

Pecyn Dogfen Gyhoeddus



Swyddog Cyswllt:
Sharon Thomas 01352 702324
sharon.b.thomas@flintshire.gov.uk

At: Bob Aelod o'r Cyngor

Dydd Mercher, 14 Hydref 2020

Annwyl Gynghorydd,

RHYBUDD O GYFARFOD ANGHYSBELL
CYNGOR SIR Y FFLINT
DYDD MAWRTH, 20FED HYDREF, 2020 2.00 PM

Yn gywir

Robert Robins
Rheolwr Gwasanaethau Democraidd

Sylwch: Oherwydd y cyfyngiadau presennol ar deithio a'r gofyniad am gadw pellter corfforol, ni chynhelir y cyfarfod hwn yn y lleoliad arferol. Bydd hwn yn gyfarfod rhithiol a bydd 'presenoldeb' yn gyfyngedig i Aelodau'r Cyngor. Bydd y cyfarfod yn cael ei recordio.

Os oes gennych unrhyw ymholiadau, cysylltwch ag aelod o'r Tîm Gwasanaethau Democraidd ar 01352 702345.

R H A G L E N

1 YMDDIHEURIADAU AM ABSENOLDEB

Pwrpas: I dderbyn unrhyw ymddiheuriadau.

2 COFNODION (Tudalennau 5 - 22)

Pwrpas: I gadarnhau, fel cofnod cywir gofnodion y cyfarfodydd ar 9 a 29 Medi 2020.

3 DATGAN CYSYLLTIAD

Pwrpas: I dderbyn unrhyw ddatganiad o gysylltiad a chynghori'r Aelodau yn unol a hynny.

4 CYDNABOD Y GWOBRAU I BOBL LEOL AR RESTR ANRHYDEDDU PEN-BLWYDD Y FRENHINES

Mae'r Cyngor yn falch o gydnabod bod y bobl ganlynol o Sir y Fflint wedi'u cynnwys ar Restr Anrhydeddu Pen-blwydd y Frenhines 2020 a gyhoeddwyd ar 10 Hydref.

Derbynydd	Tref / cymuned	Anrhydedd	A dderbyniwyd am
Rt. Hon. David George Hanson	Fflint	Urdd Marchog	Yn Aelod Seneddol i Delyn yn ddiweddar. Am wasanaeth gwleidyddol.
Cyng David Evans (Dwyrain Shotton)	Penarlag	OBE	Am wasanaeth cyhoeddus.
Eric Harries Peake	Fflint	MBE	Am wasanaethau i'r Celfyddydau a Chadwraeth Adaryddiaeth.
Bethan Sian Reece	Fflint	MBE	Cynghreiriad Iechyd Meddwl. Am wasanaethau i weinyddu cyfiawnder.
John Challenger	Fflint	BEM	Am wasanaethau i bobl ifanc yn y Gogledd Orllewin yn ystod Covid 19.
Robert Alan Forrester	Fflint	BEM	Wedi bod yn rheolwr gweithredu bad achub, Gorsaf Bad Achub Sir y Fflint. Am wasanaethau gwirfoddol ac achosion da i'r Sefydliad Bad Achub Cenedlaethol Brenhinol yng Ngogledd Ddwyrain Cymru.

5 CYHOEDDIADAU'R CADEIRYDD

Pwrpas: Derbyn unrhyw gyhoeddiad fel y'i dosbarthwyd.

6 DEISEBAU

Pwrpas: Mae hwn yn gyfle i Aelodau'r Cyngor gyflwyno deisebau ar ran pobl yn eu ward. Unwaith y byddant wedi dod i law, caiff deisebau eu pasio i'r Prif Swyddog priodol ar gyfer gweithredu ac ymateb iddynt.

PRIF EITEMAU BUSNES

7 ADRODDIAD PERFFORMIAD BLYNYDDOL 2019/20 (Tudalennau 23 - 90)

Adroddiad Prif Weithredwr -

Pwrpas: Mabwysiadu Adroddiad Perfformiad Blynyddol 2019/20.

8 ADRODDIAD BLYNYDDOL RHEOLI'R TRYSORLYS 2019/20 (Tudalennau 91 - 108)

Adroddiad Rheolwr Cyllid Corfforaethol -

Pwrpas: Cyflwyno Adroddiad Blynyddol Rheoli'r Trysorlys 2019/20 drafft i'r Aelodau

EITEMAU CYFFREDIN BUSNES

9 DATGANIAD DIWYGIEDIG AR BOLISIAU TAL AR GYFER 2020/21 (Tudalennau 109 - 172)

Adroddiad Prif Weithredwr, Uwch Reolwr, Adnoddau Dynol a Datblygu Sefydliadol -

Pwrpas: Mae'n ofynnol bod bob cyngor yn cyhoeddi eu Datganiad ar Bolisiau Tal erbyn mis Ebrill bob blwyddyn. Y Datganiad ar Bolisiau Tal a gyflwynir yn yr adroddiad hwn yw'r wythfed Datganiad blynyddol a gyhoeddwyd gan Gyngor Sir y Fflint.

10 RHEOLAU GWEITHDREFN ARIANNOL (Tudalennau 173 - 238)

Adroddiad Rheolwr Cyllid Corfforaethol -

Pwrpas: Cymeradwyo'r Rheolau Gweithdrefn Ariannol.

11 **RHESTR O GYDNABYDDIAETHAU ARIANNOL AR GYFER 2020/21**
(Tudalennau 239 - 254)

Adroddiad Prif Swyddog (Llywodraethu) -

Pwrpas: I'r Cyngor gymeradwyo'r rhestr o gydnabyddiaethau ariannol ar gyfer Aelodau etholedig a chyfetholedig ar gyfer 2020/21 ar gyfer eu cyhoeddi, gan fod yr holl benodiadau wedi eu gwneud.

12 **ADOLYGU PROTOCOL AELODAU / SWYDDOGION** (Tudalennau 255 - 276)

Adroddiad Prif Swyddog (Llywodraethu) -

Pwrpas: Mabwysiadu Protocol Aelodau / Swyddogion Diwygiedig.

ER GWYBODAETH YN UNIG

13 **CWESTIYNAU GAN Y CYHOEDD**

Pwrpas: Derbyn Cwestiynau Cyhoeddus ar gyfer yr eitem hon: doedd dim wedi dod i law erbyn y dyddiad cau.

14 **CWESTIYNAU**

Pwrpas: Nodi'r atebion i unrhyw gwestiwn a gyflwynwyd yn unol â Rheol Sefydlog 9.4(A) y Cyngor Sir: doedd dim wedi dod i law erbyn y dyddiad cau.

15 **CWESTIYNAU GAN AELODAU AM GOFNODION PWYLLGORAU**

Pwrpas: Mae'r Llyfr Cofnodion, Argraffiad 1 2020/21, wedi ei ddsbarthu i'r Aelodau. Mae hawl gan yr Aelodau ofyn cwestiynau am y cofnodion hyn, yn amodol ar gyfyngiadau penodol, a bydd yr atebion yn cael eu darparu yn y cyfarfod. Gofynnir i Aelodau ddod â'u copi o'r Llyfr Cofnodion i'r cyfarfod. Mae'n rhaid cyflwyno unrhyw gwestiwn i'r Rheolwr Democratiaeth a Llywodraethu cyn diwedd y diwrnod gwaith ar Dydd Mercher, 14 Hydref, 2020.

16 **RHYBUDD O GYNNIG**

Pwrpas: Derbyn unrhyw Rhybuddion o Gynnig: doedd dim wedi dod i law erbyn y dyddiad cau.

Eitem ar gyfer y Rhaglen 2

FLINTSHIRE COUNTY COUNCIL **WEDNESDAY, 9 SEPTEMBER 2020**

Minutes of the remote Annual Meeting of Flintshire County Council held Wednesday 9 September, 2020

PRESENT: Councillor Marion Bateman (Chair)

Councillors: Mike Allport, Bernie Attridge, Janet Axworthy, Glyn Banks, Haydn Bateman, Sean Bibby, Chris Bithell, Sian Braun, Helen Brown, Derek Butler, Clive Carver, Bob Connah, David Cox, Paul Cunningham, Jean Davies, Rob Davies, Ron Davies, Adele Davies-Cooke, Chris Dolphin, Rosetta Dolphin, Ian Dunbar, Andy Dunbobbin, Mared Eastwood, Carol Ellis, David Evans, Veronica Gay, George Hardcastle, David Healey, Gladys Healey, Patrick Heesom, Cindy Hinds, Dave Hughes, Kevin Hughes, Ray Hughes, Joe Johnson, Paul Johnson, Rita Johnson, Christine Jones, Richard Jones, Tudor Jones, Brian Lloyd, Richard Lloyd, Mike Lowe, Dave Mackie, Hilary McGuill, Billy Mullin, Ted Palmer, Mike Peers, Michelle Perfect, Vicky Perfect, Neville Phillips, Ian Roberts, Kevin Rush, Tony Sharps, Aaron Shotton, Paul Shotton, Ralph Small, Ian Smith, Carolyn Thomas, Owen Thomas, Martin White, David Williams, David Wisinger and Arnold Woolley

APOLOGIES:

Councillors: Geoff Collett, Dennis Hutchinson, Colin Legg, Tim Roberts, and Andy Williams

IN ATTENDANCE:

Chief Executive; Chief Officer (Governance); Democratic Services Manager; Team Leader - Democratic Services; Democratic Services Officers; and Councillor Reverend Daniel Stroud for prayers

Prior to the start of the meeting the Chair asked all present to observe a one minute silence in tribute to the victims and families of the Covid 19 pandemic. She paid tribute to the NHS, the volunteers from all Services, and Flintshire County Council employees who had provided front-line services during the crisis.

1. DECLARATIONS OF INTEREST

None.

2. CHAIR AND VICE-CHAIR OF THE COUNCIL

The Chair advised that due to the coronavirus response the Welsh Government had passed emergency legislation enabling Councils to postpone the annual meeting. In recognition of the difficulties caused by remote meetings, that emergency legislation also permitted Councils to extend the tenure of office holders until May 2021 if desired.

It was proposed, with their agreement, that the current Chair and Vice Chair continue in office until May 2021 when it should be possible to hold an annual meeting with the appropriate level of ceremony.

The Chair took the opportunity to thank the Vice-Chair for his support and co-operation regarding the proposed arrangements for the remainder of the municipal year.

The Chief Executive referred to consultation which had been undertaken with Group Leaders and said an agreement had been reached, with the support of the Chair and Vice Chair, to accept the proposed arrangement.

RESOLVED:

That Councillors Marion Bateman and Joe Johnson continue in office as Chair and Vice-Chair respectively until May 2021.

3. ELECTION OF THE LEADER OF THE COUNCIL

It was proposed by Councillor Michelle Perfect and seconded by Councillor Kevin Hughes that Councillor Ian Roberts be appointed Leader of the Council for the remainder of the municipal year 2020/21. In support of the proposal Councillor Hughes paid tribute to Councillor Roberts and commented on his personal qualities and achievements during his term of office. He also spoke of his steadfast work during the Coronavirus pandemic to ensure the best possible outcome in delivery of services for all Flintshire residents. No other nominations were received. Further tributes were paid by Members to Councillor Roberts regarding his exemplary performance and professionalism as a Member of the Council.

When put to the vote the motion was carried.

RESOLVED:

That Councillor Ian Roberts be appointed Leader of the Council for the remainder of the municipal year 2020/21.

4. APPOINTMENT OF THE CABINET BY THE LEADER

Councillor Ian Roberts thanked Members for their support in electing him as Leader of the Council for the remainder of the municipal year and said it was an honour to accept the position. He spoke of the challenging and rapidly changing situation around the Coronavirus pandemic and of the resilience and forbearance shown by the residents of Flintshire during the recent unprecedented times and curtailment of services. He expressed his thanks to all Flintshire employees who had maintained the provision of vital services by the Council during the pandemic, citing Streetscene, Social Services, Education, and Information, Communication and Technology, as examples. He referred to the difficult decisions which had to be taken in accordance with the information provided by National and Welsh Governments to achieve the best outcomes for Flintshire.

Councillor Roberts paid tribute to the Chief Executive, Chief Officers and their teams, for their stalwart performance throughout the crisis. He spoke of the need to continue to exercise caution and restraint to prevent a second wave of the pandemic in the near future.

In accordance with the Constitution, Councillor Roberts set out his choice of Councillors to serve on the Cabinet.

Councillor Roberts thanked Cabinet Members for their work and support. In addition he thanked the Chair, Vice-Chair, and Group Leaders for their engagement to assist the Council in its decision making process.

RESOLVED:

That the choice of Councillors to serve on the Cabinet and their portfolios detailed below, be noted.

<u>Cabinet Member</u>	<u>Portfolio</u>
Ian Roberts	Leader of the Council and Cabinet Member for Education
Carolyn Thomas	Deputy Leader and Cabinet Member for Streetscene & Countryside
Glyn Banks	Cabinet Member for Finance
Chris Bithell	Cabinet Member for Planning & Public Protection
Derek Butler	Cabinet Member for Economic Development
Dave Hughes	Cabinet Member for Housing
Christine Jones	Cabinet Member for Social Services
Billy Mullin	Cabinet Member for Corporate Management & Assets

5. CONSTITUTIONAL MATTERS: COMMITTEES AND INTERNAL BODIES

The Council considered the report of the Chief Officer (Governance) which dealt with matters that required decision at the Annual Meeting of the County Council in accordance with Council Procedure Rule 1.1 (vii)-(xiv). The report was split into sections, each one dealing with one decision that needed to be made and the relevant issues for consideration.

(i) Appointment of Committees

The Chief Officer (Governance) explained that the Constitution provided for the appointment of the following:

- Audit Committee;
- Clwyd Pension Fund Committee;
- Constitution & Democratic Services Committee;
- Grievance Committee;
- Grievance Appeals Committee;
- Investigation & Disciplinary Committee;

- Joint Governance Committee (for Pensions);
- Licensing Committee
- Planning Committee
- Standards Committee

In addition the Constitution provided for the appointment of 6 Overview & Scrutiny Committees (OSCs). At its meeting on 27 February 2020, the Council agreed to reduce that number to 5 at the Annual Meeting. The revised OSCs are shown below.

- Community, Housing and Assets
- Corporate Resources
- Education, Youth & Culture
- Environment & Economy
- Social & Healthcare

The terms of reference for the OSCs were set out in Appendix 1, however, the Chief Officer explained that a further amendment was required to the terms of reference as Emergency Planning, and Crime and Disorder Partnership, had been included by mistake under the scope of the Environment & Economy Overview and Scrutiny Committee and was to be moved to the Corporate Resources Overview & Scrutiny Committee.

Councillor Ian Roberts moved approval of the recommendation in the report which was seconded by Councillor Ted Palmer.

RESOLVED:

That Council appoints the following Committees:

Audit Committee
 Clwyd Pension Fund Committee
 Community, Housing & Assets Overview & Scrutiny Committee
 Constitution & Democratic Services Committee
 Corporate Resources Overview & Scrutiny Committee
 Education, Youth & Culture Overview & Scrutiny Committee
 Environment & Economy Overview & Scrutiny Committee
 Joint Governance Committee (for Pensions)
 Licensing Committee
 Planning Committee
 Social & Healthcare Overview & Scrutiny Committee
 Standards Committee
 Grievance Committee
 Grievance Appeals Committee
 Appeals Committee
 Investigation & Disciplinary Committee

(ii) Determination of the size of Committees

The Chief Officer explained that the size of each of the Committees that Council had appointed must be decided at the Annual Meeting. Council determined at its meeting

on 27 February that there should be a new political balance solution which achieved an overall reduction in the number of committee places whilst still making provision for all political groups to be represented on the Council's major committees. The details of the provision for the size of the Committees was as set out in the report (subject to the corrections for the terms of reference for the Environment & Economy Overview & Scrutiny Committee and the Corporate Resources Overview & Scrutiny Committee as explained under the item on Appointment of Committees) .

