to English to enable the applicant to use the Welsh language at the interview, and (b) if the applicant wishes to use the Welsh language at the interview, provide a simultaneous translation service for that purpose (unless you conduct the interview in Welsh without a translation service).	30/03/2016
75	Service Delivery	When you inform an applicant of your decision in relation to an application for a grant, you must do so in Welsh if the application was submitted in Welsh.	30/03/2016
76	Service Delivery	Any invitations to tender for a contract that you publish must be published in Welsh, and you must not treat a Welsh language version of any invitation less favourably than an English language version.	30/03/2016
77	Service Delivery	When you publish invitations to tender for a contract, you must state in the invitation that tenders may be submitted in Welsh, and that a tender submitted in Welsh will be treated no less favourably than a tender submitted in English.	30/03/2016

77A	Service Delivery	You must not treat a tender for a contract submitted in Welsh less favourably than a tender submitted in English (including, amongst other matters, in relation to the closing date for receiving tenders, and in relation to the time-scale for informing tenderers of decisions).	30/03/2016
79	Service Delivery	If you receive a tender in Welsh and it is necessary to interview the tenderer as part of your assessment of the tender you must - (a) offer to provide a translation service from Welsh to English to enable the tenderer to use the Welsh language at the interview, and (b) if the tenderer wishes to use the Welsh language at the interview, provide a simultaneous translation service for that purpose (unless you conduct the interview in Welsh without a translation service).	30/03/2016
80	Service Delivery	When you inform a tenderer of your decision in relation to a tender, you must do so in Welsh if the tender was submitted in Welsh.	30/03/2016
81	Service Delivery	You must promote any Welsh language service that you provide, and advertise that service in Welsh.	30/03/2016
82	Service Delivery	If you provide a service in Welsh that corresponds to a service you provide in English, any publicity or document that you produce, or website that you publish, which refers to the English service must also state that a corresponding service is available in Welsh.	30/03/2016
83	Service Delivery	When you form, revise or present your corporate identity, you must not treat the Welsh language less favourably than the English language.	30/03/2016
84	Service Delivery	If you offer an education course that is open to the public, you must offer it in Welsh. You must comply with standard 84 in every circumstance, except: ○ when an assessment carried out in accordance with	30/03/2016

		standard 86 comes to the conclusion that there is no need for that course to be offered in Welsh.	
86	Service Delivery	If you develop an education course that is to be offered to the public, you must assess the need for that course to be offered in Welsh; and you must ensure that the assessment is published on your website.	30/03/2016
87	Service Delivery	When you announce a message over a public address system, you must make that announcement in Welsh and, if the announcement is made in Welsh and in English, the announcement must be made in Welsh first.	30/09/2016
88	Policy Making	When you formulate a new policy, or review or revise an existing policy, you must consider what effects, if any (whether positive or adverse), the policy decision would have on - (a) opportunities for persons to use the Welsh language, and (b) treating the Welsh language no less favourably than the English language.	30/03/2016
89	Policy Making	When you formulate a new policy, or review or revise an existing policy, you must consider how the policy could be formulated (or how an existing policy could be changed) so that the policy decision would have positive effects, or increased positive effects, on - (a) opportunities for persons to use the Welsh language, and (b) treating the Welsh language no less favourably than the English language.	30/03/2016
90	Policy Making	When you formulate a new policy, or review or revise an existing policy, you must consider how the policy could be formulated (or how an existing policy could be changed) so that the policy decision would not have adverse effects, or so that it would have decreased adverse effects, on - (a) opportunities for persons to use the Welsh language, and	30/03/2016

		(b) treating the Welsh language no less favourably than the English language.	
91	Policy Making	When you publish a consultation document which relates to a policy decision, the document must consider, and seek views on, the effects (whether positive or adverse) that the policy decision under consideration would have on - (a) opportunities for persons to use the Welsh language, and (b) treating the Welsh language no less favourably than the English language.	30/03/2016
92	Policy Making	When you publish a consultation document which relates to a policy decision the document must consider, and seek views on, how the policy under consideration could be formulated or revised so that it would have positive effects, or increased positive effects, on (a) opportunities for persons to use the Welsh language, and (b) treating the Welsh language no less favourably than the English language.	30/03/2016
93	Policy Making	When you publish a consultation document which relates to a policy decision the document must consider, and seek views on, how the policy under consideration could be formulated or revised so that it would not have adverse effects, or so that it would have decreased adverse effects, on - (a) opportunities for persons to use the Welsh language, and (b) treating the Welsh language no less favourably than the English language.	30/03/2016
94	Policy Making	You must produce and publish a policy on awarding grants (or, where appropriate, amend an existing policy) which requires you to take the following matters into account when you make decisions in relation to the awarding of a grant -	30/03/2016

		<p>(a) what effects, if any (and whether positive or negative), the awarding of a grant would have on -</p> <p>(i) opportunities for persons to use the Welsh language, and</p> <p>(ii) treating the Welsh language no less favourably than the English language;</p> <p>(b) how the decision could be taken or implemented (for example, by imposing conditions of grant) so that it would have positive effects, or increased positive effects, on -</p> <p>(i) opportunities for persons to use the Welsh language, and</p> <p>(ii) treating the Welsh language no less favourably than the English language;</p> <p>(c) how the decision could be taken or implemented (for example, by imposing conditions of grant) so that it would not have adverse effects, or so that it would have decreased adverse effects on -</p> <p>(i) opportunities for persons to use the Welsh language, and</p> <p>(ii) treating the Welsh language no less favourably than the English language;</p> <p>(ch) whether you need to ask the applicant for any additional information in order to assist you in assessing the effects of awarding a grant on -</p> <p>(i) opportunities for persons to use the Welsh language, and</p> <p>(ii) treating the Welsh language no less favourably than the English language.</p>	
95	Policy Making	<p>When you commission or undertake research that is intended to assist you to make a policy decision, you must ensure that the research considers what effects, if any (and whether positive or adverse), the policy decision under consideration would have on -</p> <p>(a) opportunities for persons to use the Welsh language, and</p>	30/03/2016

		(b) treating the Welsh language no less favourably than the English language.	
96	Policy Making	When you commission or undertake research that is intended to assist you to make a policy decision, you must ensure that the research considers how the policy decision under consideration could be made so that it would have a positive effects, or so that it would have increased positive effects, on - (a) opportunities for persons to use the Welsh language, and (b) treating the Welsh language no less favourably than the English language.	30/03/2016
97	Policy Making	When you commission or undertake research that is intended to assist you to make a policy decision, you must ensure that the research considers how the policy decision under consideration could be made so that it would not have adverse effects, or so that it would have decreased adverse effects, on - (a) opportunities for persons to use the Welsh language, and (b) treating the Welsh language no less favourably than the English language.	30/03/2016
98	Operational	You must develop a policy on using Welsh internally for the purpose of promoting and facilitating the use of the language, and you must publish that policy on your intranet.	30/03/2016
99	Operational	When you offer a new post to an individual, you must ask that individual whether he or she wishes for the contract of employment or contract for services to be provided in Welsh; and if that is the individual's wish you must provide the contract in Welsh.	30/03/2016
100	Operational	You must - (a) ask each employee whether he or she wishes to receive any paper correspondence that relates to his or her employment, and	30/03/2016

		which is addressed to him or her personally, in Welsh, and (b) if an employee so wishes, provide any such correspondence to that employee in Welsh.	
101	Operational	You must ask each employee whether he or she wishes to receive any documents that outline his or her training needs or requirements in Welsh; and if that is the employee's wish you must provide any such documents to him or to her in Welsh.	30/03/2016
102	Operational	You must ask each employee whether he or she wishes to receive any documents that outline his or her performance objectives in Welsh; and if that is the employee's wish you must provide any such documents to him or to her in Welsh.	30/03/2016
103	Operational	You must ask each employee whether he or she wishes to receive any documents that outline or record his or her career plan in Welsh; and if that is the employee's wish you must provide any such documents to him or to her in Welsh.	30/03/2016
104	Operational	You must ask each employee whether he or she wishes to receive any forms that record and authorise - (a) annual leave, (b) absences from work, and (c) flexible working hours, in Welsh; and if that is an employee's wish, you must provide any such forms to him or to her in Welsh.	30/03/2016
105	Operational	If you publish a policy relating to behaviour in the workplace, you must publish it in Welsh.	30/09/2016
106	Operational	If you publish a policy relating to health and well-being at work, you must publish it in Welsh.	30/09/2016
107	Operational	If you publish a policy relating to salaries or workplace benefits, you must publish it in Welsh.	30/09/2016

108	Operational	If you publish a policy relating to performance management, you must publish it in Welsh.	30/09/2016
109	Operational	If you publish a policy about absence from work, you must publish it in Welsh.	30/09/2016
110	Operational	If you publish a policy relating to working conditions, you must publish it in Welsh.	30/09/2016
111	Operational	If you publish a policy regarding work patterns, you must publish it in Welsh.	30/09/2016
112	Operational	You must allow each member of staff - (a) to make complaints to you in Welsh, and (b) to respond in Welsh to any complaint made about him or about her.	30/03/2016
112A	Operational	You must state in any document that you have that sets out your procedures for making complaints that each member of staff may - (a) make a complaint to you in Welsh, and (b) respond to a complaint made about him or about her in Welsh; and you must also inform each member of staff of that right.	30/03/2016
114	Operational	If you receive a complaint from a member of staff or a complaint about a member of staff, and a meeting is required with that member of staff, you must - (a) ask the member of staff whether he or she wishes to use the Welsh language at the meeting; (b) explain that you will provide a translation service from Welsh to English for that purpose if it is required; and if the member of staff wishes to use the Welsh language, you must provide a simultaneous translation service from Welsh to English at the meeting (unless you conduct the meeting in Welsh without translation services).	30/03/2016
115	Operational	When you inform a member of staff of a decision you have reached	30/03/2016

		<p>in relation to a complaint made by him or by her, or in relation to a complaint made about him or about her, you must do so in Welsh if that member of staff -</p> <p>(a) made the complaint in Welsh,</p> <p>(b) responded in Welsh to a complaint about him or about her,</p> <p>(c) asked for a meeting about the complaint to be conducted in Welsh, or</p> <p>(ch) asked to use the Welsh language at a meeting about the complaint.</p>	
116	Operational	You must allow all members of staff to respond in Welsh to allegations made against them in any internal disciplinary process.	30/03/2016
116A	Operational	<p>You must -</p> <p>(a) state in any document that you have which sets out your arrangements for disciplining staff that any member of staff may respond in Welsh to any allegations made against him or against her, and</p> <p>(b) if you commence a disciplinary procedure in relation to a member of staff, inform that member of staff of that right.</p>	30/03/2016
118	Operational	<p>If you organise a meeting with a member of staff regarding a disciplinary matter that relates to his or her conduct you must -</p> <p>(a) ask the member of staff whether he or she wishes to use the Welsh language at the meeting, and</p> <p>(b) explain that you will provide a translation service for that purpose if it is required; and, if the member of staff wishes to use the Welsh language, you must provide a simultaneous translation service from Welsh to English at the meeting (unless you conduct the meeting in Welsh without a translation service).</p>	30/03/2016
119	Operational	When you inform a member of staff of a decision you have reached	30/03/2016

		<p>following a disciplinary process, you must do so in Welsh if that member of staff -</p> <p>(a) responded to allegations made against him or her in Welsh,</p> <p>(b) asked for a meeting regarding the disciplinary process to be conducted in Welsh, or</p> <p>(c) asked to use the Welsh language at a meeting regarding the disciplinary process.</p>	
120	Operational	You must provide staff with computer software for checking spelling and grammar in Welsh, and provide Welsh language interfaces for software (where an interface exists).	30/09/2016
122	Operational	<p>You must ensure that -</p> <p>(a) the text of the homepage of your intranet is available in Welsh,</p> <p>(b) any Welsh language text on your intranet's homepage (or, where relevant, your Welsh language intranet homepage) is fully functional, and</p> <p>(c) the Welsh language is treated no less favourably than the English language in relation to the homepage of your intranet.</p>	30/09/2016
124	Operational	If you have a Welsh language page on your intranet that corresponds to an English language page, you must state clearly on the English language page that the page is also available in Welsh, and must provide a direct link to the Welsh language page on the corresponding English language page.	30/09/2016
125	Operational	You must designate and maintain a page (or pages) on your intranet which provides services and support material to promote the Welsh language and to assist your staff to use the Welsh language.	30/09/2016
126	Operational	You must provide the interface and menus on your intranet pages in Welsh.	30/09/2016
127	Operational	You must assess the Welsh languages skills of your employees.	30/03/2016

128	Operational	You must provide training in Welsh in the following areas, if you provide such training in English - (a) recruitment and interviewing; (b) performance management; (c) complaints and disciplinary procedures; (ch) induction; (d) dealing with the public; and (dd) health and safety.	30/09/2016
129	Operational	You must provide training (in Welsh) on using Welsh effectively in - (a) meetings; (b) interviews; and (c) complaints and disciplinary procedures.	30/09/2016
130	Operational	You must provide opportunities during working hours - (a) for your employees to receive basic Welsh language lessons, and (b) for employees who manage others to receive training on using the Welsh language in their role as managers.	30/03/2016
131	Operational	You must provide opportunities for employees who have completed basic Welsh language training to receive further training free of charge, to develop their language skills.	30/03/2016
132	Operational	You must provide training courses so that your employees can develop - (a) awareness of the Welsh language (including awareness of its history and its role in Welsh culture); (b) an understanding of the duty to operate in accordance with the Welsh language standards; (c) an understanding of how the Welsh language can be used in the workplace.	30/09/2016
133	Operational	When you provide information to new employees (for example by	30/03/2016

		means of an induction process), you must provide information for the purpose of raising their awareness of the Welsh language.	
134	Operational	You must provide text or a logo for your staff to include in e-mail signatures which will enable them to indicate whether they speak Welsh fluently or whether they are learning the language.	30/03/2016
135	Operational	You must provide wording for your employees which will enable them to include a Welsh language version of their contact details in e-mail messages, and to provide a Welsh language version of any message which informs others that they are unavailable to respond to e-mail messages.	30/03/2016
136	Operational	When you assess the requirements for a new or vacant post, you must assess the need for Welsh language skills, and categorise it as a post where one or more of the following apply - (a) Welsh language skills are essential; (b) Welsh language skills need to be learnt when appointed to the post; (c) Welsh language skills are desirable; or (ch) Welsh language skills are not necessary.	30/03/2016
136A	Operational	If you have categorised a post as one where Welsh language skills are essential, desirable or need to be learnt you must - (a) specify that when advertising the post, and (b) advertise the post in Welsh.	30/03/2016
137	Operational	When you advertise a post, you must state that applications may be submitted in Welsh, and that an application submitted in Welsh will not be treated less favourably than an application submitted in English.	30/03/2016
137A	Operational	If you publish - (a) application forms for posts;	30/03/2016

		(b) material that explains your procedure for applying for posts; (c) information about your interview process, or about other assessment methods when applying for posts; (ch) job descriptions; you must publish them in Welsh; and you must ensure that the Welsh language versions of the documents are treated no less favourably than any English language versions of those documents.	
137B	Operational	You must not treat an application for a post made in Welsh less favourably than you treat an application made in English (including, amongst other matters, in relation to the closing date you set for receiving applications and in relation to any time-scale for informing individuals of decisions).	30/03/2016
139	Operational	You must ensure that your application forms for posts - (a) provide a space for individuals to indicate that they wish to use the Welsh language at an interview or at any other method of assessment, and (b) explain that you will provide a translation service from Welsh to English for that purpose if it is required; and, if the individual wishes to use the Welsh language at the interview or assessment, you must provide a simultaneous translation service at the interview or assessment (unless you conduct the interview or assessment in Welsh without that translation service).	30/03/2016
140	Operational	When you inform an individual of your decision in relation to an application for a post, you must do so in Welsh if the application was made in Welsh.	30/03/2016
141	Operational	When you erect a new sign or renew a sign in your workplace (including temporary signs), any text displayed on the sign must be	30/03/2016

		displayed in Welsh (whether on the same sign as the corresponding English language text or on a separate sign), and if the same text is displayed in Welsh and in English, you must not treat the Welsh language text less favourably than the English language text.	
142	Operational	When you erect a new sign or renew a sign in your workplace (including temporary signs) which conveys the same information in Welsh and in English, the Welsh language text must be positioned so that it is likely to be read first.	30/03/2016
143	Operational	You must ensure that the Welsh language text on signs displayed in your workplace is accurate in terms of meaning and expression.	30/03/2016
144	Operational	When you make announcements in the workplace using audio equipment, that announcement must be made in Welsh, and if the announcement is made in Welsh and in English, the announcement must be made in Welsh first.	30/09/2016
145	Promotion	You must produce, and publish on your website, a 5-year strategy that sets out how you propose to promote the Welsh language and to facilitate the use of the Welsh language more widely in your area; and the strategy must include (amongst other matters) - (a) a target (in terms of the percentage of speakers in your area) for increasing or maintaining the number of Welsh speakers in your area by the end of the 5 year period concerned, and (b) a statement setting out how you intend to reach that target; and you must review the strategy and publish a revised version on your website within 5 years of publishing a strategy (or of publishing a revised strategy).	30/09/2016
146	Promotion	Five years after publishing a strategy in accordance with standard 145 you must - (a) assess to what extent you have followed that strategy and have	30/09/2016

		reached the target set by it, and (b) publish that assessment on your website, ensuring that it contains the following information - (i) the number of Welsh speakers in your area, and the age of those speakers; (ii) a list of the activities that you have arranged or funded during the previous 5 years in order to promote the use of the Welsh language.	
147	Record Keeping	You must keep a record, in relation to each financial year, of the number of complaints you receive relating to your compliance with standards.	30/03/2016
148	Record Keeping	You must keep a copy of any written complaint that you receive that relates to your compliance with the standards with which you are under a duty to comply.	30/03/2016
149	Record Keeping	You must keep a copy of any written complaint that you receive that relates to the Welsh language (whether or not that complaint relates to the standards with which you are under a duty to comply).	30/03/2016
150	Record Keeping	You must keep a record of the steps that you have taken in order to ensure compliance with the policy making standards with which you are under a duty to comply.	30/03/2016
151	Record Keeping	You must keep a record (following assessments of your employees' Welsh language skills made in accordance with standard 127), of the number of employees who have Welsh language skills at the end of each financial year and, where you have that information, you must keep a record of the skill level of those employees.	30/03/2016
152	Record Keeping	You must keep a record, for each financial year of - (a) the number of members of staff who attended training courses offered by you in Welsh (in accordance with standard 128), and (b) if a Welsh version of a course was offered by you in accordance	30/09/2016

		with standard 128, the percentage of the total number of staff attending the course who attended that version.	
153	Record Keeping	You must keep a copy of every assessment that you carry out (in accordance with standard 136) in respect of the Welsh language skills that may be needed in relation to a new or vacant post.	30/03/2016
154	Record Keeping	You must keep a record, in relation to each financial year of the number of new and vacant posts which were categorised (in accordance with standard 136) as posts where - (a) Welsh language skills are essential; (b) Welsh language skills need to be learnt when appointed to the post; (c) Welsh language skills are desirable; or (ch) Welsh language skills are not necessary.	30/03/2016
155	Supplementary - Service Delivery	You must ensure that a document which records the service delivery standards with which you are under a duty to comply, and the extent to which you are under a duty to comply with those standards, is available - (a) on your website, and (b) in each of your offices that are open to the public.	30/03/2016
156	Supplementary - Service Delivery	You must - (a) ensure that you have a complaints procedure that deals with the following matters - (i) how you intend to deal with complaints relating to your compliance with the service delivery standards with which you are under a duty to comply, and (ii) how you will provide training for your staff in relation to dealing with those complaints, (b) publish a document that records that procedure on your website,	30/03/2016

		and (c) ensure that a copy of that document is available in each of your offices that are open to the public.	
157	Supplementary - Service Delivery	You must - (a) ensure that you have arrangements for (i) overseeing the way you comply with the service delivery standards with which you are under a duty to comply, (ii) promoting the services that you offer in accordance with those standards, and (iii) facilitating the use of those services, (b) publish a document that records those arrangements on your website, and (c) ensure that a copy of that document is available in each of your offices that are open to the public.	30/03/2016
158	Supplementary - Service Delivery	(1) You must produce a report (an "annual report"), in Welsh, in relation to each financial year, which deals with the way in which you have complied with the service delivery standards with which you were under a duty to comply during that year. (2) The annual report must include the number of complaints that you received during that year which related to your compliance with the service delivery standards with which you were under a duty to comply. (3) You must publish the annual report no later than 30 June following the financial year to which the report relates. (4) You must publicise the fact that you have published an annual report. (5) You must ensure that a current copy of your annual report is available -	30/03/2016

		(a) on your website, and (b) in each of your offices that are open to the public.	
159	Supplementary - Service Delivery	You must publish a document on your website which explains how you intend to comply with the service delivery standards with which you are under a duty to comply.	30/03/2016
160	Supplementary - Service Delivery	You must provide any information requested by the Welsh Language Commissioner which relates to your compliance with the service delivery standards with which you are under a duty to comply.	30/03/2016
161	Supplementary - Policy Making	You must ensure that a document which records the policy making standards with which you are under a duty to comply, and the extent to which you are under a duty to comply with those standards, is available - (a) on your website, and (b) in each of your offices that are open to the public.	30/03/2016
162	Supplementary - Policy Making	You must - (a) ensure that you have a complaints procedure that deals with the following matters - (i) how you intend to deal with complaints relating to your compliance with the policy making standards with which you are under a duty to comply, and (ii) how you will provide training for your staff in relation to dealing with those complaints, (b) publish a document that records that procedure on your website, and (c) ensure that a copy of that document is available in each of your offices that are open to the public.	30/03/2016
163	Supplementary - Policy Making	You must - (a) ensure that you have arrangements for overseeing the way you	30/03/2016

		<p>comply with the policy making standards with which you are under a duty to comply,</p> <p>(b) publish a document that records those arrangements on your website, and</p> <p>(c) ensure that a copy of that document is available in each of your offices that are open to the public.</p>	
164	Supplementary - Policy Making	<p>(1) You must produce a report (an "annual report"), in Welsh, in relation to each financial year, which deals with the way in which you have complied with the policy making standards with which you were under a duty to comply during that year.</p> <p>(2) The annual report must include the number of complaints you received during the year which related to your compliance with the policy making standards with which you were under a duty to comply.</p> <p>(3) You must publish the annual report no later than 30 June following the financial year to which the report relates.</p> <p>(4) You must publicise the fact that you have published an annual report.</p> <p>(5) You must ensure that a current copy of your annual report is available -</p> <p>(a) on your website, and</p> <p>(b) in each of your offices that are open to the public.</p>	30/03/2016
165	Supplementary - Policy Making	You must publish a document on your website which explains how you intend to comply with the policy making standards with which you are under a duty to comply.	30/03/2016
166	Supplementary - Policy Making	You must provide any information requested by the Welsh Language Commissioner which relates to compliance with the policy making standards with which you are under a duty to comply.	30/03/2016
167	Supplementary -	You must ensure that a document which records the operational	30/03/2016

	Operational	standards with which you are under a duty to comply, and the extent to which you are under a duty to comply with those standards, is available - (a) on your website, and (b) in each of your offices that are open to the public.	
168	Supplementary - Operational	You must - (a) ensure that you have a complaints procedure that deals with the following matters - (i) how you intend to deal with complaints relating to your compliance with the operational standards with which you are under a duty to comply, and (ii) how you will provide training for your staff in relation to dealing with those complaints, and (b) publish a document that records that procedure on your intranet.	30/03/2016
169	Supplementary - Operational	You must - (a) ensure that you have arrangements for (i) overseeing the way you comply with the operational standards with which you are under a duty to comply, (ii) promoting the services that you offer in accordance with those standards, and (iii) facilitate the use of those services, and (b) publish document that records that procedure on your intranet.	30/03/2016
170	Supplementary - Operational	(1) You must produce a report (an "annual report"), in Welsh, in relation to each financial year, which deals with the way in which you have complied with the operational standards with which you were under a duty to comply during that year. (2) The annual report must include the following information (where relevant, to the extent you are under a duty to comply with the	30/03/2016

		<p>standards referred to) -</p> <p>(a) the number of employees who have Welsh language skills at the end of the year in question (on the basis of the records you kept in accordance with standard 151);</p> <p>(b) the number of members of staff who attended training courses you offered in Welsh during the year (on the basis of the records you kept in accordance with standard 152);</p> <p>(c) if a Welsh version of a course was offered by you during that year, the percentage of the total number of staff attending the course who attended the Welsh version (on the basis of the records you kept in accordance with standard 152);</p> <p>(ch) the number of new and vacant posts that you advertised during the year which were categorised as posts where -</p> <p>(i) Welsh language skills were essential,</p> <p>(ii) Welsh language skills needed to be learnt when appointed to the post,</p> <p>(iii) Welsh language skills were desirable, or</p> <p>(iv) Welsh language skills were not necessary, (on the basis of the records you kept in accordance with standard 154);</p> <p>(d) the number of complaints that you received during that year which related to your compliance with the operational standards with which you were under a duty to comply.</p> <p>(3) You must publish the annual report no later than 30 June following the financial year to which the report relates.</p> <p>(4) You must publicise the fact that you have published an annual report.</p> <p>(5) You must ensure that a current copy of your annual report is available -</p>	
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		(a) on your website, and (b) in each of your offices that are open to the public.	
171	Supplementary - Operational	You must publish a document on your website which explains how you intend to comply with the operational standards with which you are under a duty to comply.	30/03/2016
172	Supplementary - Operational	You must provide any information requested by the Welsh Language Commissioner which relates to compliance with which you are under a duty to comply.	30/03/2016
173	Supplementary - Promotion	You must ensure that a document which records the promotion standards with which you are under a duty to comply, and the extent to which you are under a duty to comply with those standards, is available - (a) on your website, and (b) in each of your offices that are open to the public.	30/09/2016
174	Supplementary - Promotion	You must provide any information requested by the Welsh Language Commissioner which relates to compliance with the promotion standards with which you are under a duty to comply.	30/09/2016
175	Supplementary - Record Keeping	You must ensure that a document which records the record keeping standards with which you are under a duty to comply, and the extent to which you are under a duty to comply with those standards, is available - (a) on your website, and (b) in each of your offices that are open to the public.	30/03/2016
176	Supplementary - Record Keeping	You must provide any records you kept in accordance with the record keeping standards with which you are under a duty to comply to the Welsh Language Commissioner, if the Commissioner asks for those records.	30/03/2016

Meri Huws

Meri Huws
Welsh Language Commissioner

Date: 30/09/2015

SUBJECT: Corporate Safeguarding Policy

MEETING: Cabinet

DATE: 7TH June 2017

DIVISION/WARDS AFFECTED: County wide

1. PURPOSE:

To inform Members of the introduction of the new Corporate Safeguarding Policy

2. RECOMMENDATIONS:

It is recommended that Members agree and adopt the Corporate Safeguarding Policy

3. KEY ISSUES:

- Safeguarding children and adults at risk has the very highest priority in the Council.
- Safeguarding, under the Social Services and Wellbeing Act (Wales) 2014, is recognised as everybody's responsibility and considerable progress has been made over the last 5 years to systematically embed safeguarding culture, knowledge and practice.
- All staff, paid and unpaid, and Councillors share a responsibility both corporately and individually to ensure that children and adults at risk are treated with respect and protected from harm.
- Whilst the Council does have an existing safeguarding policy in place it is heavily focussed towards educational settings and other child and family services. Safeguarding is therefore firmly embedded in some Directorates and service areas however there are varying levels of understanding as to expectations in other parts of the organisation.
- This policy will be a mechanism to evaluate understanding, systems and training throughout the Council and ensures that safeguarding is firmly placed as core to the business of the council.

4. REASONS:

The Social Services and Wellbeing Act (Wales) 2014 aims to strengthen and build on existing safeguarding practice to ensure that people are able to live their lives to the full.

There is a new overarching duty to promote the well-being of people who need care and support and every service within the Council has a role to play and has to take full ownership of their safeguarding responsibilities.

5. RESOURCE IMPLICATIONS:

Any resources required to implement this policy will be found from within existing service budgets

6. WELLBEING OF FUTURE GENERATIONS IMPLICATIONS (INCORPORATING EQUALITIES, SUSTAINABILITY, SAFEGUARDING AND CORPORATE PARENTING):

The policy is to assure the Cabinet around the level of safeguarding practice which is essential to the well-being of future generations.

7. CONSULTEES:

SLT

Cabinet

Whole Authority Safeguarding Working Group

All comments received have been incorporated into the policy

8. BACKGROUND PAPERS:

WASG Self evaluation

Social Services and Wellbeing Act (Wales) 2014

9. AUTHOR:

Claire Marchant Chief Officer, Social Care and Health

Cath Sheen, Corporate Safeguarding Programme Lead

10. CONTACT DETAILS:

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CORPORATE SAFEGUARDING POLICY

JUNE 2017

MARCHANT, CLAIRE L.

MONMOUTHSHIRE COUNTY COUNCIL
CORPORATE SAFEGUARDING POLICY

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MONMOUTHSHIRE COUNTY COUNCIL **CORPORATE SAFEGUARDING POLICY**

1. INTRODUCTION

Safeguarding children and adults at risk from abuse is everybody's responsibility.

Monmouthshire County Council (the Council) is committed to ensuring that people living in the County are safe and protected and that its statutory duties to safeguard and protect children, young people and adults at risk are discharged.

For the purposes of this policy, children and young people are defined as anyone who has not yet reached their 18th birthday. This does not exclude a young person who is 16 years of age in Further Education, or a member of the Armed Forces, in hospital, in a young offender's institution, or in prison.

An adult at risk is defined as an adult who is experiencing, or who is at risk of, abuse or neglect, has needs for care and support (whether or not the Council is meeting any of those needs), and as a result of those needs is unable to protect himself or herself against the abuse or neglect or the risk of it.

The Council's workforce shares a responsibility, both collectively and individually, to ensure that children and adults at risk are protected from harm. Council employees, Councillors, volunteers and contractors who come into contact with children or adults at risk in the course of their duties are expected to understand their responsibility and where necessary take action to safeguard and promote the welfare of vulnerable people.

2. SCOPE

For the purposes of this policy 'workforce' is defined as those engaged by the Council, including permanent and temporary employees, students, volunteers, workers employed by employment agencies, contractors and consultants.

The policy covers the whole workforce and Councillors, and whilst all have varied levels of contact with children, young people and adults at risk everybody should be aware of potential indicators of neglect and abuse and be clear about what to do if they have concerns.

3. OBJECTIVES

The policy provides a framework which ensures that policies and practices within the Council are consistent and in line with stated values, which must underpin all work with children, young people and adults at risk.

The intention of this policy is to support quality service delivery, promote good practice and ensure services are delivered in a way that children, young people and adults at risk are safe from harm and are allowed to fulfil their potential and live the lives they want to live.

This policy is intended to be enabling; to ensure that all parts of the Council understand how to put effective safeguards in place. This is a policy for a positive, preventative and proactive approach to safeguarding. The policy must be owned and implemented across the Council and promoted in wider communities. The policy is intended as an enabler of a positive culture of proactively identifying, mitigating, managing and removing risks to safety, whilst ensuring decisive and timely action to address serious concerns.

MONMOUTHSHIRE COUNTY COUNCIL **CORPORATE SAFEGUARDING POLICY**

4. PRINCIPLES OF THE POLICY

This policy is underpinned by the Council's vision to build sustainable and resilient communities and the 4 wellbeing objectives:

- To develop opportunities for communities and businesses to ensure a well-connected and thriving county
- Maximise the benefits of the natural and built environment for the well-being of current and future generations
- Maximise the potential in our communities to improve wellbeing for people throughout the course of their life
- Provide children and young people with the best possible start in life to help them achieve better outcomes

There is an expectation that all of the workforce, Councillors and partners share an objective to help keep children, young people and adults at risk safe by contributing to:

- Creating and maintaining a safe environment
- Identifying where there are concerns and taking action to address them in partnership with other agencies
- Prevent unsuitable people from working with children, young people and adults at risk
- Ensure the whole workforce understands safeguarding and their accountabilities and responsibilities
- Promote safe practice and challenge poor and unsafe practice

The policy sets out a preventive approach which ensures safeguards are proactively put in place to prevent abuse and neglect occurring

The Council requires a competent workforce of individuals who are able to identify instances in which there are grounds for concern about the welfare of a child or adult and initiate or take appropriate action to keep them safe.

The policy requires effective partnership working between all those involved with providing services for children, young people and adults at risk.

5. LEGISLATIVE CONTEXT

The Council remains committed to the 1945 Declaration of Human Rights, the UN Convention on the Rights of a Child, as well as the United Nation's Principals for Older People.

The Care Quality Commission 2014 defined Safeguarding as "protecting individual's health, wellbeing and human rights, and enabling them to live free from harm, abuse and neglect."

The Social Services and Well-being (Wales) Act (2014) (SSWBA) aims to strengthen and build on existing safeguarding practice in Wales to ensure that people are able to live their lives to the full. There is a new overarching duty to promote the well-being of people who need care and support together with an emphasis on shared responsibility and partnership working.

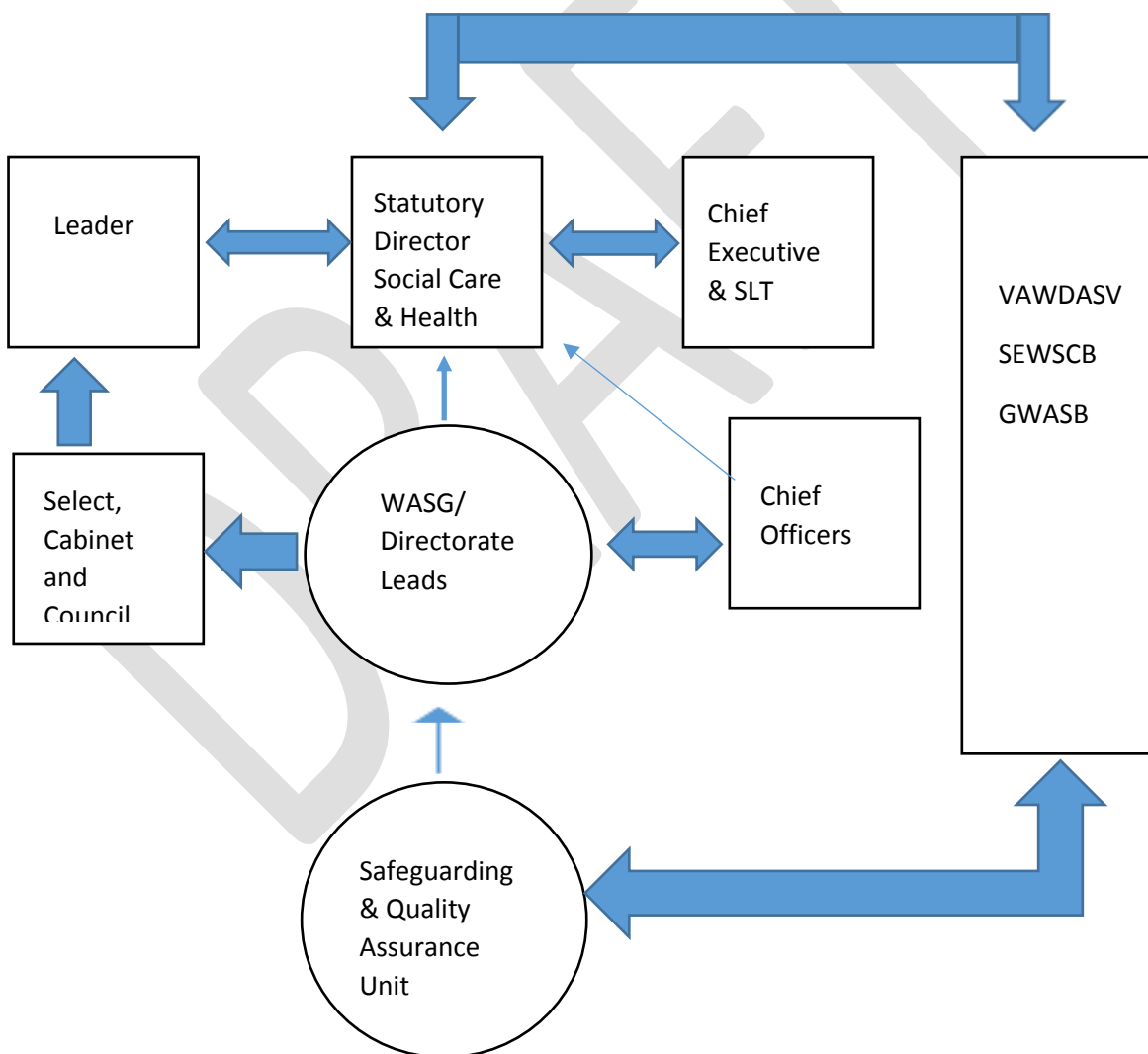
MONMOUTHSHIRE COUNTY COUNCIL CORPORATE SAFEGUARDING POLICY

“Whilst the Council is the organisation in making enquiries to identify whether an individual is at risk of harm, or abuse, and co-ordinating a response it should be clear that Safeguarding is everyone’s business and to this end this responsibility cannot be achieved in isolation and without clear and accountable leadership.” Social Services and Wellbeing Act (Wales) 2014 (SSWA)

In the Social Services and Wellbeing Act, well-being is defined through eight aspects, one of which is protection from abuse and neglect. In relation to a child, well-being also includes their physical, intellectual, emotional, social and behavioural development; and their welfare (ensuring they are kept safe from harm).

Appendix 1 gives further related legislation, policy and guidance and key contacts within the Council.

6. Governance Arrangements



MONMOUTHSHIRE COUNTY COUNCIL **CORPORATE SAFEGUARDING POLICY**

(a) Role of the Regional Boards

The **Gwent Wide Adult Safeguarding Board (GWASB)** has the statutory responsibility to provide the strategic lead in the region in relation to the safeguarding citizens and the promotion of their well-being, as enshrined in the Social Services and Well-being Act 2014 and accompanying guidance, 'Working Together to Safeguard People Volume 1'. The GwASB's purpose is to lead, co-ordinate and ensure the effectiveness of multi-agency safeguarding adult practice in the region. Monmouthshire Council is accountable to the GwASB as a key statutory partner and as such must contribute fully to the work streams of the Board, and ensure good alignment with the Council's work programmes.

The **South East Wales Safeguarding Children Board (SEWSCB)** has the statutory responsibility to provide the strategic lead in the region in relation to the safeguarding of children and promotion of their welfare, as enshrined in the Children Act 2004 and The Social Services and Well-being Act 2014 and accompanying guidance, 'Working Together to Safeguard People Volume 1'. The SEWSCB's purpose is to lead, co-ordinate and ensure the effectiveness of multi-agency safeguarding children practice in the region. Monmouthshire Council is accountable to the SEWSCB as a key statutory partner and as such must contribute fully to the work streams of the Board, and ensure good alignment with the Council's work programmes.

The **Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV) Regional Board B** was established as a statutory requirement within the VAWDASV Act 2015 in order to strategically lead the implementation of the Act in the region. Monmouthshire Council is a key statutory partner on the Board and contributes fully to its work streams and ensures good alignment between the Board and the Council's work programmes.

(b) Chief Officer Social Care and Health (SCH)

The Chief Officer SCH fulfils the role of Statutory Director of Social Services and has legal accountability for ensuring the Council has appropriate safeguarding measures in place to protect children, young people and adults at risk. The Chief Officer is responsible for reporting the effectiveness of these arrangements on a corporate level to the Chief Executive, Senior Leadership Team and Cabinet and Council.

The Chief Officer SCH is the point of contact for all other Chief Officers to report serious safeguarding concerns which may occur in their service area. The Chief Officer is responsible for ensuring appropriate action is taken including reporting to the Chief Executive and Lead Cabinet Member as necessary.

(c) The Chief Executive

The Chief Executive has overall responsibility for ensuring arrangements for safeguarding of children and adults at risk are effective across the Council. The Chief Executive is responsible for developing effective governance arrangements and ensuring there is a safeguarding policy in place.

MONMOUTHSHIRE COUNTY COUNCIL **CORPORATE SAFEGUARDING POLICY**

Through one to one meetings with the Chief Officer for Social Care and Health (SCH), the Chief Executive is kept informed of relevant safeguarding issues.

(d) The Leader

The Leader of the Council is overall responsible for providing political leadership to ensure the Council fulfils its duties and responsibilities for safeguarding.

(e) Lead Cabinet Member for Safeguarding

The Lead Cabinet Member for Safeguarding will have regular one to one meetings with the Chief Officer SCH and be kept informed and updated on relevant safeguarding matters.

The Lead Member will be briefed on any sensitive cases that may be considered for Child or Adult Practice Reviews or may otherwise become a matter of public interest.

(f) Chief Officers

Chief Officers are responsible for reporting any serious safeguarding concerns that may arise in their service area to the Chief Officer SCH. Chief Officers will brief their respective Cabinet Members on any safeguarding issues and on the general effectiveness of safeguarding arrangements.

Chief Officers are responsible for ensuring the workforce within their Directorates are appropriately trained to identify and respond to safeguarding concerns.

Chief Officers are responsible for ensuring that they have safeguarding operational procedures in place and Safeguarding Audit Framework for Evaluation (SAFE) Audits are undertaken for the relevant service areas within their Directorate.

Chief Officers will ensure that Directorate Safeguarding Leads (DSLs) are nominated for any service areas where there is direct contact with the public and the DSL has a direct link to them to ensure that a robust reporting mechanism is in place for reporting noncompliance or any safeguarding concerns.

(g) Head of Children's Services and Head of Adult Services

The Heads of Service ensure the Chief Officer SCH is informed of any safeguarding issues in their one to one meetings and ensure that any serious concerns are raised immediately.

The Heads of Service represent the Council on the South East Wales Safeguarding Children's Board (SEWSCB) and the Gwent Wide Adult Safeguarding Board (GwASB) and are responsible for ensuring appropriate representation on any respective Sub Groups. The Heads of Service will brief the Chief Officer SCH, the Senior Leadership Team, Select Committees, Cabinet and Council on any issues arising from Child or Adult Practice Reviews and the resultant action plans.

The Head of Children's Service has operational and strategic management responsibility for the Safeguarding and Quality Assurance Unit which works across the Council to provide assurance and support to safeguarding and operationally leads Child Protection and Protection of Vulnerable Adult processes.

MONMOUTHSHIRE COUNTY COUNCIL **CORPORATE SAFEGUARDING POLICY**

7 ROLES AND RESPONSIBILITIES

(a) Councillors

All Councillors must familiarise themselves with this Policy and seek advice from the Chief Officer SCH if they are unclear about their responsibility for safeguarding. The Corporate Safeguarding Policy will be communicated as part of the mandatory induction programme for all new Councillors.

(b) Select Committee

The role of the Select Committee is to review and scrutinise decisions and make reports or recommendations in connection with the discharge of any of the Council's functions whether by the Cabinet or another part of the Council. The role is to provide constructive challenge to the Council about its safeguarding activity in an impartial and independent manner.

(c) All Staff

Every service area of the Council has a role to play and must take full ownership of their safeguarding responsibilities. The Council expects every member of the workforce to take all reasonable steps to ensure the safety of any child or adult at risk involved in Council activity.

Managers must proactively analyse where risks to safeguarding are most likely to arise in their particular service(s) and ensure they have appropriate operational procedures and supporting systems in place to manage these well. They are accountable for understanding the training needs of their workforce and ensuring there are appropriate operational arrangements for people to access the right training.

Any person responsible for, or working with, children or adults at risk in any capacity, whether paid or unpaid, is considered to have a duty of care towards them both legally and contractually and as a responsible moral citizen. This includes a duty to behave in a manner that does not threaten, harm or put people at risk of harm from others.

All parts of the workforce have a responsibility to conduct themselves in their private lives in a manner that does not compromise their position in the workplace or call into question their suitability to work with children or adults at risk.

All members of the workforce should:

- Be alert to the possibility of harm, abuse and neglect
- Participate in relevant safeguarding training and multi-agency working to safeguard children and adults at risk
- Be familiar with local procedures and protocols for safeguarding and follow the Council's Code of Conduct and other professional codes
- Report any concerns about the safety or welfare of a child or adult at risk.

Everybody working for or on behalf of the Council has a duty to report any concerns they may have for the welfare and/or protection of children and adults at risk. The duty to report is a legal requirement and failure to report appropriately will be considered a serious matter under the Council's personnel policies. (See Appendix 2 for how to make a referral and Appendix 1 for contact information and referral forms)

MONMOUTHSHIRE COUNTY COUNCIL **CORPORATE SAFEGUARDING POLICY**

Each Directorate where there is direct contact with the public, will have a Directorate Safeguarding Lead (DSL) responsible for safeguarding. See Appendix 3 for roles and responsibilities. The DSL will work and liaise with the Safeguarding and Quality Assurance Unit to deal with any safeguarding concerns about a child or adult at risk including allegations against members of staff.

(b) Safeguarding and Quality Assurance Unit

The Council's Safeguarding and Quality Assurance Unit provides safeguarding support to all service areas and settings in the County covered by this policy. This is alongside of the unit's operational / statutory role in respect of adult and child protection.

The Unit will support, challenge and hold to account all directorates, schools, service areas and partner agencies in respect of their safeguarding practices in the following ways:

- Facilitate directorates, service areas, schools and partner agencies to undertake a bi-annual audit of safeguarding arrangements using the SAFE framework
- Undertake regular review meetings / visits to Council departments and other settings to discuss safeguarding procedures and practices
- Provide support and challenge to directorates regarding their safeguarding arrangements
- Provide professional advice and consultation regarding safeguarding or child / adult protection issues
- Support the Whole Authority Safeguarding Group in delivering its activity programme
- Support the Whole Authority Safeguarding Group in implementing a quality assurance framework for safeguarding
- Work with People Services in relation to safe recruitment and HR Practices and the development of a training plan
- Provide safeguarding training across the Council to support services in meeting their training requirements
- Follow up any allegations against professionals in partnership with others.

(c) Directorate Heads of Service

All Heads of Service are responsible, through their Departmental Management Teams (DMTs) for ensuring that the workforce is aware of the Corporate Safeguarding Policy and service operational procedures and that people receive training at a level appropriate to their role and responsibility

All Heads of Service must ensure that safe recruitment practices are adopted particularly in relation to reference checks and where relevant, checks through the Disclosure and Barring Service (DBS).

All Heads of Service must report any safeguarding concerns to their responsible Chief Officer.

(d) Line Managers and Supervisors

Every line manager / supervisor is responsible for ensuring that the workforce for whom they are responsible (including agency, consultants and volunteers) receive the training they need, proportionate to their role and responsibilities.

MONMOUTHSHIRE COUNTY COUNCIL **CORPORATE SAFEGUARDING POLICY**

(e) Contractors, Sub Contractors or organisations funded by the Council

All contractors, sub-contractors or other organisations funded by the Council are responsible for arranging checks through the safe recruitment process and for ensuring that staff comply with regulatory and contractual arrangements relating to their safeguarding responsibilities. All contractors, sub-contractors and other organisations are responsible for informing relevant Managers within the Council of any safeguarding concerns they may have.

(f) Agency Workers

The Council requires all Employment Agencies to undertake the relevant safe recruitment checks and references on any staff members offered employment / placements within the Council. However, it is the responsibility of the Directorate/ Service Manager to draw the Agency Workers attention to the Corporate Safeguarding Policy.

(8) Quality Assurance

(a) Reporting and Monitoring

The Council has comprehensive mechanisms in place for Officer and Councillors which provide a robust governance framework supported by a performance reporting system that is transparent, on line and capable of providing information for challenging scrutiny by Officers, Councillors and Regulators.

At a corporate level, the responsibility for monitoring the effectiveness of safeguarding arrangements across the Council is delegated to the Whole Authority Safeguarding Group. Terms of Reference for the Whole Authority Safeguarding Group can be found at Appendix 4

The Whole Authority Safeguarding Group will produce a report at least annually for Senior Leadership Team, Cabinet and Scrutiny. This report will provide an overview of the Council's safeguarding performance. This will provide an opportunity for councillors to scrutinise and challenge the work of the Whole Authority Safeguarding Group.

A clear line of sight on reporting of safeguarding performance is also available through Service Improvement Plans (SIPs) which are subject to scrutiny by the Leader of the Council, Cabinet Member, Chief Executive, SLT and Policy and Performance Unit. Safeguarding information pertinent to the service area must be included in all SIPs.

Observations of Cabinet, Scrutiny, Internal Audit and external regulators will steer and influence the priorities of the Whole Authority Safeguarding Group.

All reports prepared for Members will include a section and explanation to any safeguarding implications in the same way as Finance and Legal.

The Head of Adults and Head of Children's Services will ensure the activities of the regional boards will be reported to Council on a formal, regular basis

The SLT will have safeguarding as part of its work programme and regular agenda item at its meetings.

MONMOUTHSHIRE COUNTY COUNCIL **CORPORATE SAFEGUARDING POLICY**

The Senior Management Team (SMT) Meetings will have safeguarding as a regular agenda item and will be a forum to raise awareness about safeguarding and to cascade information.

Departmental Management Team meetings (DMT) will have safeguarding as a regular item on their agenda and will escalate risks, issues and training needs to the relevant DSLs

Every Service in the Council will report on their safeguarding guidelines to the Whole Authority Safeguarding Group through their DSL.

(a) Safeguarding Audit Framework for Evaluation - SAFE

The SAFE audit tool (See Appendix 5) will be used to monitor and gather information and monitor compliance of the Safeguarding Policy by all DMTs, schools and other settings working with children, young people and adults at risk. The audit will be undertaken on a bi-annual basis and information gathered will be used to improve safeguarding for children, young people and adults at risk.

The audit tool is based on legislation and is set out in sections which require service areas to critically consider their own practice, procedures, systems and culture. The SAFE includes a safeguarding action plan which enables the service area to establish a programme of activity to address any improvements indicated through the SAFE. The Safeguarding and Quality Assurance Unit will provide support and follow up review, to services in completing and delivering their SAFEs.

The SAFE is an important mechanism in the safeguarding of children, young people and adults at risk in the care of the Council, at school or in other services provided or commissioned by the Council.

(b) Internal Audit / External Regulators

Internal Audit will consider reviewing safeguarding on a cyclical basis in accordance with their normal planning and risk assessment process along with all other services of the Council which could be subject to an audit review. This will be done on an annual basis.

Where there are matters of concern in service provision, allegation of fraud, theft or corruption or significant non-compliance with Council policy, discussions will take place with Internal Audit to assess whether they are the appropriate mechanism to investigate the matter further. If both parties confirm that this is appropriate Internal Audit will undertake a special investigation and report back any outcomes to the respective Head of Service / Chief Officer.

The Council will address any issues identified by respective external regulators and it is incumbent on all Chief Officers and Senior Managers to ensure that coherent and comprehensive self-evaluation and consequential action is taken where required to oversee improvements.

All internal and external audit reports are scrutinised by the relevant Select Committee and any recommendations, if accepted, from every inspection / audit report are transferred into the work programme of the Whole Authority Safeguarding Group and relevant Service Plans for action and subjected to the Council's performance measures.

MONMOUTHSHIRE COUNTY COUNCIL **CORPORATE SAFEGUARDING POLICY**

(9) SAFE WORKFORCE

(a) Recruitment, selection and management of the workforce

The Council will implement safe recruitment and employment standards in accordance with Safeguarding Children Board and Gwent Wide Adult Safeguarding Board regional guidance and as set out in the Monmouthshire Recruitment and Selection Policy and Guidance Handbook.

The Council's Disciplinary Procedures set out what action will be taken against any member of the workforce who does not comply with the Council's policies and procedures, including those in place to safeguard and promote the well-being of children and adults at risk.

To promote safe recruitment and HR practices the Council will:

- Review its recruitment and selection procedures regularly and will carry out regular auditing on safe recruitment practices for staff
- Ensure that managers responsible for recruitment receive safe recruitment training which is updated on a regular basis
- Ensure that safe recruitment procedures are made accessible to and used by all managers
- Ensure that safe 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 for safeguarding and promoting the welfare of children, young people and adults at risk through training and auditing of HR processes

(b) Whistleblowing

Whistleblowing is defined as:

'The disclosure by a member of staff or professional of confidential information which relates to some danger, fraud or other illegal or unethical conduct connected with the work place, be it of the employer or his/her fellow employees' (Public Concern at Work Guidelines 1997).

The Council has an agreed [Whistleblowing Policy](#) which refers to the reporting, by any member of the workforce, of suspected misconduct, illegal acts or failure to act within the Council. The whistleblowing policy can be used for confidential reporting of any abusive, inappropriate or unprofessional behaviour against any children, young people or adults at risk, or any conduct that breaches criminal law or statute; compromise health and safety, breaches accepted professional code of conduct, or otherwise falls below established standards of practice in relation to children, young people or adults at risk.

The Council expects the highest standards of conduct from the workforce, and encourages the workforce and others with serious concerns about any aspect of the Council's work to come forward and voice those concerns in a safe environment. The

MONMOUTHSHIRE COUNTY COUNCIL **CORPORATE SAFEGUARDING POLICY**

Whistleblowing policy enables members of the workforce to raise concerns at an early stage and in the correct way.

The policy is accessible to all staff within the People Services area on the Hub. The Policy explains:

- The types of issues/disclosures that can be raised
- How the person raising a concern will be protected from victimisation and harassment
- How to raise a concern
- What the Council will do.

(c) Allegations against Adults who work with Children, Young People or Adults at Risk

It is essential that all allegations of abuse are dealt with fairly, quickly and consistently, providing effective protection for the child or adult at risk 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 Board Guidelines and All Wales Interim Policy and Procedures for the Protection of Vulnerable Adult's.

Referral forms can be found at

Adults - www.gwasb.org.uk

Children - <http://www.sewsc.org.uk/index.php?id=40>

Child/ Adult Protection enquiries 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/ adults at risk
- Facilitate enquiries, or
- Manage disciplinary / complaints aspects

Information about the child / adult at risk must not be shared with an individual against whom the allegation was made or anyone representing them.

On the completion of Police and Social Services investigations, if formal disciplinary action is not required, appropriate action should be taken as soon as practicable.

Any member of the Monmouthshire County Council workforce/ employee of a contractor or sub-contractor 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 via the Council Whistleblowing Policy – See above.

(d) Training

All members of the workforce, whether permanent or temporary, Councillors and volunteers who work with children and adults at risk in Monmouthshire will be given access to this policy and the name and contact details of the DSL as part of their induction when they commence work.

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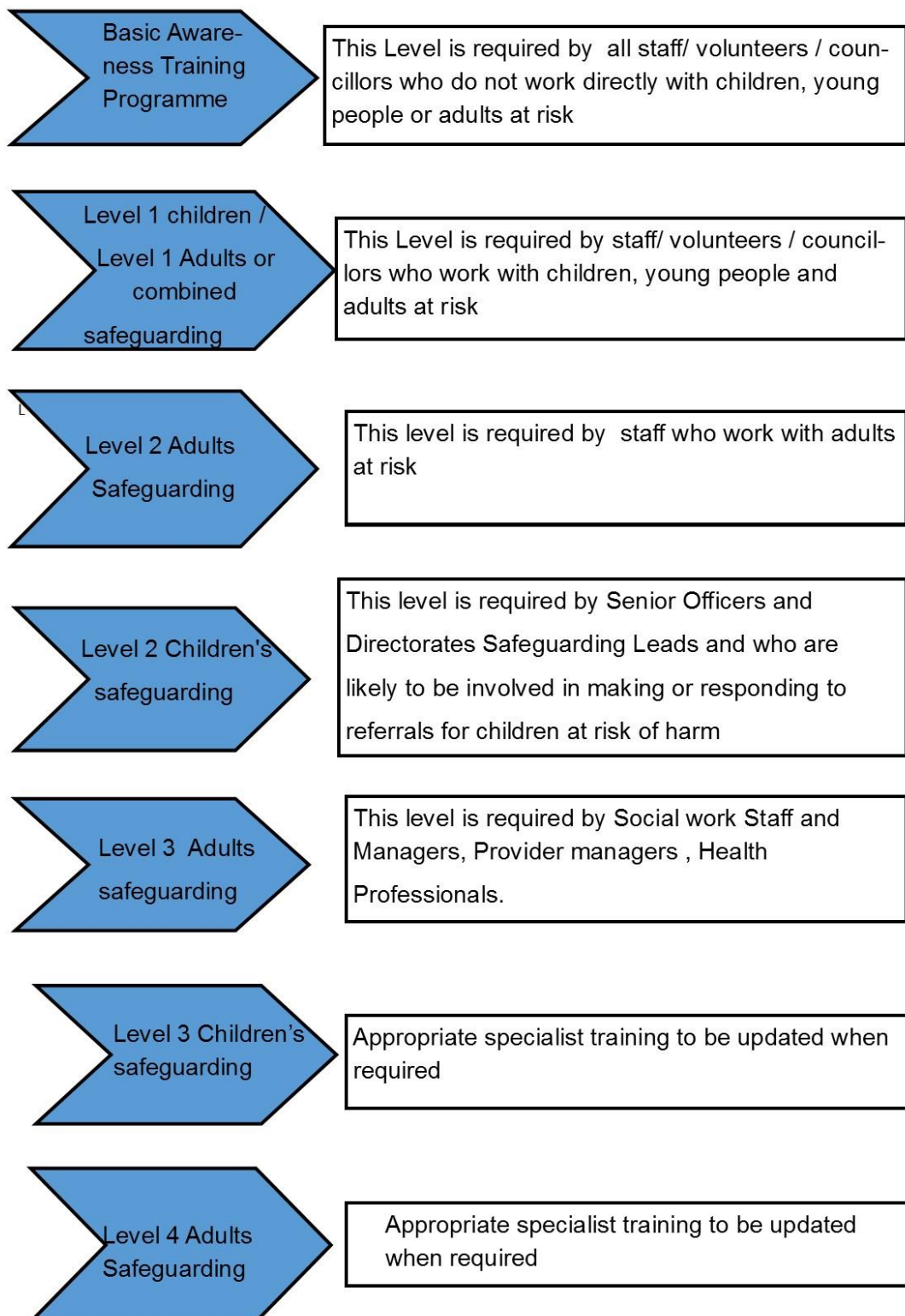
All of the workforce will be expected to undertake training relevant to the position that they hold and to renew their qualifications to the highest level.

All members of the workforce are responsible for their own Continuous Professional Development and to ensure that their safeguarding training is current and up to date. Each Directorate is required to keep a record of workforce safeguarding training using the template at Appendix 7.

The Council's Safeguarding and Quality Assurance Unit will be responsible for informing Directorates of the Training Programme. Attendance at training courses will be monitored through SAFE audits and reported back by each Directorate to the WASG.

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(e) Volunteering

This Policy applies to all volunteers who engage with adults at risk, children and young people in their volunteering role and will be covered within the initial induction and soon after a Level 1 Safeguarding training course must be attended to raise the volunteer's awareness.

Disclosure and Barring Service (DBS) checks must be obtained by all those volunteering with or around children, young people or adults at risk. Measures will be taken to monitor volunteers' relationship with the clients throughout their involvement in any project.

If required for the role and prior to a volunteer starting they must complete an Occupational Health questionnaire. This is to ensure the volunteer is fit to carry out their duties.

References are an essential tool when assessing potential volunteers' suitability as it gives current and qualitative feedback.

10. PREVENTATIVE APPROACH

One of the Council's corporate priorities is to support Monmouthshire residents to be safe, stay well and to live independently within their community. With regard to this the Council is committed to the development and commissioning of services and the implementation of community and individual well-being approaches to help meet this aim.

Services operating within the Council will be expected to respond to the needs of children and adults at risk, understand how to establish a positive culture of safeguarding and adhere to the principles of partnership working in promoting prevention and early intervention.

Counter Terrorism and the Risk of Radicalisation

The PREVENT Public Sector Duty came into place in July 2015. The Counter Terrorism and Securities Act 2015 places an expectation on the Council when exercising its functions, to have due regard to the need to prevent people from being drawn into terrorism. PREVENT covers all forms of extremism including Islamist extremism, Extreme Far-Right, militant, animal rights etc. The aim of PREVENT is to safeguard those who may be vulnerable to extremist influence and provide support to those who are at risk. If anybody has PREVENT concerns, they should raise with the PREVENT Lead for the Council (See Appendix 1).

Initial referrals are made via the Multi Agency Referral Process (MARF) before a PREVENT referral is submitted. Once it is ascertained that the referral is not subject to any other police investigations, a multi-agency panel known as the Channel Panel is held and a support plan is developed for the individual.

Child Sexual Exploitation

Child sexual exploitation is the coercion or manipulation of children and young people into taking part in sexual activities. It is a form of sexual abuse involving an exchange of some form of payment which can include money, mobile phones and other items, drugs, alcohol, a place to stay, 'protection' or affection. The vulnerability of the young person and grooming

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process employed by perpetrators renders them powerless to recognise the exploitative nature of relationships and unable to give informed consent.

The Council strives to create a hostile environment to child sexual exploitation and actively works with partners to identify children at risk and prevent this form of abuse.

Self-Harm / Suicide

Self-harm is the name given to any deliberate act of self-injury or behaviour intended to cause harm to someone's own body.

The Suicide and Self Harm Prevention Strategy and associated action plan builds on 'Talk to Me' the 2009 national action plan to reduce suicide and self-harm in Wales. It sets out the strategic aims and objectives to prevent and reduce suicide and self-harm in Wales over the period 2015-2020. It identifies priority care providers to deliver action in certain priority places to the benefit of key priority people, and confirms the national and local action required.

Buddy is a support and advice website for young people living with Self Harm which has been developed by young people and professionals from the Council. Buddy provides confidential support, advice and tools and techniques to help deal with negative thoughts and feelings associated with self-harm. There is specific information for helping people within this site, as well as advice for parents and professionals

www.buddyapp.monmouthshire.gov.uk.

Modern Slavery / Trafficking

Modern Day Slavery encompasses slavery, sexual exploitation, human trafficking, forced labour, and domestic servitude. Traffickers and slave masters use whatever means they have to coerce, deceive, and force the individual into a life of abuse, servitude and inhumane treatment. The Modern Slavery Act came into law in 2015 and allows the courts to pass down severe sentences on the perpetrators, and to place restrictions on people from harm. The Council has a Duty under S 52 of the Act to advise the Secretary of State of any individual who may be identified as a victim of Slavery, or Trafficking.

The Council acts in accordance with the relevant Modern Slavery and Trafficking legislation and guidance, and promotes practices to identify and safeguard victims of these crimes, and ensure transparency of supply chains.

Training and Victim Support regarding Modern Slavery can be found at BAWSO www.bawso.org.uk.

Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV)

Domestic Abuse is recognised to impact both adults and children and can have life changing effects. The VAWDASV Act (Wales) 2015 aim's to improve arrangements for the prevention of gender based violence, abuse, and sexual violence. The Act requires the Council to train all staff in a principle based approach to targeted enquiry for these issues

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across the Public Service known as “Ask and Act” in order to signpost victims and potential victims to support services. The regional VAWDSV board has also prioritised a “whole school approach” to training and support in order to continue a preventative agenda to domestic abuse.

11. ROBUST PROTECTION

(a) Child Protection

Child Protection is an essential part of safeguarding and promoting welfare, it refers to the activity which is undertaken to protect children who are suffering, or at risk of suffering significant harm, as a result of abuse or neglect.

The categories of abuse recognised within Child Protection are

- Physical Abuse
- Sexual Abuse
- Emotional Abuse
- Neglect

The definitions of categories of abuse are outlined in Appendix 7

The primary legislation and guidance which shape’s Child Protection Practice and Procedures is:

- Children Act 1989
- Children Act 2004
- All Wales Child Protection Procedures 2008
- Social Services and Wellbeing Act (Wales) 2014

Whilst Statutory Social Service’s Departments are the Lead Agency in Child Protection matters, there is a wider duty on all agency’s to work together to protect and safeguard children.

(b) Adult Protection

Adult Safeguarding is on a statutory basis from April 2014 when SSWBA which came into force. The drafting and ratification of SSWBA compliant all-Wales policy, procedure and guidance is not yet complete. Adult Safeguarding is shaped, and informed by the “All Wales Interim Policy and Procedures for the Protection of Vulnerable Adult’s” in a modified form.

The SSWBA refers to an ‘adult at risk from abuse or neglect’ which is defined as an adult who:

- Is experiencing or is at risk of abuse or neglect,
- Has needs for care and support (whether or not the authority is meeting any of those needs), and
- As a result of those needs is unable to protect himself or herself against the abuse or neglect or the risk of it.

This applies to all adults within the County boundary whether or not they are ordinarily resident. Adult safeguarding also needs to take into account the capacity of adults to make decisions in accordance with the Mental Capacity Act. If an adult is deemed to have

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capacity, then consent must be sought for the safeguarding process. The only exception to this is when an alleged abuser is a potential risk to other vulnerable people.

The Act also places a 'duty to report' on all staff to report actual or suspected abuse or neglect of both adults and children deemed to be at risk and provides for the use of Adult Protection Safeguarding Orders (APSO) via a Magistrate to allow Designated Officers to enter a premises where it is suspected an adult is at risk and speak to them alone to establish if they are safe

Appendix 8 sets out a flowchart outlining Adults referral process

(c) Allegations or Concerns against adults who work with children and adults at risk

Allegations or concerns in regard to adults working with children and/ or adults at risk must be referred and investigated in a fair, timely and consistently in order to effectively protect those at risk.

Policy and guidance which clarifies Council staff member's duty to report concerns relating to other staff members, professional, and volunteers, and offers support to this process includes:

- All Wales Child Protection Procedures;
- Wales Interim Policy and Procedures for the Protection of Vulnerable Adults from Abuse;
- The Council's Whistle Blowing Policy (See Section 8)

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

- Protect adults and children;
- Facilitate enquiries;
- Manage disciplinary and/ or complaint's aspects.

On the completion of the investigation, should an individual be dismissed or removed from working with children or vulnerable adult's (in a Regulated Activity) the Council has a Duty to refer the individual to the DBS (Safeguarding Vulnerable Group's Act 2006). Equally the Council has an obligation to refer certain information about employee's conduct and matter's relating to safeguarding to professional regulatory bodies.

(d) Professional Strategy Meetings

All Professional Strategy Meetings for children and adults at risk will be convened and chaired by the Safeguarding and Quality Assurance Unit in accordance with regional guidance.

12. SAFE SERVICES

(a) Commissioning Arrangements

Any new service provider commissioned to support children or adults at risk will be required to undergo an accreditation process. The accreditation process is designed to ensure that the service is fit for purpose and has the necessary arrangements in place to

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safeguard those it is supporting and deliver a quality service. As part of the accreditation process checks will be made with local hosting authorities, regulating bodies as well as financial enquires. Providers will be required to provide information confirming their safeguarding policy and procedures.

Contractor monitoring activity either, planned or unplanned, will include stratifying the Council that the provider is managing their responsibilities in regard to safeguarding and are operating in line with legislation, policy and procedures Where required confirmation will be sought of the services performance regarding safe recruitment practices, DBS checking and safeguarding referrals.

(b) Lettings and Hiring

With almost all casual lettings the Council will not be contracting the services of hirers. It is nonetheless allowing its premises to be used for activities that may involve children, young people or adults at risk.

Therefore Managers have a duty to ensure, as far as is reasonable, that these activities also comply with safeguarding responsibilities. Members of the public may reasonably assume that because an activity is taking place within a Council setting, the Council has had due regard to safeguarding in entering into the arrangement.

In allowing use of council premises, the onus must remain upon the hirer to ensure that safeguarding measures are maintained throughout. This is something that organisations are made aware of under safeguarding legislation and through their own organisational governing body, if applicable.

Managers should request to see and retain copies of relevant safeguarding documentation as proof that hirers and their staff comply with such measures on receipt of applications.

Managers must also consider reporting any concerns about an individual's suitability to work with children, young people and adults at risk to Children's/ Adults Services

In the case of 'one off' children's events, for example, a private birthday party, safeguarding legislation exempts such uses from the processes mentioned above but nonetheless this policy requires managers to be able to properly demonstrate due regard to safeguarding risks in agreeing any hiring arrangements.

Monmouthshire Homeseach - Housing Register

The Council's Housing Register, known as Monmouthshire Homeseach, is a partnership between the Council and local housing associations. Monmouthshire Homeseach is common housing register and a joint allocations policy. The Housing Register, a legal responsibility of the Council, determines the priority and procedure for the allocation of housing accommodation in Monmouthshire. The Housing Register policy supports and contributes to the Council's Safeguarding Policy through the following

Special Management Lettings - There may be exceptional circumstances where the only way an exceptionally urgent housing need can be resolved is through the use of management discretion. There is the ability in very urgent cases for MHR Operational Sub Group to exercise discretion. In the interests of fairness to all applicants these circumstances are kept to an absolute minimum. Such cases may include the following

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circumstances: an applicant has an exceptional need that is not covered by the allocation scheme, for example, where Child or Public Protection issues require urgent rehousing.

Serious Offenders – Monmouthshire Homeseach will seek to minimise the risk to the community and the applicant where individuals are considered to pose a risk to themselves and/or others (even where an individual has not been convicted of an offence). Monmouthshire Homeseach (through the Council's Housing Options Team) will work with the Police and Probation Services to assess and manage risk and will apply special arrangements where cases are referred through the Multi-Agency Public Protection panel (MAPPA) or any protocol with Probation Services Officers. This may result in restrictions being placed upon the applicant in their choice of property or area, or a direct offer of suitable accommodation being made.

Information Sharing - Information may be shared about individuals and their history irrespective of whether their consent has been obtained in exceptional circumstances. This will be in accordance with the provisions of the Crime and Disorder Act 1998 (Section 115). This includes where there is a need to safe-guard children and address child protection issues or vulnerable adults.

(c) Licensing

With effect from 1st April 2016 all new and existing Licensed Hackney Carriage, Private Hire Drivers, Proprietors and Operators must undergo Safeguarding of children young people and adults at risk training before obtaining a licence from the Council.

All staff within the Licensing Section should undertake safeguarding training to enable them to work with the taxi trade to gather information to safeguard children young people and adults at risk and be able to share relevant information with Police and Social Services.

Whilst the Council is unable to insist on safeguarding training as part of the condition of a licence with the alcohol and entertainment industry Licensing will continue to work with the Police to provide free training to those working in the industry and continue to improve information sharing.

The Council will continue to work with traders who require licenses e.g. takeaway outlets to provide assistance on how to recognise possible safeguarding issues.

(e) Education Establishments

Roles and Responsibilities in Schools

(i) The role of the Governing Body in Maintained Schools in Monmouthshire

Governing bodies of maintained schools, governing bodies (Corporations) of FE institutions, and proprietors of independent schools in Monmouthshire should ensure that their respective organisations: (See in Keeping learners safe - The role of local authorities, governing bodies and proprietors of independent schools under the Education Act 2002 2.21)

- Have effective child protection policies and procedures in place that are:
 - In accordance with local authority guidance and locally agreed interagency procedures

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- Inclusive of services that extend beyond the school day (e.g. boarding accommodation, community activities on school premises, etc.)
- Reviewed at least annually
- Made available to parents or carers on request
- Provided in a format appropriate to the understanding of children, particularly where schools cater for children with additional needs
- Operate safe recruitment procedures that take account of the need to safeguard children and young people, including arrangements to ensure that all appropriate checks are carried out on new staff and unsupervised volunteers who will work with children, including relevant DBS checks
- Ensure that the head teacher/principal and all other permanent staff and volunteers who work with children undertake appropriate training to equip them with the knowledge and skills that are necessary to carry out their responsibilities for child protection effectively, which is kept up-to date by refresher training
- Give clear guidance to temporary staff and volunteers providing cover during short-term absences and who will be working with children and young people on the organisation's arrangements for child protection and their responsibilities
- Ensure that the governing body/proprietor remedies without delay any deficiencies or weaknesses in regard to child protection arrangements that are brought to its attention
- Ensure that the designated senior person (DSP) for child protection, the designated governor and the chair of governors undertakes training in inter-agency working that is provided by, or to standards agreed by, the Safeguarding Children Board and refresher training to keep their knowledge and skills up to date, in addition to basic child protection training.

(ii) Additional responsibilities of community Focussed Schools, Pre and Post School Learning and Out of Hours Learning Providers in Monmouthshire.

The governing body of a school controls the use of the school premises both during and outside 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. Governing bodies can enter into transfer of control agreements in order to share control of the school premises with another body, or transfer control to it. The other body, known as the "controlling body", will control the occupation and use of the premises during the times specified in the agreement.

Transferring control of the premises to local community groups, sports associations and service providers can enable school facilities to be used without needing ongoing management or administrative time from school staff.

Where the governing body provides services or activities directly under the supervision or management of school staff, the school's arrangements for child protection will apply. Where services or activities are provided separately by another body, the governing body must confirm that the body concerned has appropriate policies and procedures in place in regard to safeguarding children and child protection and there are arrangements to liaise with the school on these matters where appropriate.

(iii) Responsibilities of Head teachers

Head teachers and principals of all schools should ensure that all staff (including supply teachers and volunteers):

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- Are aware of child protection policies and procedures adopted by the governing body or proprietor are fully implemented and followed by all staff
- Can access sufficient resources and time to enable them to discharge their responsibilities, including taking part in strategy discussions and other inter-agency meetings, and contributing to the assessment of children
- Understand the procedures for safeguarding children, and feel able to, raise concerns about poor or unsafe practice and that such concerns are addressed sensitively and effectively in a timely manner in accordance with agreed Welsh Government Procedures for Whistleblowing in Schools and Model Policy
- As part of their induction, are given a written statement about the school's policy and procedures, and the name and contact details of the DSP for child protection when they start work in a new establishment

(iv) Role of the Designated Person in Schools

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

(For schools please also refer to Keeping Learners Safe 2:6)

Each setting should identify a Designated Senior Person (DSP) with lead responsibility for managing adult and child protection and safeguarding issues and cases.

The DSP should know how to recognise and identify the signs of abuse and neglect and know when it is appropriate to make a referral to the relevant investigating agencies.

The role involves providing advice and support to other staff, making referrals to and liaising and working with other agencies as necessary. The DSP role is not to investigate allegations, but they must keep the head teacher informed of all adult/child protection issues in the establishment.

The DSP must be a senior officer at the setting or part of the senior leadership team with the status and authority within the organisation to carry out the duties of the post, including committing resources to child protection matters, and where appropriate directing other staff. Dealing with individual cases may be a responsibility of other staff members, but it is important that a senior member of staff takes responsibility for this area of work.

In many schools and settings a single designated person will be sufficient, but a deputy should be available to act in their absence. In establishments which are organised on different sites or with separate management structures, there should be a designated person for each part or site. In large organisations, or those with a large number of adult/child protection concerns, it may be necessary to have a number of deputies to deal with the responsibilities.

The establishment must also make arrangements to cover the role of the DSP when that person is unavailable. In many cases, there will be a deputy DSP in place and larger schools may have a team of staff working together.

The DSP does not have to be an expert in the area of adult/child protection but will take responsibility for the establishment's adult/child protection practice, policy, procedures

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and professional development working with other agencies as necessary. The head teacher should ensure that the DSP:

- is given sufficient time and resources to carry out the role effectively, which should be explicitly defined in the post holder's job description
- has access to required levels of training and support to undertake the role, has time to attend and provide reports and advice to case conferences and other interagency meetings as required.

(v) Referrals

The DSP should act as a point of contact and a source of support, advice and expertise within the setting establishment when deciding whether to make a referral by liaising with relevant agencies.

The DSP is responsible for making referrals about allegations of suspected abuse to the relevant investigating agencies. Where these relate to cases of suspected abuse or allegations of abuse against staff or volunteers, the process for referral and enquiries is set out in the relevant procedures

DSPs have a responsibility to ensure that:

- The Duty Officer (children's social care) contact details for the originating authorities of all service users are sourced and displayed in an area which is accessible to all staff;
- In the event of a safeguarding concern a referral is made both to the duty officer in the person's home authority and to the Monmouthshire duty officer.
- In the event of an allegation against a professional the Safeguarding and Quality assurance Unit is informed at the same time as the above referral/s.

(vi) Role of Independent Settings and Residential Establishments

Proprietors of residential and/or independent settings should ensure that:

- They comply with the requirements of their regulatory body
- They fulfil all responsibilities for safeguarding adults and children (including those at risk).

(vii) 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 DSP 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

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- All staff and volunteers understand the procedures for and are supported in raising concerns with regard to children in their care

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Record of Appendices

Appendix 1	Relevant Legislation and Council Contacts
Appendix 2	Referral Process – Children
Appendix 3	Roles and Responsibilities Directorate Safeguarding Leads
Appendix 4	Terms of Reference Whole Authority Safeguarding Group
Appendix 5	SAFE Auditing Tool
Appendix 6	Training Record Template
Appendix 7	Categories of abuse - Definition
Appendix 8	Flow chart adult referrals

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Appendix 1

Relevant Legislation and Contact Details

- Social Services and Wellbeing Act (Wales) 2014
- Children Act 1989, 2004
- Carers Act 2004
- Human Rights Act 1998
- Equalities Act 2010
- Framework for Assessing Children and their Need (2001)
- Stronger Partnership's for Better Outcomes (2006)
- Wales Interim Policy & Procedures for the Protection of Vulnerable Adults from Abuse (2010)
- Mental Capacity Act 2005
- All Wales Child Protection Procedures (2008)
- NSF for Children, Young People and Maternity Services
- Direct Payment's Guidance
- Violence against Women, Domestic Abuse and Sexual Violence Act 2015
- Data Protection Act
- United Nations Convention on the Rights of the Child 1989
- VAWDASV Regional Service -
[www.gwasb.org.uk/fileadmin/documents/Handout_7 -
_Gwent VAWDASV services directory 3 amended 16.12.16 HG.pdf](http://www.gwasb.org.uk/fileadmin/documents/Handout_7_-_Gwent_VAWDASV_services_directory_3_amended_16.12.16_HG.pdf).
- PREVENT
[www.gov.uk/government/uploads/system/uploads/attachment_data/file/445977/3799 Revised Prevent Duty Guidance England Wales V2-Interactive.pdf](http://www.gov.uk/government/uploads/system/uploads/attachment_data/file/445977/3799_Revised_Prevent_Duty_Guidance_England_Wales_V2-Interactive.pdf).

Relevant Contacts

Social Services Duty – Children Services	0800 328 4432.
Social Services Duty – Adult Services	Monmouth/Usk/Raglan – 01600773041 Abergavenny – 01873 735885 Chepstow/Caldicot – 01291 635666
PREVENT	Shereen.Williams@newport.gov.uk
South East Wales Safeguarding Board	www.sewsc.org.uk
Gwent Wide Adult Safeguarding Board	www.gwasb.org.uk
Buddy Support and Advice	www.buddyapp.monmouthshire.gov.uk .
Modern Slavery /Trafficking – Training and Victim Support	BAWSO www.bawso.org.uk .