RESOLVED:

That the size of each committee be as set out in paragraphs 1.03 and 1.04 of the report.

(iii) Terms of Reference of Committees

The Chief Officer explained that the Annual Meeting was required to decide the terms of reference of the Committees that it appointed. He advised that the terms of reference of the existing Committees were set out in the Constitution. The terms of reference for the Overview & Scrutiny Committees within the revised structure were attached as appendix 1. They were agreed by Council on 27 February 2020. However, the Chief Officer reiterated that further amendments were required to move Emergency Planning and Crime and Disorder Partnership from the scope of Environment & Economy Overview and Scrutiny Committee to the Corporate Resources Overview & Scrutiny Committee.

The new Overview & Scrutiny committee terms of reference would be incorporated within the Constitution.

Councillor Ian Roberts moved approval of the recommendation in the report subject to the above amendments to the terms of reference. This was seconded by Councillor Ted Palmer

RESOLVED:

That the terms of reference for each Committee as set out in the Constitution and, Overview & Scrutiny Committees as set out in Appendix 1 to the report, be approved subject to Emergency Planning and Crime and Disorder Partnership being moved from Environment & Economy Overview & Scrutiny Committee to the Corporate Resources Overview & Scrutiny Committee.

(iv) Political Balance

The Chief Officer (Governance) explained that the Council was required at, or as soon as practicable after the Annual Meeting, to decide the allocation of seats to political groups in accordance with the Political Balance Rules contained in the Local Government and Housing Act 1989 and the Local Government (Committees and Political Groups) Regulations 1990 as amended. Members were advised that these rules did not apply to the Cabinet or to the Standards Committee.

The Chief Officer referred to the key points as detailed in the report. He explained that in the allocation of political balance where some councillors were not in a political group then the Council must ensure that a proportion of seats were allocated to those councillors. He said there was currently one non-aligned Councillor and provision for that Member was detailed in Appendix 2 of the report.

The Chief Officer explained that to attain political balance it had been necessary to separate out the 'employment' committees which were the Grievance, Grievance Appeals and Investigation & Disciplinary Committees, otherwise the smaller political groups would be disadvantaged by having to use part of their seat allocation on committees which were seldom required to meet. The separation required a specific agreement from all Members of the Council.

The Chief Officer advised there were 118 seats in total for Councillors across all of the Council Committees based on the current group membership. The entitlement of each group to seats was as set out in paragraph 1.14 of the report.

Councillor Carolyn Thomas moved approval of the recommendation in the report which was seconded by Councillor Ian Roberts. When put to the vote this was carried.

Councillor Patrick Heesom sought clarification on the additional agreement that all Members, at the discretion of the Chair, had the right to attend and speak, but not vote, at Overview & Scrutiny Committees. The Chief Officer confirmed that Councillor Heesom's understanding was correct and said this was an important consideration in relation to reducing the size of Committees.

RESOLVED:

That the seats be allocated in accordance with the political balance as set out in Appendix 2 of the report and the rules on membership of the Committees as set out in paragraphs 1.08 – 1.14, and that the seats on the Grievance, Grievance Appeals, and Investigation and Disciplinary Committees, be allocated to give a broad political spread of membership.

(v) Appointment of Chairs of Standing Committees

The Chief Officer (Governance) explained that Committee Chairs were appointed by different bodies, some of which were subject to restrictions. The table in paragraph 1.16 of the report outlined which body appointed which Chair and what restrictions (if any) applied.

Councillor Ian Roberts moved the following, which was seconded by Councillor Kevin Hughes:

- That Councillor Ted Palmer be appointed as Chair of the Clwyd Pension Fund Committee;

Councillor Mike Peers moved an amendment that Councillor Ralph Small be appointed as Chair of the Clwyd Pension Fund Committee. This was seconded by Councillor Bob Connah.

Councillors Bob Connah and Richard Jones spoke in support of the nomination of Councillor Ralph Small.

On being put to the vote the amendment by Councillor Peers was lost. The substantive Motion, as moved by Councillor Ian Roberts, which was also put to the vote was carried.

Councillor Ted Palmer thanked Members for their support of his nomination.

Councillor Ian Roberts moved the following, which was seconded by Councillor Chris Dolphin:

- That Councillor Neville Phillips be appointed as Chair of the Constitution & Democratic Services Committee

Councillor Mike Peers moved an amendment that Councillor Arnold Woolley be appointed as Chair of the Constitution & Democratic Services Committee. This was seconded by Councillor Helen Brown.

On being put to the vote the amendment by Councillor Peers was lost. The substantive Motion, as moved by Councillor Ian Roberts, which was also put to the vote was carried.

Councillor Neville Phillips thanked Members for their support of his nomination.

Councillor Ian Roberts moved the following, which was seconded by Councillor Carolyn Thomas. When put to the vote this was carried.

- That Councillor Sharps be appointed as Chair of the Licensing Committee.

Councillor Tony Sharps thanked Members for their support.

Councillor Ian Roberts moved the following, which was seconded by Councillor Chris Bithell. When put to the vote this was carried.

- That Councillor Wisinger be appointed as Chair of Planning Committee

Councillor David Wisinger thanked Members for their nomination and continued support.

Councillor Mike Peers referred to the distribution of senior responsibility allowances or salaries, which he felt disadvantaged his own group, which was the second largest on the Council.

The recommendation that the Grievance Committee, the Grievance Appeals Committee, and Investigation & Disciplinary Committee should each appoint their own Chairs from amongst their respective memberships was moved by Councillor Ian Roberts and seconded by Councillor Chris Bithell. When put to the vote this was carried.

The Chief Officer explained that under the Local Government Measure 2011 the Chairs of Overview & Scrutiny Committees are chosen by the political groups based on the strength of the various groups and which had seats on the Cabinet. Chairs are allocated to groups with a place on Cabinet first and any entitlement was rounded down to the nearest whole number. The remaining Chairs are then allocated to groups without a seat on Cabinet (rounding up to the nearest whole number). The allocations of Chairs was set out in Appendix 2 of the report.

Councillor Ian Roberts moved the following, which was seconded by Councillor Carolyn Thomas:

Overview & Scrutiny Committee	Group to Choose Chair
Corporate Resources	Conservative
Education, Youth & Culture	Labour (Councillor David Healey)
Social & Healthcare	Liberal Democrat
Environment & Economy	Independent Alliance
Community, Housing & Assets	Labour (Councillor Ian Dunbar)

On being put to the vote, this was carried.

RESOLVED:

(a) That the Chairs of the following Committees be appointed (noting any restrictions on eligibility):

- Clwyd Pension Fund Committee - Councillor Ted Palmer
- Constitution & Democratic Services Committee - Councillor Neville Phillips
- Licensing Committee - Councillor Tony Sharps
- Planning Committee - Councillor David Wisinger

(b) That the Grievance Committee, the Grievance Appeals Committee, and Investigation & Disciplinary Committee should each appoint their own Chairs from amongst their memberships;

(c) That the following groups be allocated the chair of the Overview & Scrutiny Committees as outlined:

Corporate Resources	Conservative
Education, Youth & Culture	Labour (Councillor David Healey)
Social & Healthcare	Liberal Democrat
Environment & Economy	Independent Alliance
Community, Housing & Assets	Labour (Councillor Ian Dunbar)

(vi) **Local Choice Functions**

The Chief Officer explained that the Council was required to agree such part of the Scheme of Delegation as the Council determined it was for the Council to agree. This related to local choice functions which could be decided either by the Council or the

Cabinet and/or delegated to officers. The table of Local Choice Functions was included in the Constitution.

Councillor Peers referred to the provision within the Constitution (function 20) to make payments to provide compensation in cases of maladministration and asked if such payments (specifically large payments) could be submitted to Council for consideration. The Chief Officer provided clarification of the function and explained that such payments were varied but in general were for small amounts and were determined at Chief Officer level. He acknowledged the point made by Councillor Peers that an overview of the procedures would be helpful and suggested that this could be undertaken by either the Audit Committee or Standards Committee. The Chief Executive agreed that anonymised reports be provided retrospectively to the Audit Committee and Standards Committee (twice yearly) on the number of compensation cases and outcomes regarding involuntary settlements within function 20 of the Constitution. Councillor Mike Peers moved approval of the proposal which was seconded by Councillor Marion Bateman.

Councillor Ian Roberts moved approval of the recommendation in the report that the Local Choice functions as set out in the Constitution be approved, which was duly seconded

RESOLVED:

- (a) That the Local Choice functions as set out in the Constitution be approved; and
- (b) That anonymised reports be provided retrospectively to the Audit Committee and Standards Committee (twice yearly) on the number of compensation cases and outcomes regarding involuntary settlements within function 20 of the Constitution.

(vii) Nominations to Internal Bodies

The Chief Officer explained that the existing Scheme of Delegation provided for an Appointments Committee for first and second tier officers, comprising seven Members. This was not a standing committee and was convened when required by seeking nominations from Group Leaders. It was recommended that the make-up of the Committee continues, as set out in the report.

Councillor Ted Palmer moved approval of the recommendation in the report which was seconded by Councillor Ian Dunbar.

RESOLVED:

That the make-up of the Appointments Committee be approved.

(viii) Standards Committee

The Chief Officer outlined the composition and membership of the Standards Committee which Members were requested to note.

Councillor Ted Palmer moved approval of the recommendation in the report which was seconded by Councillor Ian Dunbar.

RESOLVED:

That the composition and membership of the Standards Committee be noted.

(ix) Appointments to Outside Bodies

The Chief Officer explained that at the Annual Meeting in 2017 Council appointed Members to outside bodies for the whole term of the Council. It also gave the Chief Executive in consultation with Group Leaders, the power to make changes to those nominations as required.

Councillor Ted Palmer moved approval of the recommendation in the report which was seconded by Councillor Ian Dunbar.

RESOLVED:

That Council notes that nominees to Outside Bodies have been appointed for the whole Council term and the Chief Executive's power to vary those nominations (in consultation with Group Leaders).

6. SCHEDULE OF MEETINGS

The Chief Officer (Governance) presented the schedule of meetings for 2020/21 following consultation. He advised that for 2020/21 a sequence of meetings had been included in September for all of the Overview & Scrutiny Committees to consider the Recovery Strategy and it would also be necessary to insert special meetings in the Autumn to consider proposals for the 2021/22 Budget. The Chief Officer drew attention to the meeting of the Planning Strategy Group on 17 September and said this had been cancelled.

Councillor Mike Peers referred to planning site visits and said they were not shown in the proposed Schedule of Meetings for 2020/21 and suggested that they be included provisionally until resumed. The Chief Executive agreed that the dates of planning site visits be provisionally added to the Schedule. He explained that a risk assessment on site visits was being undertaken and pending the outcome of that work he anticipated they should continue in the near future where required. In the interim the current arrangements would continue and feedback on the risk assessment would be provided to Members as soon as possible.

Councillor Ted Palmer moved approval of the recommendation in the report which was seconded by Councillor Carolyn Thomas.

RESOLVED:

That the draft schedule of meetings for 2020/21 be approved, subject to the proposed changes.

7. **ATTENDANCE BY MEMBERS OF THE PRESS AND PUBLIC**

There was one member of the press in attendance.

(The meeting started at 2.00 pm and ended at 3.51 pm)

.....
Chair

Mae'r dudalen hon yn wag yn bwrpasol

FLINTSHIRE COUNTY COUNCIL
29 SEPTEMBER 2020

Minutes of the special meeting of Flintshire County Council held as a remote attendance meeting on Tuesday, 29 September 2020

PRESENT: Councillor Marion Bateman (Chair)

Councillors: Mike Allport, Bernie Attridge, Janet Axworthy, Glyn Banks, Haydn Bateman, Sean Bibby, Chris Bithell, Helen Brown, Clive Carver, Geoff Collett, Bob Connah, David Cox, Paul Cunningham, Jean Davies, Rob Davies, Adele Davies-Cooke, Chris Dolphin, Rosetta Dolphin, Ian Dunbar, Andy Dunbobbin, Mared Eastwood, Carol Ellis, Veronica Gay, Patrick Heesom, Cindy Hinds, Dave Hughes, Kevin Hughes, Ray Hughes, Paul Johnson, Joe Johnson, Rita Johnson, Christine Jones, Richard Jones, Tudor Jones, Colin Legg, Brian Lloyd, Richard Lloyd, Mike Lowe, Dave Mackie, Hilary McGuill, Billy Mullin, Ted Palmer, Mike Peers, Michelle Perfect, Vicky Perfect, Neville Phillips, Ian Roberts, Tim Roberts, Kevin Rush, Tony Sharps, Aaron Shotton, Paul Shotton, Ralph Small, Ian Smith, Carolyn Thomas, Owen Thomas, Martin White, David Williams, David Wisinger and Arnold Woolley

APOLOGIES:

Councillors: Derek Butler, Ron Davies, David Evans, David Healey, Gladys Healey and Andy Williams

IN ATTENDANCE:

Chief Executive, Chief Officer (Governance), Chief Officer (Planning, Environment and Economy), Chief Officer (Housing and Assets), Service Manager Strategy, Legal Services Manager, Team Leader Planning Policy, Democratic Services Manager, Democratic Services Team Leader and Democratic Services Officers

8. MINUTES

The minutes of the meeting held on 18 February 2020 were approved as a correct record, subject to an amendment by Councillor Owen Thomas, as moved and seconded by Councillors Bithell and Paul Shotton. Approval of the minutes of 27 February 2020 was moved and seconded by Councillors Bithell and Peers.

RESOLVED:

That subject to the amendment on the minutes of 18 February 2020, both sets of minutes be approved as a correct record.

9. DECLARATIONS OF INTEREST

The Chief Officer (Governance) reiterated the advice given to Members throughout the Local Development Plan (LDP) process on the various circumstances where a prejudicial interest would apply. He reminded Members of the nature of interests declared when the Deposit LDP was approved in July 2019.

On that basis, the following Members declared a personal and prejudicial interest and would leave the meeting before the item:

- Councillor Glyn Banks - closely associated person owning an allocated site.
- Councillor Bob Connah - related to occupier of land in the Local Development Plan (LDP).
- Councillors David and Gladys Healey - having opposed a site in the LDP (not in attendance).
- Councillor Joe Johnson - owner of land within the LDP.
- Councillor Hilary McGuill - related to owners of land within the LDP.
- Councillor Ralph Small - property overlooking one of the candidate sites.
- Councillor Andy Williams - home and business near to a candidate site (not in attendance).

The following Members declared a personal interest:

- Councillor Christine Jones - having supported the Northern Gateway development.
- Councillors Paul Cunningham, Michelle Perfect, Vicky Perfect and Ian Roberts - Members of Flint Town Council which had objected to a candidate site.
- Councillor Ted Palmer - as a close friend of Councillor Joe Johnson.
- Councillor Mike Peers - recently made aware that a distant relative had been part of the consultation.
- Councillor Kevin Rush - plans possibly submitted by a distant relative.
- Councillor Martin White - property backing onto a site in the LDP.