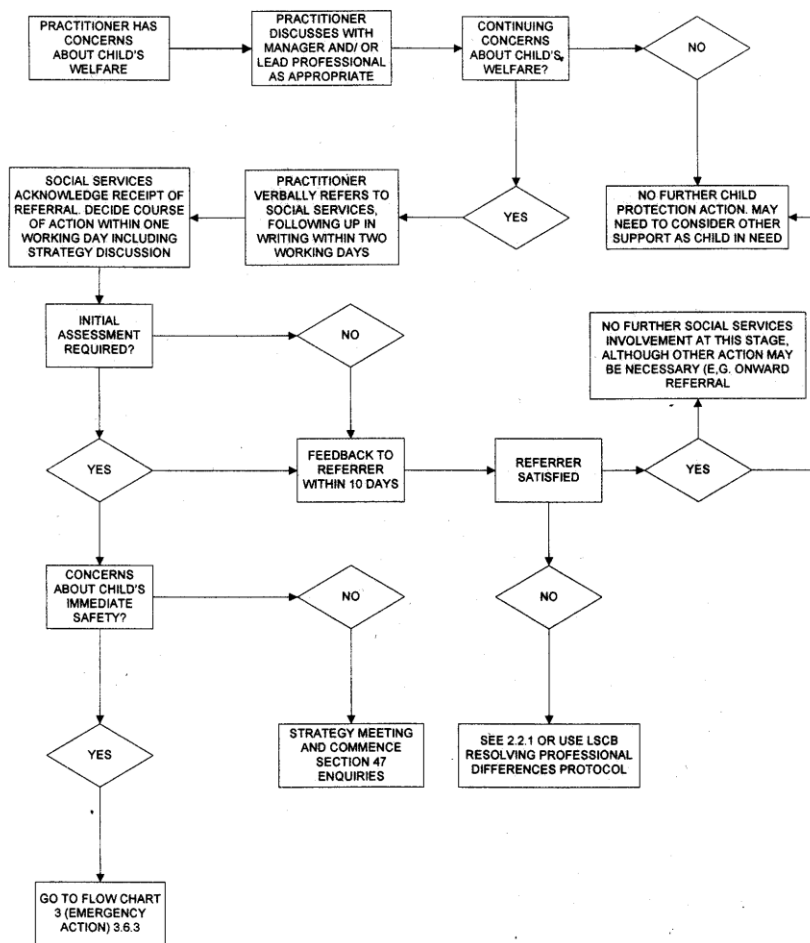
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Appendix 2

Referral Process - Children

All Wales Child Protection Procedures 2008

3.2.5 Flowchart 1: referral



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Appendix 3

Role Description for Directorate Safeguarding Lead

Every Directorate within the Council is required to nominate a Directorate Safeguarding Lead (DSL) for dealing with safeguarding children and adult's issues. The DSL is responsible for:

- Acting as an overarching and key source of advice and support for other staff in their Service on all safeguarding issues
- Ensuring robust arrangements are in place for staff to access day to day practice advice and support for safeguarding from their line managers
- Support staff or take the lead in referring safeguarding concerns to Social Care and Health as appropriate
- Being familiar with the Councils Corporate Safeguarding Policy and the All Wales Procedures as they relate to Children's and Adult's safeguarding
- Ensuring the Operational Procedures for safeguarding within the directorate are compliant with legislation and statutory guidance and are issued to all staff
- Representing their Directorate on the Whole Authority Safeguarding Group
- Ensuring compliance with policies and guidance within their directorate services areas and reporting this to the Whole Authority Safeguarding Group
- Attending relevant training
- Ensuring members of the workforce within their Services attend training at levels appropriate to their roles and functions and maintain management information in relation to attendance on training
- Ensuring safeguarding responsibilities are highlighted through staff induction processes, team meetings, supervision and staff briefings

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Appendix 4

Terms of Reference for Whole Authority Safeguarding Group

The main responsibilities of the Group are to ensure that robust arrangements for safeguarding children and adults are in place within and across the Council

The Whole Authority Safeguarding Group will act on a strategic level to:

- Assure the Council that procedures for managing safeguarding concerns are robust;
- Ensure that all directorates within the council are aware of their contribution to keeping children, young people and adults at risk safe and free from harm or abuse;
- Support the functions and duties of the Chief Officer Social Care and Health;
- Ensure inter departmental working and corporate communication is effective;
- Resolve any potential barriers that could prevent having effective procedures in place;
- Receive and consider recommendations and learning from Child / Adult Practice / Domestic Homicide Reviews;
- Ensure appropriate training is available for the workforce and Elected Members;
- Receive and consider agreed performance information;
- Produce and Annual Report for SLT, Cabinet and relevant Scrutiny Committee;
- Review the Corporate Safeguarding Policy

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Appendix 5

MONMOUTHSHIRE SAFEGUARDING AUDIT FRAMEWORK for EVALUATION

In accordance with Monmouthshire's Safeguarding Policy, all organisations that provide services for or work with adults at risk, children, young people and families are expected to carry out an audit of their safeguarding practices, based on a process of self-evaluation.

The following audit framework is set out in sections related to different standards and requires you to think about your own practices and procedures within your setting. It is designed to give you an understanding of safeguarding in your own service area/ establishment and how these might be developed. In addition the audits provide Monmouthshire County Council with an overview of safeguarding practices across the county.

The audit tool is based on Social Services and Wellbeing Act 2014.

Please undertake the following audit and return it to the named officer below for your Directorate:

Bernard Boniface, Adult Safeguarding Manager (Adult Services) bernardboniface@monmouthshire.gov.uk.

Diane Corrister, Safeguarding and Quality Assurance Unit Manager (Operations) dianecorrister@monmouthshire.gov.uk.

Heather Heaney, Designated Lead Officer for Safeguarding in Education (CYP, Schools, Early Years Settings, Flying Start) heatherheaney@monmouthshire.gov.uk

Cath Sheen, Corporate Safeguarding Programme Lead (Resources & Enterprise) cathsheen@monmouthshire.gov.uk

Please think carefully about your own practices and procedures in your setting; 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 produce an action plan with any actions that are required to improve safeguarding in your school. See page 11 below.

We review the information you give us and will provide follow up advice and support where appropriate. Our review of the information helps to inform MCC in developing safeguarding practices at a wider level.

We aim to undertake a follow up audit every 2 years. Please try to be as realistic and honest as you can be and use this document to help you to identify your current position regarding safeguarding and set targets/actions to improve.

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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. (for e.g. Leisure Centre, Day Service, Care Home, Social Work Team Primary School, Comprehensive School, Nursery, Breakfast Club, After School Club, Sports Activities, etc.)

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STANDARD	EVIDENCE	RAG RATING	FURTHER ACTIONS REQ'D
STANDARD 1. Designated Safeguarding Leads Designated Safeguarding Leads fulfil an essential role in developing and implementing policies that help to protect children and adults at risk from all forms of abuse and create a safe environment. Designated Safeguarding Leads take responsibility in their setting for managing issues and concerns about adults and children at risk.			
1.1 There is a Designated Safeguarding Lead (DSL) for Safeguarding and all staff know who that person is.			

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1.2 There is a Deputy Designated Safeguarding Lead (to act when the DSL is off site) and all staff know who that person is.			
1.3 The role of the Designated Safeguarding Lead is clearly defined in a job description which sets out their responsibilities in safeguarding.			
1.4 The DSL and deputy DSL are adequately trained and supported to fulfil their roles.	Provide details of safeguarding courses attended with dates:		
STANDARD 2. Policies and Procedures			
2.1 Your setting has adopted the Monmouthshire Safeguarding Policy (formally via governing body/trustee / management body if appropriate).	Give Date when adopted:		

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<p>2.2 The LA policy has been communicated to all staff members and is implemented in your setting/organisation.</p>			
<p>2.3 Your setting has its own written safeguarding policies and procedures which are reviewed regularly (at least every 3 years)</p>	<p>List any relevant policies with dates including date of reviews and of next review:</p>		
<p>2.4 All staff and volunteers are made aware of all safeguarding policies and procedures and how these are applied within the setting</p>			
<p>2.5 Everyone using your service are made aware of all safeguarding policies and procedures and how these are applied within the setting</p>			

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2.6 We are confident that every service we commission delivers a safeguarding standard consistent with our service.			
STANDARD 3. Accountability			
3.1 All staff understand to whom they are directly accountable with regards to the well-being of adults at risk and children, and the level of accountability they have.	Is this discussed at team meetings and staff appraisals? How is this recorded?		
3.2 All Job descriptions are explicit and recognise responsibilities regarding safeguarding and promoting the well-being of children and adults at risk.			
STANDARD 4: LISTENING AND RESPONDING			
4.1 Children and adults at risk are			

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<p>encouraged to express their wishes and feelings including any concerns they might have over harm and abuse</p>			
<p>4.2 Appropriate decisions are made in order to protect children, young people and adults at risk from harm</p>			
<p>4.3 Children, young people and adults at risk feel safe in your setting and that their well-being is promoted.</p>			
<p>4.4 We reflect on what has gone well and areas for improvement, and ensure that new learning is embedded.</p>	<p>How is this achieved?</p>		

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STANDARD 5: Effective inter-agency working to safeguard and promote the welfare of children and adults at risk

<p>5.1 Staff participate in multi-agency meetings and fora to consider the needs of and provide support for individual children and their families and adults at risk.</p>	<p>List the relevant meetings your setting is involved:</p>		
<p>5.2 Staff are able to recognise when children and adults at risk need additional support and are able to make the appropriate referral e.g. referrals to other single agencies, referral to TAF, referral to Adult Services or Children's Services</p>	<p>Provide numbers of referrals made to e.g. adult/children's services</p>		
<p>5.3 Any decisions made or actions taken in relation to the protection or safeguarding of</p>			

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individuals are recorded appropriately and maintained confidentially.			
5.4 Arrangements are in place to ensure that personal and confidential information is appropriately shared across settings / services.	Is information securely available across varying levels of need? How do you know this is being complied with?		
STANDARD 6: Staff and Volunteer Training			
6.1. All staff and volunteers receive appropriate training (at the relevant levels) to enable them to discharge their safeguarding duties.	Describe your record keeping arrangements and how this is monitored by your setting. What arrangements are in place for updates and renewals		
6.2 All staff and Volunteers are assessed in relation to	How is this achieved?		

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safeguarding training needs.			
6.3 There is a record kept of all adult/child protection and safeguarding training and this is updated as appropriate.	Provide a copy of your training record		
6.4 Arrangements are in place to evaluate the impact and effectiveness of training and the identification of adult/child protection and safeguarding training.			
STANDARD 7: Safe Recruitment			
7.1. All staff and volunteers have DBS checks prior to employment if they are engaged in regulated activity.	Describe how you monitor DBS arrangements:		
7.2. All staff who have contact with children, young people and	Provide information about any DBS		

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<p>adults at risk are selected in accordance with the Safe Recruitment Policy and have appropriate checks in line with current legislation and guidance:</p> <ul style="list-style-type: none"> - References are always taken up prior to appointment. - Identity and qualifications are verified. - Professional registration is in place - Face to face interviews are carried out. - Previous employment history is checked. - Any anomalies or discrepancies are followed up. 	<p>risk assessments that you have undertaken since the last audit: how can you be confident that sound decisions are made?</p>		
---	--	--	--

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<p>- Necessary checks are carried out before the employee takes up the post (e.g. DBS if they are engaged in regulated activity).</p>			
<p>7.3 There is a Safe Recruitment policy in place.</p>			
<p>7.4 Those people involved in recruitment within your setting have undertaken Safe Recruitment Training</p>	<p>Provide details of any training undertaken:</p>		
<p>STANDARD 8: Handling Allegations Against Workers and Volunteers</p>			
<p>8.1 There is a named senior officer with responsibility in respect of allegations against staff and volunteers. All staff</p>			

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know who this person is.			
8.2 There is a written procedure for handling allegations against staff and volunteers in place.			
8.3 Incidents and allegations of professional abuse are recorded appropriately and maintained confidentially.	Provide numbers of professional concerns and any issues referred:		
STANDARD 9: Safeguarding in the Building			
9.1 Do you know and monitor public access points in the building(s) so that you know if people are entering or leaving the building?			
9.2 Are Parents / Carers / Visitors monitored whilst they are in the building			

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including signing in and out procedures if appropriate? Are badges issued to visitors?			
9.3 Do you have policies and procedures in place to maintain safeguarding when other people/vehicles not involved with your organisation use/visit the premises at the same time as your organisation?			
9.4 Are safeguarding issues reported to the relevant lead officer and the building's management, as appropriate?			
9.5 Do you risk assess for safeguarding and general safety when using premises other than your own and have a reporting system in place for issues identified?			

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STANDARD 10: E-Safety			
10.1 Children, young people or adult at risk who have access to the internet via any means in your setting can do so safely.	Provide details of any e-safety awareness activity that is undertaken within your setting:		
10.2 Do you have and implement a policy for the safe use of internet access by service users, staff and volunteers?	Tell us where this policy is available:		

Designated Safeguarding Lead Summary Report

<p>Describe any key challenges and successes that you have experienced over the last year. Relate this both to your individual role and to the wider setting.</p>
<p>Please identify what support might be helpful to you in your role as Designated Safeguarding Lead or to assist with the development of safeguarding within your setting.</p>

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RAG RATING



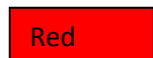
Green

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



Amber

Means that something requires review or improvement



Red

Means something needs to be developed as a matter of urgency

Part 2: Action Plan

INSERT YOUR COMPLETED / UPDATED ACTION PLAN FROM YOUR PREVIOUS AUDIT

Ensure that any actions from your previous action plan that have not been completed are incorporated into your current plan as below.

No	Standard Identified	RAG Rating	Action Needed / Evidence of Completion	Timescale / Date of completion	Lead Officer and Contact Details

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Appendix 6

Staff Training Template

Name	Job Title	Base	Level	Provider	Name of Course	Date Completed	Expiry Date
A N Other	Sports Devel. Officer	Usk	2	SEWSCB	Safeguarding and Protecting Children	23/02/2015	23/02/2017

MONMOUTHSHIRE COUNTY COUNCIL **CORPORATE SAFEGUARDING POLICY**

Appendix 7

Definitions of Abuse

Physical abuse

Physical abuse may involve hitting, shaking, throwing, poisoning, burning or scalding, drowning, suffocating, or otherwise causing physical harm to a child.

Physical harm may also be caused when a parent or caregiver fabricates or induces illness in a child whom they are looking after.

Emotional abuse

Emotional abuse is the persistent emotional ill treatment of a child such as to cause severe and persistent adverse effects on the child's emotional development. It may involve conveying to a child that they are worthless or unloved, inadequate or valued only in so far as they meet the needs of another person. It may feature age or developmentally inappropriate expectations being imposed on children. It may involve causing children frequently to feel frightened or in danger, for example by witnessing domestic abuse within the home or being bullied, or, the exploitation or corruption of children. Some level of emotional abuse is involved in all types of ill treatment of a child, though it may occur alone.

Sexual abuse

Sexual abuse involves 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. The activities may involve physical contact, including penetrative or non-penetrative acts. They may include non-contact activities, such as involving children in looking at, or in the production of, pornographic material or watching sexual activities, or encouraging children to behave in sexually inappropriate ways.

Neglect

Neglect is the persistent failure to meet a child's basic physical and/or psychological needs, likely to result in the serious impairment of the child's health or development. It may involve a parent or caregiver failing to provide adequate food, shelter and clothing, failing to protect a child from physical harm or danger, or the failure to ensure access to appropriate medical care or treatment. It may also include neglect of, or unresponsiveness to, a child's basic emotional needs.

In addition, neglect may occur during pregnancy as a result of maternal substance misuse.

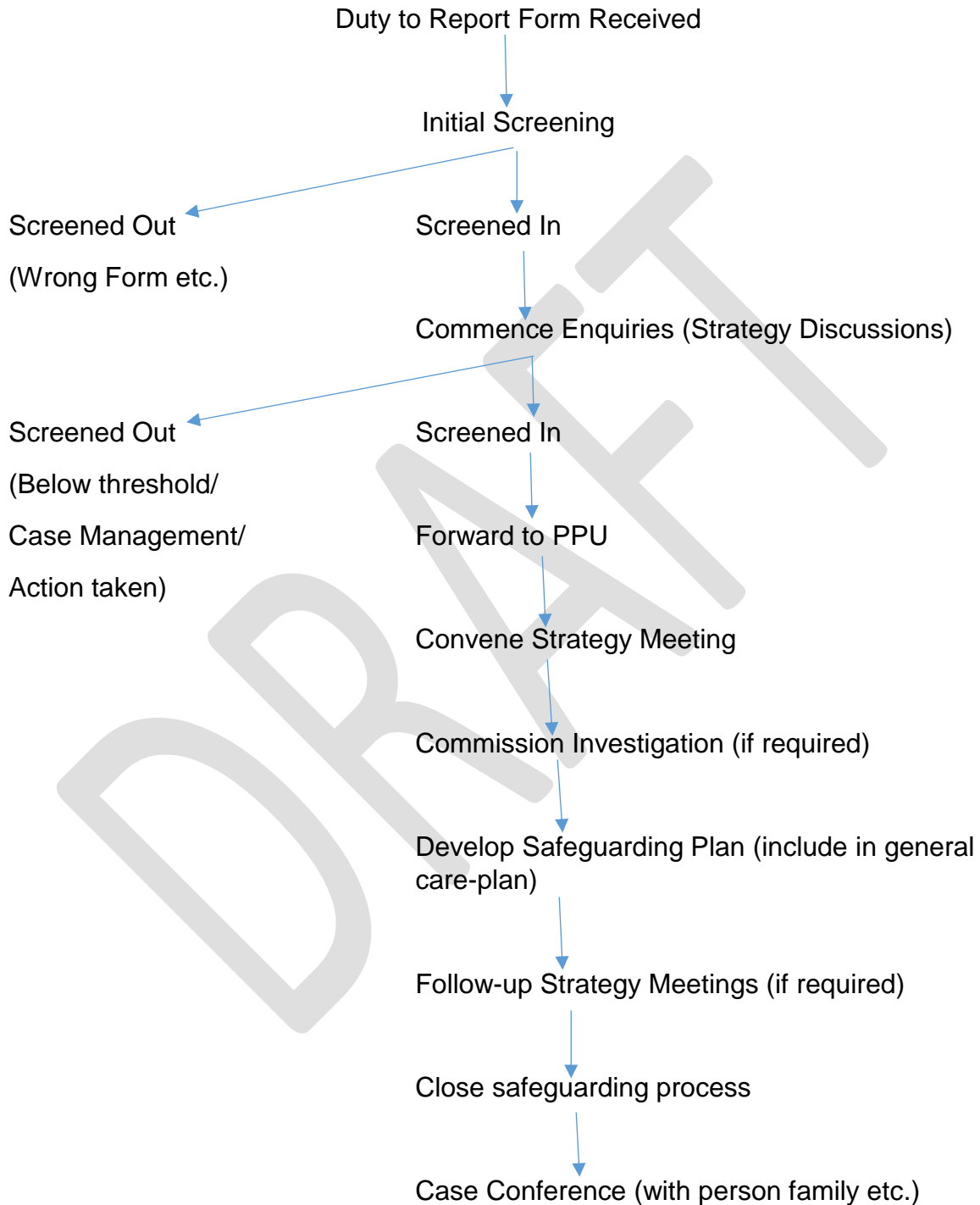
Financial Abuse

Financial or material abuse is any theft or misuse of a person's money, property or resources by a person in a position of, or expectation of, trust to a vulnerable person. Common forms of financial abuse are misuse by others of a vulnerable adult's state benefits or undue pressure to change wills. Financial/material abuse may also be perpetrated by one vulnerable adult upon another.

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Appendix 8

Adult Safeguarding Process



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Future Generations Evaluation (includes Equalities and Sustainability Impact Assessments)

<p>Name of the Officer completing the evaluation</p> <p>Phone no: E-mail: @monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>To implement a Corporate Safeguarding Policy</p>
<p>Name of Service</p> <p>Social Care and Health- Safeguarding</p>	<p>Date Future Generations Evaluation form completed</p> <p>19th May 2017</p>

NB. Key strategies and documents that may help you identify your contribution to the wellbeing goals and sustainable development principles include: Single Integrated Plan, Continuance Agreement, Improvement Plan, Local Development Plan, People Strategy, Asset Management Plan, Green Infrastructure SPG, Welsh Language Standards, etc




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Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	x	x
<p>A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)</p>	x	x

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	People in Monmouthshire will be better safeguarded through a safe workforce, including volunteer and commissioned providers. Applied practices and processes will be safe and so ultimately people should feel and be safe	A robust policy will be in place to drive safeguarding and ensure any weakness in structure, steer and practice and accountability is addressed
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	People in Monmouthshire will be better safeguarded through a safe workforce, including volunteer and commissioned providers. Applied practices and processes will be safe and so ultimately people should feel and be safe	A robust policy will be in place to drive safeguarding and ensure any weakness in structure, steer and practice and accountability is addressed
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	The policy will support people in being and feeling safe	A robust policy will be in place to drive safeguarding and ensure any weakness in structure, steer and practice and accountability is addressed
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	x	x
A more equal Wales People can fulfil their potential no matter what their background or circumstances	The policy does not discriminate but will support everyone across all ages, religions, race and cultures	A policy will be in place and embedded within the Authority so that those working for / with / on behalf of the Authority are aware of their responsibilities in relation to safeguarding.

2. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Balancing short term need with long term and planning for the future</p> <p>Long Term</p>	<p>The policy clearly sets out the expectations of those working for or on behalf of the Council, including Members, to deliver the new approach to safeguarding, and in line with this, expectations of those accountable within the authority in assuring this is delivered. There are already partnerships embedded around safeguarding which should be strengthened through the implementation of this policy.</p>	<p>N/A</p>
 <p>Working together with other partners to deliver objectives</p> <p>Collaboration</p>	<p>The policy clearly sets out the expectations of those working for or on behalf of the Council, including Members, to deliver the new approach to safeguarding and in line with this, expectations of those accountable within the authority in assuring this is delivered. There are already partnerships embedded around safeguarding which should be strengthened through the implementation of this policy.</p>	<p>N/A</p>
 <p>Involving those with an interest and seeking their views</p> <p>Involvement</p>	<p>The policy clearly sets out the expectations of those working for or on behalf of the Council, including Members, to deliver the new approach to safeguarding and in line with this, expectations of those accountable within the authority in assuring this is delivered. There are already partnerships embedded around safeguarding which should be strengthened through the implementation of this policy.</p>	<p>N/A</p>

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p data-bbox="152 485 291 512">Prevention</p> <p data-bbox="344 244 506 528">Putting resources into preventing problems occurring or getting worse</p>	<p data-bbox="546 244 1305 347">The Policy will be delivered through existing resources but the intention is to prevent problems in safeguarding occurring.</p>	<p data-bbox="1352 244 1402 268">N/A</p>
 <p data-bbox="152 799 291 826">Integration</p> <p data-bbox="344 558 517 807">Considering impact on all wellbeing goals together and on other bodies</p>	<p data-bbox="546 563 1285 659">Authority / volunteer /external provider working should be strengthened. This should impact on individuals and communities.</p>	<p data-bbox="1352 563 1402 587">N/A</p>

3. **Are your proposals going to affect any people or groups of people with protected characteristics?** Please explain the impact, the evidence you have used and any action you are taking below. For more detailed information on the protected characteristics, the Equality Act 2010 and the Welsh Language Standards that apply to Monmouthshire Council please follow this link: <http://hub/corporatedocs/Equalities/Forms/AllItems.aspx> or contact Alan Burkitt on 01633 644010 or alanburkitt@monmouthshire.gov.uk

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	The adult at risk population will become an integral part of the new safeguarding policy and so all ages will be appropriately focussed	None	N/A
Disability	Nothing additional	Nothing additional	N/A
Gender reassignment	Nothing additional	Nothing additional	N/A
Marriage or civil partnership	Nothing additional	Nothing additional	N/A
Pregnancy or maternity	Nothing additional	Nothing additional	N/A
Race	Nothing additional	Nothing additional	N/A
Religion or Belief	Nothing additional	Nothing additional	N/A
Sex	Nothing additional	Nothing additional	N/A
Sexual Orientation	Nothing additional	Nothing additional	N/A
Welsh Language	Nothing additional	Nothing additional	N/A

4. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance <http://hub/corporatedocs/Democratic%20Services/Safeguarding%20Guidance.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	People in Monmouthshire will be better safeguarded through a safe workforce, including volunteer and commissioned providers. Applied practices and processes will be safe and so ultimately people should feel and be safe	None – the policy is to improve safeguarding	N/A
Corporate Parenting	Looked After Children in Monmouthshire will be better safeguarded through a safe workforce, including volunteer and commissioned providers. Applied practices and processes will be safe and so ultimately people should feel and be safe	None – the policy is to improve safeguarding	N/A

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5. What evidence and data has informed the development of your proposal?

Social Services and Wellbeing (Wales) ACT 2014
 Internal Audit Service report on safeguarding 2015
 The Wales Audit Office on Safeguarding 2015
 The Ellis Williams Report on safeguarding 2015
 Current Safeguarding Policy

6. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

None

7. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible	Progress
None			

8. MONITORING: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

The impacts of this proposal will be evaluated on:	May 2020
--	----------

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

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Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
	Cabinet June 2017		

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MONMOUTHSHIRE COUNTY COUNCIL REPORT

SUBJECT:	CYP Re-structure
MEETING:	Cabinet
DATE:	7th June 2017
DIVISION / WARDS AFFECTED	All

1. PURPOSE:

To propose changes to the structure of the CYP directorate.

2. RECOMMENDATIONS:

That Members agree:

- 2.1 To agree the changes set out in the body of the report.
- 2.2 That any redundancy and early pension costs that cannot be borne by the directorate are met from the redundancy and pension reserve.

3. BACKGROUND

- 3.1 The directorate has changed significantly over a number of years, not only in terms of officers leaving, but also in the work carried out by the directorate. These changes have not been reflected in the structure and as a result there are a number of temporary arrangements in place.
- 3.2 As part of the budget process for 2017-18 savings were identified to the value of £70,461 for a full year. This report sets out the changes that are necessary to achieve that saving.
- 3.3 The service areas affected are the support services, (finance, school and student access unit and governance) administration of additional learning needs, early years and psychology.
- 3.4 The current structure has resulted in overstaffing in some areas, but a need to increase capacity in others. This re-structure sets out to address these issues and to provide a sustainable structure for the future. The skills required for posts are not always interchangeable and therefore it is necessary to carry out a full restructure of these areas.
- 3.5 The proposal is to:
 - Delete 7 posts (5.5 FTE).
 - 3.2 FTE are within support services - 2.2 FTE band D and 1.0 FTE band E.
 - 0.8 FTE within administration function of additional learning needs - 0.2 FTE band E and 0.6 FTE band D.

- 1.0 FTE within the administration of the psychology service – band C post.
 - 0.5 FTE within early years – band E post.
- Create 3 posts (2.6 FTE).
 - 0.6 FTE School and student access – band G post.
 - 1.0 FTE School and student access – band C post.
 - 1.0 FTE Additional learning needs – band I post.
 - The current manager of access unit has been seconded to the post for the past 12 months, following the resignation of the substantive manager it is proposed to recruit to this post on a permanent basis.
 - All the costs are identified in appendix 1. These savings are the full year savings. It will not be possible to generate all the savings in 2017-18, however the directorate is holding some vacancies open and therefore these will be used to offset any short fall for the current year.
 - While the directorate has identified all savings possible, however there is still a shortfall in the requirement of £27,252. Given the increase in resources for additional learning needs, it is anticipated that the service will be able to make these saving through the out of county budget, by maintaining placements within the county.
- 3.6 In addition to this, the local authority is procuring the Evolve system to manage risk assessments for the trips and visits within the authority. These trips are mainly undertaken by schools, but could include other services such as the youth service. The funding has already been secured for this from schools budgets via a service level agreement. Where other services wish to be included they will need to contribute to the costs.
- 3.7 To manage this, there is a requirement to recruit to a Band I post, with a FTE of 0.4. This post has been through job evaluation and would be managed within the outdoor education service. The funding for this post has already been identified within the CYP budgets and would be transferred over on approval, to the leisure services management budget, which includes the outdoor education service.
- 3.8 There is a recognition within the directorate that this structure needs to take place to ensure that the resources to support our work is correctly placed.
- 3.9 The directorate has already held a series of team meeting early in the process, at these meeting staff were asked if there were any volunteers for redundancy. Through these meeting a number of volunteers came forward and as a result there is only a need to progress one compulsory redundancy (1.0 FTE). All staff have been met with, unions were invited to these meetings and where requested by their members they also attended. A representative from employee services was also in attendance to provide advice. The whole process has been dealt with via the protection of employment policy.

- 3.10 A further review of the management structure for the directorate is to be completed at a later date. This review will incorporate the management of support services.

4. REASONS

- 4.1 This restructure recognises the need to build a sustainable structure for the future, to allow the directorate to build resources where required.
- 4.2 The introduction of the Evolve system will reduce the risks around the current process, providing a framework for schools to work within and to provide efficiencies for Educational Visit Coordinators in our schools

5. FINANCIAL IMPLICATIONS

The maximum resources for redundancy will be £72,000. There will also be a requirement to fund a maximum of £58,000 in pension contributions. As per the recommendations there is a requirement for these to be funded from the redundancy and pension reserve, should the directorate be unable to cover these.

There are no savings as these have already been identified in the 2017-18 budget, as has the costs for all new posts.

6. WELLBEING OF FUTURE GENERATIONS IMPLICATIONS (INCORPORATING EQUALITIES, SUSTAINABILITY, SAFEGUARDING AND CORPORATE PARENTING).

There are no detrimental sustainable development, equality or safeguarding implications.

7. CONSULTEES:

DMT.

Initial consultation has taken place with the CYP staff, this will be concluded following the cabinet decision.

Employee services.

Assistant Section 151 officer

Unions.

8. BACKGROUND PAPERS:

Appendix 1 - proposed savings and costs

Appendix 2 – Support Services Current Structure

Appendix 3 – Support Services Proposed Structure

Appendix 4 – Standards Current Structure

Appendix 5 – Standards Proposed Structure

Appendix 6 – Well-being and future generation's assessment.

10. AUTHOR:

Nikki Wellington
Finance Manager - Children and Young People Directorate

Sharon Randall-Smith
Head of Attainment and Standards – Children and Young People
Directorate.

11. CONTACT DETAILS:

Nikki Wellington

Tel: 01633 644549

Email: nicolawellington@monmouthshire.gov.uk

Sharon Randall-Smith

Tel 01633 644208

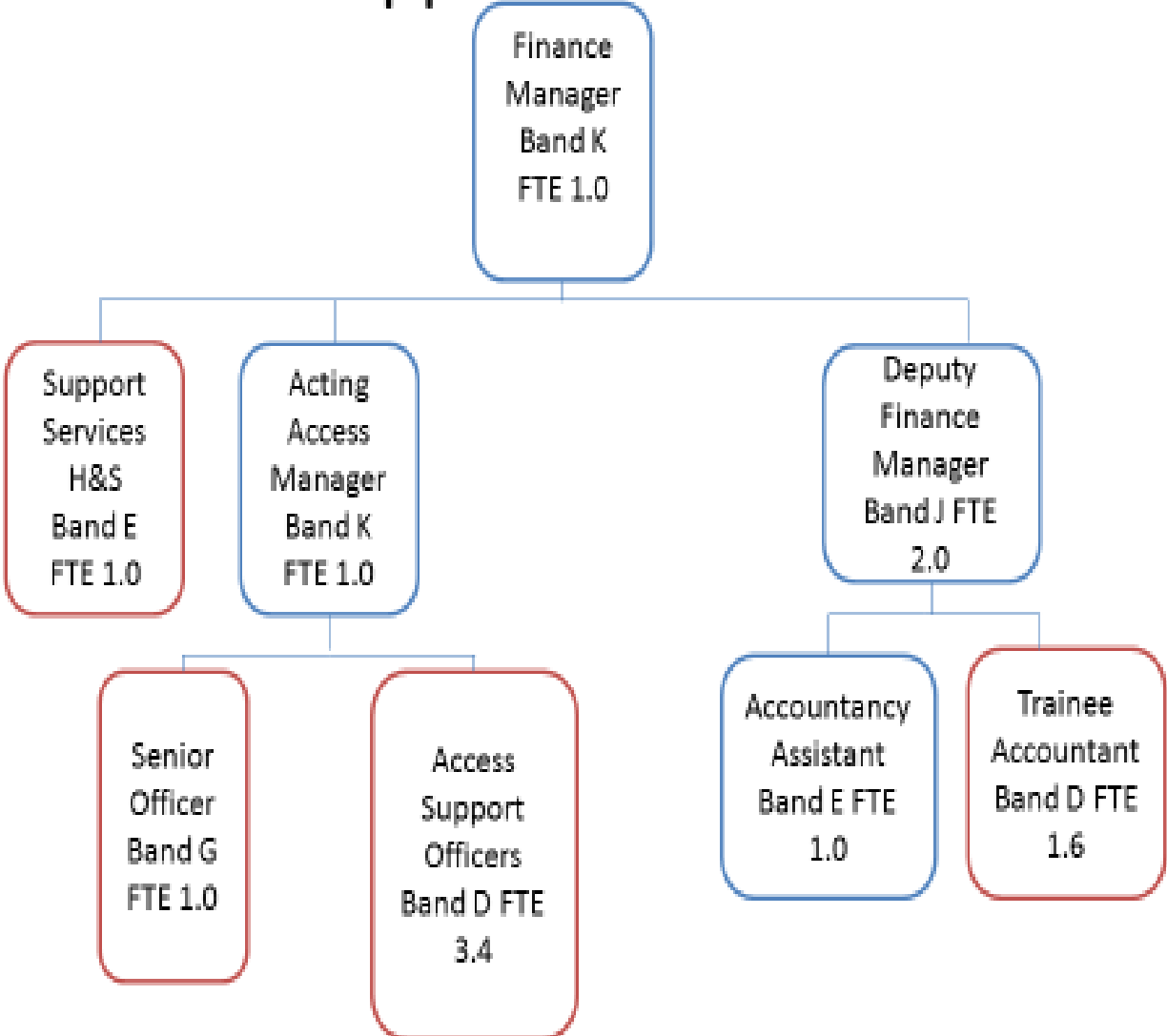
Email SharonRandall-Smith@monmouthshire.gov.uk

Appendix 1

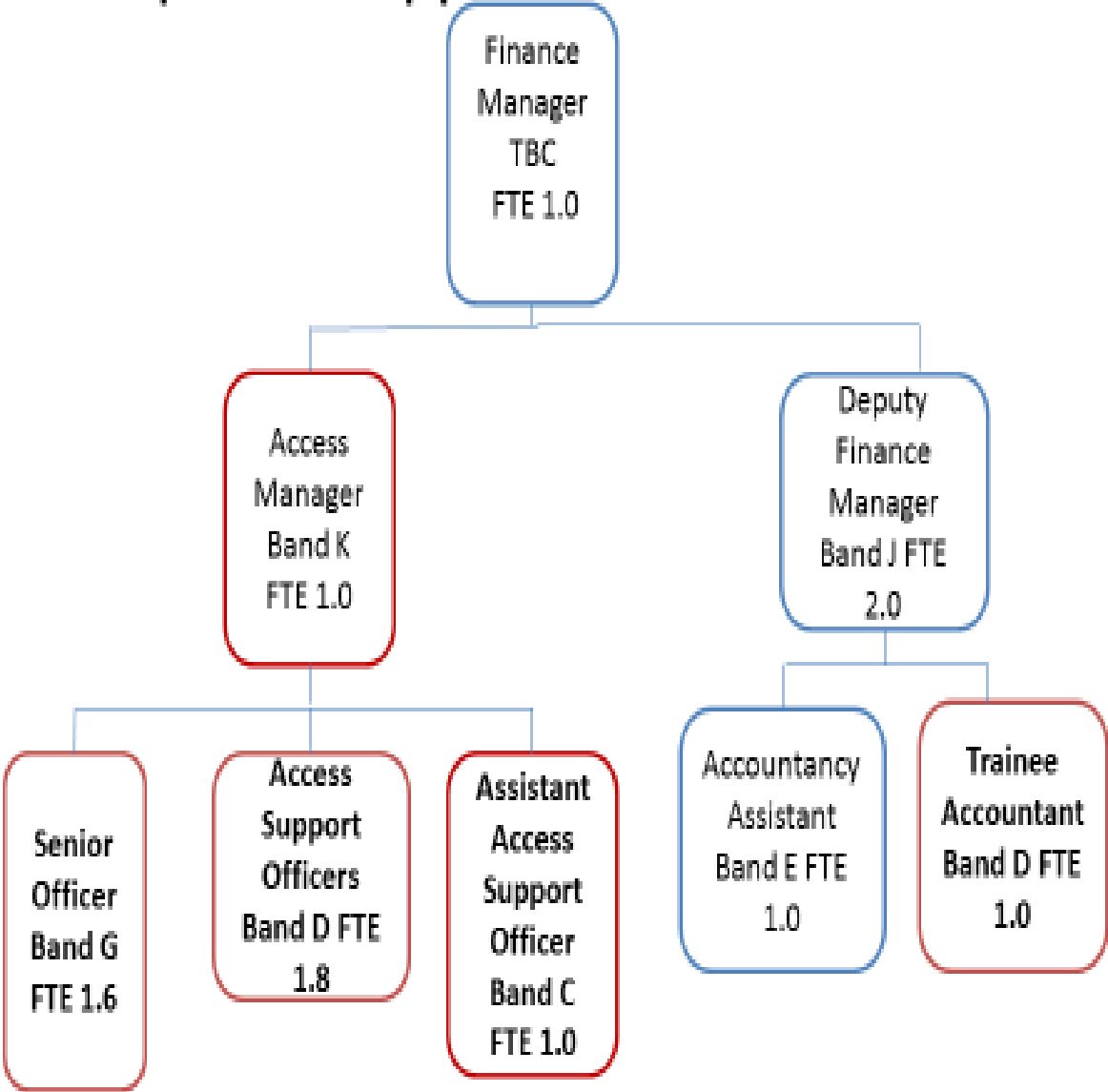
Cost savings identified.

<u>Support Services:</u>	Full Year	Standards:	Full Year
Savings identified:		Savings identified:	
Band D Posts (FTE 2.2)	£45,567	Band C Post (FTE 1.0)	£23,075
Band E Post (FTE 1.0)	£29,693	Band E Post (FTE 0.2)	£5,698
Total Savings	£75,260	Band D Post (FTE 0.6)	£15,527
Additional posts:		Band E Post (FTE 0.5)	£14,513
Band G (FTE 0.6)	£21,581	Total Savings	£58,813
Band C (FTE 1.0)	£21,226	Additional posts:	
Total Costs	£42,807	Band I (FTE 1.0)	£48,057
Support Services Savings	£32,453	Standards additional Savings	£10,756
		Total Savings required	£70,461
		Savings identified via this paper	£43,209
		Balance to be found in ALN budget	£27,252

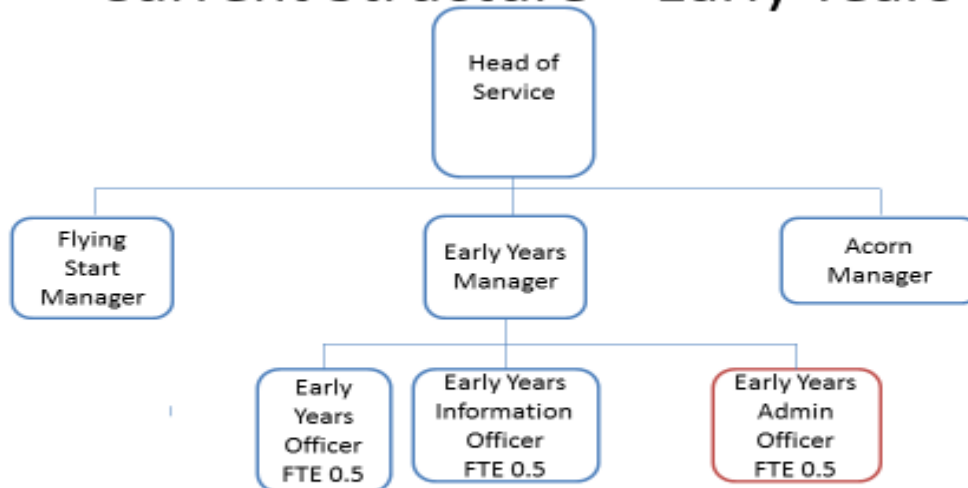
Current Support Service Structure



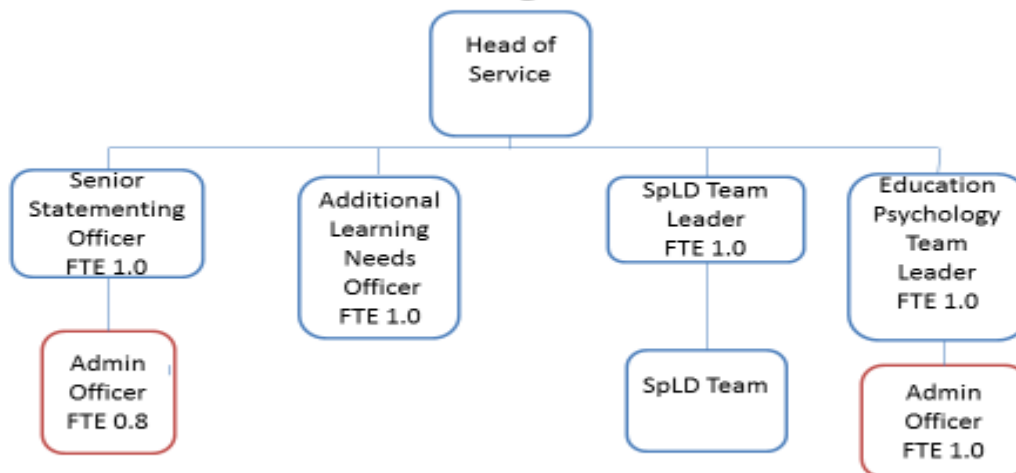
Proposed Support Service Structure



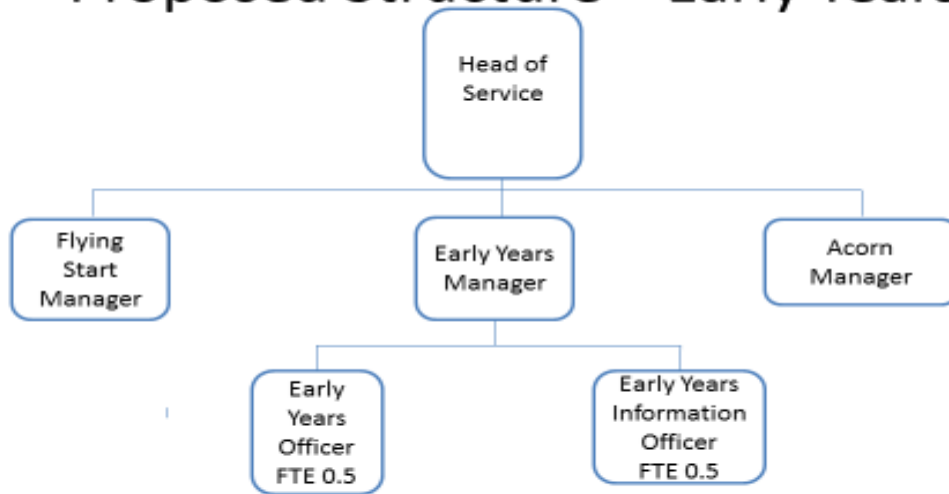
Current Structure – Early Years



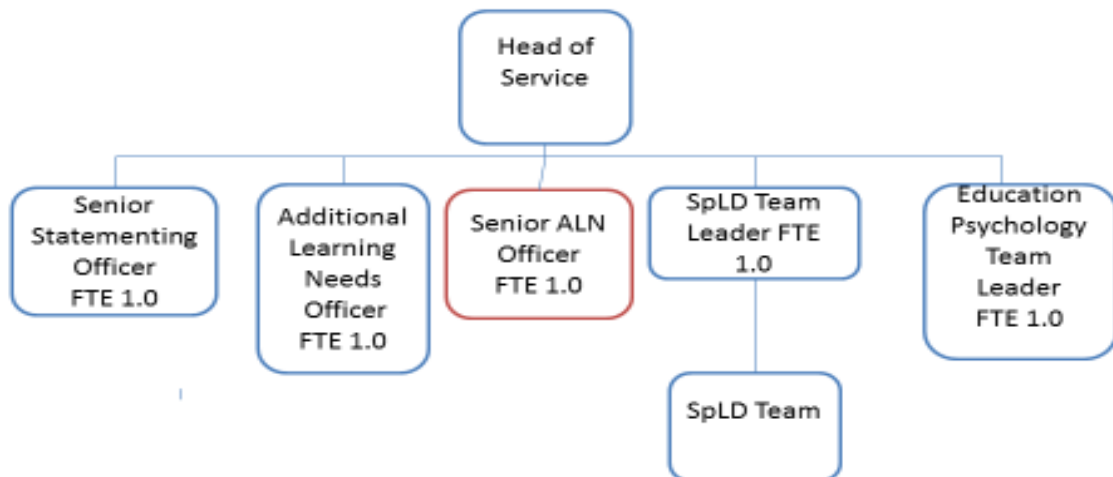
Current Structure – Additional Learning Needs



Proposed Structure – Early Years



Proposed Structure – Additional Learning Needs



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monmouthshire
sir fynwy

Future Generations Evaluation (includes Equalities and Sustainability Impact Assessments)

<p>Name of the Officer Nikki Wellington</p> <p>Phone no: 01633 644549 E-mail: nicolawellington@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>To restructure CYP support services and Additional Learning Needs</p>
<p>Name of Service Support Services and Additional Learning Needs</p>	<p>Date Future Generations Evaluation 16th May 2017</p>

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NB. Key strategies and documents that may help you identify your contribution to the wellbeing goals and sustainable development principles include: Single Integrated Plan, Continuance Agreement, Improvement Plan, Local Development Plan, People Strategy, Asset Management Plan, Green Infrastructure SPG, Welsh Language Standards, etc


1. **Does your proposal deliver any of the well-being goals below?** Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	<p>The purpose of the restructure is to have the right people with the right skills in the right jobs. Where new posts have been created this will lead to career progression.</p>	<p>Any changes are stressful for staff. This is being managed with the support of employee services. There has also been consultation with all staff affected.</p>

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)	This is linked to staffing structures	This is linked to staffing structures
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	The restructure will bring opportunities to staff, and could provide job opportunities to the wider community.	
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	There are potential job opportunities to the wider community.	
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	There are potential job opportunities to the wider community.	
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	N/A	
A more equal Wales People can fulfil their potential no matter what their background or circumstances	Our employment opportunities will help deliver this.	

2. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	<p>Our succession planning will allow us to focus on this.</p>	
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>The posts created will enable us to work closer with our partners and to create opportunities for greater partnership working.</p>	
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>The relevant unions have been consulted and staff have received support from employee services. All staff have been fully consulted.</p>	
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>The structure will put the resources where we need them.</p>	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Considering impact on all wellbeing goals together and on other bodies</p>	<p>The purpose of the restructure is to have the right people with the right skills in the right jobs. Where new posts have been created this will lead to career progression.</p>	

3. **Are your proposals going to affect any people or groups of people with protected characteristics?** Please explain the impact, the evidence you have used and any action you are taking below. For more detailed information on the protected characteristics, the Equality Act 2010 and the Welsh Language Standards that apply to Monmouthshire Council please follow this link: <http://hub/corporatedocs/Equalities/Forms/AllItems.aspx> or contact Alan Burkitt on 01633 644010 or alanburkitt@monmouthshire.gov.uk

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	<p>This structure has ensured that we will follow all the Council's policies and procedures onn undertaking a restructure and follow the protection of employment policy. Therefore no protected characteristics are affected from this review.</p>		
Disability			
Gender reassignment			

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Marriage or civil partnership			
Pregnancy or maternity			
Race			
Religion or Belief			
Sex			
Sexual Orientation			
Welsh Language			

4. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance <http://hub/corporatedocs/Democratic%20Services/Safeguarding%20Guidance.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?

Safeguarding	All new employees will be appropriately trained in safeguarding and existing employees will receive refresher training where appropriate.		
Corporate Parenting			

5. What evidence and data has informed the development of your proposal?

Review of structures and workload and consultation with staff.

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6. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

This will have a positive impact on the directorate, ensuring employees have the appropriate resources.

7. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible	Progress
Cabinet decision	7 th June 2017	Nikki Wellington and Sharon Randall-Smith	
Implementation	July – October 2017	Nikki Wellington and Sharon Randall-Smith	

8. MONITORING: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

The impacts of this proposal will be evaluated on:	Engagement with staff through one to ones and staff meetings.
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9. VERSION CONTROL: The Future Generations Evaluation should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1.0	Cabinet.	7th June 2017	Staff consultations – if necessary changes will be brought to cabinet.

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SUBJECT: Whistleblowing Policy

MEETING: CABINET

DATE: June 2017

DIVISION/WARDS AFFECTED: All

1. PURPOSE:

The purpose of this report is to provide a revised Whistleblowing Policy which is applicable to all employees including those based in schools.

This revised policy will replace the current Whistleblowing policy.

2. RECOMMENDATIONS:

That the revised Whistleblowing Policy be accepted and circulated to all staff and commended to governing bodies for adoption as soon as possible.

3. KEY ISSUES:

The current Whistleblowing Policy was last updated in 2013 and now needs to be revised.

Whistleblowing is defined as:

'The disclosure by an employee or professional of confidential information which relates to some danger, fraud or other illegal or unethical conduct connected with the work place, be it of the employee or his/her fellow employees' (Public Concern at Work Guidelines 1997).

Statutory protection for employees who whistle blow is provided by the Public Interest Disclosure Act 1998 ("PIDA"). The PIDA protects employees against victimisation if they make a protected disclosure within the meaning of the PIDA and speak out about concerns around conduct or practice within the Council/ school which is potentially illegal, corrupt, improper, unsafe and unethical or which amounts to malpractice.

The policy helps to ensure that the Council / School Governing Body is committed to achieving the highest possible standards of service and the highest possible ethical standards in public life and in all of its practices and will treat whistleblowing as a serious matter and in line with the Councils/ Governing Body's commitment to openness, probity and accountability, employees are encouraged to raise concerns which will be taken seriously, investigated and appropriate action taken in response.

The policy is designed to ensure that concerns can be raised about wrongdoing or malpractice within the Council/ School without fear of victimisation, subsequent discrimination, disadvantage or dismissal.

The policy aims to:

- Encourage an individual(s) to feel confident in raising serious concerns at the earliest opportunity and to question and act upon concerns about practice
- Provide avenues for an individual to raise those concerns and receive feedback on any action taken
- Ensure that an individual receives a response to concerns raised and that an individual is aware of process if not satisfied
- Provide reassurance that an individual will be protected from possible reprisals or victimisation if a disclosure is made in good faith and within the meaning of the PIDA.

4. REASONS:

In this policy 'Whistleblowing' means the reporting by employees of suspected misconduct, illegal acts or failure to act within the Council or School.

Monmouthshire County Council and School Governing Bodies expect the highest standards of conduct from all employees, and encourage employees and others with serious concerns about any aspect of the Council / School's work to come forward and voice those concerns in a safe environment. This policy enables employees to raise concerns at an early stage and in the correct way.

5. RESOURCE IMPLICATIONS:

None

6. SUSTAINABLE DEVELOPMENT AND EQUALITY IMPLICATIONS:

The Equality Impact Assessment is attached.

7. CONSULTEES:

All recognised trade unions.
Head-teachers

8. BACKGROUND PAPERS: None

9. AUTHOR:

Sally Thomas HR
Tel: 07900 651564 E-mail: sallythomas@monmouthshire.gov.uk

WHISTLEBLOWING POLICY

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INTRODUCTION - What is Whistleblowing?

In this policy 'Whistleblowing' means the reporting by employees of suspected misconduct, illegal acts or failure to act within the Council or School.

Monmouthshire County Council and School Governing Bodies expect the highest standards of conduct from all employees, and encourage employees and others with serious concerns about any aspect of the Council / School's work to come forward and voice those concerns in a safe environment. This policy enables employees to raise concerns at an early stage and in the correct way.

If you are considering raising a concern you should read this policy first. It explains:

- The types of issues/disclosures that can be raised
- How the person raising a concern will be protected from victimisation and harassment
- How to raise a concern
- What the Council/School will do

Whistleblowing is defined as:

'The disclosure by an employee or professional of confidential information which relates to some danger, fraud or other illegal or unethical conduct connected with the work place, be it of the employer or his/her fellow employees' (Public Concern at Work Guidelines 1997).

Statutory protection for employees who whistle blow is provided by the Public Interest Disclosure Act 1998 ("PIDA"). The PIDA protects employees against victimisation if they make a protected disclosure within the meaning of the PIDA and speak out about concerns around conduct or practice within the Council/ school which is potentially illegal, corrupt, improper, unsafe and unethical or which amounts to malpractice.

AIM AND SCOPE OF POLICY

The Council / School Governing Body is committed to achieving the highest possible standards of service and the highest possible ethical standards in public life and in all of its practices and will treat whistleblowing as a serious matter. In line with the Councils/ Governing Body's commitment to openness, probity and accountability, employees are encouraged to raise concerns which will be taken seriously, investigated and appropriate action taken in response.

The policy is designed to ensure that you raise your concerns about wrongdoing or malpractice within the Council/ School without fear of victimisation, subsequent discrimination, disadvantage or dismissal.

The policy aims to:

- Encourage you to feel confident in raising serious concerns at the earliest opportunity and to question and act upon concerns about practice
- Provide avenues for you to raise those concerns and receive feedback on any action taken
- Ensure that you receive a response to your concerns and that you are aware of how to pursue them if you are not satisfied
- Provide reassurance that you will be protected from possible reprisals or victimisation if you have made disclosure in good faith and within the meaning of the PIDA.

TYPES OF ISSUES/DISCLOSURES THAT CAN BE RAISED

In legislation, the types of disclosure include the following:

- a) That a crime has been committed, is being committed, or is likely to be committed
- b) That a person has failed, is failing, or is likely to fail to comply with any legal obligation to which they are subject,
- c) That a miscarriage of justice has occurred, is occurring, or is likely to occur
- d) That the health & safety of an individual has been, is being, or is likely to be endangered
- e) That the environment has been, is being, or is likely to be damaged
- f) That information tending to show any of (a) to (e) above has been concealed or is likely to be deliberately concealed

In addition to the above, and as further examples, this policy also covers whistleblowing relating to alleged:

- unlawful conduct
- miscarriages of justice in the conduct of statutory or other processes
- failure to comply with a statutory or legal obligation
- potential maladministration, misconduct or malpractice
- health and safety issues including risks to the public as well as risks to pupils and members of staff
- action that has caused or is likely to cause danger to the environment
- abuse of authority
- unauthorised use of public or other funds, fraud or corruption
- breaches of financial regulations or policies
- mistreatment of any person
- action that has caused or is likely to cause physical danger to any person or risk serious damage to school property
- sexual, physical or emotional abuse of members of staff or pupils
- unfair discrimination or favouritism
- behaviour which is discriminatory towards someone with a protected characteristic under the Equality Act 2010.
- racist incidents or acts, or racial harassment and
- attempt to prevent disclosure of any of the issues listed.

RELEVANT LEGISLATION

The Council recognises its responsibilities under the following legislation:

- The Public Interest Disclosure Act 1998
- The Enterprise and Regulatory Reform Act 2013
- Employment Rights Act 1999
- The Equality Act 2010
- The Bribery Act 2010
- The Trade Union and Labour Relations (Consolidation) Act 1992

The policy should be read in conjunction with the Councils:

- Code of Conduct

- Disciplinary Policy
- Equality Policy
- Grievance Policy

If an employee is the subject of disciplinary or redundancy procedures they will not be halted as result of whistleblowing.

POLICY SCOPE

This policy is intended to enable those who become aware of wrongdoing in the Council/School affecting some other person or service, to report their concerns at the earliest opportunity so that they can be properly investigated. The Whistleblowing Policy is not intended to replace existing procedures:

- If your concern relates to your own treatment as an employee, you should raise it under the existing grievance or harassment procedures.
- If a client has a concern about services provided to him/her, it should be raised as a complaint to the Council. (Tel: 01633 644 644).
- Complaints of misconduct by County Councillors are dealt with under a separate procedure (for further information please contact the Council’s Monitoring Officer. Tel: 01633 644 644).
- Complaints about school matters are dealt with under a separate procedure called the School’s Complaints Policy and should be addressed to the Chair of Governors.

WHO CAN RAISE A CONCERN UNDER THIS POLICY?

The policy applies to all:

- Employees of Monmouthshire County Council
- Employees of contractors working for the Council/School.
- Those providing services under a contract or other agreement with the Council/School
- Voluntary workers working with the Council/School

SAFEGUARDING WHISTLEBLOWERS – OUR ASSURANCES TO YOU

The Chief Executive is committed to this policy. If you raise a genuine concern under this policy you will not be at risk of losing your job, or suffer any form of retribution, victimisation or detriment as a result. It won’t matter if you are mistaken provided you genuinely believe that you are acting in the public interest. Of course we cannot extend this assurance to an individual who maliciously raises a matter they know to be untrue.

YOUR LEGAL RIGHTS

This policy has been written to take account of the Public Interest Disclosure Act 1998 (PIDA) which protects workers making disclosures about certain matters of concern, when those disclosures are made in accordance with the Act’s provisions and in the public interest. The Act makes it unlawful for the Council/School Governing Body to dismiss anyone or allow them to be victimised on the basis that they have made an appropriate lawful disclosure in accordance with the Act.

HARASSMENT AND VICTIMISATION

The Council / School Governing Body is committed to good practice and high standards and to being supportive of you as an employee/worker.

The Council/School Governing Body recognises that the decision to report a concern can be a difficult one to make. If you honestly and reasonably believe what you are saying is true, you should have nothing to fear because you will be doing your duty to your employer, your colleagues and those for whom you are providing a service.

The Council/School Governing Body will not tolerate any harassment or victimisation of a whistle-blower (including informal pressures) and will take appropriate action to protect you when you raise a concern in accordance with the PIDA provisions, and will treat such harassment and victimisation as a serious disciplinary offence or in the case of contractors, a breach of contract.

CONFIDENTIALITY

Whilst a qualifying disclosure is expected to have substance, it is not expected that the employee raising the disclosure will need to prove it is true. It is the responsibility of the Designated Officer.

All disclosures will be treated in confidence and every effort will be made not to reveal your identity if that is your wish, unless disclosure is required by law.

In some circumstances, for example in disciplinary processes, it may not be possible to take action as a result of your disclosure without your help, so you may be asked to come forward as a witness. If you agree to this, you will be offered advice and support.

The Council / School Governing Body will not place employees under pressure to give their name and will give due consideration to proceeding with investigating the concern on the basis of an anonymous allegation.

ANONYMOUS ALLEGATIONS

This policy encourages you to put your name to your allegation whenever possible - anonymous concerns are much less powerful and it will be much more difficult to provide feedback to you. Nonetheless anonymous concerns will be considered under this whistleblowing policy especially concerns raised relating to the welfare of children or vulnerable adults. In relation to determining whether an anonymous allegation will be taken forward the Council / School Governing Body will take the following factors into account:

- the seriousness of the issue raised
- the credibility of the concern
- the likelihood of confirming the allegation from attributable sources, and obtaining information provided.

The provisions of the Data Protection Act 1998 must be observed during the process, particularly in disclosure, use and processing of personal information.

UNTRUE ALLEGATIONS

If an allegation is made which it is believed to be in the public interest but it is not confirmed by further enquiry or by an investigation, no action will be taken against the person who raised the initial concern. If, however, the enquiry/investigation shows that untrue concerns were malicious and/or vexatious or made frivolously or made for personal gain, then the Council / School Governing Body will consider taking appropriate action which could include disciplinary action.

SUPPORT FOR YOU

The Council/School Governing Body have a duty of care to their employees. Support for the individuals involved in this process is key to fulfilling this duty. Any concern that is raised will be taken seriously.

For those individuals who raise concerns and for those individuals who may have concerns raised about them, the Council/ School Governing Body will do all it can to help you throughout the process. Support will include the offer of access to welfare counselling and medical advice and support. Individuals will be advised to contact their Trade Union representative, or a work place colleague (not involved in the area of work to which the concern relates) for additional support. Individuals will also be offered an additional point of contact for support during the process.

Any meetings that may be required as part of the process can be arranged away from the workplace if necessary and individuals have the right to be accompanied by their trade union representative or work based colleague.

Unless there are legal reasons why this cannot be done, you and the person against whom allegations are made will be kept informed of the progress and outcome of any investigation by the Designated Officer.

HOW TO RAISE A CONCERN

Who to raise the concern with:

CONCERN RELATES TO:	REPORT TO (who becomes the Designated Officer)
General concern / Member of staff/ colleague/Volunteer	Line Manager
For Schools: General concern/ Member of staff/ Volunteer	Head-Teacher
Line Manager	Head of Service / Head teacher
Head of Service / Head teacher	Chief Officer / Chair of Governors
Chief Officer	Chief Executive (Tel: 01633 644 644)
Chair of Governors	Vice Chair of Governors
Chief Executive	Leader of the Council (Tel: 01633 644 644)

Whole Governing Body	Chief Officer, Children & Young People (Tel: 01633 644 644)
Elected Member	Chief Executive (Tel: 01633 644 644)
Malpractice against Child in a School*	Lead Officer for Safeguarding in Education (01633 644 644)
Malpractice against Vulnerable Adult*	Team Manager, Direct Care Services (01633 644 644)

*If the concern is about a child or vulnerable adult rather than malpractice, this should be reported to Children's Services or Adult Services respectively. Tel: 01633 644 644).

PROCEDURE FOR MAKING A WHISTLEBLOWING ALLEGATION

If possible the concern should be put in writing for the avoidance of doubt. It should set out:

- the background and history of the concern;
- give names, dates and places where possible,
- an explanation of the reason for the concerns.

If you feel unable to put the matter in writing you can still raise your concern verbally. Also if you feel that you cannot express your concerns with the Council / School Governing Body, you can also ask your Trade Union representative or work based colleague to raise the matter on your behalf and/or to support you in raising the concern. The above table provides a guide to whom a concern can be raised with - advice and support on this can be sought from People Services HR (01633 644400), the Monmouthshire Legal department (01633 644 644) or your Trade Union representative.

If the concern needs to have Police or other statutory authority involvement, the whistleblowing process will be halted until the statutory authorities have completed their investigations and confirmed that it is appropriate to continue with the whistleblowing process. This must take place even if the statutory authorities take the decision not to pursue a criminal investigation.

Normally, the person who the concern is raised with, or reported to, becomes the Designated Officer. The Designated Officer is responsible for making initial enquiries about the matter and for keeping all parties informed of progress and advising of the outcome. It may be necessary for the Council/ School Governing Body to appoint a person other than the person to whom the allegation or concern was raised with/reported to.

WHAT THE COUNCIL/SCHOOL GOVERNING BODY WILL DO

A key principle for the Council/School Governing Body will be the public interest. In order to be fair to all employees, initial enquiries will be made by the Designated Officer / person appointed to decide whether an investigation is appropriate and if so what form it should take.

The concern raised may require the following:

- enquiry internally in the Council / School
- need to be passed to the Police if it relates to alleged criminal activity

- need to be passed to Audit, if the complaint is about financial management or financial propriety in schools
- need to be referred through established child protection/POVA procedures

At this stage concerns / allegations are neither considered founded or unfounded pending the investigation if deemed necessary.

TIMESCALES

The Designated Officer or person appointed by the Council / School Governing Body to look into whistleblowing allegation will normally provide a written acknowledgement to you **within 5 working days** (except in the case of anonymous allegations):

- acknowledging the concern has been received
- indicating how it is proposed to deal with the matter
- giving an estimate of how long it will take to provide a final response
- advising of the support available whilst matters are looked into
- telling you whether further investigations will take place and if not, why not

The Designated Officer or person appointed will write to you and the individual against whom the concern has been raised to acknowledge receipt and to indicate that the procedures have been commenced.

Depending on the nature of the allegation / concern, provision of a final response may take longer than 5 working days. If this is the case, the Designated Officer or person appointed will notify all individuals in writing providing an indication when the enquiry will be completed.

Where possible, enquiries will be completed within **10-15 working days** from the date of receipt of the initial written response from the Designated Officer/person appointed

If the enquiry extends beyond the timescales above all individuals concerned will be notified in writing by the Designated Officer or person appointed, providing an indication when the enquiry will be completed.

The Designated Officer /person appointed might investigate the concerns raised themselves or the Designated Officer might appoint an independent investigator to do so. As part of this process, the person who investigates the concerns raised will:

- Look into the concern - seeking evidence and interviewing witnesses as necessary.
- Maintain confidentiality wherever possible (but there is not a 100% guarantee that the whistle-blower can remain anonymous).
- If appropriate, refer the matter to Audit, if the complaint is about financial management or financial propriety in schools
- If appropriate, for concerns of criminal behaviour refer the matter to the Police.
- If appropriate, for concerns of child protection or vulnerable adults, refer the matter through the established child protection/POVA procedures.

The amount of contact time between you and the Designated Officer or person appointed to consider and/or investigate the issues will depend on the nature of the matters raised, the potential difficulties involved and the clarity of your information. It is likely that you will be interviewed to ensure that your disclosure is fully understood.

Any meeting with you can be arranged away from the workplace, if needs be, and a trade union representative or work based colleague may accompany you for support. You need to be assured that your disclosure has been properly addressed. Unless there are legal reasons why this cannot be done, you will be kept informed of the progress and outcome of any investigation.

Following completion of the enquiry/investigation process, the Designated Officer or independent investigator will make a written report normally within **5 working days**. This report will contain findings and make recommendations for the Designated Officer (if an independent investigator has been appointed) or the appropriate committee of the School Governing Body to consider

The report will not contain your name as the whistle-blower, unless you have expressly stated that you wish to be named.

On conclusion of any investigation, you and the person against whom the allegation is made, will be told the outcome of the investigation and what action has been done/proposed. If no action is to be taken, the reason for this will be explained. In addition, matters raised as part of the investigation may:

1. Be referred to the Police
2. Be referred to the External Auditor
3. Form the subject of an independent inquiry
4. Be referred to an alternative policy for example, the Disciplinary Policy or Fairness at Work (Grievance) Policy
5. Some concerns may be resolved as an agreed action without the need for investigation

HOW THE MATTER CAN BE TAKEN FURTHER

This policy is intended to provide you with a route within the Council/School to raise concerns. However, if you do not wish to raise concerns internally or if the concern has not been dealt with satisfactorily, the following are possible contact points. If you take the matter outside the Council/ School, you should ensure that you do not disclose confidential information unless that disclosure is privileged and relevant to the concern raised. Anyone proposing external disclosure should seek independent legal advice or contact the Public Concern at Work organisation.

External Contacts regarding whistleblowing

- GOV.UK website: www.gov.uk/whistleblowing
- ACAS: Call 0300 123
- Citizen's Advice. Website: www.citizensadvice.org.uk
- Public Concern at Work, www.pcaw.org.uk. <https://twitter.com/WhistleUK>.
<https://www.facebook.com/publicconcernatwork>, Tel: 020 7404 6609
- Education Workforce Council www.ewc.wales. Tel: 02920 460099
- Care and Social Services Inspector for Wales www.cssiw.org.uk. Tel: 0300 7900 126
- The Auditor General for Wales: www.wao.gov.uk/whistleblowers-hotline. Tel: 02920 320500
- Children's Commissioner for www.childcomwales.org.uk. Tel: 0808 801 1000
- The Office of the Information Commissioner www.ico.gov.uk. Tel: 02920 678400
- The Police
- Your local councillor or AMs or MPs
- Health & Safety Executive

REVIEW OF THE POLICY

The Council's Monitoring Officer and Head of People and Internal Audit will review this policy annually.

The effectiveness of the policy will be monitored in the following ways:

- The policy will be the responsibility of the Monitoring Officer to annually review ensuring legal compliance and best practice
- The Monitoring Officer will be responsible for reporting on whistleblowing incidents and number of cases will be reported annually by the Monitoring Officer. The report will include a summary of the concerns raised, to which directorate /school they related. The report will not include any employee names.
- Periodic audits of the effectiveness of the whistleblowing arrangements will be undertaken, including
 - Record of the number and types of concerns and the outcome of investigations
 - Feedback from individuals who have used the arrangements including staff awareness, trust and confidence in the arrangements
 - Any complaints of victimisation
 - Any complaints of failures to maintain confidentiality
 - Any relevant litigation
- The outcomes from the monitoring of the policy will be reported to Senior Leadership Team (SLT) and People Board.

VERSION CONTROL

Title	Whistleblowing Policy (including school based employees)
Owner	Monitoring Officer/People Services
Approved by	Cabinet (7 June 2017)
Date	August 2004 Revision: November 2013; Revision: November 2016
Version Number	3
Review Date	2018
Status	Final Draft
Consultation	SLT, People Services, Internal Audit, Trades Unions, JAG (21 November 2016), People Board, Cabinet

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<p>Name of the Officer completing the evaluation Sally Thomas</p> <p>Phone no: 07900651564 E-mail: sallythomas@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>To introduce a revised Whistleblowing policy</p>
<p>Name of Service</p> <p>People Services HR</p>	<p>Date Future Generations Evaluation form completed</p> <p>October 2016</p>


1. **Does your proposal deliver any of the well-being goals below?** Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.





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Well Being Goal	How does the proposal contribute to this goal? (positive and negative)	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	n/a	
<p>A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)</p>	N/a	
<p>A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood</p>	n/a	

Well Being Goal	How does the proposal contribute to this goal? (positive and negative)	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	n/a	
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	n/a	
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	n/a	
A more equal Wales People can fulfil their potential no matter what their background or circumstances	<i>This includes the protected characteristics of age, disability, gender reassignment, race, religion or beliefs, gender, sexual orientation, marriage or civil partnership</i>	

2. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	How does your proposal demonstrate you have met this principle?	What has been done to better to meet this principle?
 <p>Balancing short term need with long term and planning for the future</p>	n/a	

Sustainable Development Principle	How does your proposal demonstrate you have met this principle?	What has been done to better to meet this principle?
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	n/a	
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	n/a	
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	n/a	
 <p>Integration</p> <p>Positively impacting on people, economy and environment and trying to benefit all three</p>	n/a	

3. **Are your proposals going to affect any people or groups of people with protected characteristics?** Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age			
Disability			
Gender reassignment			
Marriage or civil partnership			
Race			
Religion or Belief			
Sex			
Sexual Orientation			
Welsh Language	<i>We will make this policy available in welsh should it be required</i>		

4. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance note <http://hub/corporatedocs/Democratic%20Services/Equality%20impact%20assessment%20and%20safeguarding.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	<i>Safeguarding in this context applies to both children (not yet reached 18th birthday) and vulnerable adults (over 18 who is or may be in need of community care services by reason of mental or other disability, age or illness and who is or may be unable to take care of himself or herself, or unable to protect himself or herself against significant harm or serious exploitation.)</i>	<i>Safeguarding is about ensuring that everything is in place to promote the well-being of children and vulnerable adults, preventing them from being harmed and protecting those who are at risk of abuse and neglect.</i>	
Corporate Parenting	<i>This relates to those children who are 'looked after' by the local authority either through a voluntary arrangement with their parents or through a court order. The council has a corporate duty to consider looked after children especially and promote their welfare (in a way, as though those children were their own).</i>		

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5. What evidence and data has informed the development of your proposal?
6. The reason for development of this policy relates to the SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

Development of this policy arises from the need to update the current policy.

7. Actions. As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible	Progress
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8. Monitoring: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

The impacts of this proposal will be evaluated on: Review of this policy will be taken in line with our normal review processes, and in consultation with the Monitoring Officer.	
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SUBJECT:	Attendance Management Policy
MEETING:	JAG/CABINET/SELECT COMMITTEES
DATE:	March 2017
DIVISION/WARDS AFFECTED:	All

1. PURPOSE:

The purpose of this report is to provide a revised Attendance Management Policy which is applicable to all employees including those based in schools.

This revised policy will replace the current Attendance Management policies for corporate staff and those staff employed in schools.

2. RECOMMENDATIONS:

That the revised Attendance Management Policy be accepted and circulated to all staff and commended to governing bodies for adoption as soon as possible.

3. KEY ISSUES:

Monmouthshire County Council is committed to providing a high quality range of services to all service users, through a healthy, motivated and committed workforce. The health and well-being of employees is important to Monmouthshire County Council and the purpose of the Management of Attendance Policy and procedure is to ensure that employees are treated fairly and in a timely, effective and consistent manner which enables them to achieve and maintain good health and high levels of attendance at work.

At the present time, MCC has a Management of Attendance Policy for schools and a separate Attendance Management Policy for corporate employees. The documents share the same self-certification/return to work form. The corporate policy devotes many pages to transactional issues around pay and conditions and only two pages to management of attendance good practice. It makes sense to have one policy which provides effective advice and guidance for all employees, including those who have line management responsibility.

The cost of absence has an impact in terms of the following:

- Absence places a considerable burden on work colleagues, with increased workload
- Lost productivity
- Detrimental effect on service delivery;
- Time and money required to bring in supply cover

The revised draft policy is based largely upon the headings and much of the content of the existing school policy and maintains all the good practice references within the document whilst additionally reflecting the progression established by the introduction of the Attendance Management Protocol/Workflow – Managers/Head-teachers.

The revised policy sets out roles and responsibilities and provides a framework for managers and head-teachers to provide consistent support and guidance to their employees. It enable employees to have a clear understanding of employer expectations and the support mechanisms in place to facilitate a successful return to work.

The sick pay arrangements and references to conditions of service are now included in an appendix. Additional information based upon the headings or references in the policy and procedure to support attendance mismanagement, including the self-certification/return to work form have been made available as links.

4. REASONS:

The main emphasis of the policy and procedure is to offer support to staff and managers to minimise frequent short term absence occurrences and support well-being arrangements for staff experiencing ill health. Whilst being supportive it is considered that the policy explains that there are ‘consequences’ where attendance concerns have been identified and remain a concern despite support and adjustments. The policy statement and much of the content in the principles section is premised on good practice.

There is a business imperative to address poor levels of attendance across the organisation and this work has therefore presented as a priority for People Services in terms of equipping the organisation with the appropriate advice, guidance and support on attendance management issues. A revision to policy is part of this work.

5. RESOURCE IMPLICATIONS: None

6. SUSTAINABLE DEVELOPMENT AND EQUALITY IMPLICATIONS:

The Equality Impact Assessment is attached.

7. CONSULTEES:

All recognised trade unions- informal and formal basis

Head-teachers

People Board

MON MINDS

JAG/Cabinet

8. BACKGROUND PAPERS: None

9. AUTHOR: Sally Thomas HR Tel: 07900 651564 E-mail: sallythomas@monmouthshire.gov.uk

ATTENDANCE MANAGEMENT POLICY

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POLICY STATEMENT

Monmouthshire County Council is committed to providing a high quality range of services to all service users, through a healthy, motivated and committed workforce. The health and well-being of employees is important to Monmouthshire County Council and the purpose of the management of attendance policy and procedure is to ensure that employees are treated fairly and in a timely, effective and consistent manner which enables them to achieve and maintain good health and high levels of attendance at work.

Attendance is a vital factor in ensuring adequate service provision and high levels of attendance at work will contribute to high morale among employees and will provide positive assistance in the planning and provision of quality services.

In its application, this policy seeks to ensure that there is no discrimination against employees either directly or indirectly on grounds prohibited by the Equality Act 2010 which covers age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex or sexual orientation. This policy is inclusive of partners of the opposite or same sex.

POLICY SCOPE

This policy covers all Council employees and school based employees (appointed through a governing body where the policy is adopted).

Where reference is made to managers, this relates to the person the employee reports to. It should be noted that for school based employees that this may be their Supervisor, School Administrator, Head of Department, Assistant Head-teacher, Deputy Head-teacher or the Head-teacher. Reference to the manager's line manager refers to the manager that their manager reports to, or the next senior officer. This may include a Head of Service, Chief Officer, Head-teacher or Chair of Governors.

GENERAL PRINCIPLES

Consistent application of the Attendance Management Policy will improve productivity, service delivery and morale. The Policy provides a framework for managers/head-teachers to provide consistent support and guidance to their employees. It enables employees at all levels to have a clear understanding of employer expectations and the support mechanisms in place to facilitate a return to work. The cost of absence is felt at different levels of the Monmouthshire County Council, for example:

- Absence places a considerable burden on work colleagues, with increased workload;
- Lost productivity;
- Detrimental effect on service delivery;
- Time and money required to bring in supply cover.

All absence information will be handled sensitively and with due regard to confidentiality and data protection principles. All employees should be aware that absence is monitored and the importance of good attendance should be emphasised at all stages of employment.

In particular by:

- Emphasising good attendance at appointment and induction stage.
- Using pre-employment procedure to ensure the employee is fit to start the job.
- Taking account of any disabilities in accordance with the Equality Act 2010.
- Induction programmes should be used to communicate the Attendance Management policy and procedure.
- Attendance records should be monitored where appropriate.
- After every incident of sickness absence employees are required to complete a Self-certification Form and have a Return to Work discussion with their manager/head-teacher.

In this way the directorate/school/team will develop a working environment where attendance does matter and is notified and recorded. All parties should work to achieve high attendance levels and make absence controls effective.

ROLES AND RESPONSIBILITIES

Employees will:

- Attend work unless prevented by sickness or authorised to be absent for another reason. Sick leave may only be taken when actually sick – other forms of leave; (e.g. special leave, annual leave), may be available for other situations;
- Provide appropriate self-certification and/or fit notes as required;
- Raise concerns with their line manager if they believe that work related issues are contributing to their ill health;
- Discuss relevant health concerns with their line manager;
- Attend meetings under this procedure;
- Report their sickness absence in line with the reporting procedures;
- Maintain regular contact during periods of absence; and

- Attend appointments with the Council's Occupational Health Provider as appropriate.

Managers will:

- Ensure that employees are aware of the notification and certification procedures;
- Ensure receipt of appropriate self-certification and/or fit notes from employees;
- Input sickness absence start and ends dates into the absence recording database (My View) as soon as possible in order that absence information is up to date;
- Ensure that employees are aware of the policy and appropriate procedure, their responsibilities and the consequences of not complying;
- Deal with absence issues at the earliest possible stage and act promptly when absence issues arise;
- Approach issues of employee absence with sensitivity and confidentiality;
- Monitor levels of absence;
- Ensure employees are aware of the counselling provisions; [Well-being solutions management leaflet](#)
- Refer employees to the Council's Occupational Health Adviser and take appropriate action on the outcome of the health referrals;
- Maintain regular contact with employees who are absent in order to discuss their well-being, expected length of continued absence from work and any other work matters that require attention in their absence;
- Conduct return to work discussions and where appropriate further meetings with employees in accordance with the appropriate procedure;
- Participate and seek learning and development support related to attendance management; and
- Seek appropriate support and undertake actions identified through meetings with employees.

People Services will:

- Provide support and advice to managers/head-teachers which includes in accordance with attendance/ill health policies and procedures and other employee health issues.
- Assist with the provision and monitoring of absence data.
- Offer training in attendance management.
- Ensure that all relevant documentation is maintained and issued, including notification to employees prior to half or no pay situations.

- Assist managers/head-teachers in handling sensitive cases in liaising with employees, including participation in welfare meetings (home visits where necessary) and the provision of draft letters for follow-up correspondence
- Assist in referrals to, and liaising with, the Occupational Health Service, including medical clearances, supplying copies of their reports to the employee as necessary.
- Facilitate the release of Occupational Health Reports to managers/head-teachers and where applicable Chair of governors subject to employee consent arrangements.
- Offer advice where an employee's health or disability leads to situations where adjustment to the work situation, or redeployment on ill health grounds, needs to be considered, ensuring that employees who are or become disabled are treated sympathetically, having regard to the Council's and where applicable the Governing Body's/Management Committee's equalities policies.
- Support managers/head-teachers in the progress of cases. Ensuring that the requirements of the relevant legislation are adhered to including Health and Safety at Work Act and Equality Act.
- Offer support for arranging appeals arising out of this procedure.
- Review the policy and procedure.

MAINTAINING CONTACT DURING ABSENCE

When an employee is absent from work due to sickness it is important that contact is maintained. The responsibility to maintain contact rests equally with the manager/head-teacher and employee. Managers/head-teachers should establish from the outset the appropriate method and frequency of contact. The manager/head-teacher will undertake a welfare meeting (this can be a home visit if that is appropriate) at the earliest opportunity. Whether personal or work news is relayed (or both) should be decided on a case-by case basis, with particular care if absence is due to work-related stress.