10. **FLINTSHIRE LOCAL DEVELOPMENT PLAN - CONSIDERATION OF DEPOSIT CONSULTATION REPRESENTATIONS AND RESPONSES AND SUBMISSION FOR PUBLIC EXAMINATION**

The Chief Officer (Planning, Environment and Economy) introduced the report for Members to consider and agree the Council's responses to representations received to the Deposit Local Development Plan (LDP) consultation exercise. This was a key stage towards achieving one of the priorities within the Council Plan, to adopt the LDP and it had been subject to lengthy scrutiny by the cross-party Planning Strategy Group (PSG). One priority of PSG was to protect existing Green Barrier land and Settlement boundaries where possible. If agreed by Members, the Plan would be submitted to the Welsh Government and Planning Inspectorate for Public Examination by an independent Planning Inspector, providing an opportunity for further representations to be made at the discretion of the Inspector.

The Service Manager Strategy gave a presentation covering:

- Purpose
- The Deposit LDP, the Council's Plan
- Main elements of Plan strategy
- Deposit LDP housing allocations

- Consultation on Deposit LDP
- Work of Planning Strategy Group
- Consideration of representations
- Main issues raised
- Pressures
- Example Green Barrier comparison map
- Submission of the Plan
- Member briefings and Cabinet recommendation

The presentation highlighted the range of benefits in adopting a Plan, the approach to responding to representations and the broad spread of sites in sustainable settlements - some of which had potential for early development. A key element of the process was the contributions of the PSG in scrutinising progress and making recommendations to Cabinet that were now submitted to Council for approval. The Service Manager advised that Welsh Government had found no fundamental issues with the soundness of the Plan and that key infrastructure providers/stakeholders had raised no major objections. Work was continuing with Natural Resources Wales to resolve flood risk concerns on five small employment sites. In summary, having considered all representations and evidence, there were no significant changes recommended to the Plan with only minor editing/wording changes required for clarity.

The Chair thanked the officers and their team, together with PSG Members for their work on this matter.

During the item, a number of Members also paid tribute to the officers and PSG Members for their commitment to the lengthy process in producing a sound Plan.

As Chair of the PSG, Councillor Bithell moved the recommendations - as endorsed by Cabinet - and highlighted the importance of progressing to adopting a Local Development Plan for Flintshire.

As Vice-Chair of the PSG, Councillor Peers seconded the proposal and echoed the positive comments about the work of all those involved in the process. He referred to a potential conflict on the response to the proposal for an original candidate site as an employment site and asked if this could be reviewed prior to the Council issuing its full response. He thanked officers for more clarity on changes to the Green Barriers and asked if Members could comment on those comparison maps.

The Service Manager said that, whilst Members were welcome to raise queries with him on the review of Green Barriers, there could be no extension to the consultation period. The comparison maps would be made available publicly to support any comments submitted by third parties during the examination stage. It was agreed that the officer would liaise with Councillor Peers on his initial point which would be a clarification, rather than a change to the Council's response.

Following comments by Councillor Dunbar, the Service Manager spoke about the comprehensive review of Green Barriers by the PSG which sought to protect

areas such as Wepre Park. He also provided clarification on the introduction of a specific policy on Houses of Multiple Occupation (HMOs) within the LDP.

Councillor Richard Jones said that the delay in adopting an LDP - which was no reflection on the work of the Planning department - had resulted in the Deeside Plan being used as a document to underpin and subsequently weaken the LDP. He said that the Deeside Plan, which had not been subject to wider consultation, should never have been used to inform the LDP and he considered other documents used to evidence the LDP appeared to be biased towards the Deeside area. For that reason, he was unable to support the first recommendation.

In response, the Service Manager said that the Deeside Plan was one of a large number of relevant plans and strategies in the public domain that were referenced as a material consideration on the soundness of the LDP. He went on to refer to the broad spread of allocated sites within the LDP which spanned the whole of Flintshire.

Whilst Councillor Heesom agreed with some parts of the LDP, he said that the focus was around the Northern Gateway and Warren Hall, and had concerns that areas to the west of the County - including Mostyn - were not represented. He said that issues such as the handling of employment land, flood defences and climate change had not been addressed sufficiently.

On the points raised, the Service Manager said that there were a number of strategic sites that had existed for some time which were appropriately reflected in the Plan and that the importance of Mostyn Docks had been recognised in the Proposals Map. He explained that ongoing engagement with Natural Resources Wales to resolve the employment land issues relating to five small sites did not significantly affect delivery of objectives of the Plan nor its soundness.

In welcoming the report, Councillor Gay expressed her disappointment that Saltney was not adequately represented in the LDP and said that more investment was needed in that area. She shared the concerns raised by Councillor Dunbar about HMOs.

Councillor Christine Jones welcomed the progression of the Northern Gateway development as an important strategic site which would benefit other areas of Flintshire as well as the region.

Councillor Tony Sharps noted the next stage of the process and raised concerns about the infrastructure required to support housing developments. In response, the Service Manager clarified that there was no scope to introduce new sites at this stage and that the Planning Inspector would review the representations and supporting evidence as submitted. The Chief Officer (Planning, Environment and Economy) said that relations with key infrastructure providers would continue in order to provide statements of common ground at the public examination stage. On the County Hall complex, the Chief Executive said that following the demolition of Phases 3 and 4, there was no agreed use for that part of the site and would need future determination as the opportunity arose.

Councillor Ellis praised the work undertaken but did not support the Plan as she felt the road infrastructure could not support development sites put forward for Buckley.

The Chair said that whilst she supported both recommendations, her concern with an aspect of one particular candidate site would be raised at the next stage of the process.

Following the debate, the Chief Officer (Governance) suggested that the recommendations remain as set out in the report and that the Chief Officer (Planning, Environment and Economy) bring a report back to clarify the limited scope for him to make any changes in wording that would not affect the substance of the Plan, for Members to consider.

To reflect some of the concerns raised during the item, Members were invited to vote on each recommendation in turn. Having been moved and seconded earlier in the meeting, both recommendations were put to the vote and carried.

RESOLVED:

- (a) That the Council note the representations made during the Deposit Local Development Plan consultation (appendix 1) and endorse the recommended responses, and agree that they will be forwarded to the Welsh Government and the Planning Inspectorate for consideration as part of the examination in Public; and
- (b) That the Council agree that the Flintshire Local Development Plan (2015-2030) be Submitted to the Welsh Government and the Planning Inspectorate for Examination in Public.

11. MEMBERS OF THE PRESS AND PUBLIC IN ATTENDANCE

There was one member of the press in attendance.

(The meeting started at 2pm and ended at 3.50pm)

.....
Chair

Mae'r dudalen hon yn wag yn bwrpasol

Eitem ar gyfer y Rhaglen 7



COUNTY COUNCIL

Date of Meeting	Tuesday, 20 th October 2020
Report Subject	Annual Performance Report 2019-20
Report Author	Chief Executive

EXECUTIVE SUMMARY

The Annual Performance Report for 2019/20 reviews our progress against the Council Priorities as detailed in the Council Plan 2019/20.

The report reflects the overall progress that has been made against our priorities and the level of confidence we have in achieving the desired outcomes. It also shows the position against our 53 risks, with 4 risk increasing in significance during the year and 16 risks reducing in significance by year end.

Performance against the Council Plan measures was positive with 88% of agreed key activities being assessed as making good progress and 91% likely to achieve the desired outcome. In addition, 78% of the performance indicators met or exceeded target for the year, whilst 59% showed improvement or remained stable.

Risks are also being successfully managed with the majority being assessed as moderate (68%) or minor/insignificant (17%); 15% of risks showed a high risk status at year-end, mostly due to lack of financial resourcing.

RECOMMENDATIONS

1	To approve the 2019/20 Annual Performance Report as recommended by Cabinet.
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REPORT DETAILS

1.00	EXPLAINING THE COUNCIL PLAN PERFORMANCE 2019/2020
1.01	The Annual Performance Report (the Report) meets the statutory requirement to publish a Corporate Plan as required by the Local Government (Wales) Measure (2009) (the Measure). The report must be published by 31st October each year. The purpose of the report is to account for the organisation's previous year's performance against its Council Priorities.
1.02	The requirements of the Measure are met through the "forward looking" document; the Council Plan 2019/20. This sets out the vision and priorities for the Council. The second statutory requirement of the Measure is met by this Annual Performance Report, which reviews progress on commitments made in the previous year.
1.03	The Annual Performance Report must be approved by the full Council prior to publication.
1.04	<p>The Annual Performance Report for 2019/20 reviews our progress against the Priorities as detailed in the Council Plan 2019/20. This assessment takes into consideration assessments of our performance for each of the Council Priorities through:</p> <ul style="list-style-type: none"> • Progress against key actions and projects • Progress against identified risks and challenges • Performance indicator outturns (target and trend analysis) • Regulatory, audit and inspection activity • Progress against the Well-being of Future Generations sustainable development principles and goals. • Progress against the Council's Well-being Objectives
1.05	<p><u>Progress against Key Activities</u></p> <p>Good progress has been made against the 2019/20 Council Plan priorities and there is a high level of confidence in the achievement of desired outcomes. The Report summaries progress against the key activities supporting the priorities as follows:</p> <p>Progress:</p> <ul style="list-style-type: none"> • We are making good progress in 88% (152) • We are making satisfactory progress in 12% (20) <p>Outcome:</p> <ul style="list-style-type: none"> • We have a high level of confidence in the achievement of 91% (157). • We have a medium level of confidence in the achievement of 9% (15).

1.06	<p><u>Progress against Risks and Challenges</u></p> <p>Previous risk reports provided to Cabinet were based on initial risk scores and current risk position for each quarter. This has been altered for the purpose of the Annual Performance Report to demonstrate performance and trend of risks in year. Within this report, the initial risk is the position of risk as of 1st April 2019 and the current risk is the position of risk as of 31st March 2020.</p> <p>Good progress was made in managing our risks. Analysis of the year end risk levels for the 53 strategic risks identified in the Council Plan is as follows:</p> <ul style="list-style-type: none"> • 62% (33) risks remained the same. • 30% (16) risks reduced • 8% (4) risks increased
1.07	<p><u>Performance Indicator Outturns</u></p> <p>The Report summaries our performance against the Council Plan measures and also nationally using the Public Accountability Measures (PAMs). Welsh Government have decided not to collect the PAMs at the time of publishing this report, due to the ongoing pandemic. We have still collected the data and measured against trend and our own targets.</p> <p>Council Plan Measures</p> <p>Assessment of actual performance against target:</p> <ul style="list-style-type: none"> • 78% (68) of performance measures achieved target or better. • 14% (12) of performance measures missed target within an acceptable margin. • 8% (7) of performance measures significantly missed target. <p>Analysis of trend was also undertaken. This is a comparison of current year performance with that of the previous year.</p> <p>Where trend analysis could be undertaken: -</p> <ul style="list-style-type: none"> • 52% (31) of performance measures showed improved performance; • 41% (24) showed performance which had downturned when compared with the previous year; and • 7% (4) had maintained the same level of performance. <p>Public Accountability Measures</p> <p>Assessment of performance against our own set targets:</p> <ul style="list-style-type: none"> • 67% (10) of national measures achieved target or better. • 27% (4) of national measures missed target within an acceptable margin. • 6% (1) of national measures significantly missed target. <p>Analysis of trend was also undertaken. This is a comparison of current year performance with that of the previous year. Where trend analysis could be undertaken: -</p> <ul style="list-style-type: none"> • 73% (11) of national measures showed improved performance; and • 27% (4) showed performance which had downturned when compared with the previous year

1.08	Regulation, Audit and Inspection Activity The Audit Wales publishes an Annual Improvement Report (AIR) each year on behalf of the Auditor General for Wales. The AIR is currently being produced for Flintshire which will summarise its findings and give recommendations from the various reports that have been produced.
1.09	The Auditor General has not made any statutory recommendations with which the Council must comply.
1.10	The Report will be made available via the Council's website once published. Paper copies will also be available with supporting documents which provide the more detailed information will be available as 'hyperlinked' documents.
1.11	Both Cabinet and Corporate Resources Overview and Scrutiny Committee have continued to consider performance areas which under-performed (downward trend and/or low quartile benchmark position) throughout 2019/20.
1.12	Progress against these action plans with mid-year performance will be monitored and reported in December as part of the mid-year performance reports.

2.00	RESOURCE IMPLICATIONS
2.01	There are no specific resource implications as part of this report.

3.00	IMPACT ASSESSMENT AND RISK MANAGEMENT														
3.01	<p>Ways of Working (Sustainable Development) Principles Impact</p> <table border="1"> <tr> <td>Long-term</td> <td rowspan="5">The Annual Performance Report covers all Five Ways of Working. Throughout the report you will be able to see the impact and the way we apply Five Ways of Working across the Council Priorities. We have included one case study which demonstrates impact through each of the areas</td> </tr> <tr> <td>Prevention</td> </tr> <tr> <td>Integration</td> </tr> <tr> <td>Collaboration</td> </tr> <tr> <td>Involvement</td> </tr> </table> <p>Well-being Goals Impact</p> <table border="1"> <tr> <td>Prosperous Wales</td> <td rowspan="7">Throughout the Annual Performance Report we refer to the Well-Being Goals and their impact.</td> </tr> <tr> <td>Resilient Wales</td> </tr> <tr> <td>Healthier Wales</td> </tr> <tr> <td>More equal Wales</td> </tr> <tr> <td>Cohesive Wales</td> </tr> <tr> <td>Vibrant Wales</td> </tr> <tr> <td>Globally responsible Wales</td> </tr> </table>	Long-term	The Annual Performance Report covers all Five Ways of Working. Throughout the report you will be able to see the impact and the way we apply Five Ways of Working across the Council Priorities. We have included one case study which demonstrates impact through each of the areas	Prevention	Integration	Collaboration	Involvement	Prosperous Wales	Throughout the Annual Performance Report we refer to the Well-Being Goals and their impact.	Resilient Wales	Healthier Wales	More equal Wales	Cohesive Wales	Vibrant Wales	Globally responsible Wales
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	<p>Council's Well-being Objectives The Council's wellbeing objectives have been measured against and evidence has been provided for each of the sub priorities. The evidence demonstrates the progress which have been made against the Well-being Objectives.</p>
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4.00	CONSULTATIONS REQUIRED/CARRIED OUT
4.01	A Member workshop was held on 30 May 2019 which gave Members the opportunity to review the draft Council Plan 2019/20 to ensure that it captured all priorities. Consultation is undertaken throughout the year by Cabinet and Overview and Scrutiny Committees reviewing the quarterly performance reports.

5.00	APPENDICES
5.01	Appendix A - Draft Annual Performance Report 2019/20 Appendix B - Council Plan 2019/20 Risk Register Appendix C - Public Accountability Measures 2019/20 Performance

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	Council Plan 2019/20 Council's Well-being Objectives

7.00	CONTACT OFFICER DETAILS
7.01	Contact Officer: Jay Davies, Strategic Performance Advisor Telephone: 01352 702744 E-mail: jay.davies@flintshire.gov.uk

8.00	GLOSSARY OF TERMS
8.01	<p>Council Plan: the document which sets out the annual priorities of the Council. It is a requirement of the Local Government (Wales) Measure 2009 to set objectives and publish a Plan.</p> <p>Public Accountability Measures: nationally agreed measures to be collected and monitored by all councils for benchmarking purposes.</p>

Mae'r dudalen hon yn wag yn bwrpasol

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Introduction

Welcome to Flintshire's Annual Performance Report (APR). This document gives an overview of the performance of the Council during 2019/20 against the priorities we set. It also covers progress against our Well-being Objectives.

The report covers: -

- Progress against key actions and projects;
- Actual and comparative performance information against local and nationally set performance indicators;
- An assessment of how well the Council is managing the strategic risks and challenges it faces;
- The outcomes of external regulatory work and the Council's response to improve governance and public services as a result; and
- Our performance against the Future Generations Ways of Working and our Own Well-being objectives.