The manager/head-teacher also has a responsibility to ensure that the employee is aware of the Council's Counselling provisions.

In most cases contact with the employee will be by telephone and/or letter. Meetings will be required to discuss occupational health reports etc. Meetings can be held at the employee's place of work, another suitable office/establishment or the employee's own home. An employee has the right to be accompanied by a trade union representative or work colleague. A home visit can only take place with the agreement of the employee. On home visits it may be advisable for the manager to be accompanied by another colleague. The manager/head-teacher is required to follow up with a letter following meetings and/or home visits. For sensitive situations HR advisers can offer their support

On occasions an employee may request that a different manager deal with their absence and where reasons are felt to be justifiable and this can be arranged then the request should be dealt with objectively.

On occasions an employee may go absent without leave. This may occur during a period of sickness absence (e.g. the employee stops sending in medical certificates), or the employee fails to attend work without authorisation or advising of a reason or making a pre-arrangement. Clearly, managers/head-teachers should attempt to make contact with the employee to establish what the issue might be. Each case will need to be treated on its merits and may need to be dealt with under the disciplinary process.

SICKNESS ABSENCE NOTIFICATION AND RECORDING

Notification

It is the employee's responsibility to contact their manager/head-teacher, personally by telephone, on the first working day of their absence. This must be done at the earliest opportunity and in all cases notification should take place at least at their normal start time, or in accordance with the business area's procedure for shift patterns and school start times where it is likely that reporting will be before the start of their normal working. A person acting on their behalf should only make the call in exceptional circumstances where they are unable to do so personally. **It is their** responsibility to ensure their manager is made aware of the absence at the start of the working day. If an illness / absence commences on a day when the employee is not

scheduled to work and it is unlikely they will be fit before you they are due to work, to aid service continuity they should be advised to notify their head-teacher/manager or nominated person immediately, where this is possible. The following outlines the generic reporting procedures. Managers/head-teachers will communicate the detailed arrangements relating to their team/school. Failure to comply with the above notification requirements (or any specific requirements as detailed by the Service) may result in the need to withhold sick pay. Failure to comply with notification requirements may be treated as a disciplinary matter.

Day One

The employee should contact the head-teacher/manager or nominated person as soon as possible before they are due to commence work or at least at their normal start time (or earlier as above). If the absence is due to an accident or injury sustained at work, this should be reported along with details of the incident and an Accident Form should be completed in all cases. Issues to be covered in conversation include:

- details of reason for absence / nature of the illness ('sickness' or 'unwell' are not acceptable)
- date absence began
- indicating return to work date (if possible)

The employee should be informed that they should not work whilst they are sick.

Day 3

The employee should make contact with the head-teacher/manager or nominated person and inform them where possible of the following:

- prognosis
- medical opinion (if appointment with GP relevant)
- indication of date of return to work (if possible)

Self-Certification

For all sickness absences of up to 7 calendar days duration (including non-working days) it is a requirement for employees to complete a Return to Work / Self Certification form. [See Self-certification/RTW form](#)

GP Fit-notes

If absence is likely to be longer than 8 days the manager/head-teacher or nominated person informs individual of the need for a Fit Note from their GP with effect from 8th day. [See Fitness for work Managers' Guide](#)

Day 8

The employee submits a GP Fit Note to the manager/head-teacher or nominated person. **Employees are reminded that frequent delays in submitting a Fit Notes may result in sick pay being withheld until the Fit Note is received and non-compliance under the disciplinary procedure.** [See Fitness for Work-Employees' Brief](#)

Days 9-30+

The manager/head-teacher or nominated person should maintain contact on a regular basis to monitor progress. Sensitivity must be exercised in discussing work related issues whilst the employee is absent. The premise for maintaining contact is to ensure employee does not feel isolated and to aid the return to work. Many employees will wish to be updated on work related matters and managers/head-teachers should ascertain what is appropriate to the circumstances including asking the employee what their expectations are for maintaining contact.

Recording

All absence should be recorded on My View Leave Management systems, Managers/head-teachers should refer to the

[My View Leave Management guide – reporting absence.](#)

Please note for some illnesses, in particular stress-related or musculoskeletal disorders, support should be initiated as soon as the first medical certificate is received. [Stress Risk Assessment for Head-teachers](#) [Stress Risk Assessment](#). This may involve early referral to occupational health. Managers should be considering referring to occupational health as a supportive measure when it is known that the absence is likely to be long term or when the duration exceeds 28 days.

OCCUPATIONAL HEALTH REFERRAL

(LONG OR SHORT TERM ABSENCE)

An **Occupational Health Referral** is carried out as a supportive measure for the employee to ensure we are supporting them and to enable managers to have medical advice on how to best manage an absence from work. Depending on the detail on the GP Fit note and/or information from employee immediate referral to OH may be appropriate i.e. stress related concerns.

If absence is likely to be long term or the duration exceeds 28 days the employee should be advised that a referral to OH will be required. An OH referral may also be an option for shorter duration absence where the agreed absence triggers have been reached

Where an occupational health referral is deemed appropriate the [Occupational Health Referral form](#) should be completed and the line manager will take any necessary steps to support the employee through reasonable adjustment and in consideration of recommendations made by Occupational health if appropriate and possible. Whether the referral is made for long term or short term absence a formal review of the occupational health report must take place either through the attendance management review meetings or welfare meetings.

[Attendance Management Review Meeting Guidance](#)

[Attendance Management Review Form](#)

[Template Letter: Outcome Letter following Welfare Meeting \(with occupational health report\).](#)

SHORT-TERM ABSENCE

Frequent and persistent short-term absence can give cause for concern in relation to the operation of Council Services and for school effectiveness. Line managers/head-teachers should follow the procedures as outlined in this document for short term absence and seek advice and guidance where required.

If there is evidence that the employee may be abusing the procedures this will be dealt with under Monmouthshire Council's [Disciplinary Policy](#) or the [Schools' Disciplinary and Dismissal Procedure](#).

Return to Work Discussions

The meeting should be an informal discussion and conducted sympathetically and discreetly during the first day back, or as soon as possible thereafter. This is a mandatory requirement. These do not have to be undertaken face to face and can be undertaken by telephone. (For example for managers who do not see their employees on a daily basis).

Managers must conduct return to work discussions with employees on their return from every absence and provide the appropriate support if required. They are also required to ensure that all absence is recorded on MY VIEW.) It is a requirement for employees to complete a Return to Work form and/or Self Certification form/fit note.

Please refer to the following guidance

[Attendance Management and Well-being Protocol/Workflow](#)

[Return to Work Guidance for Managers](#)

The purpose of the discussion is to (please note not all these points may be applicable for every discussion):

- Welcome the employee back.
- Confirm the details of the employee's absence.
- Give the employee the opportunity to raise any concerns or questions they might have, or to bring any relevant health matters to the line manager's attention.
- Discuss any additional measures that may be needed to facilitate the employee's return to work or to remain in work, taking account of any medical advice received from the employee's GP or from occupational health advisors.
- Address any work related issues which may be causing ill health and ensure any actions are recorded.
- If approaching an absence trigger point review the employee's absence record and highlight the short-term absence triggers if appropriate and invite the employee to an attendance management review meeting and explain the difference between the meetings.
- Discuss the reasons for the absence in order to gain more information in order for the line manager to determine if there is any need for action or support such as counselling, guidance or occupational health referral etc.
- Allow the manager the opportunity to raise concerns and ask questions.
- Ensure the employee has complied with the absence notification and certification procedures.
- Take a note that a discussion has taken place and any agreed action points by completing a return to work discussion form.

Trigger Points

Short term absences are short periods of ill health. In order to ensure consistency of practice in dealing and supporting employees with short-term absence, trigger points have been set for short term absences which are:

There are specific trigger points for instigating a formal review of attendance. These are as follows:

- 2 absences within any 3 month period
- 3 absences within any 6 month period
- 4 absences within any 12 month period

- 10 working days or more absence in a 12 month period

It should be noted that the 12 month period relates to the employees rolling year for absence and not to the academic year, calendar year or financial year.

Once the trigger points have been reached an Attendance Review Meeting should be held ideally within 10 working days if practical, following the Return to Work Discussion and certainly without any unreasonable delay.

Absence Patterns

Where regular pattern of absence occurs, e.g. after most bank holidays or repeated absence when certain duties are to be undertaken, an Attendance Review Meeting is also applicable

Trigger Point Reached

When a short term trigger point is reached (identified through return to work discussion and monitoring on My View or the line manager has identified a pattern of absences) then it is their responsibility to invite them to attend an attendance management review meeting. Once the trigger points have been reached an Attendance Review Meeting should be held ideally within fourteen working days or later with agreement following the Return to Work Discussion and certainly without any unreasonable delay.

Attendance Review Meeting

Please note that this is a supportive meeting and should be used even when the reason for the absence is in relation to a very evident medical condition, the basis of the meeting would be to gather information, discuss the way forward and determine any required support.

Managers/head-teachers should conduct the absence review meeting every time a trigger is broken. Consistency is a key stone to effective attendance management. Conducting absence review meetings for some employees when they have broken a trigger and not others can lead to feelings of organisational unfairness. However, the outcome of an attendance review meeting will be dependent upon the circumstances of each case where the manager/head-teacher can exercise discretion.

The employee will need to be given 7 working days' notice of the meeting and must be provided with a copy of the Attendance Management Policy and Procedure. The employee may be accompanied to the meeting by a trade union representative or work colleague. This meeting should take place ideally no longer than 14 working days from the manager identifying a broken trigger or a pattern of absence that is cause for concern.

Please refer to:

[Attendance Management Review Guidance for Managers](#)

[Attendance Management Review Form](#)

Employees are required to attend the meeting. Failure to do so without good reason may be treated as misconduct and dealt with under the Disciplinary Policy and Procedure.

At the Attendance Management Review Meeting the manager/head-teacher will:

- Explain the purpose of the meeting.
- Identify the absences in question.
- Discuss with the employee the reasons for the absence(s), considering whether there may be an underlying medical reason, whether absences are related, whether absence is related to work, and whether there are any personal issues.
- Outline their concerns and explain their responsibility to apply the policy and what this means for the employee.
- Set out the impact on delivery or the service to service users, impact of absence on other employees and costs implications for cover or lost productivity.
- Explore ways that improvement can be supported.
- Identify and explain the appropriate support that can be offered.
- Set out and explain that satisfactory levels of attendance are expected below the absence trigger points as set by Monmouthshire Council and also explain the steps that will be taken by the line manager if this is not maintained which could include progression to the ill-health capability or disciplinary procedures.

Outcome of Attendance Management Review Meeting

The outcome of the meeting will be one or more of the following:

- No further action.
- Further information/advice required e.g. Occupational Health Referral
- Consideration of supportive measures/ reasonable adjustments or other applicable changes e.g. working patterns.
- Placement of employee on attendance management monitoring period (3 months)
- Placement of employee on attendance management extended monitoring period (further 3 months)
- Deal with matters under the ill-health capability or disciplinary procedures

If there is evidence that the employee may be abusing the procedures this will be dealt with under the Council's [Disciplinary Procedure](#) or [the Schools' Disciplinary and Dismissal procedure](#).

It is unlikely that an outcome of a first or second broken trigger or identifying a pattern of absence will be placement on an attendance management review period.

The outcome of an attendance management review meeting must be confirmed in writing to the employee no later than 7 working days after the meeting.

When an employee is to commence an absence monitoring period they should be notified that any absence that occurs during this period will result in a further meeting with their line manager to discuss the absence, which may lead to the placement of the employee on a further absence monitoring period (3 months).

If the attendance management process has not previously resulted in an occupational health referral, where an employee is subject to placement on a monitoring period there should be a referral to occupational health even where it is known that there is an underlying medical condition which results in short term intermittent absences. Employees with an underlying medical condition can still be placed on the absence monitoring periods. If after support, adjustments (such as reduction in working hours) and medical advice further trigger points are broken as the employee is unable to achieve satisfactory levels of attendance then this may need to be dealt with in terms of ill health capability. Managers/head-teachers will have regard to the Council's and where applicable the Governing Body's equalities policy. All employees' circumstances will be treated with sensitivity.

Any agreed support measures and/or reasonable adjustments arising as outcomes of an attendance management review meeting must be put in place. This is particularly important for any employee who has a disability. Please refer to the guidance contained within the [How to - reasonable adjustments](#). If there is an underlying medical condition consideration must be given to potential implications of the Equality Act prior to progressing. Where an outcome of an attendance management review meeting is placement on an attendance management monitoring period this should be confirmed in writing. The following section provides guidance on outcomes of attendance management monitoring periods.

Placement on an Attendance Management Monitoring Period

Where an outcome of an attendance management review meeting is placement on an attendance management monitoring period this should be confirmed in writing.

[Template letter - Placement on formal monitoring period](#)

Over a 3 month period the employee's attendance will be monitored by the manager/head-teacher.

[No sickness absence during the monitoring period](#)

At the end of the 3 month attendance management monitoring period a management review meeting should take place. Where there has been no sickness absence then no further action will be taken. The employee will be informed in writing following the meeting and advised that if they hit a further trigger point or absence pattern within six months of the completion of a monitoring period then depending on the reasons for the absence they may be placed on an extended absence monitoring period.

[Sickness absence during monitoring period](#)

If there is a sickness absence during the 3 month period the line manager must arrange a further attendance management review meeting with the employee to discuss the impact of the on-going absence during the monitoring period and the reasons for the absence. The employee's record of attendance by this point will be a significant cause for concern and the manager may place the employee on an extended monitoring period. The employee will have this confirmed in writing.

[Template letter - Placement on formal extended monitoring period](#)

Placement on an Attendance Management Extended Monitoring Period

[No sickness absence during the extended monitoring period](#)

At the end of the 3 month attendance management extended monitoring period a management review meeting should take place. Where there has been no sickness absence then no further action will be taken. The employee will be informed in writing following the meeting and advised that if they hit a further trigger point or absence pattern within six months of the completion of a final monitoring period then they will attend an attendance management review meeting, an outcome of which could be attendance at a formal Ill Health Capability Meeting.

Sickness absence during the extended monitoring period

During the second 3 month period the employee's attendance will again be monitored by the manager/head-teacher and if there is a further sickness absence then the employee will attend a further Attendance Management Review Meeting with the line manager. At this meeting the reasons for the employee's recurring absence will be discussed. It is essential that the employee is advised of the potential consequences of their continued absences.

The line manager must ensure that all support and any actions identified at previous meetings with the employee has been sought and undertaken where appropriate. This is particularly important in relation to an employee who has a disability which may be covered by the Equality Act 2010. If it is determined that a further monitoring period requires to be established then this shall be put in place at this point and monitored accordingly. This may be for example for an employee who has a disability or if significant improvements have been made and employee is close to meeting expectations.

If no further support can be identified for employees with or without an underlying medical condition then the employee will move to a Formal Ill-Health Capability Meeting.

Please refer to the following guidance:

[Template letter - Invite to Ill health capability \(attendance management\) meeting](#)

[How to - Ill health capability meeting](#)

[How to - reasonable adjustments](#)

LONG TERM ABSENCE

Long-term absences are often attributed to major illness, surgery or injury and are characterised by a continuous absence from work for a period of at least 4 weeks.

It is very important that managers maintain contact with employees throughout the period of absences please refer to the [Attendance Management and Well-being Protocol/Workflow](#) for further information.

The manager will first examine the circumstances of the case, taking advice from People Services where appropriate. Please consider making an immediate referral where there is a notification of a work related stress condition or generally for psychological conditions. In some cases the prognosis for a long-term absence will be self-evident i.e. the condition such as a hysterectomy has an expected duration and recovery period therefore no immediate intervention is required.

However, the welfare of the employee is very important and welfare meetings and occupational health report review meetings are intended as supportive measures during the period of absence and to facilitate a return to work.

Long term absences, particularly with a history of absence or a previous return to work from long term absence which was not sustained, may in some circumstances mean that consideration be given to whether or not employment can continue, regardless of whether sick pay has been exhausted or not.

Attendance Management Welfare Meeting(s)

Please note that this is a supportive meeting and should be used even when the reason for the absence is in relation to a very evident medical condition, the basis of the meeting would be gather information, discuss the way forward and determine any required support. Please also note that the requirement to maintain contact with the employee commences at the beginning of the absence period when it is not necessarily known whether the absence will become long term. A welfare meeting should take place as soon as possible to ensure the manager can discuss support for their employee and find out about any concerns.

The manager will send the employee a letter to invite them to attend an Attendance Management Welfare meeting. [Template letter - Invite to welfare meeting](#) (Adjust letter as appropriate to the individual situation). The employee must be provided with a copy of the Attendance Management Policy and Procedure and may be accompanied to the meeting by a trade union representative or work colleague should they so wish. The employee will be required to be given 7 working days' notice of the meeting. Please note that the welfare meeting can take place at alternative venues to the work place including undertaking a visit to the employee's home if this is the agreed keeping in contact arrangement.

Employees are required to attend the meeting. Failure to do so without good reason may be treated as misconduct and dealt with under the Disciplinary Policy and Procedure.

The meeting will be conducted sensitively and the manager will:

- Explain the purpose of the meeting.
- Ask the employee how they are feeling and what course of action they would like to see to support them
- Discuss with the employee the reason(s) for their absence and their progress.
- Ascertain whether the absence is work related in any way.
- Outline concerns as a manager and their responsibility to apply the policy.
- Identify and explain the appropriate action to be taken.

- Initiate a referral to the Occupational Health Provider and where appropriate schedule a further attendance management review meeting to discuss the contents of the occupational health report and agree a course of action.

The outcome of the meeting will be confirmed to the employee in writing, no later than 7 working days after the meeting. [Template letter - Outcome letter following welfare meeting](#) (Please adapt this letter as appropriate to the individual situation).

Courses of action for long term absence cases

Managers/head-teachers who follow the policy will ensure that there is consistency in terms of keeping in touch, undertaking attendance management welfare review meetings (including follow up meetings to discuss occupational health reports) and confirming the outcomes of meetings in writing with an agreed course of action and the next steps. However, each employee's circumstances will be unique and it is difficult to be prescriptive in terms of time scales or outcomes as each case is treated on its merits. The manager/head-teacher is responsible for undertaking the relevant stages in a timely manner and can obtain support from People Services. The Occupational Health Adviser should be involved as early as possible as a supportive measure and for the next steps to be fully understood by the employee.

The courses of action could be one or more of the following:

- Return to Work (including Phased Return to Work).
- Consideration of supportive measures/ reasonable adjustments or other applicable changes e.g. working patterns.
- Redeployment
- Ill-health retirement (under pension regulations)
- Ill-Health Capability

Phased Return to Work

Where an employee has been off sick and appears to have recuperated sufficiently to return to work, the Occupational Health Provider or the General Practitioner (GP) may recommend a phased return to work.

When an employee commences a phased return to work it must be recorded that they have returned to work through the absence recording procedures in order for the correct payments to be made. In normal circumstances, a phased return to work period should not extend beyond a maximum of four weeks. It would be expected that an employee returning to work should be able to resume full duties after the phased return period has elapsed.

During the 4 week 'phasing in' period an employee receives full pay. Thereafter, where the employee has not returned to their normal working hours within a four week period in normal circumstances, the employee would only receive pay for the actual hours worked and not a combination of normal pay and sick pay. (Annual leave may be used with the agreement of the employee's manager to cover any hours not being worked during any phased return extension).

Any changes to an employee's pay must be notified to People Services Payroll by the completion of an e form. The duration of a paid phased return may be extended only in exceptional circumstances. During a phased return to work period the employee will be considered as working and not on sickness absence. Any sickness absence during this period will be treated as sickness [How to - Phased return to work](#).

Reasonable Adjustments

The purpose of reasonable adjustments is to remove any disadvantage created by an employee's disability to perform their day to day duties. There is no requirement to create a new job. It is the employer's duty to identify, **consider** and implement reasonable adjustments – it is not enough to simply ask the employee their view of what adjustments are required.

[How to - reasonable adjustments](#)

Redeployment

The Council's Occupational Health Advisor/physician may advise that an employee can no longer undertake the duties of their job and recommend that the employee is considered for redeployment. The Occupational Health Advisor will provide guidance in respect of identifying what duties or post may be suitable for the employee. If after a reasonable time period there are no redeployment opportunities the continued employment of the employee on long term sickness absence may be considered at an ill health (attendance management) meeting. All these matters and considerations must be discussed during the welfare meetings and followed up with an outcome letter.

Ill-Health Retirement

The occupational health referral process may result in advice that the ill health is likely to be permanent, and if so, whether early retirement on grounds of ill health could be considered. The administrative arrangements that will be followed will be dependent upon the employee being a member of either the local government pensions scheme (LGPS) or teachers pensions (TP). Please refer to the separate guidance for each pension scheme. Dismissal through ill health capability for staff in the LGPS should only be considered when there has been a determination of whether the employee meets the criteria for pension release on the grounds of permanent ill health. Where a teacher has accepted an ill health pension by TP there will be an agreed finishing date, no notice pay is needed.

Ill Health Capability

Dismissal on the grounds of capability due to ill health may be considered if:

- There is no improvement in attendance following attendance management monitoring
- The prognosis is one of further absence in the long term (whether or not release of pension benefits have been agreed for an LGPS member and where a teacher has not been granted an ill health pension).

There is not a requirement to wait until the employee's sick pay has been exhausted before undertaking appropriate actions in relation to the recommendations made by Occupational Health. Each welfare meeting and attendance management review meeting will have a documented outcome letter which will have provided the employee with an understanding of when an ill health capability meeting may be appropriate.

Throughout the period of sickness absence, the following will apply: -

- Regular contact will be maintained with the employee, encouraging them to discuss any particular health issue, personal circumstances or work related issues, which may be affecting their health.
- The manager/head-teacher, (supported by HR where applicable) and the employee will consider any advice and recommendations made by

occupational health, including possible adjustments to the work situation which would facilitate a return to work.

- The employee will be provided with the opportunity to express views about the assessment of the situation and whether there are any other actions they wish the nominated officer/governing body committee to consider.

- All information will be treated confidentially.

- The employee will have the right to be accompanied by a workplace colleague or trade union Representative.

- Once all other options have been exhausted the nominated officer/governing body committee will ultimately have to decide to dismiss an employee on the grounds of capability due to ill health. Please see Appendix for Procedure for Schools. (This course of action should have been discussed with the employee well in advance.) The employee will also be notified of their rights with regard to appealing a decision made at the ill-health capability meeting.

[How to - Ill Health Capability \(Attendance Management\) Meeting](#)
[Template letter - Invite to Ill Health Capability \(attendance management\) meeting](#)

APPENDIX: DEFINITIONS AND USEFUL INFORMATION

SICK PAY ENTITLEMENTS (NJC):

Permanent, Fixed Term, Term-Time and Temporary employees of the Monmouthshire County Council are entitled to the following sick pay benefits, dependent on their length of service:

1st year – 1 month full pay and (after 4 months service) 2 months half pay

2nd year – 2 months full pay and 2 months half pay

3rd year – 4 months full pay and 4 months half pay

4th and 5th year – 5 months full pay and 5 months half pay

After 5 years – 6 months full pay and 6 months half pay

Sickness entitlement is calculated on a rolling 12 month basis, which starts on the first day of sickness absence looking back a calendar year.

SICK PAY ENTITLEMENTS (TEACHERS):

Teachers' national sick pay entitlements, set out in the Burgundy Book, giving a sliding scale of entitlement according to the length of service as follows:

During the first year of service: Full pay for 25 working days and, after completing four calendar months' service, half pay for 75 working days.

During the second year of service: Full pay for 50 working days and half pay for 50 working days.

During the third year of service: Full pay for 75 working days and half pay for 75 working days.

During fourth and successive years: Full pay for 100 working days and half pay for 100 working days.

Periods of absence in respect of industrial injury arising out of, or in the course of, employment with Monmouthshire will not be counted for the purpose of calculating entitlement to sick pay.

All sickness and absence periods must be submitted as part of the Manager's/Head-teacher's weekly sick returns to People Services

DEFINITION - 'PERIOD OF INCAPACITY FOR WORK'

For the purpose of this policy, a 'Period of Incapacity for Work' means any complete day or days when an employee is unable to work due to sickness, injury or disease. A day of incapacity can be a working day or non-working day.

N.B. For OSP purposes, half day absences are recorded on sickness absence returns and will count as part of the total sickness absence.

OCCUPATIONAL SICK PAY (OSP) SCHEME DETAILS

This appendix sets out the main details of the Occupational Sick Pay Scheme applicable to an employee under the National Agreement laid down by The National Joint Council for Local Government Services. Teacher's terms and conditions are set out in the Burgundy Book.

SICK PAY ALLOWANCES AND REGULATIONS

Sick Pay Allowances - the County Council is responsible for making two forms of payment as follows:-

- Statutory Sick Pay - which is paid in accordance with the rates and regulations laid down by the Government from time to time.
- Occupational Sick Pay Allowances - payable in accordance with the terms of an employee's contract of employment as laid down by National Agreement in the Scheme of Conditions of Service of the appropriate National Negotiating Body.

In certain circumstances an employee may be entitled to Statutory Sick Pay, but alternatively an employee may be entitled to a benefit under the National Insurance Regulations which will be paid by the Department of Work and Pensions. Under the terms of the Occupational Sick Pay Scheme, Statutory Sick Pay and National Insurance Benefits received, or deemed to be receivable, will always be off set against occupational sick pay receivable so that the combined payment will not exceed an employee's normal County Council pay.

Special Note for New Employees:

If an employee has worked for another employer within 56 days (8 weeks) prior to the new employee commencing work with Monmouthshire County Council and:-

The employee has had a period of incapacity for work ending within 56 days (8 weeks) of the date the employee's contract of employment with that previous employer came to an end

And;

The employee has received payment of Statutory Sick Pay for four days or more of that period (previous "linked" periods are to be taken into account for this purpose) - your former employer should issue the employee with a statement of the Statutory Sick Pay for the period(s) involved on form SSP1(L).

This is an official form printed by the Department of Work and Pensions.

The employee's former employer is responsible for entering the necessary information and passing the form on to the employee not later than 7 days after the employee's contract of employment has ended.

An employee is responsible for forwarding their form SSP1 (L) to their manager either on the first day of reporting to duty for the County Council or immediately they receive the form from their employer - if later (this should only be a matter of days).

If an employee has received a benefit payment from the Department of Work and Pensions in respect of any period ending within 56 days (8 weeks) immediately before the employee's first day of employment with the County Council and they have received statement, the employee is responsible for forwarding this to their manager on the first day of reporting for duty with the County Council. The manager then needs to submit to Payroll.

STATUTORY SICK PAY

Statutory Sick Pay becomes payable to you when incapacitated for work, in accordance with Government Regulations which determine the rate of payment, if any, to which you are due according to your "average" earnings, and your entitlement (if any), at any particular time.

It is only payable whilst you are in employment.

Statutory deductions e.g. Income Tax, National Insurance and superannuation must be deducted from Statutory Sick Pay under the Government's regulations.

Payment Rules

Provided an employee's manager is satisfied regarding the employee's notification and certification of incapacity and the employee is not disqualified from payment under the Statutory Sick Pay Regulations, the following rules apply for payment of Statutory Sick Pay.

An employee's period of incapacity for work must last for four or more consecutive days (including days on which an employee is not required to work).

N.B. Periods of incapacity of 3 days or less never qualify for Statutory Sick Pay.

Payment of Statutory Sick Pay will only be made for days on incapacity which are classified as "qualifying days". Qualifying days will be those days each week which an employee regularly work under their contract of employment (see "qualifying days").

An employee must satisfy the "waiting days" rule before payment can be made for "qualifying days" in an employee's "period of incapacity for work" (see "waiting days" and "linked Periods" below).

Waiting Days

The first three qualifying days in a "period of incapacity for work" will not count for payment of Statutory Sick Pay unless the period links with a previous period in which waiting days have already been served. If there is a link with the previous period where all or some waiting days were still to be served when the previous period ended then these days will apply in the next (linked) period before payment can be made.

“Linked Periods”

In order for two periods of incapacity for work to be linked the time between the day on which the first period ends and the day on which the second period begins must not be greater than 56 days (8 weeks). Linked periods are treated as one “continuous” period for the purpose of assessing entitlement to Statutory Sick Pay.

Qualifying Days

Payment of Statutory Sick Pay will be apportioned in accordance with qualifying days as they apply to you week by week. For the purposes of the Social Security and Housing Benefits Act 1982 (Section 4 (2)) your qualifying days each week will be as follows:-

Sunday, Monday, Tuesday, Wednesday, Thursday, Friday, Saturday (i.e. all days). This “qualifying day” arrangement is solely for the purposes of Statutory Sick Pay and payments will always be apportioned accordingly.

Maximum Entitlement

Maximum entitlement to Statutory Sick Pay is 28 weeks in one period of incapacity for work or in any succession of “linked” periods of incapacity within 3 years of the first day of the first “linked” period. Employees who are new to the County Council’s service who have had recent sickness with a previous employer may have an abated maximum entitlement in certain circumstances in accordance with the Statutory Sick Pay Regulations.

Average Earnings**Monthly Paid Employees**

Average earnings are assessed for monthly paid employees on the basis of the gross earnings paid over the two months ending with the pay day immediately preceding the first day of incapacity. This figure is then converted into a weekly rate for the purpose of determining average earnings under the Statutory Sick Pay Regulations. Any special or additional payments made to you during the assessment period must be taken into account.

Weekly Paid Employees

Average earnings are calculated as a weekly rate and are assessed on the basis of the gross earnings paid to you during the 8 weeks ending with the pay day immediately preceding the first day of incapacity. Any weekly pay day in this period on which you do not receive payment must still be included in the calculation of the average. Any special or additional payments you receive during the assessment period must also be taken into account.

General Regulations excluding persons from Statutory Sick Pay

If your average earnings are insufficient you must be excluded from Statutory Sick Pay. In addition, there are a number of other regulations laid down in the Statutory Sick Pay Scheme which may exclude you from payment. Whenever you are excluded from Statutory Sick Pay, the Council will send you a formal notification. (This does not apply to periods of incapacity of 3 days or less when

the Scheme is not effective). If you do not have an entitlement to Statutory Sick Pay you may be entitled to payment of State Benefit (National Insurance etc.) from the Department of Work and Pensions.

Reasons why an employee cannot get SSP:

- If you claimed incapacity Benefit or Severe Disablement Allowance during the last 8 weeks, or if you are entitled to the 52 week benefit protection
- After you stop working for your employer if your contract has ended
- After your contract has been ended by your employer. However, your employer will have to pay you SSP if they ended your contract of employment solely or mainly to avoid paying SSP
- After you have had SSP for 28 weeks in a row or for periods of sickness that are 8 weeks or less apart and that add up to 28 weeks. SSP paid by another employer may be counted.
- If your average weekly earnings are less than the Lower Earnings Limit for the 8 weeks before you went sick. If on the first day you became sick you are aged 65 or over.
- Whilst you are entitled to maternity pay or maternity allowance
- If during the last 3 years, you have been sick on and off for 4 days or more in a row, and you have never been back at work for more than 8 weeks before going sick again.
- If you were away from work because of a trade dispute on the first day you were sick unless you had no direct interest in the dispute. We use trade dispute to mean: a strike, a walkout, a lockout, another dispute about work
- If you were in legal custody or sentenced to term of imprisonment on the day you became sick, or SSP will stop if you are now in legal custody or sentenced to a term of imprisonment.
- Until you start working for an employer.

Disputed Incapacity

Under the Statutory Sick Pay Regulations, it is for the County Council to decide whether to accept that the employee is incapacitated from work. If therefore the County Council has good reason to believe that incapacity is not genuine it can refuse to pay Statutory Sick Pay.

OCCUPATIONAL SICK PAY ALLOWANCE

An employee will not be entitled to occupational sick pay allowance under the scheme if the incapacity stems from an accident due to active participation in sport as a profession, nor in a case in which the absence arises from or is attributable to your own misconduct, unless the County Council by resolution decide otherwise. However, an employee would still be entitled to Statutory Sick Pay.

For occupational sick pay purposes, full pay means that the County Council will pay the balance between your "normal earnings" for the period concerned and either:-

The amount of Statutory Sick Pay determined as applicable to an employee, or
The amount of State Benefit receivable by an employee under the National Insurance Acts and Regulations made thereunder.

Persons who are excluded from Statutory Sick Pay because they earn below the National Insurance threshold and cannot claim sickness benefit from the Department of Work and Pensions, will not have benefit deducted from their wages.

However, as entitlement to sickness benefit can only be determined by the Department of Work and Pensions, Monmouthshire County Council will initially deduct benefit until proof of non-payment is established. The following procedure must be followed to minimize delay between the deduction and refund of benefit.

On receipt of form SSP1 from payroll an employee must complete and send it immediately to their local Department of Work and Pensions. The Department of Work and Pensions will then inform the employee of their entitlement /non entitlement to benefit.

Upon receipt of the evidence a refund will be made where it is appropriate.

Where an employee has opted out of paying full National Insurance contributions, the amount taken into account when calculating an allowance under the sick pay scheme will be the amount equal to the total state benefit and SSP receivable had full contributions been paid.

When occupational sick pay allowance applies at the half pay rate it will not be subject to adjustment for Statutory Sick Pay or National Insurance Benefit except in so far as the occupational half rate sick pay allowance, when added to Statutory Sick Pay or National Insurance Benefit applying to an employee, or deemed to apply to an employee, in the same way as under full rate payments, would exceed the full pay rate.

CONTACT WITH INFECTIOUS DISEASES - PERSONS DEEMED TO BE INCAPABLE OF WORK

An employee who is prevented from attending work because of contact with infectious disease shall be entitled to receive normal pay. The period of absence on this account shall not be reckoned against the employee's entitlements under this scheme.

FERTILITY TREATMENT

Reasonable time off will be granted for employees undergoing fertility treatment.

TIME OFF FOR MEDICAL SCREENING

Necessary paid time off will be granted for the purpose of cancer or other medical screening.

INDUSTRIAL INJURY ALLOWANCE (OCCUPATIONAL SICK PAY PROVISION)

This is an entirely separate allowance from "normal" occupational sick pay. The scale of allowance is the same as for occupational sick pay. Payment under the "normal" occupational sick pay scheme does not affect the Industrial Injury Allowance, and vice versa.

Statutory Sick Pay must be set off against the occupational Industrial Injury Allowance in the same way as for "normal" occupational sick pay.

The notification and certification of incapacity due to Industrial Injury must follow the rules for "normal" sickness and in addition the following provisions apply to any claim for Industrial Injury Allowance.

The Industrial Injury must be reported on an accident report form and recorded in the County Council's Accident Book.

The County Council must be satisfied the injury occurred in the actual discharge of the employee's duty and without his/her own default.

The employee must agree, if required by the County Council, to undergo a medical examination by a doctor nominated by the County Council. If the employee disagrees with the findings of the doctor, provision will be made for a right of appeal in such cases.

N.B. Prompt notification of an accident should be given by either the employee or someone acting on their behalf as soon as is practicable.

**MONMOUTHSHIRE COUNTY COUNCIL
DIRECTORATE FOR CHILDREN AND YOUNG PEOPLE**

PROCEDURE FOR SCHOOL BASED EMPLOYEES

Procedure for Staff Dismissal Committee Meeting and Appeals Committee Meetings

- Chair to introduce those present
- Headteacher/Manager presents report outlining the reasons for consideration of dismissal. HR will be present to provide appropriate advice.
- Committee to consider the representations from the employee (or their representative) (if applicable)
- Questions from the Committee for clarification
- Both parties to sum up – firstly the Headteacher/Manager and then employee (or their representative) (if applicable)
- All parties to withdraw for the Committee to consider representations
- All parties return and the Chair informs all present of the decision of the Committee
- The decision of the Committee will be communicated to the employee in writing by a Headteacher/Manager
- The post holder identified for dismissal has the right to appeal the decision. The grounds of the appeal should be sent in writing to the Chair of the Governors within 10 working days of the Committee meeting.
- The Appeal will be heard by the Appeals Committee no earlier than 7 days and no later than 15 days after the appeal is lodged unless both parties agree otherwise. The date of the appeal hearing must be agreed with another HR Business Partner and be conducted in accordance with the procedure above. The decision of the Appeals Committee will be final.

**MONMOUTHSHIRE COUNTY COUNCIL
DIRECTORATE FOR CHILDREN AND YOUNG PEOPLE**

PROCEDURE FOR CENTRALLY EMPLOYED TEACHERS

Procedure for Staff Dismissal Committee Meeting and Appeals Meeting

- Chair of the Committee to introduce those present
- Line Manager presents report, outlining the reasons for dismissal. HR will be present to provide appropriate advice.
- Chair of the Committee to consider the representations from the employee (or their representative) (if applicable)
- Questions from the Chair of the Committee for clarification
- Both parties to sum up – firstly the Line Manager and then employee (or their representative)
- All parties to withdraw for the Line Manager to consider representations (if applicable)
- All parties return and the Chair of the Committee informs all present of the decision
- The decision of the Chair of the Committee will be communicated to the employee in writing.
- The post holder identified for dismissal has the right to appeal the decision. The grounds of the appeal should be sent in writing to the Director of Children and Young People within 10 working days of the Committee meeting.
- The Appeal will be heard by the Appeals Committee no earlier than 7 days and no later than 15 days after the appeal is lodged unless both parties agree otherwise. The date of the appeal hearing must be agreed with another HR Business Partner and be conducted in accordance with the procedure above. The decision of the Appeals Committee will be final.

Version Control

Title	Attendance Management Policy
Owner	People Services
Approved by	JAG 21 November 2016 Cabinet 7 June 2017
Date	October 2016
Version Number	Corporate – 2006 Schools – September 2010; revised: November 2012
Review Date	2020 - 2022
Status	
Consultation	SLT, People Board, Mon-Minds, Trade Unions, Head Teachers, JAG, Cabinet



Name of the Officer completing the evaluation Sally Thomas Phone no: 07900651564 E-mail: sallythomas@monmouthshire.gov.uk	Please give a brief description of the aims of the proposal To introduce a new Attendance Management Policy
Name of Service People Services HR	Date Future Generations Evaluation form completed January 2017






1. **Does your proposal deliver any of the well-being goals below?** Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.

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Well Being Goal	How does the proposal contribute to this goal? (positive and negative)	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs	The revised policy will help to sustain wellbeing issues for our staff, keeping a motivated workforce.	
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)	N/a	
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	The aim of the revised policy is to maximize productivity through engagement with our workforce about the issues that affect their wellbeing – so that managers can manage	

Well Being Goal	How does the proposal contribute to this goal? (positive and negative)	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
	effectively and employees know what to expect.	
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	n/a	
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	n/a	
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	n/a	
A more equal Wales People can fulfil their potential no matter what their background or circumstances	<i>This includes the protected characteristics of age, disability, gender reassignment, race, religion or beliefs, gender, sexual orientation, marriage or civil partnership</i>	

2. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	How does your proposal demonstrate you have met this principle?	What has been done to better to meet this principle?
 <p>Long-term</p> <p>Balancing short term need with long term and planning for the future</p>	n/a	
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	n/a	
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	n/a	
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	n/a	
 <p>Integration</p> <p>Positively impacting on people, economy and environment and trying to benefit all three</p>	n/a	

3. **Are your proposals going to affect any people or groups of people with protected characteristics?** Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age			
Disability			
Gender reassignment			
Marriage or civil partnership			
Race			
Religion or Belief			
Sex			
Sexual Orientation			
Welsh Language	<i>We will make this policy available in welsh should it be required</i>		

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4. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance note <http://hub/corporatedocs/Democratic%20Services/Equality%20impact%20assessment%20and%20safeguarding.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	<i>Safeguarding in this context applies to both children (not yet reached 18th birthday) and vulnerable adults (over 18 who is or may be in need of community care services by reason of mental or other disability, age or illness and who is or may be unable to take care of himself or herself, or unable to protect himself or herself against significant harm or serious exploitation.)</i>	<i>Safeguarding is about ensuring that everything is in place to promote the well-being of children and vulnerable adults, preventing them from being harmed and protecting those who are at risk of abuse and neglect.</i>	
Corporate Parenting	<i>This relates to those children who are 'looked after' by the local authority either through a voluntary arrangement with their parents or through a court order. The council has a corporate duty to consider looked after children especially and promote their welfare (in a way, as though those children were their own).</i>		

5. What evidence and data has informed the development of your proposal?

6. The reason for development of this policy relates to the SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

The main emphasis of the policy and procedure is to offer support to staff and managers to minimise frequent short term absence occurrences and support well-being arrangements for staff experiencing ill health. Whilst being supportive it is considered that the policy explains that there are 'consequences' where attendance concerns have been identified and remain a concern despite support and adjustments. The policy statement and much of the content in the principles section is premised on good practice.

There is a business imperative to address poor levels of attendance across the organisation and this work has therefore presented as a priority for People Services in terms of equipping the organisation with the appropriate advice, guidance and support on attendance management issues. A revision to policy is part of this work.

Positive impact is that we aim for consistency of application of the policy so all employees can expect to be look after whilst in employment – we have a duty of care for the wellbeing of our staff. We have listened to the views of staff whilst developing this policy and will continue to evaluate it's progress and impact.

7. Actions. As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

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

8. Monitoring: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

<p>The impacts of this proposal will be evaluated on: Review of this policy will be taken in line with our normal review processes – which will be dependent upon evaluative work and analysis of casework, legislative changes, welsh government guidance, and best practice.</p>	
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SUBJECT:	Transport grant and Section 106 Schemes
DIRECTORATE:	OPERATIONS (CHIEF EXECUTIVES)
MEETING:	CABINET
DATE:	7th June 2017
DIVISION/WARDS AFFECTED:	All

1. PURPOSE:

To seek member approval for highway and transportation schemes as part of Welsh Government transport grants and Section 106 agreements associated with new developments throughout Monmouthshire as shown in appendix A and B.

2. RECOMMENDATIONS:

- 2.1 That the projects listed below and detailed in Appendix A be approved and that the respective revenue and capital budgets be created in 2017/18 to carry out these projects, and that these are funded by contributions from the respective grant claims.

2017/18 Projects	Amount
<i>Transport Grant</i>	
A466/ A40 Wyebridge Junction Improvement Scheme	£260,000
Abergavenny – Llanfoist active travel bridge	£349,000
<i>Active Travel Mapping</i>	£5,000
Abergavenny Town Centre – Public Realm	£350,000
<i>Safe Routes in Communities</i>	
Wonastow Road – Pedestrian Crossing	£38,000
<i>Road Safety Revenue</i>	
Road Safety Training including Kerbcraft	£56,000

- 2.2 That budgets be created in 2017/18 for the balances held by the County Council for the respective highway contributions from agreements set out under Section 106 of the Town & County Planning Act 1990, as listed below and detailed in Appendix B.

2017/18 Highway s106 Works	Amount
<i>Section 106</i>	
Abergavenny Town Centre - Morrison Superstore contribution for the sum of £355,000.00 (three hundred and fifty five thousand pounds) towards the Lion Street Works	£355,000
Wyesham - Highway and Road Safety Improvements associated with the former Infants School (exp. Jan 2018)	£15,000

which is in addition to £55,000 transport improvements for local cycle and walking improvements)	
Sudbrook – Highway and Road Safety Improvements associated with the former Jnr School (exp. 25/01/2018)	£4,500 (£6,000 to carryover to works associated with The Old Shipyard Development)
Trellech – Improvements footway links associated with the new housing development adjacent to Trellech School (contribution towards Make Trellech Safe Traffic Scheme)	£6,500

3. KEY ISSUES:

- 3.1 Funding for capital transport schemes and Section 106 highway and transportation improvements have been awarded or received from respective bids to Welsh Government and legal agreements with developers of land throughout Monmouthshire.
- 3.2 These schemes either formed part of a successful bid to Welsh Government or identified at the planning application stages of development and aim to provide improvements to the existing highway and transport infrastructure within the surrounding areas, in line with the key objectives of the Local Transport Plan and National Policy Guidance.
- 3.3 Bids to Welsh Government for further funding of the detailed design and preparation of contract documents for the A466/ A40 Wyebridge Junction Improvement and the Abergavenny – Llanfoist active travel bridge have been successful and will allow highways to progress these schemes to a stage where a further bid can be made for funding of the construction in 2018/19. Abergavenny TC and Wonastow Road pedestrian crossing will be delivered this financial year in line with the conditions of the grant along with the development of the Active Travel Mapping.
- 3.4 In addition to the above schemes, MCC has been successful at securing additional s106 contributions for Sustainable Transport Improvements and Welsh Government Grants for Flooding Schemes. The proposed allocations for these proposals requires further consideration and a future Cabinet Report will be presented to Members in order to seeking approval for inclusion within the 2017/18 Capital and Revenue budgets respectively.

4. REASONS:

To allow the Capital budget to be created for the Transport Grant schemes and the Section 106 contributions to ensure proper and effective use of these contributions for highway and transport improvements that have been received by the Council.

5. RESOURCE IMPLICATIONS:

There are no resource implications arising from this report, as the funding in question will be paid to the authority by the grant issuing body or developer as per legal agreement however in line with the Council's Standing Orders these allocations will need to be included in the 2017/18 Capital and Revenue budgets respectively.

6. CONSULTEES:

Senior Leadership Team

7. BACKGROUND PAPERS:

Award letter from Welsh Government

Section 106 Scheme List

8. AUTHOR:

Paul Keeble
Group Engineer (Highway & Flood Management)

9. CONTACT DETAILS:

Tel: 01633 64733
E-mail: paulkeeble@monmouthshire.gov.uk

Appendix A – Transport Capital and Revenue Grant funded Schemes

DESCRIPTION	SUM	PROPOSED WORKS
Active Travel	£5,000 (2017/18)	To further develop Integrated Network Maps as required under the Active Travel (Wales) Act
Abergavenny – Llanfoist Active Travel Bridge	£349,000 (2017/18)	To further develop the design and contract documents for a walking & cycling bridge across river Usk between Llanfoist and Abergavenny
Monmouth Wyebridge Junction Improvement	£260,000 (2017/18)	To further develop a scheme to reduce congestion and improve pedestrian and cyclist crossing facilities at the A40/A466 Monmouth Wyebridge junction
Abergavenny Town Centre Improvements	£350,000 (2017/18)	To extend the public realm scheme on High Street to Frogmore and Lion Street linking up with the new retail development and public transport facilities etc
Safe Route in the Community (SRiC)	£38,000 (2017/18)	To deliver a new road crossing on Wonastow Road.
Road Safety	£56,000* (2017/18)	To deliver road safety training throughout Monmouthshire including Kerbcraft to support Welsh Government objectives to reduce road casualties.

Appendix B - New Highway / Transportation Section 106 Agreements

DESCRIPTION	SUM	SPEND DATE	PROPOSED WORKS	COMMENTS
Abergavenny Town Centre - Morrison Superstore linkage works with TC	£355,000	N/A	To provide and enhance pedestrian and cycling linkage within the Town	Contribution to support works identified as part of the Transport Grant outlined in Appendix A.
Wyesham - Highway and Road Safety Improvements associated with the former Infants School (exp. 25/01/2018)	£15,000	Jan 2018	To provide highway and road safety improvements within the locality of Wyesham	

Sudbrook – Highway and Road Safety Improvements associated with the former Jnr School	£4,500	Jan 2018	To provide highway and road safety improvements within the locality of Sudbrook	
Trellech – Improvements footway links associated with the new housing development adjacent to Trellech School (contribution towards Make Trellech Safe Traffic Scheme)	£6,500	N/A	To provide highway and road safety improvements within the locality of Trellech	Contribution to Make Trellech Safe Road Safety Scheme



<p>Name of the Officer - Paul Keeble Phone no: 01633 644873 E-mail: paulkeeble@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal:</p> <p>To seek member approval for highway and transportation schemes as part of Welsh Government transport grants and Section 106 agreements associated with new developments throughout Monmouthshire</p>
<p>Name of Service – Highways/ Transport</p>	<p>Date Future Generations Evaluation – 11/05/2017</p>




NB. Key strategies and documents that may help you identify your contribution to the wellbeing goals and sustainable development principles include: Single Integrated Plan, Continuance Agreement, Improvement Plan, Local Development Plan, People Strategy, Asset Management Plan, Green Infrastructure SPG, Welsh Language Standards, etc



1. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	<p>Neutral</p>	
<p>A resilient Wales</p>	<p>Neutral</p>	

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)		
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	Neutral	
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	Positive	Highway and transport schemes identified within this report will contribute to improving access and highway safety.
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Neutral	
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	Neutral	
A more equal Wales People can fulfil their potential no matter what their background or circumstances	Neutral	

2. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	N/A	
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	N/A	
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	Planned works have been developed in consultation with partners and statutory consultation processes will be required where orders are required in addition to further public engagement where appropriate	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	N/A	
 <p>Integration</p> <p>Considering impact on all wellbeing goals together and on other bodies</p>	N/A	

- 3. Are your proposals going to affect any people or groups of people with protected characteristics?** Please explain the impact, the evidence you have used and any action you are taking below. For more detailed information on the protected characteristics, the Equality Act 2010 and the Welsh Language Standards that apply to Monmouthshire Council please follow this link: <http://hub/corporatedocs/Equalities/Forms/AllItems.aspx> or contact Alan Burkitt on 01633 644010 or alanburkitt@monmouthshire.gov.uk

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	Increase accessibility		
Disability	Increase accessibility		
Gender reassignment	N/A.		
Marriage or civil partnership	N/A		
Pregnancy or maternity	N/A		
Race	N/A		
Religion or Belief	N/A		
Sex	N/A		
Sexual Orientation	N/A		
Welsh Language	New works will be fully compliant with the current Welsh Language Act		

- 4. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities?** For more information please see the guidance <http://hub/corporatedocs/Democratic%20Services/Safeguarding%20Guidance.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	N/A	N/A	
Corporate Parenting	N/A	N/A	

5. What evidence and data has informed the development of your proposal?

Public consultation exercise or other forms of engagement have been held as part of the development of the proposed works and where appropriate feedback from such exercises have been incorporated within the various schemes.

6. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

The proposals offer positive change and will be monitored and reviewed to help identify future schemes and works.

7. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible	Progress
Implement the programme of works	A schedule of responsible officers for each scheme has been prepared and will be monitored through the design and implementation stages of the planned works	Highways/ Passenger Transport Unit	On-going

8. MONITORING: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

The impacts of this proposal will be evaluated on:	Schemes will be evaluated against their original objectives and as set out within the original bids/ legal agreements.
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9. VERSION CONTROL: The Future Generations Evaluation should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
			<i>This will demonstrate how we have considered and built in sustainable development throughout the evolution of a proposal.</i>

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REPORT

SUBJECT	REVENUE & CAPITAL MONITORING 2016/17 OUTTURN STATEMENT
DIRECTORATE	Resources
MEETING	Cabinet
DATE	7th June 2017
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 reporting period 4 which represents the financial outturn position for the 2016/17 financial year.
- 1.2 This report will also be considered by Select Committees as part of their responsibility to,
- assess whether effective budget monitoring is taking place,
 - monitor the extent to which budgets are spent in accordance with agreed budget and policy framework,
 - challenge the reasonableness of projected over or underspends, and
 - monitor the achievement of predicted efficiency gains or progress in relation to savings proposals.

2. RECOMMENDATIONS PROPOSED TO CABINET

- 2.1 That Members consider a net revenue outturn unspend of £884,000, an improvement of £805,000 on quarter 3 outturn predictions.
- 2.2 Members consider a capital outturn spend of £40.03m against a revised budget of £40.98million, after proposed slippage of £17.5 million, resulting in a net underspend of £951k.
- 2.3 Consider and approve the £17.5m capital slippage recommended (detailed in appendix 2), paying attention to those schemes described in para 3.3.6 where slippage has been requested by the service manager but is not being recommended to slip (£198k).
- 2.4 Considers the use of reserves proposed in para 3.4.1,
- 2.5 Supports the apportionment of general underspend in supplementing reserve levels as described in para 3.4.3 below, i.e.:

Priority Investment Fund	£570k
Redundancy & Pension Reserve	£114k
IT Transformation Reserve	£100k
Capital Receipts Generation Reserve	£100k
 Total	 £884k

- 2.6 Members note that the low level of earmarked reserves will severely reduce the flexibility the Council has in meeting the challenges of scarce resources going forward.

- 2.7 Members note the significant reduction in the overall school balance at the end of 2016/17 and supports the continuing work with schools to ensure that the Council's Fairer Funding scheme requirements are met and that the overall schools balance remains positive in 2017/18.

3. MONITORING ANALYSIS

3.1 Revenue Position

3.1.1 Revenue budget monitoring information for each directorate's directly managed budgets is provided together with information on corporate areas.

3.1.2 Responsible Financial Officer's Summary of Overall Position Period 4 : Final outturn

Table 1: Council Fund 2016/17 Outturn Forecast Summary Statement at Period 4 (Outturn)

Service Area	Budget Reported @ Month 9	Budget Virements & Revisions made during Period 4 £'000	Revised Annual Budget @ Outturn £'000	Outturn £'000	Forecast Over/ (Under) @ Outturn £'000	Equivalent Forecast Over/(Under) @ month 9 £'000	Variance in Forecast since month 9 £'000
Adult Services	7016	93	7109	6929	-180	-100	-80
Children Services	9804	-39	9765	10338	573	584	-11
Community Care	20624	1	20625	21413	788	594	194
Commissioning	1543	0	1543	1427	-116	-93	-23
Partnerships	347	0	347	398	51	0	51
Public Protection	1460	0	1460	1378	-82	-3	-79
Resources & Performance	911	-42	869	869	0	3	-3
Total Social Care & Health	41705	13	41718	42752	1034	985	49
Individual School Budget	43224	-63	43161	43191	30	34	-4
Resources	1508	0	1508	1523	15	-4	19
Standards	5066	17	5083	5084	1	140	-139
Total Children & Young People	49798	-46	49752	49798	46	170	-124
Business Growth & Enterprise	1028	-214	814	801	-13	25	-38
Planning & Housing	1362	0	1362	1151	-211	-180	-31
Tourism Life & Culture	2902	80	2982	3424	442	448	-6
Total Enterprise	5292	-134	5158	5376	218	293	-75
Governance, Engagement & Improvement	4620	-21	4599	4502	-97	22	-119
Legal & Land Charges	448	0	448	401	-47	-30	-17
Operations	16922	-126	16796	16425	-371	-152	-219
Total Chief Executives Unit	21990	-147	21843	21328	-515	-160	-355
Finance	2242		2242	2011	-231	-101	-130
Information Communication Technology	2371	-89	2282	2328	46	-1	47
People	1463	0	1463	1505	42	100	-58
Place	-722	42	-680	-576	104	210	-106
Total Resources	5354	-47	5307	5268	-39	208	-247

Precepts and Levies	16484	0	16484	16488	4	4	0
Coroners	80	0	80	100	20	20	0
Gwent Joint Records	183	0	183	182	-1	0	-1
Corporate Management (CM)	186	0	186	553	367	475	-108
Non Distributed Costs (NDC)	726	0	726	818	92	108	-16
Strategic Initiatives	634	-146	488	0	-488	-440	-48
Insurance	1218	0	1218	1396	178	-74	252
Total Corporate Costs & Levies	19511	-146	19365	19537	172	93	79
Net Cost of Services	143650	-507	143143	144059	916	1589	-673
Fixed Asset disposal costs	95	-20	75	75	0	16	-16
Interest and Investment Income	-55	0	-55	-89	-34	-18	-16
Interest payable & Similar Charges	3496	2	3498	2923	-575	-555	-20
Charges required under regulation	3427	62	3489	3373	-116	-54	-62
Contributions to Reserves	105	0	105	318	213	3	210
Contributions from Reserves	-2017	352	-1665	-1880	-215	0	-215
Capital Expenditure funded by revenue contribution		109	109	109	0	0	0
Appropriations	5051	505	5556	4829	-727	-608	-119
General Government Grants	-63567	0	-63567	-63567	0	0	0
Non Domestic rates	-27981	0	-27981	-27981	0	0	0
Council Tax	-63411	0	-63411	-64076	-665	-650	-15
Council Tax Benefits Support	6258	0	6258	5852	-406	-409	3
Financing	-148701	0	-148701	-149772	-1071	-1059	-12
Budgeted contribution from Council Fund	2	0	2	0	-2	-2	0
Net Council Fund (Surplus) / Deficit	2	-2	0	-884	-884	-79	-805

3.1.3 The bottom line situation of a £884k underspend is an improved position since month 9 and is caused mainly by the reduction in overspend exhibited in net cost of services. The overspend in net cost of services is offset by underspends in treasury caused by the continuing cash flow effect of Minimum revenue provision changes, delays in fixed asset disposal, an excess of interest receivable and reduced cost of interest payable, caused ultimately by the levels of capital slippage and underspends at end of year not forecast as necessary by service managers earlier in the year. A surplus on council tax collection has been maintained as forecast through the year along with a reduction in the demand for Council Tax Benefits which has also helped with the overall position.

3.1.4 Whilst any overall underspend is a pleasing result for the year, the outturn variance may seem a big amount. Putting the outturn variance in context, it is less than 0.6% variation against the net cost budget before financing. That is an incredibly close correlation given the volume of budget holders involved in the process, the volatility in pressures and savings proposals experienced during the year and the need to secure compensatory savings to mitigate adverse positions highlighted earlier in the year. The use of periodic monitoring as a tool for change during the year should not be underestimated.

3.1.5 A comparison of the Net Council fund line against previous years activity indicates the following,

Net Council Fund Surplus	2016-17	2015-16	2014-15
	£'000	£'000	£'000
Period 1	1,511 deficit	867 deficit	219 deficit
Period 2	839 deficit	1,066 deficit	116 deficit
Period 3	79 surplus	162 deficit	144 deficit
Outturn	884 surplus	579 surplus	327 surplus

3.1.6 Redundancy costs

Members are commonly keen to understand the extent of an redundancy payments made during the year, as staffing remains the most significant and controllable expense to most service areas. As a change from previous years, as part of the 2016-17 budget process, members may recall establishing a corporate revenue budget to mitigate the volatile effect on reserves, similar to the £300k budget held within CYP Directorate for schools redundancies.

Directorate	Service	Redundancy Costs 2016-17
Enterprise	Leisure	34,566
Chief Executives	Highways & Traffic	27,924
	Catering	9,295
	Community Education	2,797
	Community Hubs	3,821
	Sub total	43,837
Social Care & Health	Children's Services	68,124
	CLD team	1,933
	Community Care	2,230
	Day Centres	1,781
	Direct Care	135,481
	Public Health	8,164
	Sub total	217,713
Children & Young People	Schools	282,692
	Early Years	18,202
	Sub total	300,894
Total		597,010

- 3.1.7 Given the financial challenges that will continue to face the Authority for the foreseeable future, Chief Officers continue to be tasked with ensuring that services live within the budgets and savings targets set for the current financial year.
- 3.1.8 A summary of main pressures and under spends within the Net Cost of Services Directorates include,

3.1.9 Stronger Communities Select Portfolio (£2,180k net underspend)

- Chief Executives Unit (£515k underspend)

Legal division exhibited a **£47k surplus**, due to staffing savings and windfall land charges grant. **Governance, engagement and improvement** exhibited a favourable swing of £118k between month 9 and outturn to end the year with a **£96k surplus**, largely the consequence of not having to return utilised grant from previous years, new members IT needs falling into 2017-18, and a conscious effort at Community Hubs to reduce expenditure to compensate for the loss in franchise income being felt in Community Education. **Operations exhibited** an improvement of £219k on month 9 position to end the year at a **combined £371k surplus**. The position for each of main Operations areas is as follows, Highways £16k deficit, Property and Procurement £182k surplus (importantly the service has resolved the large deficit in schools catering it received from CYP Directorate when the service moved), Passenger Transport £72k deficit, Transport administration £27k surplus, Waste and Streetscene £249k surplus..

- Resources Directorate (£39k underspend)

An underspend in Finance Division costs of £231k, predominantly predicted savings in housing benefit and council tax administration. **IT** shows a worsening position since month 9 ending the year as a **£45k deficit**, the effect of a previous presumption to develop and sell software not being compensated by alternate savings identified by the service. **People services exhibited £43k deficit** due to the delays with implementing the Training budget mandate (£50k) and take up of Flexible benefits being negligible against a target saving mandate of £50k. **Place division** ended the year an improved **deficit of £104k**, still affected by shortfalls against income targets, £47k overspend in respect of Markets, a mixture of increased costs in association with Borough Theatre, and a shortfall in income against income targets. The remainder £75k is a result of an unachievable mandate for the commercialisation/optimising of Enterprise Assets that has recently transferred to the new Directorate. This pressure has been identified and built into 2017-18 budget proposals going forward.

- Corporate (£172k overspend)

There is an excess of net pension strain costs (£108k) caused by past and current redundancy decisions. Corporate management exhibits a £475k overspend caused predominantly by a shortfall in reimbursement in rating appeals forecast as £140k deficit, miscellaneous write off of unrecoverable debts £47k, £318k of employment tribunal settlement costs, and coroner costs being higher than budgeted (£20k overspend). These costs are offset by the underspend within Strategic initiatives of £487k, which reflects Living wage and redundancy budget, where instead the costs sit in individual Directorates through the year, to be absorbed/mitigated in first instance. The main change since month 9 is an increase in Insurance outturn costs which exhibits £178k deficit at end of year. This is caused by the level of provisions needing to be set aside in the insurance reserve to compensate for the extent of significant claims received during the year and the settlement costs experienced in managing an imprest in respect of historic MMI claims on an all Gwent basis.

- Appropriations (£727k underspend)

Caused predominantly by a net £609k saving in treasury/borrowing costs from active treasury management and utilising recurrent short term borrowing as an alternative to taking out more expensive long term borrowing. Net borrowing costs are also favourably affected by any delay in the timing of expenditure, capital slippage and capital underspends where it avoids borrowing presumed. The remainder is an exhibited beneficial effect to minimum revenue provision payments.

- Financing (£1,071k underspend)

The net effect from an excess of Council tax receipts and less than anticipated Council tax benefit payments

RESOURCES DIRECTOR CONTEXT & COMMENTARY

I am delighted to see the directorate achieve an under spend position at the end of the year having struggled throughout the year to contain pressures resulting primarily from budget savings that were identified as being unachievable. These pressures have impacted significantly on the outturn position but have been offset as a result of efforts made across the directorate to contain and limit expenditure. One-off savings were achieved as a result of one-off grant and income in housing benefits and strategic property management and cemeteries. The directorate has also benefitted from vacancy savings resulting from delays in restructuring. Moving into 2017/18 the directorate has benefitted from unachievable budget savings from the current year being removed. That said 2017/18 will still be a challenging year as the directorate looks to deliver its savings plans and continues to support the organisation at large with its agenda for change.

HEAD OF OPERATIONS CONTEXT & COMMENTARY

The Operations department returned an underspend of £371,000 contribution towards the Council's overall out turn position.

The department provides a wide range of 'public' services often affected by customer demand, contractual relationships, materials/fuel costs and service demands determined for example by matters such as weather, litter, road conditions etc.

Given the inherent volatility in some aspects of service costs along with further budget reductions in 2016/17 the out turn is pleasing although the variation from the month 9 forecast is acknowledged and officers will endeavour in 17/18 to improve the projections in year. Some of the major service issues affecting out turn are mentioned below:

The mild winter with less freezing conditions and no major snow fall allowed Highways operations to return an underspend, obviously the out turn each year is affected by weather conditions so these are difficult to forecast. Similarly property maintenance returned an underspend again aided by a mild and relatively storm free winter period.

Passenger Transport suffered significant sickness absence costs. Working with HR colleagues has seen this position improve dramatically in the latter part of the year but obviously cover has to be found to ensure services are provided so costs are inevitably incurred for overtime or extra staff.

Waste and Street scene predicted an underspend early on due to the structure of annuity payments from WG for to Prosiect Gwyrdd, low take up of the occupational pension scheme (superann) and tonnages down on projections.

3.1.10 Economy & development Select Portfolio (£136k net overspend)

- Enterprise Directorate (£218k net overspend)

Business growth and enterprise incurred a net **£14k underspend**, the net effect of RDP grant funded expenditure being deferred. The effect of this is transferred to reserves through Appropriations.

Planning & Housing (£210k underspend) – Development control exhibits a deficit of £38k through reduced development and income activity, conversely development plans area exhibits £203k surplus, which is rather artificial as the saving is largely resultant from Local development plan (LDP) costs being deferred which will instead crystallise next year (hence the reserve movement

through Appropriations). Housing exhibits a £45k underspend which is a mixture of net one off grant received in homelessness, an excess of income in lodging scheme being above occupation assumptions, a premise cost savings in no longer sharing accommodation with a neighbour authority and minor staff savings.

Tourism, leisure & culture (£443k overspend) - Countryside exhibit an underspend of £20k from part vacancy and extra grant funding. There is a £311k overspend in respect of Cultural services, of which the main pressures are Caldicot Castle (£176k), Old Station (47k), Shire Hall (£18k) and Museums (47k). There is £15k overspend against the budgeted management agreement with Borough Theatre. Leisure services ended the year with a small £6k surplus, which is a particularly good result given senior colleagues involved with Alternate Delivery Model considerations. Events exhibits a £50k deficit against its budgeted surplus, although has mitigated the loss forecast at month 9 by £16k through its recharges to Caldicot Castle. Tourist Information Centres indicate a £62k overspend due the service being run above the level presumed by saving levels volunteered by the Directorate for this service. Youth services are a recent addition to Enterprise Directorate, and have been absorbed in part between Business Growth and Enterprise sub division and Tourism Leisure and Culture subdivision. It was received from CYP with a significant inherent deficit and whilst there is still a £45k deficit, the service does exhibit a collective improvement of £102k since month 6.

- Social Care & Health (£82k underspend)

Public Protection (£82k underspend) – predominantly an excess of wedding deposits received by registrars (£37k), and the net fees & charges within Public Health service (£41k).

ENTERPRISE DIRECTOR'S CONTEXT & COMMENTARY

The outturn position reflects the continued pressures in the very area of the service that is currently under consideration for alternative means of delivery – Leisure, Tourism and Culture. Whilst aspects of this remain competitive and strong in generating revenue returns such as Leisure and Outdoor Education, there are parts of the service that don't have the same opportunities to generate income to similar levels purely on account of their scope and function. If these services are to be preserved in future given the wider value and returns they generate to the county, there is a core cost attached to this, which must be considered as part of future delivery expectations.

3.1.11 Adult Select Portfolio (net £492k overspend)

- Social Care & Health

Adult Services (£180k underspent) – the net effect of secondments and intermediate care funding sustaining services, a saving of £119k has resulted from the My Day review and the effect of superannuation savings, which compensates for the £91k net overspend in Direct Care due to additional staff costs.

Community Care (£788k overspend) – this area has now overtaken Children's Services as the most significant financial challenge affecting Social Care Directorate. The net pressure is reported due to 2 cases administered by Community Learning Disability team incurring £348k overspend, the continued care package demands predominantly within the Chepstow team and Mental Health Care team, which collectively result in £1million deficit. These are compensated in part by savings within the other 2 teams (£199k), reported Frailty partnership cost underspends (£126k) and net Independent Living and Intermediate Care funding total collectively £251k.

Commissioning (£116 underspend) – predominantly a savings within Drybridge Gardens service area caused by a refund on the last 3 years management agreement and a vacant unit at the site, and a return of historic un-utilised funding from a third party.

SCH DIRECTOR'S CONTEXT & COMMENTARY

Overall the Social Care and Health outturn was an overspend of £1.034million. This includes an overspend £51k for the Monmouthshire/ Torfaen Youth Offending Services which was a planned position to be met from service's reserves whilst changes to the staffing model are implemented. The considerable pressures reported throughout the year in adult and children's social services were reflected in the year end position. Children's Social Services reported an overspend of £572K as a consequence of pressures in placements for Looked After Children legal costs, agency workforce. These pressures were recognised in the 2017/18 budget and activity in all 3 areas is being taken forward through the Children's Services Improvement programme. Adult Social Services outturn was an overspend of £492K. The overspend arose as a consequence of not achieving the practice change mandate, which exposed underlying pressures in older adult mental health services and the Chepstow Integrated Team arising from demographic pressures and pressures within the social care market. Again, these pressures have been reflected in the 2017/18 budget and a significant piece of work is underway to try and put commissioning of care at home on a sustainable footing. The overall Social Care and Health position was supported by an underspend of £81k in public protection, due to increased income generation from wedding deposits and a re-designed charging rate schedule.

3.1.12 Children & Young People Select Portfolio (net £670k overspend)

- Social Care & Health (£623k adverse)

Children's Services (net £573k overspend) – this is now no longer the greatest financial challenge within Social care. Encouragingly the direct child care cost element only exhibits £64k deficit. Conversely staffing team costs still exhibits £508k adverse situation, mainly described by the service as being caused by the continuing use of agency staff.

Youth offending team partnership (£51k deficit) – whilst this shows as an overspend as part of the management accounting spreadsheets, this service is a partnership administered by the Council on behalf of itself and others and the deficit balance is transferred through Appropriations to a ring-fenced reserve.

- Children and Young People (net £46k overspend)

School Budget Funding exhibited a **£30k overspend** due to additional support provided by LEA in respect of staffing and IT charges. There is an **overspend of £16k** within the **Resources subdivision** caused by net interim management arrangements. **Standards subdivision** exhibits a **breakeven** position which hides some large movements, with £63k savings in ALN management and £40k savings in EAS costs compensating for the net direct additional learning needs costs of £104k.

SOCIAL CARE & HEALTH DIRECTOR'S CONTEXT & COMMENTARY

Overall the Social Care and Health outturn was an overspend of £1.034million. This includes an overspend £51k for the Monmouthshire/ Torfaen Youth Offending Services which was a planned position to be met from service's reserves whilst changes to the staffing model are implemented. The considerable pressures reported throughout the year in adult and children's social services were reflected in the year end position. Children's Social Services reported an overspend of £572K as a consequence of pressures in placements for Looked After Children legal costs, agency workforce. These pressures were recognised in the 2017/18 budget and activity in all 3 areas is being taken forward through the Children's Services Improvement programme. Adult Social

Services outturn was an overspend of £492K. The overspend arose as a consequence of not achieving the practice change mandate, which exposed underlying pressures in older adult mental health services and the Chepstow Integrated Team arising from demographic pressures and pressures within the social care market. Again, these pressures have been reflected in the 2017/18 budget and a significant piece of work is underway to try and put commissioning of care at home on a sustainable footing. The overall Social Care and Health position was supported by an underspend of £81k in public protection, due to increased income generation from wedding deposits and a re-designed charging rate schedule.

CHILDREN & YOUNG PEOPLE DIRECTOR'S CONTEXT & COMMENTARY

The Children and Young People's Directorate has worked very hard to close the year with a small overspend. This is an excellent outcome set against a challenging year where there has been interim management arrangements in place within the directorate and the ongoing pressures to meet the needs of children throughout the County.

The Directorate's outturn position is an overspend of £46,000; this is an improvement of £124,000 compared to Month 9. The primary factor is ongoing pressure on the Additional Learning Needs (ALN) budget. This area, in particular, remains under significant pressure and subject to volatility due to the requirement to support an increasing number of our pupils with complex needs.

Outside of the retained directorate budget the largest area of spend is within the Individual School Budgets (ISBs). Whilst the outturn position is broadly in line with budget this masks the considerable pressure that schools have experienced in existing with their allocated budget. There has been a call upon school reserves in year of £887,000 leaving schools with year end balances of £268,000. Within this figure there is a range of deficits and surpluses and the situation is challenging for many of our schools

3.2 2016/17 Savings Progress

3.2.1 This section monitors the specific savings initiatives and the progress made in delivering them in full by the end of 2016/17 financial year as part of the MTFP budgeting process.

In summary they are as follows,

								Appendix 1	
Budgeted Service Savings Mandates Progress 2016/17									
DIRECTORATE	Saving included in 2016/17 Budget	Savings reported achieved month 2	Savings reported achieved month 6	Savings reported achieved month 9	Savings reported achieved @ outturn	Percentage progress in achieving savings	Delayed savings	Savings not achievable	
	£'000	£'000	£'000	£'000	£'000	%	£'000	£'000	
Children & Young People	600	600	600	600	600	100%	0	0	
Social Care & Health	640	640	12	12	12	2%	0	628	
Enterprise	310	285	285	245	245	79%	40	25	
Resources	544	318	299	260	120	22%	215	209	
Chief Executive's	1,565	1,442	1,442	1,437	1,437	92%	85	43	
Total Mandated Service Savings 2016-17	3,659	3,285	2,638	2,554	2,414	66%	340	905	

There has been 1 change identified by services since month 9 reporting, relating from the delay in our rating appeals being considered by Valuation Office.

- 3.2.2 Forecasted mandated savings are currently running at 66%, down from 70% at period 3, with currently £095,000 being deemed unachievable, and a further £340,000 unlikely to crystallise in 2016-17.
- 3.2.3 The emphasis of reporting savings has changed from previously where savings were reported when they were manifest, however the judgement is now whether saving is forecast to be achieved.
- 3.2.4 Consequently the savings appendix also has a traffic light system to indicate whether savings are likely to be achieved or have justifiable reasons explaining delayed implementation. The following summary of savings mandates are still reported to be red or amber risk.

3.2.5 **Stronger Communities Select Portfolio**

Resources Directorate

- Mandate A5: Sustainable Energy Initiatives: Expected income targets of £34,000 are unachievable, alternative delivery plan of increased income on property rental portfolio and reduced expenditure on repairs and maintenance proposed
- Mandate B3: Training Services Consolidation: Consolidation of authorities existing training functions and increased revenue streams of £50,000 are unachievable. Alternative delivery plans are being considered.
- Mandate B5a: Community Asset Transfer £60,000: MCC still in discussions over transfer of Chepstow Drill Hall and Melville Theatre. £45,000 of the £60,000 savings contained within the mandate are forecast to be achieved.
- Mandate B5b: Optimisation/commercialisation of assets within Enterprise Division. This mandate was originally wholly with Enterprise Directorate. Responsibility for £75k of £100k was transferred to Resources Directorate recently, but is unlikely to be achieved this close to year end. The mandate has been regarded as unachievable longer term and alongside others is an element of pressures to be accommodated as part of 2017-18 budget process
- Mandate B16: Flexible Employment Options £50,000: Scheme exhibits little demand amongst staff.
- Mandate B17: Rating appeals £140,000. Appeals have been lodged with Valuation Office, but due to demands in producing a revised business rate listing a backlog in appeals cases being heard has resulted. It is anticipated the appeals the Council have submitted will be heard during 2017-18
- Mandate B18: Strategic Property Review: £21,000 shortfall identified as a failure to achieve Residential Letting Income and the Depot Rationalisation Programme which will take longer than expected.

Chief Executive's Office

- Mandate B11: Senior Leadership Structure Review: Currently £42,700 of the £315,000 mandated savings still to be found. Current structures under review in regard to achieving this further saving.
- Mandate 21: Town & Community Councils: The mandate is currently £60,000 short of the £400,000 in regard to the service collaboration for Tourism (£20k), Museums (£20k), and Public Conveniences (£20k).
- Mandate A28: Community Hubs: In a change from month 6, the original saving proposal £25,000 will not be achieved in the fashion original presumed by Contact Centre but the Community Hub service overall is still anticipated to break even against budget.

3.2.6 Economy & Development Select Portfolio

Enterprise (ENT) Directorate

- Mandate B5 b and c: Community Asset Transfer / Income Generation £25,000 of the original £100,000 relates to revised Leisure income targets. The remaining improvements from optimisation of assets has transferred to Resources Directorate. Neither element is forecast to be achieved this year, and has been added to the pressures for consideration as part of 2017-18 budget process.

3.2.7 Adult Select Portfolio

Social Care & Health (SCH) Directorate

- Mandate A34. Whilst current year savings were anticipated to be delivered in full at period 1, a revised overspend particularly with Community Care arm of Social Care of £888,000 currently, makes it unlikely to conclude that the practice change mandate of £628,000 is deliverable this financial year.

3.2.8 Children and Young People Select Portfolio

Children and Young People (CYP) Directorate

- Current year savings are anticipated to be delivered in full.

3.3. Capital Position

3.3.1 The summary Capital position at Outturn is as follows

MCC CAPITAL BUDGET MONITORING 2016-17 AT Outturn by SELECT COMMITTEE						
SELECT PORTFOLIO	Actual Spend at Outturn	Slippage Brought Forward	Total Approved Budget 2016/17	Capital Slippage to 2017/18	Revised Capital Budget 2016/17	Capital Expenditure Variance
	£000	£000	£000	£000	£000	£000
Children & Young People	27,792	39,731	43,207	(15,302)	27,906	(114)
Adult	79	30	86	0	86	(7)
Economic & Development	4,314	680	5,280	(966)	4,314	0
Strong Communities	7,847	3,243	9,777	(1,100)	8,677	(830)
Capital Schemes Total	40,031	43,684	58,350	(17,368)	40,982	(951)

Slippage to 2017-18

3.3.2 Total Slippage at Outturn is (£17,367k), which mainly relates to Future Schools (£14,909k), £522k within individual S106 schemes, the Solar Farm (£505k), £351k within Schools ICT, Bryngwyn cattle market sewage works at £183k and a further £152k in relation to Granville Street / Wyebridge Street car parks.

3.3.3 In comparison with quarter 3 service managers collectively identified slippage levels of £12.4m, necessitating £25m actual expenditure in last quarter. Whilst that level of spend hasn't been achieved the extent of slippage is roughly half the level of 2015-16 levels, which is encouraging given the motivations and communications made to reduce in year slippage.

3.3.4 This will be the third year that a more detailed examination of slippage requests is made based upon the principles established previously i.e.

- whether there has been little or no progress in previous 12 month,
- the level of expenditure incurred this year has been less than in year budget and slippage b/fwd., to consider any opportunity to realign the budget to more realistic levels or reprofile budget more accurately over multiple years,
- or where there are identified problems/barriers to progress e.g. no agreement over scheme, archaeological considerations, planning considerations not yet satisfied or where the manager hasn't clearly evidenced why this should be a slippage in the request made.

3.3.5 The capital monitoring tends to be used by Members as a progress/performance tool. Examination of slippage requests suggest capital projects continue to be put into current year when there is little likelihood of being progressed. It is recommended that any report advocating to Council additional capital expenditure needs to highlight accurately which year the spend relates to so it can be profiled into the correct capital programme. Similarly with Property maintenance the slippage narratives indicate work can only proceed at certain times of the year. Where that hasn't occurred it would be sensible to reallocate the budget to an alternate priority and reintroduce in the following year out of the next year's allocation.

3.3.6 Appendix 2 indicates the extent of capital slippage requests received, which have been categorised into those proposed to Members for endorsement and those not. This year, in support of better considering the correct year for slipping approved expenditure into, a third column has been added to the table, to indicate those schemes where slippage is endorsed but where the year involved is still to be confirmed. The presumption being to add them back into those years at the slippage level indicated without a need for additional Council report.

		£'000
Extent of Slippage Requested		17,730
Endorsed to be added to 2017-18 capital programme		17,317
Endorsed to be added to a future capital programme		215
Rejected for slippage purposes		198
Total		17,730

Capital Outturn

3.3.7 Major revisions to the capital programme within year included Cabinet approvals for the Solar Farm at Oak Grove (£4,455K) and £600k for the Public Realm Abergavenny Town Centre scheme other than specific Grant funded or S106 Schemes.

3.3.8 Allowing for the extent of supported slippage requests, outturn capital spending was £40.03million against a budget of £40.98 million, creating an underspend of £951k.