Priority Setting

The Council has competing pressures and priorities. Some priorities are 'self-selecting' to meet national government social policy objectives such as housing and education. Others are set more locally.

The priorities have been shaped by councillors across our Cabinet and the Overview and Scrutiny functions to ensure continuity of analysis for past, present and future performance against which the Council can be judged. There is widespread ownership of the priorities within the Council and with our key partners in the public, private and voluntary sectors.

This set of seven priorities supported by a series of sub-priorities has helped the Council to concentrate on the things where attention was most needed during 2019/20. The remaining priorities from previous years have been managed as more routine business outside of the Plan.

Alignment of Council Plan Priorities and Well-Being Objectives

Priority	Sub Priority	Well-Being Objectives
Caring Council	Adult Services	<ul style="list-style-type: none"> • Sustaining a local market of high quality and affordable service provision for those who are highly dependent on care support • Making early interventions to support healthy and independent living • Providing joined-up services with public and third sector partners which support quality of life in communities and for individuals and families • Protecting people from the risk of any form of abuse • Giving equal opportunity to all to fulfil their lives
	Children Services	
	Adult and Children's Services	
	Housing	
	Protecting People from Poverty	
Ambitious Council	Business Sector Growth and Regeneration	<ul style="list-style-type: none"> • Sustaining economic growth through local and regional business development, employment and training sites. • Developing the transport infrastructure and employment sites and transport services, widening access to employment and training sites. • Creating a supply of diverse and quality training and employment opportunities.
	Investing in our Communities	<ul style="list-style-type: none"> • Making communities safe places by working with partners to prevent crime, repeat crime and anti-social behaviour
Learning Council	Education and Skills	<ul style="list-style-type: none"> • Providing high quality learning opportunities and learning environments for learners of all ages. • Supporting children and younger people to achieve their potential. • Supporting learners from 3 to 18 years of age to aspire to high levels of educational attainment and achievement.
Green Council	Sustainable Development and Environmental Management	<ul style="list-style-type: none"> • Enhancing the natural environment and promoting access to open and green spaces. • Reducing energy consumption and using and developing alternative/renewable energy production. • Maximising the recovery and recycling of waste.
	Safe and sustainable travel services	<ul style="list-style-type: none"> • Developing the transport infrastructure and employment sites, and transport services, widening access to employment and training sites.
Safe and Clean Council	Safe and Clean Communities	<ul style="list-style-type: none"> • Making communities safe places by working with partners to prevent crime, repeat crime and anti-social behaviour

Connected Council	Resilient Communities	<ul style="list-style-type: none"> Supporting local communities to be resilient and self-supporting. Committing to resilient service models to sustain local public services.
	Customer Journey	<ul style="list-style-type: none"> Widening digital access to public services.
Serving Council	Effective Resource Management – Workforce	<ul style="list-style-type: none"> Continuing to be a high performing and innovative public sector organisation with social values. Providing high quality, accessible, responsive and cost effective public services.
	Effective Resource Management – Finance / Assets	
	Effective Resource Management – Collaboration	
	Effective Resource Management – Digital	

Note: The colour scheme used in this table is used throughout the document for ease of recognition.

Your Local Services

Services for you –a compilation of the range of services we offer the community of Flintshire and some figures against how well we have performed last year 2019/20.

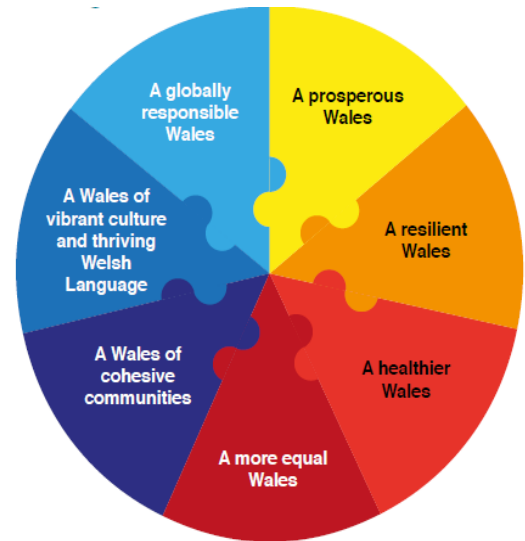
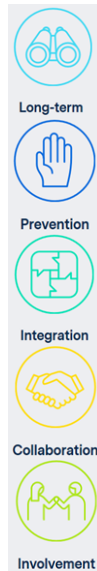
- 451 people accessed social prescribing / 3rd sector service through the Single Point of access
- 75% of people accessing the Single Point of Access service for Advice & Assistance service did not need support again for 6 months.
- 1,341 families accessed information and support through the Early Help Hub.
- The Contact Centre received over 123,000 calls for Housing and Streetscene between July 2019 and March 2020.
- 2175 domestic properties received energy efficiency measures
- 9 young people enrolled in Project Search to improve their employability skills
- 98% of food establishments met food hygiene standards
- 10943 people signed up to My Account
- 100% of direct employees achieve Foundation Living Wage
- 480 homes have received an electrical upgrade.
- 406 boilers have been installed by the in-house repairs team.
- 890 properties have had smoke alarms and carbon monoxide detectors upgraded.

Assessment of our Wellbeing Objectives

The Council set its Well-being Objectives in June 2017. These are the Council's commitments to embrace the Well-being of Future Generations (Wales) Act 2015.

Designated public bodies are required to work individually and collectively to improve well-being in Wales. The seven well-being goals and the five ways of working set a general purpose for public bodies. They also aim to ensure better decisions by:

- considering the long-term
- prevention
- integrated working
- working collaboratively
- being inclusive of people of all ages.



Further details on the Future Generations Act (FGA) and the seven wellbeing goals can be found by using this [link](#).

The section 'Future Generations – Five Ways of Working Case Studies' provides examples of how we have met the Future Generations ways of working in some specific area of work.

Our Well-being Objectives reflect the 'Impacts' we intend to make through the actions and activities within each priority. An assessment of the progress against each Objective is made as part of the overall performance for each priority.

Evidence of Well-Being Outcomes against Council Plan Priorities

Priority	Sub Priority	Progress	Outcome	Well-Being Objectives Outcome/Evidence
Caring Council	Adult Services	G	G	An average of 52 people have attended the day service at Hwb Cyfle.
	Children Services	G	G	3385 children accessed the Childcare offer.
	Adult and Children's Services	G	A/G	86.36% of initial child protection conferences were held within 15 days of the strategy discussion. 18 new foster carer approvals in the year.
	Housing	G	G	116 Council homes completed through the Strategic Housing and Regeneration Programme (SHARP).
	Protecting People from Poverty	G	G	Communities for Work Plus (CFW+) assisted 94 participants to gain employment.
Ambitious Council	Business Sector Growth and Regeneration	G	G	2777 jobs have been created locally.
	Investing in our Communities	G	G	9 young people enrolled in Project Search.
Learning Council	Education and Skills	G	G	72% of young people aged 16 – 18 in the youth justice system offered education, training or employment.
Green Council	Sustainable Development and Environmental Management	G	G	An agreement to establish a Climate Change Strategy Board.
	Safe and sustainable travel services	G	G	8 Local Travel Arrangements are now in place.
Safe and Clean Council	Safe and Clean Communities	G	G	98.13% of all Penalty Charge Notice (PCN) / Fixed Penalty Notice (FPN) have been completed.
Connected Council	Resilient Communities	G	G	Two residents have been helping us to engage with the over 50's through a number of activities.

	Customer Journey	G	G	Abandonment rate of calls reduced to 10.97% exceeding the target.
Serving Council	Effective Resource Management – Workforce	A/G	A/G	453 managers and employees attended Stress Management training. 80% Percentage of eligible employees receiving an annual appraisal
	Effective Resource Management – Finance / Assets	G	G	We have maintained the effective and cost-efficient performance of all principal regional, sub-regional and local collaborative services.
	Effective Resource Management – Collaboration			
	Effective Resource Management – Digital	G	G	Projects continue to be prioritised in accordance with Digital Strategy Board governance arrangements.

Highlights of performance and what has been achieved.

Theme: Caring Council

Strong Performance
<ul style="list-style-type: none">• 3385 children accessed the Childcare offer between April 2019 and March 2020.• 52 individuals attending the day service at Hwb Cyfle.• 116 Council homes have been completed through the Strategic Housing and Regeneration Programme (SHARP).• 94 participants assisted into employment through the Communities for Work Plus (CFW+) service
Strong Stories
<ul style="list-style-type: none">• A Quality Framework for Microcare has been developed and implemented.• We have increased the number of domiciliary care providers and a third of these providers have achieved the silver standard.• Individuals are now able to complete an initial assessment online to determine their eligibility for care funding.• Flintshire is the first Dementia-Friendly Council in North Wales, supporting intergenerational work and alternative therapies.• Construction of the new Learning Disability Day Centre was completed in May 2019.• A local social-food-enterprise Well-Fed has been established and is now trading. The mission of the company is to “connect everyone with good fresh food”.
Improvement Areas
<ul style="list-style-type: none">• To continue to reduce homelessness.• Number of affordable homes provided through planning permission.• To increase the percentage of initial child protection conferences

Theme: Ambitious Council

Strong Performance
<ul style="list-style-type: none">• 9 young people enrolled in Project Search in the September intake.• 42 business support sessions were delivered to support Social Enterprises.
Strong Stories
<ul style="list-style-type: none">• A digital action plan for Flintshire has been produced and its priorities are included within the overarching regional digital connectivity strategy.• An agreement has been agreed in principle to transition to an independent trust model in April 2021.• Completed construction of school projects in Penyffordd and Connah’s Quay High School.
Improvement Areas
<ul style="list-style-type: none">• Obtain grant funding to support educational delivery.• To progress the testing of the model of a Business Improvement District for Mold (through a local ballot of rate paying businesses) as a pilot exercise

Theme: Learning Council

Strong Performance
<ul style="list-style-type: none">• 72% of young people aged 16 – 18 in the youth justice system offered education, training or employment.• 72% of young people aged 16 – 18 in the youth justice system offered education, training or employment.
Strong Stories
<ul style="list-style-type: none">• Schools and central staff have engaged in the training offered to prepare for the revised ALN Act.• Schools have been offered professional development through the region to ensure that schools can deliver a transformational and engaging curriculum.• Schools have engaged positively with a national focus on implementing a new curriculum.
Improvement Areas
<ul style="list-style-type: none">• Increase the percentage of pupils aged 16 achieving 5A* - A grades at GCSE.• Reduction in the number of pupils who receive fixed term exclusions from school.• Improve the number of pupils assessed in Welsh at the end of the Foundation phase.

Theme: Green Council

Strong Performance
<ul style="list-style-type: none">• 82.1% average recycling rate across all HRC sites• 4.95% of C roads in overall poor condition has decreased from 5.76
Strong Stories
<ul style="list-style-type: none">• An agreement to establish a Climate Change Strategy Board.• There has been an agreement to establish an officer group for carbon reduction.• The completion of the Council's Leader Project to identify commercially viable sites enabling private sector uptake.• Flintshire are achieving waste management targets in advance of statutory timescales.• Parc Adfer began accepting regional and local non-recyclable waste.
Improvement Areas
<ul style="list-style-type: none">• Work with operators to help ensure that there is resilience in the supply chain of transport providers

Theme: Safe and Clean Council

Strong Performance
<ul style="list-style-type: none">• 179 employees completing the corporate safeguarding e-learning modules.• 98.1% of food establishments have met food hygiene standards.
Strong Stories
<ul style="list-style-type: none">• We have achieved the targets of the Corporate Safeguarding Action Plan.• Streetscene are performing well against their current performance standards.
Improvement Areas
<ul style="list-style-type: none">• Progress non-payment of all Penalty Charge Notice (PCN) / Fixed Penalty Notice (FPN).

Theme: Connected Council

Strong Performance
<ul style="list-style-type: none">• 451 people have accessed the social prescribing / 3rd sector service through the Single Point of access.• 10.97% call abandonment rate for combined Housing and Streetscene Contact Centre• 10943 My Account subscriptions has increased from 1900 during 2018/19
Strong Stories
<ul style="list-style-type: none">• The Holywell community Hub refurbishment is now complete.• A Social Value Strategy has been introduced and this is supported and measured within the procured software system.• Let's Get Moving developed opportunities for residents to be more active in their communities to achieve improvements in health and well-being.• A seamless and successful transition to an Integrated Contact Centre.
Improvement Areas
<ul style="list-style-type: none">• Procurement of monitoring software to produce information around monetary investments.

Theme: Serving Council

Strong Performance
<ul style="list-style-type: none">• 453 managers and employees have attended Stress Management training, rising from 145.• 9.94% employee turnover has reduced from 10.48 days in 2018/19
Strong Stories
<ul style="list-style-type: none">• We have implemented a compliant and sustainable new pay model. As part of this model, we can offer a competitive salary across the majority of evaluated posts.• An agreement is in place for a model template to calculate full cost recovery to inform future service level agreements (SLA).• There has been a successful transition to a new service model for enforcement services.• The second phase of the Alternative Delivery Models for medium-term implementation has been agreed.
Improvement Areas
<ul style="list-style-type: none">• Percentage of permanent employees who have left within first year of employment.• The number of working days per full time equivalent (FTE) local authority employees lost due to sickness absence.• The percentage of planned efficiencies achieved M11 Revenue monitoring report.

Council Plan Progress – Infographic of RAGs

Assessment of our Performance

The table below provides an overview of progress against Council Plan Actions and Key Performance Indicators. For more details information please refer to the End of Year Monitoring Report.

The Action Progress key below defines the Red / Amber / Green (RAG) for Actions Progress in year. The Outcome RAG status below was assessed as part of the end of year reports in September and is based on our confidence in contributing positively towards the Outcome during the year.

<u>PROGRESS RAG Status Key</u>		<u>OUTCOME RAG Status Key</u>	
R	Limited Progress - delay in scheduled activity; not on track	R	Low - lower level of confidence in the achievement of outcome(s)
A	Satisfactory Progress - some delay in scheduled activity, but broadly on track	A	Medium - uncertain level of confidence in the achievement of the outcome(s)
G	Good Progress - activities completed on schedule, on track	G	High - full confidence in the achievement of the outcome(s)

The key below defines the Red / Amber / Green (RAG) status for each of the Key Performance Indicators.

Key Performance Indicators	
Limited Progress - delay in scheduled activity; not on track	RED
Satisfactory Progress - some delay in scheduled activity, but broadly on track	AMBER
Good Progress - activities completed on schedule, on track	GREEN

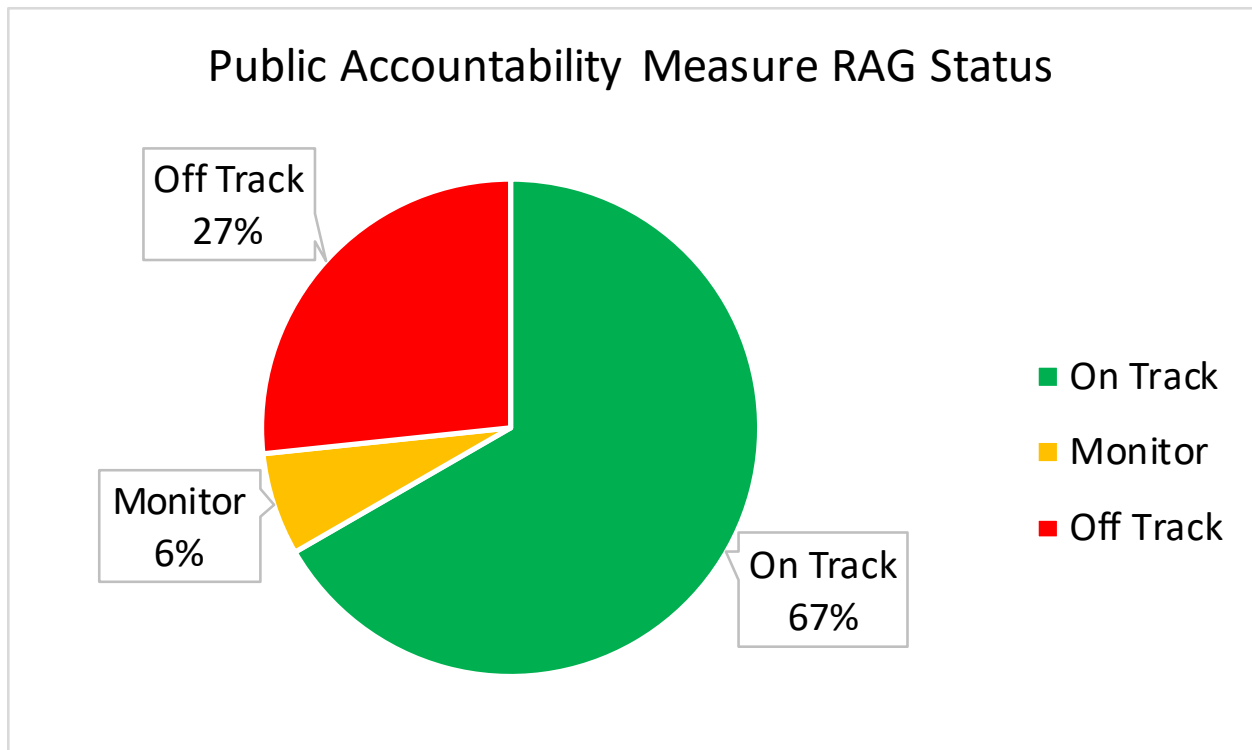
Performance Data Summary

National Performance Summary (All Wales Position)

The Welsh Government and the Local Government Data Unit have not requested submission of the Public Accountability Measures at the date of publication of this document. The analysis below is based on Flintshire County Councils performance against its own set targets and trend on previous year 2018/19.

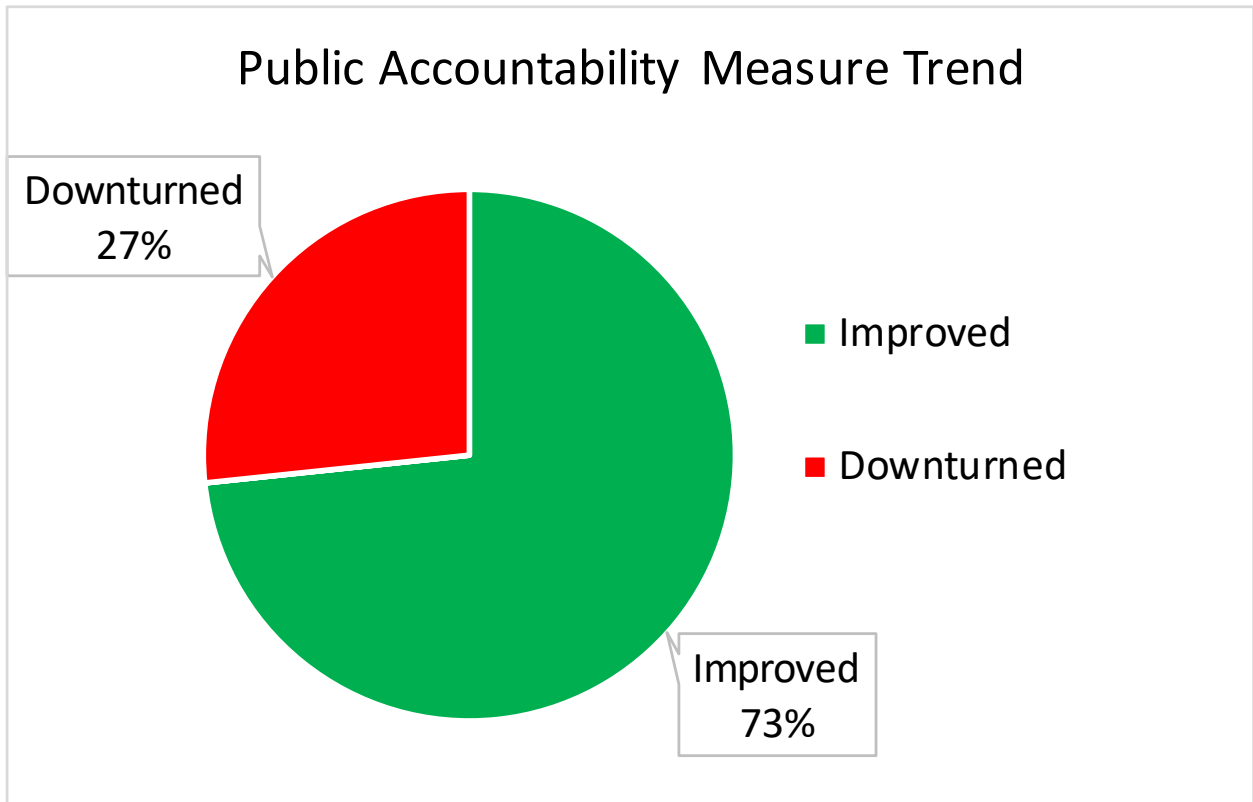
How we performed against Public Accountability Measures 2019/20

We have performed well against Public Accountability Measures 2019/20 with an overall increase in the number of measures on track from 50% in 2018/19 to 67% in 2019/20. The number of number of measures that are to be monitored has significantly decreased from 25% in 2018/19 to 6% in 2019/20. There has been a slight increase in the number of measures off track from 25% in 2018/19 to 27% in 2019/20.



Performance trend for Public Accountability Measures 2019/20

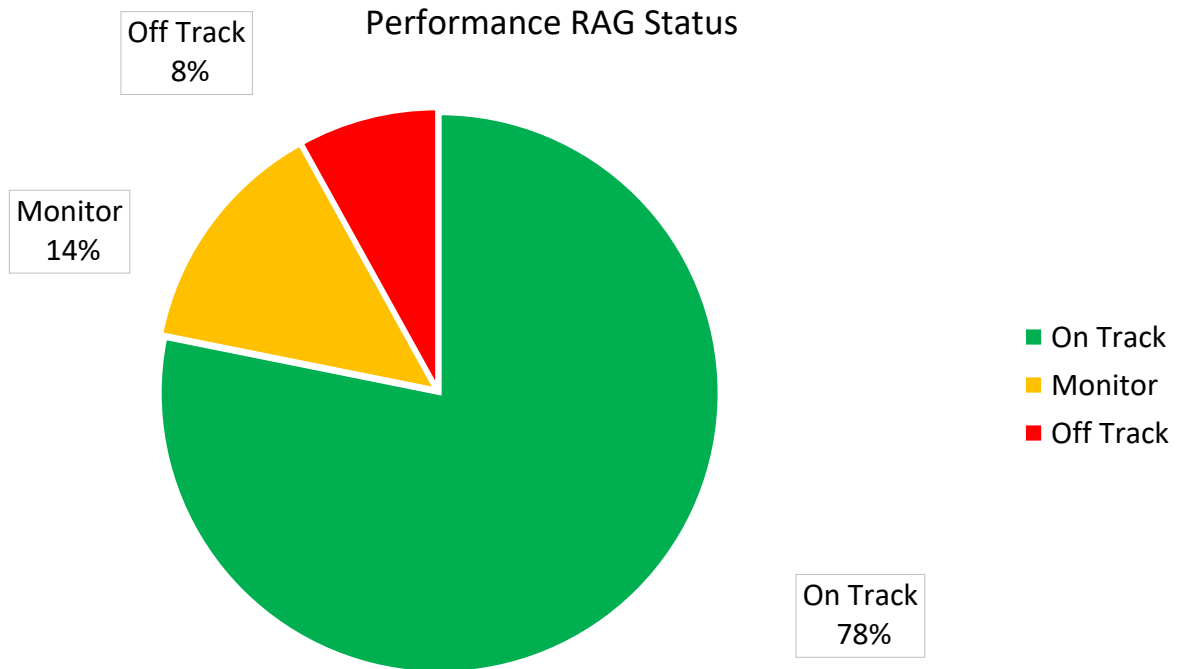
Through 2019/20 we have seen an overall positive increase in performance trend. The improved trend has increased from 17% in 2018/19 to 73% in 2019/20. The number of measures with a downturned trend decreased from 83% in 2018/19 to 27% in 2019/20.



Council Plan Performance Summary

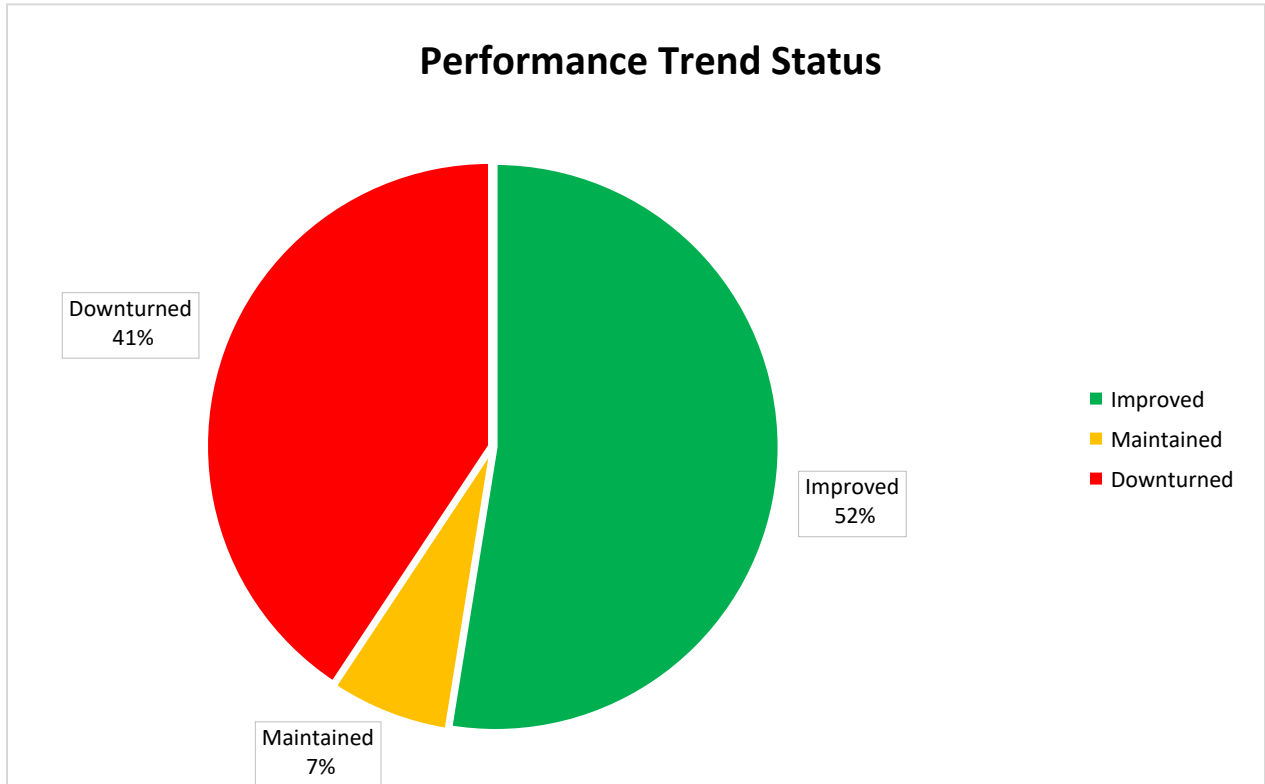
Performance for 2019/20 against our Council Plan Measures is summarised in the performance indicator chart below. 78% of indicators achieved target or better compared to 70% in 2018/19. 8% of indicators significantly missed targets compared to 10% during 2018/19. 14% of indicators are being monitored compared to 20% in 2018/19.

Chart 2a: Performance RAG status for Council Plan Measures 2019/20



The performance trend for 2019/20 against our Council Plan Measures is summarised in the performance indicator chart below. 52% of indicators improved compared to 60% in 2019/20. 41% of performance indicators downturned compared to 27% in 2019/20. 7% maintained their performance compared to 13% in 2019/20.

Chart 2b: Performance Trend for Council Plan Measures 2019/20

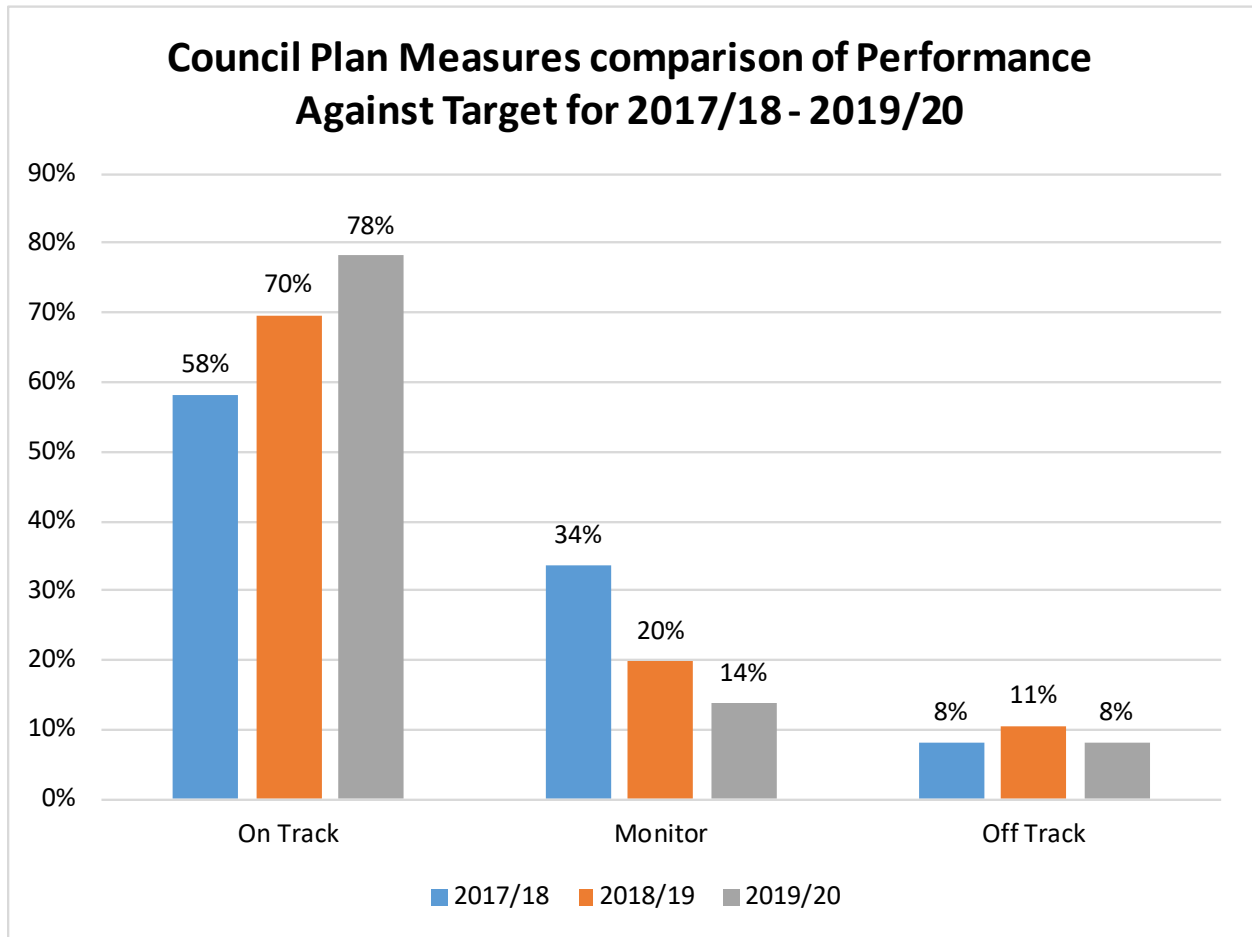


Council Plan Performance Data Summary

The table on the next page demonstrates a comparison of performance data from 2017/18 through to 2019/20. Each table shows positive or maintained progress being made in comparison to the previous year.