3.3.9 However this is not all available for redistribution. For instance the underspends resulting from not automatically slipping sc 106 scheme balances forward will provide no net saving to the authority and will be returned to sc106 balances for refresh and possible reallocation. Similarly the IT reserve funded schemes not slipped will have those net resources returned to IT reserve and the low cost Home Ownership amount will be returned to receipts pool to be available to facilitate future back to back sales as such sales are demand led rather than annualised. Also the underspend in relation to Highways schemes (£376k) was earmarked to be funded by grant. So effectively looking at the financing table below, the saving for redistribution can be equated to the unsupported borrowing avoided i.e. £205k.

3.3.10 During the capital budget consultation, a number of other areas were identified where there is a commitment to invest, however the schemes currently sit outside the 2017-18 programme as work progresses to identify the funding requirements. These were:

- Monmouth Pool – commitment to reprovide the pool in Monmouth as a consequence of the Future schools programme
- Abergavenny Hub – commitment to reprovide the library with the One Stop Shop in Abergavenny to conclude the creation of a Hub in each of the towns
- Disabled Facilities Grants – the demand for grants is currently outstripping the budget, work is being undertaken to assess the level of investment required to maximize the impact and benefit for recipients. Subsequently Members agreed to supplement the existing DFG budget by £300k, from 2017-18
- City Deal - 10 Authorities in the Cardiff City region are looking at a potential £1.2 billion City Deal. Agreement to commit to this programme is being sought across the region in January

and so would impact on the capital MTFP. The potential impact on individual authority budgets is currently being modelled in advance of decisions on specific projects and profiles in order for authorities to start reflecting the commitment in their MTFPs.

- J and E Block – the office rationalization programme is being considered to see if there is a solution that would enable the Magor and Usk sites to be consolidated, releasing funding to pay for the necessary investment to bring the blocks into use.

3.3.11 Whilst we have added some additional headroom into the Appropriations budget to afford, whether it will be sufficient or not remains to be seen. It is proposed to park further consideration of 2016-17 underspend, until colleagues report back to Council for approval to add to the capital programme.

Capital Financing and Receipts

3.3.12 Given the anticipated capital spending profile reported in para 3.3.1, the following financing mechanisms are expected to be utilised.

MCC CAPITAL FINANCING BUDGET MONITORING 2016-17 at Outturn By FINANCING CATEGORY						
CAPITAL FINANCING SCHEME	Annual Financing	Slippage Brought Forward	Total Approved Financing Budget 2016/17	Provisional Budget Slippage to 2017/18	Revised Financing Budget 2016/17	Forecast Capital Financing Variance 2016/17
	£000	£000	£000	£000	£000	£000
Supported Borrowing	2,400	0	2,400	(0)	2,400	0
General Capital Grant	1,461	0	1,461	0	1,461	0
Grants and Contributions	11,877	16,050	17,853	(5,628)	12,225	(348)
S106 Contributions	713	880	1,407	(522)	885	(172)
Unsupported borrowing	19,738	11,553	25,605	(5,662)	19,943	(205)
Earmarked reserve & Revenue Funding	894	590	1,219	(302)	917	(23)
Capital Receipts	2,948	14,500	8,292	(5,253)	3,039	(91)
Low cost home ownership receipts	0	112	112	0	112	(112)
Unfinanced	0	0	0	0	0	0
Capital Financing Total	40,031	43,684	58,350	(17,368)	40,982	(951)

Useable Capital Receipts Available

3.3.13 In the table 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 2016/20 MTFP capital budget proposals.

Movement in Available Useable Capital Receipts Forecast

TOTAL RECEIPTS	2016/17	2017/18	2018/19	2019/20
	£000	£000	£000	£000
Balance b/f 1 st April	5,311	18,935	4,472	510
Add:				
Receipts received in YTD	16,568	0	0	0
Receipts forecast received	0	10,596	5,560	5,660
Deferred capital receipts	4	4	4	4
Less:				
Receipts to be applied	-2,948	-22,635	-4,471	-509
Set aside	0	-2,428	-5,055	-3,281
Predicted Year end receipts balance	18,935	4,472	510	2,384
Financial Planning Assumption 2016/20 MTFP Capital Budget	18,151	6,452	3,985	3,481
Increase / (Decrease) compared to MTFP Capital Receipts Forecast	784	-1,980	-3,475	-1,097

3.3.14 The balances forecast to be held at the 31st March each year are generally lower than forecast in the MTFP, mainly due to the delayed LDP receipts. This difference is eradicated by March 2020 when all the LDP sites are forecast to have been sold. This is offset by the approval of £1,050,000 of capital receipts to fund the Abergavenny Public Realm scheme which was not part of the 2016/20 MTFP.

3.3.15 Members may recall a need to generate £32m receipts to afford their tranche A Future schools aspirations. Those levels aren't yet secured, this isn't a problem per se as the Council has been prioritising the use of Welsh Government funding ahead of its own. Next year capital receipt usage predominantly in regard to Future schools equates to £22m, but ahead of reserve levels and cash balances continue to be used as a source of internal borrowing to mitigate revenue costs within Appropriations budget.

3.3.16 There is an increasingly significant risk to the Council resulting from the need to utilise capital receipts in the same year that they come into the Council. This provides no tolerance or flexibility should the receipts be delayed, which isn't uncommon, and would necessitate compensatory temporary borrowing which is more costly than utilising capital receipts and would necessitate additional revenue savings annually to afford.

3.4 Reserves

3.4.1 Slippage on Earmarked Reserve funded projects

The following table indicates the extent of budgeted reserve funding utilised by Directorates and that element of approved expenditure they request to be deferred. These include,

Project	Reserve Source	Reserve funding utilised 2016-17	in	Reserve funding deferred 2017-18	to
		£'000		£'000	
Digital Programme costs	IT transformation	21		40	
Handsets (Connected worker)	Invest to Redesign			49	
Adult Social Care Transformation	Invest to Redesign	48			
HR restructure	Invest to Redesign	25		0	
Innovation and marketing assistance	Invest to Redesign	76		113	
Volunteer coordinator	Invest to Redesign	40			
External Investment Post	Invest to Redesign			14	
Informing the future of Cultural services	Invest to Redesign	51		0	
CYP services redesign	Invest to Redesign	12		37	
City Deal Contribution	Invest to Redesign	31			
Local Development Plan	Priority Investment			100	
Regional Development Plan	Priority Investment			63	
Eisteddfod	Priority Investment	287			
SCH Leadership Review	Priority Investment	51		74	
Future Monmouthshire	Priority Investment	120		130	
Children's Service Temporary staff	Priority Investment	169			
Schools sickness and maternity compensation scheme	CYP sickness and maternity reserve	10			
Elections Account	Election Reserve			100	
Youth Offending Team Partnership	Trading Account	51			
Redundancy Strain Costs	Redundancy & pension	593		0	
Insurance Provisions and MMI costs	Insurance Reserve	153			
Fixed asset disposal	Capital receipts generation reserve	75		21	
Vehicle leasing	Invest to Save Advances	67			
TOTAL				740	

3.4.2 The following reserve balances reflects capital and revenue movements during 2016-17 and provide a prediction on 2017-18 year end level based on existing approval levels and slippage levels above.

	2015-16	Net Draw On Reserve	Replenishment of Reserve	2016-17	Net Draw On Reserve	Replenishment of Reserve	2017-18
	B/fwd			C/fwd			Outturn prediction
	£'000	£'000	£'000	£'000	£'000	£'000	£'000
General Reserves							
Council Fund	- 7,111	0	0	- 7,111	0	0	- 7,111
School Balances	- 1,156	887	0	- 269		0	- 269
Sub Total	- 8,267	887	-	- 7,380	-	-	7,380
Main Earmarked Reserves							
Invest to Redesign	-1,298	337	0	-961	437	-135	-658
IT Transformation	-827	199	-100	-728	169	0	-558
Insurance & Risk Management	-1,236	153	0	-1,083	0	0	-1,083
Capital Receipt Regeneration	-322	75	-100	-348	142	0	-205
Treasury Equalisation	-990	0	0	-990	0	0	-990
Redundancy & Pensions	-1,274	593	-114	-795	298	0	-497
Capital Investments	-1,265	489	0	-776	157	0	-618
Priority Investments	-1,120	690	-570	-1,000	1,000	0	0
Sub Total	-8,333	2,535	-883	-6,681	2,205	-135	-4,610
Other Earmarked Reserves							
Museum Acquisitions	-57	0	0	-57	0	0	-57
Elections	-108	0	-25	-133	100	-25	-58
Grass Routes Buses	-140	9	-54	-184	0	-5	-189
Youth Offending Team	-325	51	0	-274	0	0	-274
Building Control Trading	-12	0	-14	-26	0	0	-26
Outdoor Education Centres	-190	0	0	-190	0	0	-190
Schools Maternity & Sickness	-104	10	0	-94	0	0	-94
Highways Plant & Equipment		0	-75	-75	0	0	-75
Homelessness Prevention Fund		0	-5	-5	0	0	-5
Rural Development Plan		0	-86	-86	86	0	0
Sub Total	-936	71	-259	-1,124	186	-30	-967
Total Reserves	-17,536	3,494	-1,142	-15,184	2,391	-165	-12,958

3.4.3 Earmarked reserves remain at limited levels unlikely to provide any material capacity/headroom to meet unanticipated volatility or significantly facilitate future service re-engineering and design.

With regard to the allocation of bottom line surplus to replenish reserves, the Sc151 officer's considered advice already indicatively reflected above would be:

Priority Investment Fund	£570k
Redundancy & Pension Reserve	£114k
IT Transformation Reserve	£100k
Capital Receipts Generation Reserve	£100k

Total £884k

Despite the proposed top up, current predicted use of the Priority investment reserve means that it will likely expire by the end of 2017-18 as a funding source.

- 3.4.4 Given the forecast use of earmarked reserves, Cabinet has previously approved a policy on earmarked reserves to ensure that earmarked reserves are focused on investment in areas where they can achieve most impact.

Schools Reserves

- 3.4.5 Each of the Authority's Schools is directly governed by a Board of Governors, which is responsible for managing the school's finances. However, the Authority also holds a key responsibility for monitoring the overall financial performance of schools. The net effect of an individual school's annual surplus or deficit is shown in a ring-fence reserve for the particular school. Details of the 2016-17 outturn position is shown in the table below.

Outturn movement on school reserves

	Opening reserves 2016-17 (Surplus)/Deficit	Budgeted reserve draw (based on formal budgets submitted by schools)	Predicted Reserve levels at Year end (period 1)	Actual Year end position at Outturn (Surplus)/ Deficit	Variance against budgeted level (favourable)/ adverse
<u>Abergavenny cluster</u>					
E003 King Henry VIII Comprehensive	(107,368)	241,418	134,050	139,355	5,305
E073 Cantref Primary	(41,987)	13,373	(28,614)	(52,766)	(24,152)
E072 Deri View Primary	(86,054)	61,965	(24,089)	(27,297)	(3,208)
E035 Gilwern Jnr & Inf	(41,298)	14,114	(27,184)	(39,636)	(12,452)
E037 Goytre Fawr Jnr & Inf	(53,920)	33,609	(20,311)	(25,371)	(5,060)
E041 Llanfair Kilgeddin CV Jnr & Inf	(66,824)	66,824	0	0	0
E093 Llanfoist Fawr	(93,789)	44,634	(49,155)	(68,056)	(18,900)
E044 Llantillio Pertholey Jnr & Inf	(37,176)	42,426	5,250	(20,967)	(26,217)
E045 Llanvihangel Crocorney Jnr & Inf	23,605	5,543	29,148	3,117	(26,031)
E090 Our Lady and St Michael's RC Primary School	(30,654)	18,973	(11,681)	(45,505)	(33,824)
E067 Ysgol Gymraeg Y Fenni	(58,741)	21,073	(37,668)	(48,966)	(11,299)
Successful Futures Grant Funding from EAS	0		0	0	0
<u>Caldicot cluster</u>					
E001 Caldicot Comprehensive	(208,860)	203,597	(5,263)	(33,736)	(28,473)
E068 Archbishop Rowan Williams Primary	(84,489)	68,591	(15,898)	(49,657)	(33,759)

E094 Castle Park	21,446	23,321	44,767	46,115	1,348
E075 Dewstow Primary School	(112,598)	113,117	519	(90,125)	(90,644)
E034 Durand Jnr & Inf	(60,520)	24,781	(35,739)	(53,931)	(18,192)
E048 Magor Vol Aided Jnr & Inf	(56,008)	5,669	(50,339)	(35,179)	15,159
E056 Rogiet Jnr & Inf	(59,613)	62,602	2,988	(34,184)	(37,172)
E063 Undy Jnr & Inf	(16,641)	(32,724)	(49,365)	50,037	99,402
E069 Ysgol Gymraeg Y Ffin	(13,168)	59,720	46,552	67,410	20,858
Successful Futures Grant Funding from EAS	0		0	0	0
<u>Chepstow cluster</u>					
E002 Chepstow Comprehensive	414,066	(257,190)	156,876	81,068	(75,809)
E091 Pembroke Primary School	(36,201)	32,718	(3,483)	(8,826)	(5,343)
E057 Shirenewton Jnr & Inf	(81,560)	6,152	(75,408)	(87,369)	(11,961)
E058 St Mary's Chepstow RC Jnr & Inf	(25,385)	39,403	14,018	13,192	(826)
E060 The Dell Jnr & Inf	(50,266)	45,000	(5,266)	(46,094)	(40,828)
E061 Thornwell Jnr & Inf	(2,253)	24,371	22,118	20,534	(1,584)
E096 Chepstow Alliance	0	0	0	0	0
Successful Futures Grant Funding from EAS	0		0	0	0
<u>Monmouth cluster</u>					
E004 Monmouth Comprehensive	(45,772)	45,772	0	100,573	100,573
E032 Cross Ash Jnr & Inf	(51,269)	26,099	(25,170)	(45,620)	(20,451)
E092 Kymin View Primary School	(18,774)	32,352	13,578	(10,294)	(23,872)
E039 Llandogo Jnr & Inf	11,446	(694)	10,752	9,736	(1,016)
E074 Osbaston Church In Wales Primary	(37,344)	7,600	(29,744)	(18,570)	11,174
E051 Overmonnow Jnr & Inf	19,101	(39,372)	(20,271)	(3,959)	16,312
E055 Raglan Jnr & Inf	(18,369)	14,005	(4,364)	111,977	116,341
E062 Trellech Jnr & Inf	(86,281)	19,535	(66,746)	(85,762)	(19,016)
E064 Usk CV Jnr & Inf	(71,295)	41,465	(29,830)	(56,108)	(26,278)
Successful Futures Grant Funding from EAS	0		0	0	0
	(1,264,808)	1,129,841	(134,967)	(344,862)	(209,895)
<u>Special Schools</u>					
E020 Mounton House	154,854	(50,000)	104,854	142,417	37,563
E095 Pupil Referral unit	(46,208)	0	(46,208)	(66,340)	(20,132)
	108,646	(50,000)	58,646	76,077	17,431
TOTAL	(1,156,163)	1,079,841	(76,322)	(268,786)	(192,464)

3.4.6 6 schools exhibited a deficit position at the start of 2016/17. Throughout the year this was anticipated to rise to 12 by end of 2016-17. Members had previously queried that prediction based on the level of past adhoc grant receipts received late in the year which had the effect of supplementing year end balances and mitigating past finance concerns about the declining extent of balances and lack of replenishment.

Unfortunately those additional grant receipts haven't been manifest in this last quarter such that the earlier forecast provided has proved accurate at outturn with 12 schools being in deficit.

3.4.7 Collectively school balances at the beginning of the financial year amounted to £1,156,000, given the year end position the following pattern is apparent.

Financial Year-end	Net level of School Balances
2011-12	(965)
2012-13	(1,240)
2013-14	(988)
2014-15	(1,140)
2015-16	(1,156)
2016-17	(269)

Collectively schools have utilised £887k from their reserves this year, which is actually £192k less than originally budgeted, such that the collective outturn reserve is £287k, rather than £76k surplus reported at month 9.

3.4.8 Fairer Funding Regulations adopted by Councils and Governing Bodies commonly preclude governing bodies from planning for a deficit position. This was changed last year in MCC to allow licensed deficits where a recovery plan is agreed and followed. This flexibility only extended as far as there being a collective schools reserve surplus i.e.

“There is an arrangement in place whereby schools are allowed to plan for a deficit budget funded by a collective surplus of school balances held by the authority on behalf of schools.”

3.4.9 It remains unlikely that the collective level of reserves will sustain the traditional annual draw by schools on reserves in recent years, which will add additional focus to addressing the need to remain within budget in 2017/18 as part of Governors formal section 52 budgets rather than passporting the consequences to their reserves, given that flexibility is now pretty much exhausted.

4 REASONS

4.1 To improve budget monitoring and forecasting information being provided to Senior Officers and Members.

5 RESOURCE IMPLICATIONS

5.1 As contained in the report.

6 EQUALITY AND SUSTAINABLE DEVELOPMENT IMPLICATIONS

6.1 The decisions highlighted in this report have no equality and sustainability implications.

7 CONSULTEES

Strategic Leadership Team
All Cabinet Members
All Select Committee Chairman
Head of Legal Services
Head of Finance

8 BACKGROUND PAPERS

Outturn Monitoring Reports (Period 4), as per the hyperlink provided

<http://corphub/initiatives/Budgetmon/20162017/Forms/Q4.aspx>

NB. Given a heightened computer security, and the disablement of automatic links within documents, if clicking the link above does not automatically direct you to the monitoring reports, it should, if you cut and paste it into your internet browser address window.

9 AUTHOR

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10 CONTACT DETAILS

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Appendices (attached below)

Appendix 1 Mandated Savings Progress Report
Appendix 2 Capital Slippage Analysis



Appendix 1

Budgeted Service Savings Mandates Progress 2016/17






DIRECTORATE	Saving included in 2016/17 Budget	Savings reported achieved month 2	Savings reported achieved month 6	Savings reported achieved month 9	Savings reported achieved @ outturn	Percentage progress in achieving savings	Delayed savings	Savings not achievable
	£'000	£'000	£'000	£'000	£'000	%	£'000	£'000
Children & Young People	600	600	600	600	600	100%	0	0
Social Care & Health	640	640	12	12	12	2%	0	628
Enterprise	310	285	285	245	245	79%	40	25
Resources	544	318	299	260	120	22%	215	209
Chief Executive's	1,565	1,442	1,442	1,437	1,437	92%	85	43
Total Mandated Service Savings 2016-17	3,659	3,285	2,638	2,554	2,414	66%	340	905

2016/17 Budgeted Service Savings Mandates Progress											
CHILDREN & YOUNG PEOPLE											
Budget Proposals 2016/17	Mandate No.	Savings Mandate Narrative	Saving included in 2016/17 Budget £'s	Value of Saving Forecast at Month 2 £s	Value of Saving Forecast at Month 6 £'s	Value of Saving Forecast at Month 9 £'s	Value of Saving achieved at Outturn £'s	Delayed savings £'s	Savings not achievable £'s	Assessment of progress	Progress Indicator
Gwent Music (Nicki Wellington)	A20	Gwent Music is a joint service hosted by Newport. The plan is to refocus the service to make them more efficient.	50,000	50,000	50,000	50,000	50,000	-	-	On track and expected to be fully met	
Phase 3 of Additional Learning Needs Review (Sharon Randall-Smith)	B20	Closure off Deri View SNRB (£50k), Placement costs for External pupils attending Mouton House (£250k). Implementation of new funding formula from April 2016. (£250k).	550,000	550,000	550,000	550,000	550,000	-	-	On track and expected to be fully met	
			600,000	600,000	600,000	600,000	600,000	0	0		









2016/17 Budgeted Service Savings Mandates Progress

SOCIAL CARE & HEALTH											
Budget Proposals 2016/17	Mandate No.	Savings Mandate Narrative	Saving included in 2016/17 Budget £'s	Value of Saving Forecast at Month 2 £s	Value of Saving Forecast at Month 6 £'s	Value of Saving Forecast at Month 9 £'s	Value of Saving achieved at Outturn £'s	Delayed savings £'s	Savings not achievable £'s	Assessment of progress	Progress Indicator
Transition - Bright New Futures (SCH) (Julie Boothroyd)	A24	In 2014 we combined our Transitions Project Team within Bright New Futures Project. (based in Bridges)	12,000	12,000	12,000	12,000	12,000	0	0	Fully met the mandate at year end	
Adult Social Care Transformation (Julie Boothroyd)	A34	The service is continuing its journey on practice change and restructuring itself to meet future mandate savings with community links and innovative approaches to domiciliary care, coupled with less reliance on admissions to residential care.	628,000	628,000	0	0	0	0	628,000	This mandate relates to Community Care which, at year end, had an overspend of £788K. This mandate target has been reduced down to £200K in the 2017/18 budget.	
			640,000	640,000	12,000	12,000	12,000	0	628,000		


2016/17 Budgeted Service Savings Mandates Progress

ENTERPRISE											
Budget Proposals 2016/17	Mandate No.	Savings Mandate Narrative	Saving included in 2016/17 Budget £'s	Value of Saving Forecast at Month 2 £s	Value of Saving Forecast at Month 6 £'s	Value of Saving Forecast at Month 9 £'s	Value of Saving achieved at Outturn £'s	Delayed savings £'s	Savings not achievable £'s	Assessment of progress	Progress Indicator
Leisure Services Income Generation (Ian Saunders)	B1	Income generation/cost savings within the service.	120,000	120,000	120,000	120,000	120,000	-	-	On track and expected to be fully met	
Optimisation & better commercialism of Assets within Tourism, Leisure and Culture (Ian Saunders)		Income Generation Leisure	25,000	-	-	-	-		25,000	Won't be achieved this financial year	
Planning Services- Income Generation (Mark Hand)	B9	Reduce the net cost of planning services with the increase of income from planning applications received.	40,000	40,000	40,000	-	-	40,000	-	Planning has seen a decline in income in recent months, it may struggle to achieve full saving.	
Extension Shared Lodgings Housing Scheme (Ian Bakewell)	B10	Increase the Shared Housing Scheme within Monmouthshire.	50,000	50,000	50,000	50,000	50,000	-	-	On track and expected to be fully met	
Second Phase Review of Subsidies to 3 rd Sector (Will Mclean)	B12	Consolidation and reduction of grants to 3rd sector providers.	75,000	75,000	75,000	75,000	75,000	-	-	On track and expected to be fully met	
			310,000	285,000	285,000	245,000	245,000	40,000	25,000		




2015/16 Budgeted Service Savings Mandates Progress







RESOURCES											
Budget Proposals 2016/17	Mandate No.	Savings Mandate Narrative	Saving included in 2016/17 Budget £'s	Value of Saving Forecast at Month 2 £s	Value of Saving Forecast at Month 6 £'s	Value of Saving Forecast at Month 9 £'s	Value of Saving achieved at Outturn £'s	Delayed savings £'s	Savings not achievable £'s	Assessment of progress	Progress Indicator
Sustainable Energy Initiatives (Ben Winstanley)	A5	Investing in biomass boilers, solar farms and reduction in Carbon Commitment.	34,000	0	0	0	0	0	34,000	Unachievable	
Rationalise Business Support (Tracy Harry)	B2	Review the business support functions across the whole Authority to identify savings.	50,000	28,000	50,000	50,000	50,000	-	-	On track and expected to be fully met	
Training Services Consolidation (Peter Davies)	B3	Consolidation of the Authorities existing training functions.	50,000	-	-	-	-	-	50,000	Unachievable	
Community Asset Transfer/ Income generation (Peter Davies / Deb Hill-Howells)	B5	Community Asset Transfer of two properties	60,000	45,000	45,000	45,000	45,000	15,000	-	£60k of £160 relates to Estates of which £45k has been found. £15k shortfall is due to delayed implementation on Melville theatre and ongoing discussion with Town Council over Drill Hall.	
		Optimisation of Assets - PD	75,000	-	-	-	-	-	75,000	Unachievable	
Flexible Employment Options (Peter Davies)	B16	Market to all staff the Authority's flexible benefits and employment packages.	50,000	50,000	-	-	-	-	50,000	Unachievable	
Business rates evaluation - Appeals (Ruth Donovan)	B17	Rate refunds following Appeals by Cooke & Arkwright	140,000	140,000	140,000	140,000	-	140,000		Appeals lodger with Valuation office, backlog of appeals resulted from staff being transferred to new list creation. It is anticipated our appeals will be heard during 2017-18	
Strategic Property Review (Ben Winstanley - Deb Hill-Howells)	B18	Reduction in Corporate Building Maintenance, Purchase Card rebates , Facility Management Restructure and reductions in Transport Costs and Supplies and Services costs	60,000	30,000	39,000	0	0	60,000		Alternative delivery plan has not been possible due to pressures within the service	








2015/16 Budgeted Service Savings Mandates Progress

RESOURCES											
Budget Proposals 2016/17	Mandate No.	Savings Mandate Narrative	Saving included in 2016/17 Budget £'s	Value of Saving Forecast at Month 2 £s	Value of Saving Forecast at Month 6 £'s	Value of Saving Forecast at Month 9 £'s	Value of Saving achieved at Outturn £'s	Delayed savings £'s	Savings not achievable £'s	Assessment of progress	Progress Indicator
Discretionary Fees and Income (Joy Robson)	B23	Increased Discretionary Fees & Charges	25,000	25,000	25,000	25,000	25,000	-	-	Spread across authority, assume it has been achieved.	
TOTAL			544,000	318,000	299,000	260,000	120,000	215,000	209,000		

2016/17 Budgeted Service Savings Mandates Progress

CHIEF EXECUTIVE'S UNIT											
Budget Proposals 2016/17	Mandate No.	Savings Mandate Narrative	Saving included in 2016/17 Budget £'s	Value of Saving Forecast at Month 2 £s	Value of Saving Forecast at Month 6 £'s	Value of Saving Forecast at Month 9 £'s	Value of Saving achieved at Outturn £'s	Delayed savings £'s	Savings not achievable £'s	Assessment of progress	Progress Indicator
Garden Waste (Rachel Jowitt)		Increase in charges for Garden Waste collection service.	40,000	40,000	40,000	40,000	40,000			On track	
Home to School Transport (R Hoggins / Richard Cope)	A14	Continuation of 2014-15 mandate. Fundamental policy review to nearest school, and more zealous application of free school travel criteria.	30,000	30,000	30,000	30,000	30,000			This saving is forecast to be achieved but through the reduction in contract costs for home to school transport rather than the policy review initially included in the original mandate. There is no appetite for the nearest school policy to be reviewed at this moment in time but it is still being looked into.	
Community Hubs (Will McClean)	A28	It's about delivering services in a different way and aligning them with the Whole Place philosophy. This will introduce major changes to how the library and one stop shop services are delivered. We will create a hub in each town where face to face services will be delivered. The contact centre will sustain a reliable and informed first point of contact for people contacting us other than face to face.	25,000	25,000	25,000	25,000	25,000			Achievable through alternative Delivery Plan	

CHIEF EXECUTIVE'S UNIT											
Budget Proposals 2016/17	Mandate No.	Savings Mandate Narrative	Saving included in 2016/17 Budget £'s	Value of Saving Forecast at Month 2 £s	Value of Saving Forecast at Month 6 £'s	Value of Saving Forecast at Month 9 £'s	Value of Saving achieved at Outturn £'s	Delayed savings £'s	Savings not achievable £'s	Assessment of progress	Progress Indicator
Community Hubs (Rachel Jowitt)	A28	It's about delivering services in a different way and aligning them with the Whole Place philosophy. This will introduce major changes to how the library and one stop shop services are delivered. We will create a hub in each town where face to face services will be delivered. The contact centre will sustain a reliable and informed first point of contact for people contacting us other than face to face.	25,000	25,000	25,000			25,000		Achievable through alternative Delivery Plan. Contact Centre experiencing overspend exceeding mandate target	
Legal Services (Robb Trantor)	B7	Income generation by providing Legal Services to external organisations.	25,000	25,000	25,000	25,000	25,000	-		Currently staff resource is totally used up undertaking internal legal work so there is no spare capacity to generate income from outside of the organisation. This will not affect outturn in 16-17 as it has been offset by a grant windfall in Land Charges.	
Promoting Business Waste (Rachel Jowitt)	B8	Introduction of a new policy to charge for trade waste, and better control over the use of household waste recycling centres.	80,000	80,000	80,000	80,000	80,000			On Track	
Leadership Team Structure Review (Paul Matthews)	B11	Re-alignment of Senior Key Posts and Roles.	315,000	272,300	272,300	272,300	272,300		42,700	Waiting for update on the achievability, alternative delivery option	
Highways Infrastructure Income Generation (Roger Hoggins)	B13	Income generation from highway advertisements across Monmouthshire (£50k)	150,000	150,000	150,000	150,000	150,000			Planning approval delays means £25,000 relating to advertising income will be delayed. Shortfall will be managed within service budget.	
Grounds – Funding Review (Rachel Jowitt)	B14		75,000	75,000	75,000	75,000	75,000			on track	

CHIEF EXECUTIVE'S UNIT											
Budget Proposals 2016/17	Mandate No.	Savings Mandate Narrative	Saving included in 2016/17 Budget £'s	Value of Saving Forecast at Month 2 £s	Value of Saving Forecast at Month 6 £'s	Value of Saving Forecast at Month 9 £'s	Value of Saving achieved at Outturn £'s	Delayed savings £'s	Savings not achievable £'s	Assessment of progress	Progress Indicator
Highways Maintenance (Roger Hoggins)	B15	Reducing the budgets within the highways section.	200,000	200,000	200,000	200,000	200,000			on track	
Property Services and Facilities Management Review (Rob O'Dwyer)	B19	Reduction in corporate building maintenance budgets. Purchase rebates from the use of procurement cards. (£15k), Facility Management restructure (£35k)	100,000	100,000	100,000	100,000	100,000			The section is forecast to achieve the full mandate saving, shortfall from purchase rebates will be covered through general expenditure efficiencies.	
Town and Community Councils (Roger Hoggins)	B21	Restructuring of Services in collaboration with Town / Community Councils PCs	110,000	90,000	90,000	90,000	90,000	20,000		Public conveniences are forecast to achieve £90,000 of the £110,000k mandate saving due to delayed implementation of which £80k is a contribution from the Town Council.	
		Grounds	83,500	83,500	83,500	83,500	83,500			On Track	
		Waste	71,500	71,500	71,500	71,500	71,500			On Track	
Town and Community Councils (Roger Hoggins)	B21	Restructuring of Services in collaboration with Town / Community Councils (Shortfalls) Museums (£0 out of £20k) Tourism (£5,000 out of £25k) Community Hubs (£70,000 out of £90K))	135,000	75,000	75,000	95,000	95,000	40,000		No contribution from Town council for museums. Only £5k received from Chepstow TC for TIC. £90k achieved from Hubs, increased savings of £20k being achieved through alternative delivery model for hubs. So High Risk on Museums, Low Risk on Tourism and Community Hubs	
Collaboration and realigning structures in operations (Roger Hoggins)	B22		100,000	100,000	100,000	100,000	100,000			£70k of total saving related to Highways efficiencies from restructure, delay in implementation has meant staff savings have been delayed as well. Should not impact on outturn position as shortfall will be covered by managed efficiencies in expenditure.	
TOTAL			1,565,000	1,442,300	1,442,300	1,437,300	1,437,300	85,000	42,700		

Appendix 2 – Capital Slippage Analysis

SELECT	Budget Holder	SCHEME TITLE	Year End Slippage Request	Amount Proposed for endorsement	Amount endorsed but proposed to be added back expenditure year is certain	Amounts not proposed for endorsement
CYP	Simon Kneafsey	New Monmouth Comp – 21c Schools	-9,281,832	-9,281,832		
CYP	Simon Kneafsey	New Caldicot School – 21c Schools	-4,627,357	-4,627,357		
CYP	Simon Kneafsey	Welsh Medium Secondary (Joint Project)	-1,000,000	-1,000,000		
CYP	Rob O'Dwyer	Chepstow School – Removal & Replacement of Asbestos Cladding Panels	-15,000	-15,000		
CYP	Rob O'Dwyer	Usk Primary: Remodel Entrance, Office & Shower	-26,469	-26,469		
CYP	Sian Hayward	Schools ICT Outline Business Case	-351,233	-351,233		
SCOMM	Rob O'Dwyer	Generic - Asbestos removal	-27,281	0		-27,281
SCOMM	Rob O'Dwyer	Generic - Radon response	-7,610	0		-7,610
SCOMM	Rob O'Dwyer	Aber Castle - Refurb to prolong & cons ancient walls	-22,492	-22,492		0
SCOMM	Rob O'Dwyer	Monitor & update fire & intruder alarms	-3,910	-3,910		
SCOMM	Rob O'Dwyer	Generic - Fire Safety remedial works to ensure compliance with 2005 regulatory reform	-5,391	0		-5,391
SCOMM	Rob O'Dwyer	Abergavenny LC - Replace CHP Plant	-21,240	-21,240		
SCOMM	Rob O'Dwyer	Hilston Park: Internal Areas	-7,500	0		-7,500
SCOMM	Rob O'Dwyer	Chepstow Museum: Repair External Lime Render	-12,584	-12,584		
SCOMM	Rob O'Dwyer	Generic - Rectification after Fixed Wire Testing	-6,756	0		-6,756
SCOMM	Rob O'Dwyer	Shire Hall – Emergency Structural Investigation and repairs to staircase	-7,500	-7,500		
SCOMM	Deb Hill -Howells	Community Hubs	-51,122	0	-51,122	
SCOMM	Dan Davies	Caldicot Castle Kitchen	-10,071	0		-10,071

SCOMM	Mike Moran	Monmouth Sports Ground Drainage	-1,902	0	-1,902
SCOMM	Ben Winstanley	Non County Farms Fixed Asset Disposal Costs	-84,874	-84,874	
SCOMM	Roger Hoggins	Car Park Granville St & Wyebridge St	-152,214	-152,214	
SCOMM	Mathew Lewis	Structural Repairs - PROW	-22,647	-22,647	
SCOMM	Paul Keeble	Footway Reconstruction	-99,445	-99,445	
SCOMM	Paul Keeble	Carriageway Resurfacing - Various	-52,562	-52,562	
SCOMM	Paul Keeble	Safety Fence Upgrades	-71,370	-71,370	
SCOMM	Mark Davies	Signing Upgrades And Disabled Facilities	-23,091	-23,091	
SCOMM	Mark Davies	Road Safety & Trafficman Programme	-75,088	-75,088	
SCOMM	Sian Hayward	Purchase of Sharepoint and Active Directory Licences	-5,572	0	-5,572
SCOMM	Lisa Widenham	Upgrade to the Agresso system	-9,888	-9,888	
SCOMM	Lisa Widenham	Provision of online facilities Revenue's section	-13,000	-13,000	
SCOMM	Shirley Wiggam	Low Cost Home Ownership	-112,293	0	-112,293
SCOMM	Deb Hill-Howells - Ben Winstanley	County Farms Maintenance & Reinvestment	-30,000	-30,000	
SCOMM	Mike Moran	Sc 106 Multi Use Games Area Bayfield Open Space	-5,470	0	-5,470
SCOMM	Mike Moran	S106 – Recreation Croesonen	-6,129	0	-6,129
SCOMM	Debbie McCarty	S106 – Town Centre Partnership	-1,700	-1,700	
SCOMM	Mike Moran	S106 Crick Wildlife Garden (Caer Off Site)	-10,866	-10,866	
SCOMM	Mike Moran	S106 Mardy Allotments (Croesonen)	-18,900	0	-18,900
SCOMM	Mike Moran	S106 Croesonen Play Park (Croesonen)	-14,527	-14,527	
SCOMM	Mike Moran	S106 Monmouth Petanque Floodlights (Monmouth)	-2,493	0	-2,493
SCOMM	Mike Moran	S106 Monmouth Gateway (Monmouth)	-20,000	0	-20,000
SCOMM	Mike Moran	S106 St Thomas Church Refurb (Monmouth)	-2,000	-2,000	
SCOMM	Mike Moran	S106 Wyesham Community Woodland (Monmouth)	-21,000	-21,000	
SCOMM	Mike Moran	S106 Destination Play Area (Monmouth)	-85,000	0	-85,000
SCOMM	Mike Moran	S106 Drybridge Nature Park (Monmouth)	-9,537	-9,537	
SCOMM	Mike Moran	S106 Cricket Wicket and Changing Rooms (Little Mill)	-20,000	-20,000	
SCOMM	Mike Moran	S106 Little Mill Trail (Little Mill)	-27,720	0	-27,720

SCOMM	Mike Moran	S106 Gilwern Fitness Equip (Ty Mawr)	-7,065	0	-7,065
SCOMM	Mike Moran	S106 Gilwern Petanque Terrain (Ty Mawr)	-3,960	0	-3,960
SCOMM	Mike Moran	S106 Heaven Scent Garden (Ty Mawr)	-945	0	-945
SCOMM	Mike Moran	S106 Clydach Playing Field Barrier (Ty Mawr)	-70	-70	
SCOMM	Mike Moran	S106 Gilwern Bowling Green (Ty Mawr)	-496	-496	
SCOMM	Mike Moran	S106 Gilwern Playing Field Improvements (Ty Mawr)	-10,190	-10,190	
SCOMM	Mike Moran	S106 Incredible Edible Project (Ty Mawr)	-1,215	-1,215	
SCOMM	Mike Moran	S106 - Upgrading play area Caldicot Castle	-8,935	-8,935	
SCOMM	Mike Moran	Rogiet Playing Field Car Park and Magor GRIP study	-40,084	-40,084	
SCOMM	Mike Moran	S106 Gilwern Towpath Upgrade (Cae Meldon)	-18,000	-18,000	
SCOMM	Mike Moran	S106 Gilwern Scooter Park (Cae Meldon)	-21,555	-21,555	
SCOMM	Mike Moran	S106 Gilwern Comm Centre Heating (Cae Meldon)	-11,475	-11,475	
SCOMM	Mike Moran	S106 Gilwern OEC (Cae Meldon)	-56,802	-56,802	
SCOMM	Mike Moran	New Playing Pitches (Clydach Juniors – Cae Meldon)	-53,000	-53,000	
SCOMM	Mike Moran	S106 Llanelly Hill Welfare Car Park (Cae Meldon)	-22,441	-22,441	
SCOMM	Mike Moran	Cae Meldon S106 Off Site Recreation	-23,020	-23,020	
E&D	Rob O'Dwyer	Replacement Cattle Market	-183,357	-183,357	
E&D	Amy Longford	Caerwent House, Major Repairs	-50,800	-50,800	
E&D	Ben Winstanley	Solar Farm – Oak Grove	-505,740	-505,740	
E&D	Deb Hill Howells	Sc106 Woodstock Way Linkage Scheme	-226,504	-226,504	
			-17,730,290	-17,317,110	-214,712
					-198,468

**SUBJECT: ANTI - FRAUD, BRIBERY & CORRUPTION POLICY
STATEMENT – REVISED AND UPDATED**

MEETING: Cabinet

DATE: 7th June 2017

DIVISION/WARDS AFFECTED: Countywide

1. PURPOSE:

To receive, consider and approve the Council's updated and revised Anti Fraud, Bribery and Corruption Policy Statement.

2. RECOMMENDATIONS:

To approve the revised Anti Fraud, Bribery and Corruption Policy Statement.

3. KEY ISSUES:

- 3.1 The previous Anti Fraud, and Corruption Statement was approved by Cabinet and then Council in 2011. In line with good practice this Policy should be reviewed and updated periodically. This is the first review and update since it was approved. The revised Policy Statement is shown at Appendix 1.
- 3.2 Monmouthshire Council is one of the largest organisations in the County. The Council controls millions of pounds of public money and takes very seriously the high expectations of the public and the degree of scrutiny to which the affairs of the Council are subject.
- 3.3 Good Corporate Governance requires that the Authority must demonstrate clearly that it is firmly committed to dealing with fraud and corruption and will deal equally with perpetrators from inside (Members and employees) and outside the Council. In addition there will be no distinction made in investigation and action between cases that generate financial benefits and those that do not.
- 3.4 This policy statement embodies a series of measures designed to frustrate any attempted fraudulent or corrupt act and the steps to be taken if such action occurs.
- 3.5 It incorporates The Fraud Act 2006 which defines fraud through three key offences, provides a definition of corruption and takes account of The Bribery Act 2010 where there are four key offences.
- 3.6 The maximum sentence is 10 years imprisonment when found guilty of Fraud and / or Bribery, with the potential of an unlimited fine when found guilty of Bribery.