The table below shows that we had a positive year in outcomes compared to previous years. We had a year on year increase in measures on target. 58% performance indicators which were on track in 2017/18, 70% in 2018/19 and 78% in 2019/20. During 2017/18 34% performance indicators missed target marginally, this decreased to 20% during 2018/19 and decreased further to 14% in 2019/20. During 2017/18 8% of performance indicators were classed as off track and missed target compared to 11% in 2018/19. This has returned to 8% for 2019/20.

Chart 3a: Percentage of Council Plan measures against target for 2017/18, 2018/19 and 2019/20

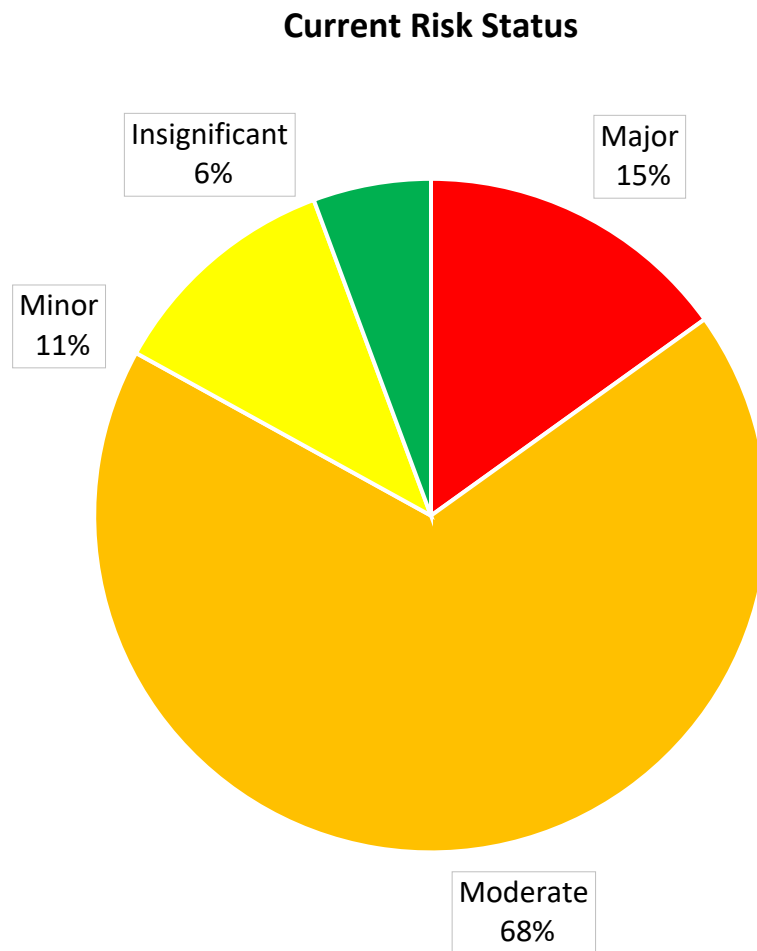


Risk Management

The Council adopted the Council Plan for 2019/20 in June 2019. The Council Plan's strategic risks are contained within the priorities of the Plan and are monitored throughout the year.

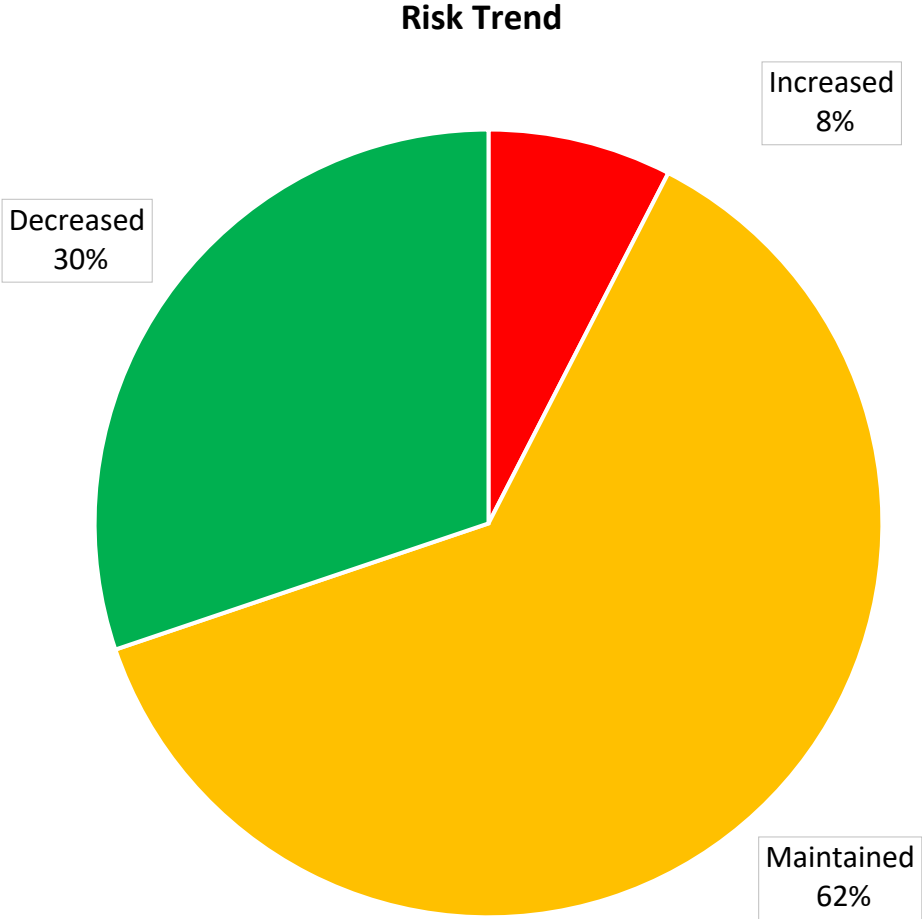
Analysis of the year end risk levels for the 53 strategic risks identified in the Council Plan is as follows: -

- 3 (6%) are insignificant (green)
- 6 (11%) are minor (yellow)
- 36 (68%) are moderate (amber)
- 8 (15%) are major (red)



Trend analysis compares the significance of risk levels at the end of the year with those at the start of the year. The analysis showed that: -

- 16 (30%) risks had decreased
- 33 (62%) risks remained maintained
- 4 (8%) risks had increased



A summary table of the risks at year end 2019/20 is shown in Appendix A.

Future Generations – Five Ways of Working – Case Study – Hwb Cyfle

Hwb Cyfle, which means ‘Opportunity Hub’, provides a fully accessible and vibrant setting for people with learning disabilities to receive respite care and support, develop skills, build friendships and increase their independence.



Long Term –

Hwb Cyfle represents a £4 million capital investment by Flintshire County Council, which demonstrates the Council’s commitment to delivering quality social care services to vulnerable adults. The new building is state-of-the-art and has been enjoyed by service users, their family members and our staff since it opened its doors in June, 2019.

Prevention –

This project has been pivotal to the modernisation and transformation of Learning Disability Day and Work Opportunity services in Flintshire. The service provides meaningful daytime activities for more than 250 people with learning disabilities. Supporting people to learn new skills, develop independence and to make social connections and friendships. The service also works in close partnership with a supported living programme to ensure that people supported, their parents and carers, can develop positive health and well-being through the provision of fulfilling, safe and seamless respite services, preventing families reaching crisis.

Integration –

Flintshire has led the way with all key partners in developing this centre which aims to better integrate health, social care and the third sector and to help empower people with learning disabilities to access more opportunities in their local community. The facility and the service are cutting edge in Wales.

Collaboration –

A successful partnership has been established between the Council and Hft. This has improved the quality of services for people with learning disabilities, by combining expertise and experience to inject the service with new ideas and market leading methods and practices.

This collaborative and participatory service model is further complemented by new partnerships that have been with a number of local third sector community groups, bringing a wide variety of activities and opportunities for people supported and staff. These partnerships are delivering social value and community benefits.

Involvement -

Throughout this project, the most positive results have been achieved when co-production and close engagement has been undertaken. This engaging and inclusive approach is the key learning point from this project.

Engagement has been most successful when people that use services are placed at the heart of the activity. This helps the project team to establish what matters most to people, and the project objectives can be shaped and prioritise to deliver this. Engagement with staff has also been critical to the success of the project to ensure that service models are efficient and optimised to drive continuous improvement.

Equality

The Council takes seriously its duty to promote equality, eliminate discrimination and foster good relations through all its activities. During the past 12 months we have continued to make progress with meeting our equality objectives and our statutory duties. A new tension monitoring system has been established so that we can identify potential community tensions and monitor hotspots and trends. We continued to work with other public bodies to promote Hate Crime Awareness week to encourage reporting and reinforce the message that hate crime is wrong. "Show Racism the Red Card" (an anti-racism charity) were commissioned to provide race equality training for year 8 school pupils. We have continued to raise awareness of discrimination and promote tolerance and understanding through participating in LGBT (lesbian, gay, bisexual and transgender) History month and Trans Remembrance Day and provided equality related training for our employees. The Youth Service has established an LGBT Youth Group to support young LGBT people. We are working with the Regional Community Cohesion Team to strengthen links with people with protected characteristics in our communities, and improve engagement and consultation. We are reviewing some public paths to improve access for all protected groups.

We have worked with our colleagues from other public bodies across North Wales to develop shared, new equality objectives for 2020/24 and have developed our new Strategic Equality plan for 2020/24.

Welsh Language Standards (WLS)

We are committed to promoting, supporting and safeguarding the Welsh language for the benefit of present and future generations and ensuring that we can offer high quality services through the medium of English and Welsh. Over 97% employees have now completed the Welsh language skills assessment; we are aiming to achieve 100% response rate during 2020/21. This information is important for managers, enabling them to identify training needs within their teams and plan how they will deliver bilingual services. We have reviewed and updated the way we write person specifications on vacant posts to ensure the Welsh language requirements are more descriptive and attract more Welsh speakers. We participated in Diwrnod Hawliau (national Welsh language Rights Day campaign), promoting our services which are available in Welsh to encourage Welsh speakers to contact us in Welsh. We continued to support Menter Iaith Sir y Fflint a Wrecsam (an independent community organisation working to increase and strengthen the use of Welsh locally) to celebrate Saint David's Day across the county and were able to secure funding to hold an additional, successful community event in Connah's Quay.

Partnership and Collaboration Activity

Flintshire has a longstanding and proud track record of partnership working. The communities it serves expect the statutory and third sector partners to work together, to work to shared priorities and, through collective effort, to get things done. The Public Services Board, is at the heart of promoting a positive culture of working together and concentrates energy, effort and resources on some of the big social issues of today.

The Flintshire Public Services Board (PSB) was formally established on 1st April 2016 as a result of the "Well-being of Future Generations (Wales) Act" coming into effect. The Flintshire PSB is made up of senior leaders from a number of public and voluntary organisations: Flintshire County Council, Betsi Cadwaladr University Health Board, Natural Resources Wales, North Wales Fire & Rescue Services (as statutory members); along with North Wales Police, Public Health Wales, Flintshire Local Voluntary Council, Coleg Cambria, Glyndwr University, Wales Community Rehabilitation, National Probation Services Wales and Welsh Government (as invited PSB members). Together these organisations have

worked positively in implementing the Well-being Plan for Flintshire published in May 2018. ([link to the Plan here along with the Annual Report](#)).

More recently, in response to the challenges posed by Covid-19, the Flintshire PSB has joined with the Wrexham PSB to form a united body to action some of the more pressing and longer term societal challenges which affect both counties.

Regulation, Audit and Inspection

The Council is regulated by a number of organisations throughout the year. These include, amongst others the Wales Audit Office (WAO), Estyn for Education and the Care Inspectorate Wales (CIW).

The WAO publish an annual report on behalf of the Auditor General for Wales called the Annual Improvement Report. This report summarises the outcomes of all work that the WAO have undertaken during the year.

Corporate Health and Safety

The Council is committed to its duties and responsibilities as an employer for health and safety. The management of workplaces that are safe to the health of all Council employees, sub-contractors, stakeholders and members of the public is one of our main priorities. To meet this priority we plan to meet the requirements of the Health and Safety at Work Act 1974 and other associated legislation as far as is reasonably practicable.

Appendices

Appendix A – Council Plan 2019/20 Risk Register

Feedback and how to Obtain Further Information

There are a number of related documents which support this Annual Performance Report. These can be obtained through the following sources:

- Flintshire County Council Plan 2019/20
- Flintshire Council Plan Annual Monitoring Report 2019/20
- Flintshire Social Services Annual Performance Report 2019/20
- Annual Strategic Equality Plan Report 2019/20
- Welsh Language Monitoring Report 2019/20

Thank you for reading our Annual Performance Report for 2019/20.

Your views and suggestions about how we might improve the content and layout of the Annual Performance Report for future years are welcome.

Please contact us on:

Tel: 01352 702744

Email: corporatebusiness@flintshire.gov.uk

Mae'r dudalen hon yn wag yn bwrpasol



End of Year Council Plan Risk Report 2019/20

Flintshire County Council

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Print Date: 09-Sep-2020

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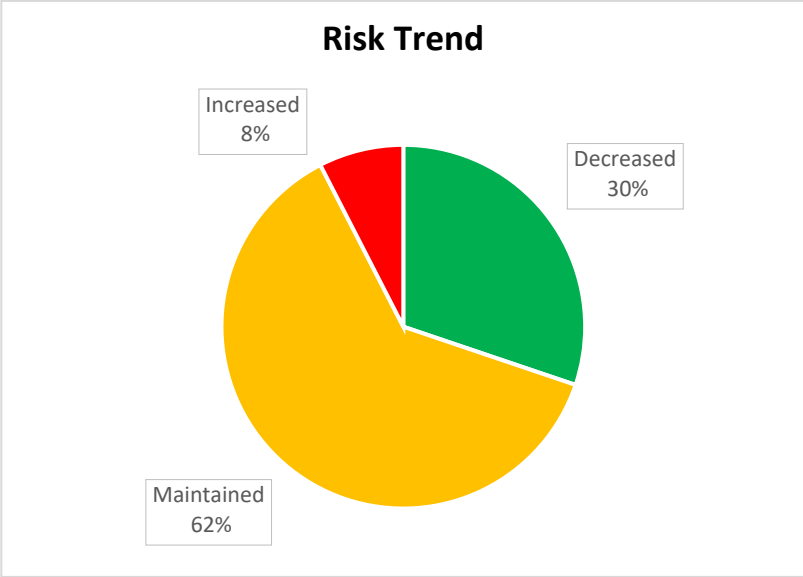
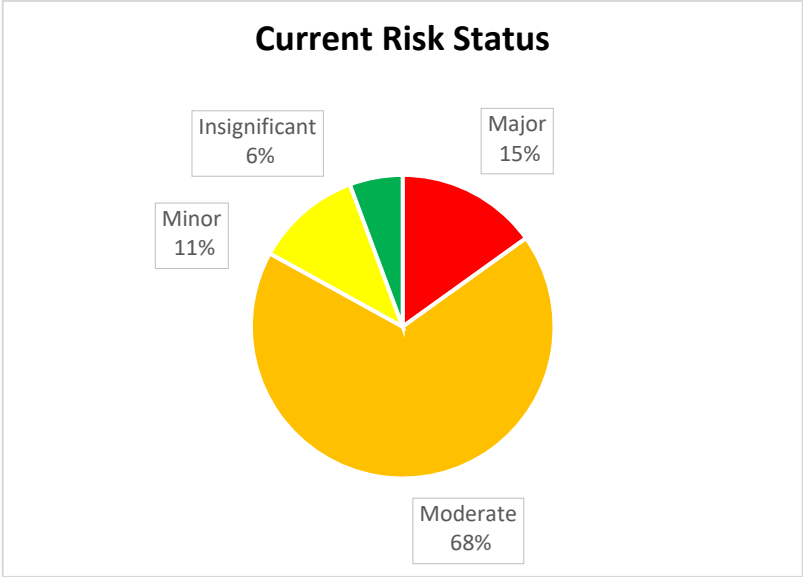
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Analysis



Caring Council

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Homelessness will remain a growing area of demand due to the current economic climate	Jenni Griffiths - Homeless and Advice Manager	Denise Naylor - Housing Programmes Support Manager				Open
<p>Potential Effect: Homelessness remains an area of risk. The lack of suitable, settled accommodation for those on welfare benefits has caused delays in being able to achieve positive outcomes for customers.</p> <p>Management Controls: The Council has been awarded in year funding to assist with additional measures to develop Landlord incentives within the private rented sector and a strategic partnership with HAWs commenced in May 2019. The emergency beds provision is in place and is proving to be in demand.</p> <p>Progress Comment: Homelessness remains a high area of risk as a result of a number ongoing factors but it is important to note the risk of an increase in homelessness post COVID-19 is significant. The service is at the moment receiving only approximately 50% of presentations compared to this time last year but this is in the main due to the measures put in place by the Government to protect people from homelessness during COVID-19. At this time it is unclear what will happen once existing measures are withdrawn post COVID-19 but there is a real risk of increased homelessness through a number of factors such as:</p> <ul style="list-style-type: none"> • Recommencement of possession hearings including the backlog from this period. • Rent/Mortgage arrears accrued during this period. • Financial hardship through loss of employment. • Long term changes to affordability of properties due to impacts of the above. <p>st Updated: 22-Jun-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
The supply of affordable housing will continue to be insufficient to meet community needs	Melville Evans - Senior Manager - Housing Programmes	Denise Naylor - Housing Programmes Support Manager				Open
<p>Potential Effect: i) Increase in homelessness ii) Increased pressure on the Housing Options Team iii) Increase in people sleeping rough</p> <p>Management Controls: Housing Strategy and Action Plan 2019 - 24 used to manage Section 106 and Social Housing Grant programmes. A framework to maximize the level of affordable housing. HRA Business Plan will target 50 new social rent homes each year. Introduction of North Wales Construction Framework.</p> <p>Progress Comment: This is, and will remain to be, an ongoing risk as the shortfall of affordable housing to meet local housing need as identified in the Local Housing Market Assessment is 238 per annum, which is rarely met year on year. Therefore, whilst the Council, our Housing Association partners and developers are committed to delivering significant number of affordable housing there will continue to be a shortfall for the foreseeable future. To this effect, the Council's SHARP has delivered a total of 180 new social (114) and affordable rent (66) homes to date. A further 125 new social (72) and affordable rent / low cost home ownership (53) units are under construction or scheduled to start. This includes a scheme at Nant y Gro, Gronant which will deliver a further 41 council and affordable homes subject to planning approval in March 2020. Three further schemes which will deliver a further 111 units are being worked up. The Housing Associations are committed to delivering 229 affordable housing by 2021 through the Social Housing Grant programme. In addition, NEW homes has a Council approved Development Strategy which is looking to deliver a further 200 units over the next two years. In light of the findings of the Welsh Government's Affordable Housing Review, the Council is now working with other local authorities and North Wales Housing Associations to develop a North Wales Procurement Framework with North Wales based contractors which could enable it to deliver new housing schemes under new arrangements post the SHARP contract. This could enable the Council to engage with local developers and partner housing associations to deliver sites locally. It is proposed that the new Framework will be live by August 2020.</p> <p>Last Updated: 22-Jun-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Department for Works and Pension's Welfare Reform Programme, including Universal Credit full service implementation which would place increasing demand on the Council for affordable and social housing	Cheryl Marland - Housing Access and Sarth Team Leader	Denise Naylor - Housing Programmes Support Manager				Closed
<p>Potential Effect: Increased homelessness</p> <p>Management Controls: Developing innovative housing schemes that will aim to provide housing at a cost that under 35's can meet. The Common Housing Register recognises affordability as a housing need and gives priority to those who are suffering financial hardship in terms of housing costs due to the impacts of welfare reforms</p> <p>Progress Comment: This risk has been closed due to not being able to measure the impact of the Welfare Reform Programme directly on the demand for social and affordable housing.</p> <p>Last Updated: 02-Jan-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Diminishing land supply for council housing construction	Melville Evans - Senior Manager - Housing Programmes	Denise Naylor - Housing Programmes Support Manager	 Green	 Green		Closed

Potential Effect: i) Reduction in number of units delivered

Management Controls: On-going work to maximise the use of Council land and other publically owned land. The Council is working with private developers and housing associations to jointly develop sites to purchase and develop privately owned sites. Introduction of a North Wales Construction Framework in April 2020.

Progress Comment: To date the number of new Council and affordable homes completed, being built or scheduled to be built has reached 305. The target of 500 by 2021 is within reach with work underway to identify land suitable for the construction of the remaining 195 new affordable and council homes. This could include development on sites which are not council owned in partnership with local developers and housing associations through the North Wales Construction Framework which is being established by local authorities and housing associations. The new Framework is scheduled to go live April 2020.

Last Updated: 22-Jun-2020

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Capital borrowing limits for Council housing	Melville Evans - Senior Manager - Housing Programmes	Denise Naylor - Housing Programmes Support Manager	 Yellow	 Green		Closed



Potential Effect: A reduction in the construction and delivery of Council houses




Management Controls: Welsh Government (WG) has reduced Borrowing CAP restrictions for the housing Revenue Account (HRA).

Progress Comment: This is no longer considered to be a risk as the cap on borrowing within the housing revenue account ended May 2019. The ending of the cap means that Flintshire will continue to invest in building council homes.

Last Updated: 10-Jan-2020

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RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Customer expectations for the timeliness of adaptations undertaken through Disabled Facilities Grants (DFGs) may not be met due to competing demands on resources	Jen Griffiths - Benefits Manager	Rafaela Rice - Disabled Facilities Manager	 Amber	 Amber	↔	Open
<p>Potential Effect: There will be a reputational risk to the Council if adaptations fail to meet the expectations of customers. This is increased because of the national ranking of performance by Welsh Government.</p> <p>Management Controls: i) Monitoring and management of adaptation cases. ii) Ongoing process review. iii) Continually seek ways to further increase cost-efficiency. iv) Increase in budget allocation to meet demand.</p> <p>Progress Comment: The performance on DFG timescales has been an area of challenge over time and a management board was established to improve and monitor progress. The budget for the programme is currently on track. There has been improved performance in relation to timescales for completing adaptations, which also improves the outcomes for our customers. A new procurement process is currently being implemented. Last Updated: 12-May-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Universal Credit Full Service roll out: by working in partnership with the Department of Working Pensions (DWP) and other stakeholders to manage any negative impact from falling upon both residents and Council services.	Jen Griffiths - Benefits Manager	Dawn Barnes - Welfare Reform Manager				Open

Potential Effect: Potential increased in rent arrears and decrease of Council Tax collection.
Potential increased risk of homelessness and need for accommodation.
Increased demand in existing support services.

Management Controls: Welfare Reform is undoubtedly impacting services. Collaborative working is taking place to improve communication across the teams and active participation with other agencies at hubs and community events will help to identify opportunities for early intervention.
Council Tax Collection continues to be under pressure and a recent review of the claims process for Council Tax Reduction are now in place to make it easier and quicker and will continue to monitor the success of this review. Although there is no evidence of links to increased presentations for homelessness, this remains a risk and will continue to monitor the rate of homelessness.
Frequent budget reviews of the Discretionary Housing Payments funding remains a priority to maximise support for residents.

Progress Comment: Work is underway to identify and manage the impacts of Universal Credit on Council Tenants and their rent accounts. This work is concentrated around early intervention which enables support to be provided to those who need it. This support provides a more realistic chance of the rent accounts becoming more manageable and out of an arrears situation.
There will inevitably always be an element of cash flow arrears on accounts due to the Universal Credit payments (whether direct to the Council or directly to the tenant) are made in arrears.
During 2019/20 the Welfare Reform Team continue to provide assistance and support to residents who are impacted by Welfare Reforms with a focus on early identification and intervention to prevent the problem from escalating.
As a result of the current emergency situation, the Welfare Reform Team will continue to respond to and provide ongoing intensive assistance to support residents through personal changes in household financial circumstances for 2020/21.
Commencement in July 2019 of a Department for Works & Pensions Pilot of moving those in receipt of existing benefits or tax credits onto Universal Credit known as managed migration will remain a risk of an increase in demand in services for 2020/21.
A programme of improving communications across teams to help identify customers who will require further support and guidance is ongoing. Council Tax Collection remains under pressure.
Last Updated: 22-Jun-2020

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Demand for advice and support services will not be met	Jen Griffiths - Benefits Manager	Sian Humphreys - Welfare Reform Manager				Open

Potential Effect: The impact of Welfare Reform on Flintshire households increasing the demand for advice and support to levels beyond what resource can handle in a timely manner.

Management Controls: The Flintshire Advice and Support Gateways are ensuring residents in need of help are referred to an appropriate service provider and maximising effective use of resources as far as possible.

Progress Comment: The Council's Welfare Reform Response Team provides assistance and support with the implementation of Universal Credit. The team are also responsible for providing welfare and budgeting support and actively engage with customers, landlords and other service providers to ensure customers' needs can be met. There is still a significant numbers accessing this support due to residents presenting with underlying debt issues. Managers across Customer Services, Neighbourhood Housing and Revenues and Benefits continue to work together to develop early intervention strategies.

Last Updated: 11-May-2020

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Debt levels will rise if tenants are unable to afford to pay their rent or council tax	David Barnes - Manager - Revenues	Sheila Martin - Income Team Leader				Open

Potential Effect: With the introduction of universal credit and reduction in benefits being paid it is anticipated that tenants will struggle to maintain their payments increasing the level of debts owed to the Council for Rent and Council Tax.

Management Controls:


- i) Continue the proactive response to Council tenants impacted by the spare room subsidy ensuring they are supported to remain in, or move from their property, lessening the negative impact on the Housing Revenue Account and the risk of homelessness.
- ii) Flintshire County Council (FCC) funding a personal budgeting support service (delivered by the CAB) for Universal Credit (UC) claimants who experience problems managing their single monthly UC payment, including their housing costs.
- iii) FCC continuing to provide advice and support services helping Flintshire households maximise their income through accessing social security benefits & better managing their financial commitments.
- iv) FCC effective management of Discretionary Housing Payment budget is enabling target support to households, primarily impacted by the welfare reforms.

Progress Comment: Rent arrears have stabilised and being brought under control as the year end outturn reflects an improved financial position where rent arrears have fallen, as a result of the measures introduced to tackle rent arrears through early intervention with tenants, but where necessary, also escalating cases to court quickly for those tenants who fail to engage or pay.




To ensure the rent recovery process is more efficient to meet the challenges of the future, the investment and 'go-live' deployment of the Mobysoft Rent Sense solution in quarter one allowed the Rent Income service to track and monitor rent arrears much more quickly through systems that will offer predictive analytics, trend-analysis and risk profiling, meaning that officer time will not be wasted on cases that do not require contact. The unprecedented additional work generated by the launch of Universal Credit full service rollout from April 2017 continues to create a changing and challenging rent collection environment but on a positive note, the increasing reliance of managed/direct payments through the Department of Work and Pensions (DWP) is helping to stabilise the increase in rent arrears by ensuring those in receipt of UC are able to meet their obligations to pay rent, even though as a social landlord, the Council receives managed payments in arrears.

Council Tax collection rates have not been majorly impacted by the introduction of Universal Credit and the Council continues to achieve the highest collection level of any Welsh local authority.




Last Updated: 22-Apr-2020




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
The local economy will suffer if residents have less income to spend	Jen Griffiths - Benefits Manager	Sian Humphreys - Welfare Reform Manager				Open




Potential Effect: Local economy will suffer as people can only just afford to spend on essential items.
Management Controls: The council is continuing to support residents to access advice and support to enable them to better manage their financial situation. The Welfare Team provide support with budgeting to assist in this area.
Progress Comment: Welfare Rights and Supporting People teams continue to work with residents during the year to explore areas of income maximisation for residents of the County. This work is critical to ensure residents receive the correct levels of Social Security Benefits. Therefore allowing residents to be in a position to contribute more widely to the local economy.
 Last Updated: 12-May-2020

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Demand outstrips supply for residential and nursing home care bed availability	Jane M Davies - Senior Manager, Safeguarding & Commissioning	Jacque Slee - Team Manager Performance				Open

Potential Effect: Increase in hospital admissions and delayed transfers from hospital. Increased pressure on primary care services leading to deteriorating relationship with local partners.
Management Controls: Working with Corporate colleagues to use capital investment to support the development of our in-house provision.
 Increase bed and extra care capacity for dementia/ learning disabilities.
 Joint marketing and recruitment campaign, including portals, sharing of candidates, and shared approach.
 Rolling out the value-based recruitment programme to make advertising for care staff more appealing to a wider audience.
Progress Comment: The expansion of Marleyfield House to support the medium term development of the nursing sector remains on track, with a target date of 2021.
 Value based recruitment is seeing a positive impact for in-house recruitment; however recruitment within the independent sector remains challenging.
 No care homes are currently in Escalating Concerns.
 Situation is fluid with COVID-19 response; launch of Discharge Facilitation Group and opening of 2 new care homes will have an impact.
 Last Updated: 20-Apr-2020

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Deprivation of Liberty Safeguarding (DoLS) assessment waiting list increases	Jane M Davies - Senior Manager, Safeguarding & Commissioning	Jacque Slee - Team Manager Performance				Open
<p>Potential Effect: Increased waiting times for DoLS assessments and impact on reputation of the Council.</p> <p>Management Controls: Actively prioritise waiting list for DoLS assessments Regularly engage with providers to keep the priority list refreshed. Develop internal processes in preparation for the introduction of legislation relating to Liberty Protection Safeguards.</p> <p>Progress Comment: The waiting list continues to be actively managed, with urgent and review authorisations being prioritised. Training on Liberty Protection Safeguard legislation has taken place, and the additional resource implications are becoming clearer. National guidance remains to be finalised. Last Updated: 20-Apr-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Failure to implement safeguarding training may impact on cases not being recognised at an early stage.	Fiona Mocko - Strategic Policies Advisor					Open
<p>Potential Effect: Employees will not identify potential safeguarding issues. Referrals will not be made through the right channels which may delay investigation or result in evidence being contaminated.</p> <p>Management Controls: Safeguarding training is included in induction programme ensuring all new employees receive training. Attendance on safeguarding training is a standing agenda item on the Corporate Safeguarding Panel.</p> <p>Progress Comment: Safeguarding is included in the corporate induction ensuring all new employees have a basic understanding of safeguarding. Corporate Safeguarding e-learning modules are available for employees who do not need to undertake specialist training. Further training has been provided by AFTA Thought, who provide drama based training. The training is aimed at employees and the Independent sector working with young children in pre-school settings. Further training on County Lines, Modern Slavery and Prevent has been provided by North Wales Police. These sessions have been well attended by the workforce, school employees and elected members. Last Updated: 20-Apr-2020</p>						




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Insufficient supply and escalating cost of placements for children with complex needs	Craig Macleod - Senior Manager, Children's Services & Workforce	Jacque Slee - Team Manager Performance				Open

Potential Effect: Increasingly difficult to secure appropriate placements for children with complex needs within budget constraints.