4. REASONS:

4.1 In line with good practice and sound governance arrangements, the Council's Anti Fraud, Bribery and Corruption Policy Statement has been updated to incorporate The Fraud Act 2006 and The Bribery Act 2010.

5. RESOURCE IMPLICATIONS:

5.1 Nil

6. SUSTAINABLE DEVELOPMENT AND EQUALITY IMPLICATIONS:

This report sets out the Council's stance on zero tolerance to fraud and corruption in line with The Fraud Act 2006 and The Bribery Act 2010 and as such does not have any sustainable development or equality implications.

7. CONSULTEES:

Senior Leadership Team
Head of Finance
Audit Committee

Results of Consultation:

Support for further awareness training;
Publicise (in general) any outcomes of substantiated fraud investigations;
Incorporated into the policy statement attached.

8. BACKGROUND PAPERS:

Fraud Act 2006

The Bribery Act 2010

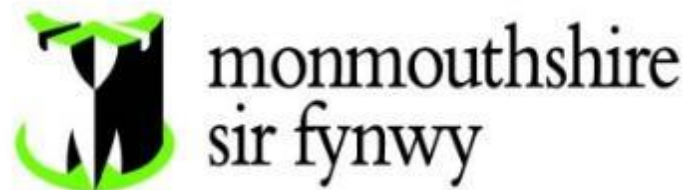
Monmouthshire Anti-fraud & Corruption Policy 2011

9. AUTHOR: Andrew Wathan, Chief Internal Auditor, Finance

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ANTI FRAUD, BRIBERY & CORRUPTION STRATEGY POLICY STATEMENT

Version: Draft 04
Date: 17th May 2017
Author: Andrew Wathan, Chief Internal Auditor

1. Introduction

1.1 Good Corporate Governance requires that the Authority must demonstrate clearly that it is firmly committed to dealing with fraud and corruption and will deal equally with perpetrators from inside (Members and employees) and outside the Council. In addition there will be no distinction made in investigation and action between cases that generate financial benefits and those that do not. This policy statement, however, will not compromise the Council's Strategic Equality Plan and Objectives, the requirements of the Human Rights Act 1998 or the Council's Regulation of Investigatory Powers Act (RIPA) Policy.

1.2 This policy statement embodies a series of measures designed to frustrate any attempted fraudulent or corrupt act and the steps to be taken if such action occurs. For ease of understanding it is separated into five areas as below:-

Culture	Section 3
Prevention	Section 4
Deterrence	Section 5
Detection and Investigation	Section 6
Training	Section 7

1.3 The Council is also aware of the high degree of external scrutiny of its affairs by a variety of bodies including:

- Public Services Ombudsman for Wales
- Wales Audit Office
- Central Government Departments and Parliamentary Commissions
- Her Majesty's Revenue & Customs
- The Department of Works & Pensions
- National Assembly and Welsh Government

2. What is Fraud and Corruption ?

Fraud

2.1. The Fraud Act 2006 defines fraud through three key offences:

- ***Fraud by false representation*** – where a person dishonestly makes a false representation and intends by making the representation, to make a gain for himself or another or to cause or expose the risk of loss to another;

ANTI-FRAUD, BRIBERY & CORRUPTION STRATEGY POLICY STATEMENT

- ***Fraud by failing to disclose information*** – where a person has dishonestly failed to disclose to another person information which he is under a legal duty to disclose; and intends by failing to do so, to make a gain for himself or another; or to cause or expose another to the risk of loss; and
- ***Fraud by abuse of position*** – where a person occupies a position in which he is expected to safeguard or not to act against the financial interests of another; dishonestly abuses that position with the intention to make a gain for himself or another or to cause or expose the risk of loss to another.

2.2. It also creates new offences:

- Obtaining services dishonestly
- Possessing, making and supplying articles for use in frauds
- Fraudulent trading applicable to non- corporate traders.

2.3. The maximum sentence is 10 years imprisonment.

2.4. The Act largely replaces the laws relating to obtaining property by deception, obtaining a pecuniary advantage and other offences that were created under the Theft Act 1978.

Corruption

2.5. There is no universally accepted definition of corruption, although the World Bank defines it as '*offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party*'.

2.6. Corruption is often associated with the act of bribery. The Bribery Act 2010 identifies the criminal offence of bribery and identifies four key offences:

- ***Bribing another person*** - A person commits an offence by offering, promising or giving a financial or other advantage to another person, directly or through an intermediary: intending that advantage to induce a person to perform improperly a Function or to reward a person for so doing (whether or not it is the same person to whom the advantage is offered) or knowing or believing that accepting the advantage would itself be improper performance of a Function;
- ***Being bribed*** - A person commits this offence by requesting, agreeing to receive or accepting a financial or other advantage, directly or through a third party, for his or her own or someone else's benefit: that person intends that, as a consequence, there is improper performance of a Function or there is improper performance of a Function (whether as a

ANTI-FRAUD, BRIBERY & CORRUPTION STRATEGY POLICY STATEMENT

reward, in anticipation of or as a consequence of the request, agreement or acceptance). The request, agreement or acceptance itself may be the improper performance of a Function;

- ***Bribery of a Foreign Public Figure*** – This offence will be committed if a person offers or gives a financial or other advantage to a foreign public official with the intention of influencing the foreign public official and obtaining or retaining business, where the foreign public official was neither permitted nor required by written law to be so influenced; and
 - ***Failing to prevent Bribery*** - A company is “strictly liable” for any bribe paid by a person performing services on its behalf, unless the organisation proves that adequate anti-bribery procedures were in place.
- 2.7. The maximum penalty for the offenses is 10 years' imprisonment and/or an unlimited fine. For the "failure to prevent" offense, the fine alone applies.
- 2.8. The Bribery Act 2010 replaces the fragmented and complex offences at common law and in the Prevention of Corruption Acts 1889-1916.

3. Culture

- 3.1. The culture of the Council has always been one of openness and the core values of Openness, Fairness, Flexibility & Teamwork support this. The culture therefore supports the opposition to fraud and corruption.
- 3.2. The prevention/detection of fraud, bribery and corruption and the protection of the public purse are responsibilities of everyone, both internal and external to the organisation. There is an expectation and requirement that all individuals and organisations associated with the Council will act with integrity and that elected Members and Employees at all levels will lead by example. All aspects of this policy must be complied with and the Council will maintain a zero tolerance culture to fraud and corruption.
- 3.3. The Council's elected Members and employees play an important role in creating and maintaining this culture. They are positively encouraged to raise concerns regarding fraud and corruption, immaterial of seniority, rank or status. The public also has a role to play in this process and should inform the Council if they feel that fraud/corruption may have occurred.
- 3.4. Concerns must be raised when members, employees or organisations associated with the Council reasonably believe that one or more of the following has occurred, is in the process of occurring or is likely to occur:
- A criminal offence;
 - A failure to comply with a statutory or legal obligation;

ANTI-FRAUD, BRIBERY & CORRUPTION STRATEGY POLICY STATEMENT

- Improper or unauthorised use of public or other official funds;
- A miscarriage of justice;
- Misconduct or malpractice;
- Deliberate concealment of any of the above

3.5. Concerns must be raised, in the first instance, directly with the Supervisor/Business Unit Manager/Head Teacher/Head of Establishment or if necessary, anonymously (letter, telephone) and via other routes:-

- Chief Executive, Chief Officers, Heads of Service, or the Council's Monitoring Officer, who will report such concerns to the Chief Internal Auditor;
- Directly to the Chief Internal Auditor;
- Where line management is suspected of fraud, directly to Head of Service or Chief Internal Auditor;
- External Auditor, who depending upon the nature of the concern will liaise with the Chief Internal Auditor;
- Trade Union Representative.

3.6. This can be done in the knowledge that such concerns will be treated in the strictest confidence and be properly investigated.

3.7. Council also has a *Whistleblowing Policy* to ensure the highest possible standards of openness probity and accountability. The Council will ensure that any allegations received in any way, including by anonymous letters or telephone calls, will be taken seriously and investigated in an appropriate manner.

3.8. The Council will deal firmly with those who defraud the Council or who are corrupt, or where there has been financial malpractice. There is, of course, a need to ensure that any investigation process is not misused and, therefore, any abuse (such as employees/Members raising malicious allegations) may be dealt with as a disciplinary matter (employees) or through the Standards Committee (Members).

3.9. When fraud and corruption has occurred due to a breakdown in the Council's systems or procedures, Heads of Service will ensure that appropriate improvements in systems of control are implemented in order to prevent a re-occurrence.

4. Prevention

Chief Officer Resources

4.1. The Chief Officer Resources will have overall responsibility for ensuring the effectiveness of the Authority's arrangements for the Anti-Fraud, Bribery and

ANTI-FRAUD, BRIBERY & CORRUPTION STRATEGY POLICY STATEMENT

Corruption policy, including compliance with the Fraud Act 2016 and the Bribery Act 2010.

Elected Members

- 4.2. As elected representatives, all Members of the Council have a duty to the Citizens of the County to protect the Council and public money from any acts of fraud, bribery and corruption.
- 4.3. This is done through the Anti-Fraud, Bribery and Corruption Policy Statement, compliance with the Council's Code of Conduct for Members, the Council's Constitution, including Financial Regulations and Contract Standing Orders, and relevant legislation.
- 4.4. Elected Members sign to the effect that they have read and understood the Code of Conduct for Members when they take office. Conduct and ethical matters are specifically brought to the attention of Members during induction and include the declaration and registration of interests. The Head of Legal Services will advise Members of new legislative or procedural requirements.

Employees

The Role of the Head of Finance

- 4.5. The Head of Finance has been designated the statutory responsibilities of the Finance Director as defined by s151 of the Local Government Act 1972. These responsibilities outline that every local authority in England & Wales should:

“make arrangements for the proper administration of their financial affairs and shall secure that one of their officers has the responsibility for the administration of those affairs”.

- 4.6. Under the Head of Finance responsibilities, proper administration encompasses all aspects of local authority financial management including:
 - Compliance with the statutory requirements for accounting and internal audit;
 - Ensuring the Authority's responsibility for ensuring proper administration of its financial affairs;
 - The proper exercise of a wide range of delegated powers both formal and informal;
 - The responsibility for managing the financial affairs of the local authority in all its dealings; and
 - The recognition of the fiduciary responsibility owed to local tax payers.

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- 4.7. Under these statutory responsibilities the Head of Finance contributes to the Anti-Fraud, Bribery and Corruption framework of the Council.

The Role of Managers

- 4.8. Managers at all levels are responsible for the communication and implementation of this strategy in their work area. They are also responsible for ensuring that their employees are aware of the Council's policies and procedures, the Council's Financial Procedure Rules and Contract Procedure Rules and that the requirements of each are being met in their everyday business activities. In addition, managers must make their employees aware of the requirements of the Employee Code of Conduct through the induction process.
- 4.9. Managers are expected to create an environment in which their officers feel able to approach them with any concerns they may have about suspected irregularities. Where they are unsure of the procedures they must refer to the information on the Intranet.
- 4.10. Special arrangements will apply where employees are responsible for cash handling or are in charge of financial systems and systems that generate payments, for example payroll or the Revenues computer system. Managers must ensure that relevant training is provided for all employees.
- 4.11. The Council recognises that a key preventative measure in dealing with fraud and corruption is for managers to take effective steps at the recruitment stage to establish, as far as possible, the honesty and integrity of potential employees, whether for permanent, temporary or casual posts and agency staff. The Council's formal recruitment procedure contains appropriate safeguards in the form of written references, the verification of qualifications held and employment history. As in other public bodies Disclosure and Barring Service (DBS) checks are undertaken for employees working with or who may have contact with children or vulnerable adults.

Responsibilities of Employees

- 4.12. Each employee including agency and volunteer staff is governed in their work by the Council's Contract Procedure Rules and Financial Procedure Rules, Employee Code of Conduct and other policies on conduct (Health and Safety, E-mail and Internet Usage Policies, IT Strategy and IT Security policy). Included in the Council policies are guidelines on gifts and hospitality, and codes of conduct associated with professional and personal conduct and conflict of interest. These are issued to all employees when they join the Council and are available to all on the Intranet.
- 4.13. Employees are responsible for ensuring that they follow the instructions given to them by management, particularly in relation to the safekeeping of the

ANTI-FRAUD, BRIBERY & CORRUPTION STRATEGY POLICY STATEMENT

assets of the Authority. These will be included in induction training and procedure manuals.

- 4.14.** Employees are expected always to be aware of the possibility that fraud, bribery, corruption and theft may exist in the workplace and be able to share their concerns with management. If for any reason, they feel unable to speak to their manager they must refer the matter to one of those named above in section 3.5.

Contractors and Third Party Organisations

- 4.15.** There are joint ventures, partnerships and contracted work carried out on behalf of the Authority. As an organisation, it should be ensured that third party organisations should have a similar culture and approach as the authority in tackling anti-fraud, bribery and corruption.

- 4.16.** Members and officers should ensure that organisations have appropriate mechanisms in place to prevent, detect, deter and investigate where necessary any concerns raised in relation to fraud and corruption.

- 4.17.** Members and officers including officers working for contractors and third party organisations should be able to raise any concerns through the mechanisms identified in 3.5. The Council has a duty to notify the relevant organisations, Government Agencies and take action where appropriate to investigate any concerns raised.

Conflicts of Interest

- 4.18.** Both elected Members and employees must ensure that they avoid situations where there is a potential for a conflict of interest. Such situations can arise with externalisation of services, internal tendering, planning and land issues etc. Effective role separation will ensure decisions made are seen to be based upon impartial advice and avoid questions about improper disclosure of confidential information.

Official Guidance

- 4.19.** In addition to Financial Procedure Rules and Contract Procedure Rules, service areas may have their own procedures to prevent and deter fraud. There may also be audit reports, which recommend methods to minimise risks and losses to the Authority. Managers and employees must be made aware of these various sources of guidance and alter their working practices accordingly.

Role of Internal Audit

- 4.20.** Internal Audit plays a vital preventative role in trying to ensure that systems and procedures are in place to prevent and deter fraud, bribery and

ANTI-FRAUD, BRIBERY & CORRUPTION STRATEGY POLICY STATEMENT

corruption. Internal Audit investigates all employee cases of suspected financial irregularity, fraud or corruption, except Benefit fraud investigations (see below), in accordance with agreed procedures. Within the Financial Procedure Rules in the Constitution, representatives of Internal Audit are empowered to:

- Enter at all reasonable times any Council premises or land;
- Have access to all records, documentation and correspondence relating to any financial and other transactions as considered necessary;
- Have access to records belonging to third parties such as contractors when required;
- Require and receive such explanations as are regarded necessary concerning any matter under examination;
- Require any employee of the Council to account for cash, stores or any other Council property under his/her control or possession;
- Internal Audit liaises with management to recommend changes in procedures to reduce risks and prevent losses to the Authority.

The Role of the Senior Fraud Officer

4.21. The Senior Fraud Officer is responsible for all of the Council Tax Benefit investigations, in accordance with legislation and agreed codes of conduct. In cases where employees are involved they will work with Internal Audit, Human Resources and appropriate senior management to ensure that correct procedures are followed and that this policy is adhered to.

The Role of the External Auditor

4.22. Independent external audit is an essential safeguard of the stewardship of public money. The Wales Audit Office (including any associated third party external audit partners) are responsible for this through specific reviews that are designed to test (amongst other things) the adequacy of the Council's financial systems and arrangements for preventing and detecting fraud, bribery and corruption. It is not the external auditors' function to prevent fraud and irregularities, but the integrity of public funds is at all times a matter of general concern. External auditors are always alert to the possibility of fraud and irregularity, and will act without undue delay if grounds for suspicion come to their notice. The external auditor has a responsibility to review the Council's arrangements for preventing and detecting fraud and irregularities, and arrangements designed to limit the opportunity for corrupt practices.

4.23. Where external audit is required to undertake an investigation they will operate within legislation and their codes of conduct.

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Co-operation with Others

4.24. As appropriate, arrangements will be made to encourage the exchange of information between the Council and other agencies on national and local fraud and corruption activity in relation to local authorities. These include :

- Police
- Local Authority Financial Organisations
- Internal Auditor Networks
- Wales Audit Office
- Other councils
- Central and local government partners;
- National Anti-Fraud Network.
- National Fraud Initiative

The Role of the Public

4.25. This policy, although primarily aimed at those within or associated with the Council, enables concerns raised by the public to be investigated, as appropriate, by the relevant person in a proper manner.

5. Deterrence

5.1. There are a number of ways to deter potential fraudsters from committing or attempting fraudulent or corrupt acts, whether they are inside and/or outside of the Council, and these include:

- Publicising the fact that the Council is firmly set against fraud and corruption and states this at every appropriate opportunity e.g. clause in contracts, statements on benefits claim forms, website, publications etc.
- Acting robustly and decisively when fraud and corruption are suspected and proven e.g. the termination of contracts, dismissal, prosecution, reporting employee to their professional body etc.
- Taking action to effect the maximum recoveries for the Council e.g. through agreement, court action, penalties, under Proceeds of Crime Act etc.
- Having sound internal control systems, that still allow for innovation, but at the same time minimising the opportunity for fraud and corruption.

ANTI-FRAUD, BRIBERY & CORRUPTION STRATEGY POLICY STATEMENT

- The operation and advertising of a Benefit Fraud Hotline and formal arrangements for whistleblowing.
- Publicising instances of fraud/corruption and the resultant disciplinary/prosecution action for cases both within the Council and for other public organisations.

6. Detection and Investigation

- 6.1.** Internal Audit plays an important role in the detection of fraud, bribery and corruption. Included in their strategic plan are reviews of system controls including financial controls and specific fraud and corruption tests and will make spot checks and unannounced visits.
- 6.2.** In addition to Internal Audit, there are numerous systems and management controls in place to deter fraud and corruption but it is often the vigilance of employees and members of the public that aids detection. The Council's *Whistleblowing Policy* is intended to encourage and enable staff to raise their concerns.
- 6.3.** In some cases frauds are discovered by chance or "tip-off" and arrangements are in place to enable such information to be properly dealt with.
- 6.4.** The Council takes part in the National Fraud Initiative which is co-ordinated by Internal Audit.
- 6.5.** All suspected irregularities are required to be reported (verbally or in writing) to one of the officers identified at 3.5. This is essential to the strategy and:
- Ensures the consistent treatment of information regarding fraud and corruption; and
 - Facilitates a proper and thorough investigation by an experienced audit team or appropriate officer, in accordance with agreed procedures.
- 6.6.** This process will apply to all the following areas:
- a) fraud/corruption by elected Members;
 - b) internal fraud/corruption;
 - c) other fraud/corruption by Council employees;
 - d) fraud by contractors and/or partnership employees;
 - e) external fraud (the public)
- 6.7.** Cases under d) and e) where necessary would be referred to the external auditor or Police. Cases under (a) in respect to the Code of Conduct for Members will be referred to the Public Services Ombudsman for Wales in

ANTI-FRAUD, BRIBERY & CORRUPTION STRATEGY POLICY STATEMENT

addition to the External Auditor and/or the Police. Cases under b) and c) may be dealt with under the Council's disciplinary procedures.

- 6.8.** Any decision to refer a matter to the Police will require the involvement of the Head of Finance, the Monitoring Officer, Chief Internal Auditor and the relevant Head of Service or, in their absence of any of these Officers, their nominated representatives. In these circumstances, it will be the responsibility of the Chief Internal Auditor to call a formal meeting of these officers to discuss the appropriate course of action. Any referral to the Police must be agreed by the relevant Head of Service.
- 6.9.** Depending on the nature of an allegation under b) to e), the Chief Internal Auditor will normally work closely with the Head of Service concerned to ensure that all allegations are thoroughly investigated and reported upon.
- 6.10.** The Council's Disciplinary Procedures will be used to facilitate a thorough investigation of any allegations of improper behaviour by employees. The processes as outlined in paragraph 3.8 will cover Members.
- 6.11.** A summary of matters identified and concluded concerning fraud or bribery will be reported to the Council's Audit Committee on a six monthly basis.
- 6.12.** Periodic risk assessments will be undertaken to evaluate the Authority's exposure to the risk of fraud and bribery and to highlight particular areas of risk within the Authority. This will be undertaken between Internal Audit and Risk management on an annual basis.

7. Awareness & Training

- 7.1.** The Council recognises that the continuing success of this strategy and its general credibility will depend in part on the effectiveness of training and awareness for members and employees. The policy is an integral part of the induction programme.
- 7.2.** To facilitate this, the Council supports the provision of training programmes and circulation of relevant information to ensure that responsibilities and duties in this respect are regularly highlighted and reinforced. This includes the requirement for information to be provided to third parties providing services to and on behalf of the Council.
- 7.3.** Specialist training in fraud and corruption issues will also be given to appropriate staff involved in investigation work.
- 7.4.** Internal Audit will publicise the Anti-Fraud, Bribery and Corruption policy on the Intranet with other up to date advice and guidance on current issues and will facilitate fraud awareness training to staff as and when required.

8. Conclusion

- 8.1.** The Council has always prided itself on setting and maintaining high standards and a culture of openness, with core values of Accountable, Open

ANTI-FRAUD, BRIBERY & CORRUPTION STRATEGY POLICY STATEMENT

and United. This strategy fully supports the Council's desire to maintain an honest authority, free from fraud and corruption.

- 8.2.** The Council has in place a network of systems and procedures to assist it in dealing with fraud and corruption when it occurs. It is determined that these arrangements will keep pace with any future developments in both preventative and detection techniques regarding fraudulent or corrupt activity that may affect its operation.
- 8.3.** The Council will maintain a continuous review of all these systems and procedures through Internal Audit.
- 8.4.** This policy statement will be reviewed on a regular basis, with a maximum of three years between each review.

May 2017

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<p>Name of the Officer completing the evaluation Andrew Wathan Chief Internal Auditor</p> <p>Phone no: 07970 343010 E-mail: andrewwathan@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>To introduce a revised and updated Anti-Fraud, Bribery and Corruption Policy Statement</p>
<p>Name of Service</p> <p>Internal Audit, Finance</p>	<p>Date Future Generations Evaluation form completed</p> <p>May 2017</p>

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4 Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.

Well Being Goal	How does the proposal contribute to this goal? (positive and negative)	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	<p>Raising awareness of this policy should reduce the level of fraud, bribery and corruption within the Council which should lead to public funds being better directed to their proper use of service provision and minimise any mis-direction.</p> <p>If large volumes of allegations are reported the Council will need to ensure it has sufficient resources to deal with them efficiently and effectively.</p>	<p>This policy should be included in the new starter induction programme and publicised on the Hub to further raise awareness.</p>


Well Being Goal	How does the proposal contribute to this goal? (positive and negative)	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)</p>	<p>Demonstrating and getting the message out there that any identified fraud or theft will be dealt with in a firm and consistent way should deter others from getting involved with the mis-use of public funds and over time, such incidents will be reduced.</p>	<p>Issues identified will be reported through the Audit Committee in future.</p>
<p>A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood</p>	<p>This policy could reduce the levels of stress within some individuals as it will provide an avenue to raise concerns they may have about improper practices in confidential manner.</p> <p>Some people may have a better sense of wellbeing knowing that a fraud / theft has been identified and stopped and that more of the public money will be used to provide the services it should be providing for the public.</p>	
<p>A Wales of cohesive communities Communities are attractive, viable, safe and well connected</p>	<p>Provided the appropriate sanctions are given to those found guilty of committing fraud / theft our communities will be a safer place to live and work.</p>	
<p>A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing</p>	<p>If we can minimize the level of fraud/theft in our communities from applying this policy then we will be contributing to reducing the levels of the multi millions of pounds total frauds which will support a better social and economic environment.</p>	





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Well Being Goal	How does the proposal contribute to this goal? (positive and negative)	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation</p>	<p>A culture of trust and confidence that public money is being channelled in the right areas and being used to provide the right services for the right people at the right time will help support stronger communities where mis use of public funds will not be accepted.</p>	
<p>A more equal Wales People can fulfil their potential no matter what their background or circumstances</p>	<p>Anyone can raise a concern and it will be dealt with in sensitive, confidential and consistent manner.</p> <p>Those identified as committing fraud or theft will be dealt with in a firm and consistent way.</p>	

1. How has your proposal embedded and prioritised the sustainable governance principles in its development?

A really isn't appropriate here – there must be some link with the principles

Sustainable Development Principle	How does your proposal demonstrate you have met this principle?	What has been done to better to meet this principle?
 <p>Balancing short term need with long term and planning for the future</p>	<p>In the short term this policy gives staff and the public an avenue to report any concerns they may have. As awareness is raised more people will be aware of how to report any concerns which should deter others from committing fraud / theft. In the longer term where fraud/ theft is identified and stopped, public money will be better used for the right reasons.</p>	

Sustainable Development Principle	How does your proposal demonstrate you have met this principle?	What has been done to better to meet this principle?
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>In order to minimise fraud/ theft we will work with our partners to ensure that only serious allegations will be reported which can be substantiated, investigated and passed to the police.</p>	
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>This policy was presented through the Audit Committee initially to provide comment and will be reviewed at least every 3 years. Views and comments of users of the policy / managers / Members will be taken on board to improve how we manage this process and further reduce the levels of fraud / theft within the Council.</p>	
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>Raising awareness of how to report fraud / theft through induction programmes, reports to Cabinet / Audit Committee and notices on the Hub should prevent future fraud / theft.</p> <p>Reporting on incidents and their outcomes will also help reduce levels of fraud / theft.</p>	
 <p>Integration</p> <p>Positively impacting on people, economy and environment and trying to benefit all three</p>	<p>Knowing that those involved with fraud / theft have been appropriately dealt with, the incident has stopped and that any previous loss of money is being put to proper purposes should ensure that those reporting concerns are reassured that the Council will not tolerate the misuse of public money and will ensure that it is used appropriately for the local economy.</p>	

3. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below. **This section has to be completed as an employment strategy should/must have benefits for the protected characteristics. Also, under EA210, there is a duty to look at the impacts on the staff(employed) themselves if any are protected characteristics. There should be evidence that the range of protected characteristics of the staff (and service users) has been reviewed and impacts assessed**

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
<p>Anyone, regardless of their protected characteristic, can report any concerns they may have and they will be treated in a fair and consistent manner.</p> <p>Anyone, regardless of their protected characteristic, found guilty of committing fraud / theft against the Council will be dealt with in a fair and consistent manner.</p>			
Age			
Disability			
Gender			
Reassignment			
Marriage or civil partnership			
Race			
Religion or Belief			
Sex			
Sexual Orientation			
Welsh Language	<p><i>We will make this policy available in welsh should it be required</i></p>		

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4. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance note <http://hub/corporatedocs/Democratic%20Services/Equality%20impact%20assessment%20and%20safeguarding.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

The strategy should have obvious impacts on safeguarding – if not, it should!

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	<p><i>Safeguarding in this context applies to both children (not yet reached 18th birthday) and vulnerable adults (over 18 who is or may be in need of community care services by reason of mental or other disability, age or illness and who is or may be unable to take care of himself or herself, or unable to protect himself or herself against significant harm or serious exploitation.)</i></p> <p>This policy provides an avenue for those concerned, to report any issues of fraud / theft against vulnerable children or adults in a confidential way.</p>	<p><i>Safeguarding is about ensuring that everything is in place to promote the well-being of children and vulnerable adults, preventing them from being harmed and protecting those who are at risk of abuse and neglect.</i></p>	
Corporate Parenting	<p><i>This relates to those children who are 'looked after' by the local authority either through a voluntary arrangement with their parents or through a court order. The council has a corporate duty to consider looked after children especially and promote their welfare (in a way, as though those children were their own).</i></p> <p>This policy provides an avenue for those concerned, to report any issues of fraud / theft against looked after children in a confidential way.</p>		

5. What evidence and data has informed the development of your proposal?

Cabinet previously approved the Anti-Fraud and Corruption Policy in 2011. It needed to be revised and updated to take account of the Bribery Act 2010 and the recent Internal Audit report (2016/17) to ensure it was fit for purpose.

6. The reason for development of this policy relates to the **SUMMARY**: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

Development of this policy arises from the need to ensure we continue to protect public funds so that they are used for proper purposes, providing the appropriate services required by the public, at the same time as minimizing fraud/ theft and protecting those who have made allegations.

7. Actions. As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

Section 7 needs to be completed and reflected in the report template, especially when the implementation will be reviewed

What are you going to do	When are you going to do it?	Who is responsible	Progress
Include this policy on the new starter induction programme	September 2017	Chief Internal Auditor	
Prepare a notice for the Hub	September 2017	Chief Internal Auditor	

8. Monitoring: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

<p>The impacts of this proposal will be evaluated on: Review of this policy will be taken in line with our normal review processes – which will be dependent upon legislative changes, welsh government guidance, and best practice.</p>	<p>A review of the impact of this policy will take place by June 2018 and be reported through the Audit Committee. The policy will be reviewed and revised if necessary by May 2020.</p>
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SUBJECT:	WELSH CHURCH FUND WORKING GROUP
MEETING:	Cabinet
DATE:	7th June 2017
DIVISIONS/WARD AFFECTED:	All

1. PURPOSE:

- 1.1 The purpose of this report is to make recommendations to Cabinet on the Schedule of Applications for the Welsh Church Fund Working Group meeting 5 of the 2016/17 financial year held on the 20th March 2017.

2. RECOMMENDATION:

- 2.1 We resolved that the following grants be awarded as per the schedule of applications.

SCHEDULE OF APPLICATIONS CONSIDERED 2016/17 – MEETING 5.

- (1) St Mabli's Church Hall, Abergavenny requested £5,000 to assist in urgent works in regard to re-pointing of isolated roof ridge tiles, Installation of a land drain around the vestry, north Cancel and East side of the Church, repoint and replace stone mouldings, renew beading to lead windows, replace plaster in vestry and replace the nave window.

Recommendation – £2,000 awarded to facilitate the repair and ensure essential maintenance works are carried out to this community asset that will be of benefit to the community in general.

- (2) St Mary's Church Magor, requested £3,000 to enhance the security of the building by fitting a roof alarm after theft of lead from the roof.

Recommendation - £500 awarded to assist in the prevention of crime within the community.

- (3) Revival Coffee Shop at Usk Baptist Chapel requested £2,600 for replacing the flooring on health and safety issues within the schoolroom for the voluntary Coffee Shop / post Natal group.

Recommendation - £2,000 was awarded to assist in the refurbishment of this community asset to provide enhanced facilities for community provision

- (4) St Arvans Memorial Hall, requested £400 to assist in replacing the emergency lighting system and remedial works to the fabric of the hall.

Recommendation - £400 awarded to assist in the provision of emergency lighting at the hall.

- (5) Friends of Linda Vista Gardens, requested £2,566 for the supply and erection of Victorian Style visitor notice boards in keeping with the period gardens as no information is currently displayed.

Recommendation - £500 awarded to assist in the purchase of two notice boards for the provision of community information to visitors of the park.

.2.3 KEY ISSUES

The nature of the request in each case is set out in the attached schedule.

3. REASONS

A meeting took place on Monday, 20th March 2017 of the Welsh Church Fund Cabinet Working Group to recommend the payment of grants as detailed in the attached schedule.

County Councillors in attendance:

County Councillor D.L. Edwards (Chairman)
County Councillor B. Strong (Vice Chairman)
County Councillor A. Webb

OFFICERS IN ATTENDANCE:

D. Jarrett Central Finance Officer
W. Barnard Senior Democracy Officer

3.1 DECLARATIONS OF INTEREST

It was agreed that declarations of interest would be made under the relevant item if appropriate.

Agenda Item 3 – Usk Baptist Church: County Councillor B. Strong declared a prejudicial interest under the Members’ Code of Conduct as a member of Usk Baptist Church and left the meeting whilst this matter was discussed.

Agenda Item 4 – St. Arvans Memorial Hall: County Councillor A. Webb declared a non-prejudicial interest under the Members’ Code of Conduct.

Agenda Item 5 – Friends of Linda Vista Gardens: County Councillor D. Edwards declared a non-prejudicial interest under the Members’ Code of Conduct.

3.2 APOLOGIES FOR ABSENCE

County Councillor D. Evans

3.3 CONFIRMATION OF REPORT OF PREVIOUS MEETING

The minutes of the meeting of the Welsh Church Fund Working Group held on Thursday 19th January 2017 were confirmed as an accurate record and signed by the Chairman.

4. RESOURCE IMPLICATIONS

A total of £5,400 was allocated at meeting of the Welsh Church Fund Committee. The remaining budget of £15,051 will be carried forward and is available for distribution in the 2017/18 financial year.

5. SUSTAINABLE DEVELOPMENT AND EQUALITY IMPLICATIONS:

There are 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 2016/17– Meeting 5 (Appendix 2)

8. AUTHOR:

David Jarrett – Senior Accountant – Central Finance Business Support

9. CONTACT DETAILS

Tel. 01633 644657
e-mail: daveJarrett@monmouthshire.gov.uk

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WELSH CHURCH FUND - APPLICATIONS 2016/17

MEETING 5: 20th March 2017

APPENDIX 2

<u>ORGANISATION</u>	<u>ELECTORAL DIVISION</u>	<u>Signed by Councillor</u>	<u>REQUEST</u>	<u>DECISION</u>	<u>NATURE OF REQUEST</u>	<u>APPROX COST</u>	<u>DATE Received</u>	<u>D of I*</u>	<u>Comments</u>
NEW APPLICATIONS AWAITING DECISION			£	£		£			
1 St Mabli's Church Hall, Abergavenny	Llanover	S Jones	£5,000	£2,000	Assist in urgent works in regard to re-point isolated roof ridge tiles, Install a land drain around the vestry, north Cancel and East side of the Church, repoint and replace stone mouldings, renew beading to lead windows, replace plaster in vestry and replace nave window.	£25,012	03/05/16	No	The Hall is used by several community groups for Concerts, meetings etc. and is staffed exclusively by volunteers. The application was originally £112k, but due to HLF funding not being available for works to the Kitchen and WC as well as urgent maintenance. This application has been re-submitted for assistance to works deemed immediate by the Architect.
2 St Mary's Church Magor	Mill	F Taylor	£3,000	£500	Assistance to enhance security of the building by fitting a roof alarm after theft of lead from the roof.	£6,334	25/01/17	No	By fitting a roof alarm, financial risk can be downsized and cover increased from 1 claim year to unlimited claims. This requires the fitting of an insurance company approved roof alarm system.
3 Revival Coffee Shop at Usk Baptist Chapel	Llangibby Fawr	P Clarke	£2,600	£2,000	To replace suitable flooring cover in schoolroom for Coffee Shop / post Natal group use	£2,600	21/02/17	No	New flooring required for the Coffee Shop (food hygiene rating 5) as existing covering is worn, becoming unhygienic and has no underlay therefore struggling to meet H&S regulations. The coffee shop does not charge services but relies on voluntary donations
4 St Arvans Memorial Hall	St Arvans	A. Webb	£400	£400	Assistance in replacing emergency lighting system and remedial works based upon a National Inspection Council for Electrical Installation report (NICIEC) highlighting 20 issues with the domestic electrical installation.	£1,134	21/02/17	Yes	Remedial action costs £696 and emergency lighting cost £438. The hall is used / hired by groups such as Mother & toddlers, Senior Citizen's, Slimming World, Judo and tap dancing clubs amongst others. Combined use of in excess of 500 individuals.
Late Application									
5 Friends of Linda Vista Gardens	Grofield	D Edwards	£2,566	£500	Assistance in the supply and erection of Victorian Style visitor notice boards in keeping with the period gardens, displaying maps, information and accessible routes for the disabled	£2,806	13/03/17	Yes	The gardens upkeep utilises well over 1000 hours of voluntary time provided by the friends and at present there are no information signs installed to provide information on the gardens and it's contents
Deferred Applications									
SUB TOTAL Meeting 5			£13,566	£5,400					
Meeting 1 Award					6,718				
Meeting 2 Award					4,740				
Meeting 3 Award					2,500				
Meeting 4 Award					3,500				
Meeting 5 Award					5,400				
TOTAL AWARDED FOR 2016/17					22,858				
BUDGET 2016/17					31,400				
BALANCE B/F TO 2016/17					£6,509				
Monmouthshire's Allocation for 2016/17					£37,909				
BALANCE to be CARRIED FORWARD to 2017/18			£15,051						

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<p>Name of the Officer D Jarrett Phone no: 4657 E-mail: davejarrett@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal To assess the Grant Allocation Processes of the Welsh Church Fund for the meeting of the Welsh Church Fund Working Group on the 20th March 2017.</p>
<p>Name of Service Finance</p>	<p>Date Future Generations Evaluation 20th March 2017</p>


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1 Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.

Well Being Goal	How does the proposal contribute to this goal? (positive and negative)	What actions have been / will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	<p>Positive in relation to developing the skills and proficiencies of applicants</p>	
<p>A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)</p>	<p>No impact</p>	
<p>A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood</p>	<p>Positive in that people's mental health and physical health is enhanced by a collective activity / process.</p>	

Well Being Goal	How does the proposal contribute to this goal? (positive and negative)	What actions have been / will be taken to mitigate any negative impacts or better contribute to positive impacts?
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	Positive in relation to connecting the community and its constituents	
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Positive in relation to social well-being. Also, helping the environmental well-being of the community through preservation of history.	
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	Positive in relation to the promotion of culture in the community	
A more equal Wales People can fulfill their potential no matter what their background or circumstances	No impact	

2. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	How does your proposal demonstrate you have met this principle?	What has been done to better to meet this principle?
 Balancing short term need with long term and planning for the future	Not applicable to Welsh Church Fund Trust	

Sustainable Development Principle	How does your proposal demonstrate you have met this principle?	What has been done to better to meet this principle?
 <p>Collaboration Working together with other partners to deliver objectives</p>	Not applicable to Welsh Church Fund Trust	
 <p>Involvement Involving those with an interest and seeking their views</p>	Not applicable to Welsh Church Fund Trust	
 <p>Prevention Putting resources into preventing problems occurring or getting worse</p>	Not applicable to Welsh Church Fund Trust	
 <p>Integration Positively impacting on people, economy and environment and trying to benefit all three</p>	Not applicable to Welsh Church Fund Trust	

3. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	Encouraging the socializing of differing age groups through social provision	None	
Disability	No impact	None	
Gender reassignment	No impact	No impact	
Marriage or civil partnership	No impact	No Impact	
Race	No impact	No Impact	
Religion or Belief	Encouraging religion through education at the point of delivery through the provision of enhanced facilities	None	
Sex	No impact	No impact	
Sexual Orientation	No impact	No Impact	
Welsh Language	No impact on Welsh Language	No impact on Welsh Language	

4. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance note <http://hub/corporatedocs/Democratic%20Services/Equality%20impact%20assessment%20and%20safeguarding.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	Not applicable		
Corporate Parenting	Not applicable		

5. What evidence and data has informed the development of your proposal?

The evidence and data used for the assessment of each applicant to the Welsh Church Fund is supplied by the applicant upon submission of their application. The data and information supplied or subsequently requested is used to form the basis of the Committees' decision on whether to award a qualifying grant.

6. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

The grant aid supports and highlights the positive effect that decisions the Welsh Church Fund Working Group have on the applicants funding requests from Voluntary Organisations, Local Community Groups, Individuals and Religious Establishments. All awards are made in the belief that the funding is utilised for sustainable projects and cultural activities that benefit individuals, organisations, communities and their associated assets. All grants are awarded within the Charitable Guidelines of the Trust

7. Actions. As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

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What are you going to do	When are you going to do it?	Who is responsible	Progress
Award grants	April 2017	Welsh Church Fund	On target

8. Monitoring: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

The impacts of this proposal will be evaluated on:	The Payment of grants awarded to the successful applicants
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