Management Controls: Supporting resilient families through the Early Help Hub.
 Targeted support to families on the edge of care.
 Combat exploitation through the Strategic and Operational MET (Missing, Exploitation, Trafficking) group.
 Policies and models to attract new foster carers and expand the type of placements offered.
 Working with local providers to reshape the residential market.
 Maximising local housing options.

Progress Comment: Meeting the needs of children with complex needs remains challenging. We have identified the services that we will develop in house, and those that we will seek to commission, to bring greater resilience, choice and enhanced market supply. A joint service model has been developed with Health for an in house assessment and support Team funded through grant allocation. The service will help prevent escalation on needs and reduce reliance on residential care. A North Wales Regional Market Position Statement for Children's Services has been launched setting our commissioning needs and intentions. Flintshire delivered a workshop for all Independent Fostering Agencies and Residential care Providers in November 2019 to help stimulate appropriate market development. Whilst we have put the above management controls in place, our latest assessment of the level of risk is that it remains red.

Last Updated: 20-Apr-2020




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Demand outstrips supply for domiciliary care	Jane M Davies - Senior Manager, Safeguarding & Commissioning	Jacque Slee - Team Manager Performance				Open




Potential Effect: Delayed discharge from hospital; unable to fulfil need for care packages at home.

Management Controls: Utilising the Care@Flintshire portal to promote vacancies.
 Working with providers to establish appropriate fee rates.
 Regional Domiciliary Care Agreement in place.
 Value Based recruitment.
 Investment in the Microcare model.

Progress Comment: We are rolling out training on value based recruitment both in house and in the independent sector, and a task group is looking at recruitment and retention with Communities for Work.
 Fee rates have been developed for 2020/21, and providers have been consulted.
 Recent work has focused on using our in house domiciliary and reablement resources flexibly to meet the demands of the market. This has enabled us to reduce the waiting list for domiciliary care. Current mitigation in place around COVID-19 response.

Last Updated: 20-Apr-2020

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Relationship issues of families under stress and the impacts on relationship quality could increase due to additional financial pressures	Gail Bennett - Early Intervention Services Manager	Jacque Slee - Team Manager Performance				Open
<p>Potential Effect: Deteriorating parental relationships and a resulting instability and negative experience for children, and possible escalation into statutory services. Exposure to parental conflict is estimated to feature in the lives of more than 1.2 million children nationally. It does huge damage to children through emotional and behavioural problems during childhood and impact on life chances. It is estimated that for 'intact' families 11% of all children are affected by parental conflict, rising to 28% in workless families. In separated families 50% of children experience levels of parental conflict that are potentially damaging and have longer term impacts on individuals, families, communities and services.</p> <p>Management Controls: In-year mapping and assessment of child poverty to inform future programme and strategy development ensuring maximizing income and reducing family outgoings.</p> <p>Outline our commitments working with partner agencies to target interventions to reduce levels of child and family poverty.</p> <p>Effective planning, performance and implementation as the 'Delivery Authority' for the Childcare Offer for Flintshire, Wrexham and Denbighshire and of its supporting capital programme.</p> <p>Progress Comment:</p> <p>We are undertaking a high level mapping exercise to help us understand the issues around relationship conflicts.</p> <p>Plans going forward include the use of an element of the grant to increase the knowledge and skills of the workforce to meaningfully support parents with relationship difficulties, to reduce stress on the family and raise awareness and educate into the implications that parental conflict has on the child.</p> <p>The grant will also be used to support innovative provision such as parenting groups and peer support groups.</p> <p>Last Updated: 20-Apr-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Failure to secure sufficient funding to meet the needs of vulnerable families	Gail Bennett - Early Intervention Services Manager	Jacque Slee - Team Manager Performance				Open
<p>Potential Effect: Shows us that age 5 is the key age for intervention, before the opportunity is lost. Children's developmental needs will not be met.</p> <p>Management Controls: In-year mapping and assessment of pathways to ensure that the needs of families are met.</p> <p>Outline our commitments working with partner agencies to target interventions to reduce levels need.</p> <p>Effective planning of services at various tiers of need.</p> <p>Progress Comment: Welsh Government continue to progress the Funding Flexibilities Agenda, with two new Grants with ten programmes of activity; Housing Support (three) and Children and Communities (seven). An outcomes framework is being developed nationally with the aim to support strategic, cross-organisational alignment and ways of working across programmes to enhance the delivery of early intervention, prevention and support services whilst still meeting the terms of the Grant. Flintshire has been successful this year, through Early Years of becoming an Early Years Pathfinder and securing additional funding of £550k, as well as £16k for relationship support. We continue to use these Grants and additional Grants and funding, such as the Transformation Fund to build upon core services and keep in the fore our commitment to integrated services that support the needs of the vulnerable children and adults in our communities through a range of early intervention, prevention and support mechanisms. Despite funding reductions we aim to mitigate or remove disadvantages to vulnerable people to enable them to have the same life chances as others, contributing to a more equal Flintshire and Wales. We continually keep our eye on population needs and opportunities for funding.</p> <p>Last Updated: 20-Apr-2020</p>						

Ambitious Council

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Availability of sufficient funding to resource key priorities	Jen Griffiths - Benefits Manager	Rafaela Rice - Disabled Facilities Manager	Amber	Amber	↔	Open
<p>Potential Effect: Customers will wait longer to receive adaptation work in their homes</p> <p>Management Controls: Monthly monitoring of adaptations budgets and consideration of the business case for an increased budget allocation.</p> <p>Progress Comment: The performance on Disabled Facility Grant (DFG) timescales has been an area of challenge over time and a management board was established to improve and monitor progress.</p> <p>The budget for the programme is currently on track.</p> <p>Last Updated: 12-May-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Number of school places not matching the changing demographics	Damian Hughes - Senior Manager, School Planning & Provision	Kim Brookes - Senior Manager - Business Change and Support	Amber	Amber	↔	Open
<p>Potential Effect: Higher teacher ratios, unfilled places, backlog maintenance pressures, inefficient estate</p> <p>Management Controls: Continuation of school modernisation and investment programme, will over time, reduce unfilled places, reduce backlog maintenance, remove unwanted fixed costs and infrastructure</p> <p>Progress Comment: Reducing unfilled school places via school organisation change is an ongoing process. School change projects can take between three and five years from inception to delivery before reductions of unfilled places can be realised. This continues to be an ongoing process linked to the school modernisation programme. To supplement this the Council will continue to work closely with schools to consider innovative ways for reduction in capacity on a school by school basis (i.e. alternative use of school facilities by other groups) with the objective of meeting national targets of circa 10% unfilled places in all school sectors.</p> <p>Last Updated: 19-Mar-2020</p>						

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RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Failure to obtain grant funding to support educational delivery.	Kim Brookes - Senior Manager - Business Change and Support					Open




Potential Effect: Larger class sizes in all phases and potential breach of infant class size regulations.
Challenge in meeting WG recommendations on staffing levels to deliver Foundation Phase curriculum.
Reduction in standards achieved by pupils – risk to Council reputation and risk of Estyn follow up for Education Services.
Reduction in quality of education delivered by schools resulting in more schools in Estyn categories.
Reduction in support for vulnerable pupils e.g. FSM, LAC, ALN.
Higher deficit budgets in schools – corporate finance risk.
Unsustainable schools in some communities.
Increasing redundancy costs for Council as schools cut staff.
Increasing challenge in recruiting senior leaders in schools.
Increasing sickness absence in the school workforce.

Management Controls: Regular finance monitoring through various channels e.g. Cabinet; Chief Officer Team; Overview & Scrutiny; School Budget Forum; Portfolio Finance Team.
Regular interface with Headteachers & Chairs of Governors to maintain open communication.
to support strategic planning by school leaders.
Regular interface with Welsh Government and Welsh Local Government Association to maintain.
High profile on education spending.
Management of school estate through School Organisational Change Strategy.
Timely referrals to Occupational Health & Care First.




Progress Comment: The risk remains the same overall in that if we do not receive grant funding then core service delivery and impact on learners remains the same. However, at this time, there is no specific example of where we have not received a grant as expected and continuation of some areas of grant funding are expected to be confirmed by the end of March 2020. Some grant funding for schools from Wales Government has been received. Further impact on grants regime following re-purposing of schools has yet to be determined.




Last Updated: 18-Apr-2020

669191

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Failure to deliver Growth Deal projects within Flintshire	Niall Waller - Service Manager - Enterprise and Regeneration	Lynne Fensome - Management and Support Manager	 Amber	 Amber		Open
<p>Potential Effect: "• Reputational risk to the Council.</p> <ul style="list-style-type: none"> • Infrastructure investment does not keep pace with needs and business is lost to the economy. • Support for businesses in Flintshire does not match need and fails to encourage investment. • The region having a sufficient voice at Welsh Government and UK Government levels to protect its interests. • Delays to or reductions to funding streams from UK and Welsh Governments. • Progress in delivering infrastructure investment falls behind schedule. <p>Management Controls: Establish oversight structure to review progress towards delivering growth deal projects (AF).</p> <p>Progress Comment: The Council is involved in the development of all relevant Growth Deal projects and is gearing up to take advantage of the opportunities arising for the County once they have been approved from 2021 onwards.</p> <p>Last Updated: 17-Apr-2020</p>						




Learning Council




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Limited funding to address the backlog of known repair and maintenance works in Education & Youth assets	Damian Hughes - Senior Manager, School Planning & Provision					Open
<p>Potential Effect: The fabric of Education and Youth buildings will continue to decline.</p> <p>Management Controls: Condition surveys are carried out to identify priorities. Limited funding to address the backlog of known repair and maintenance works. Capital works reducing the backlog of known repair and maintenance works as part of refurbishments of schools or new schools are being constructed.</p> <p>Progress Comment: Condition and maintenance of the school estate is well managed by the Council, with no schools falling into category "D" for condition. Continuation of capital investment through the School Modernisation Programme is of vital importance, this enables the Council to make significant progress into the repair and maintenance backlog. This programme also supports a reduction of unfilled places and provides a more efficient school estate. The risk will be reviewed when the next cycle of condition surveys are available.</p> <p>Last Updated: 21-Apr-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Failure to meet the duties on schools and the Council by the Additional Learning Needs and Education Tribunal (Wales) Act 2018	Jeanette Rock - Senior Manager - Inclusion and Progression	Kim Brookes - Senior Manager - Business Change and Support				Open
<p>Potential Effect: The Council does not have sufficient staff to discharge its duties in line with the published timelines and is challenged through the Education Tribunal system. The duties are extended to cover a wider age range, from 0-25 (previously 3-19) and to also now include young people who engage with further education. The Council currently has no funding allocated to cover the additional learning provision that may be required by the individuals covered by the extended age range. Failure to provide is challengeable through the tribunal system. This is likely to create a corporate financial risk.</p> <p>There are officer capacity issues associated with the transfer of responsibility for commissioning Post 16 specialist provision. Whilst a methodology for funding transfer is being developed, any provision costs which exceed the allocation will need to be funded through the Council's own budget creating a volatile financial risk similar to the current 'Out of County' expenditure.</p> <p>Schools do not have sufficient capacity to meet their duties towards pupils with Additional Learning Needs (ALN) resulting in additional workload for Council officers and potential redress through tribunal.</p> <p>Increasing sickness absence in the workforce due to increase workload demands.</p> <p>Management Controls: Development of Transformation Plan outlining actions against key Welsh Government/Council milestones, particularly in relation to finance. Monitoring of Plan activity on a monthly basis through DMT and Portfolio Finance meetings. Development of a communication strategy to ensure all key stakeholders are informed in a timely manner. Escalation when factors become known to forums such as Programme Board and Overview & Scrutiny Committees. Monitoring through cross Portfolio Meetings/events to ensure wider corporate awareness and understanding of the potential implications.</p> <p>Progress Comment: The duties placed on the Council by the Act have been deferred to the new implementation date of September 2021. Publication of the operating Code has also been delayed to the end of 2020. This will impact on the Council's ability to prepare fully to meet the revised statutory duties however, the current risk level remains low due to the revised implementation date.</p> <p>Last Updated: 17-Apr-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Schools not have planned effectively for the introduction of the new curriculum and assessment model	Vicky Barlow - Senior Manager - School Improvement Systems	Kim Brookes - Senior Manager - Business Change and Support	Yellow	Yellow	↔	Open
<p>Potential Effect: Schools unprepared for significant changes to the curriculum and assessment models Lack of clarity for schools and individual teachers around areas of learning and experience Increasing challenge in recruiting and retaining senior leaders and teachers in schools Reducing standards in quality of education and learner outcomes Poor Estyn outcomes for LA and for schools Reputational damage to Council</p> <p>Management Controls: Regular interface with the Regional School Improvement Service (GwE) and Welsh Government to maintain overview of progression of new curriculum introduction. Identification of future school leaders & engagement in Regional School Improvement Service (GwE) professional offer for school leadership. Regular monitoring of progress of individual schools in mapping and evaluation progress in line with national timelines through G6. Regular interface with Headteachers & Chairs of Governors to maintain open communication to support strategic planning by school leaders to meet the requirements of the new curriculum. Regular Quality and Standards meetings with GwE Core Leads. Regular monitoring of vacancies – schools.</p> <p>Progress Comment: All schools are engaged with the "clusters of schools" model adopted regionally to implement the new curriculum. Schools have good levels of involvement on national and local leadership development programmes. The new curriculum for schools was published in January 2020 for implementation in September 2021.</p> <p>Last Updated: 20-Apr-2020</p>						

Green Council

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Reduction of the Single Environment Grant	Tom Woodall - Access and Natural Environment Manager	Lynne Fensome - Management and Support Manager				Closed
<p>Potential Effect: Income targets not met Potential reduction could impact staffing resource to maintain service delivery</p> <p>Management Controls: Raised as a pressure for 2017/18.</p> <p>Progress Comment: The grant ceased to exist in 18/19 and was replaced but the competitive Enabling Nature Grant. An application was made but was unsuccessful, therefore the shortfall in funding from the Single Environment Grant is having to be found from service budgets.</p> <p>Last Updated: 04-Nov-2019</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Funding will not be secured for priority flood alleviation schemes	Ruairi Barry - Senior Engineer	Lynne Fensome - Management and Support Manager				Open
<p>Potential Effect: Flooding of homes and businesses across the county. Potential homelessness.</p> <p>Management Controls: Review our approach to funding capital projects.</p> <p>Progress Comment: Under the Land Drainage Act 1991, the Council as Lead Local Flood Authority has powers available but is not compelled to undertake flood alleviation works. Flood alleviation schemes are considered in accordance with defined national protocols (based on the Five Case Business Model Approach) in order to be included in Welsh Government's 'Pipeline Programme' which can provide Flood Defence Grant in Aid funding at 85% match funding. At present Flintshire Council have no active schemes in the national programme. Several local sites have been identified with potential for viable flood alleviation schemes. Dedicated resource isolated from delivering statutory legislative Flood Coastal Erosion Risk Management (FCERM) duties is required within the Team to develop these local flood risk sites into schemes for consideration for inclusion into Welsh Government's 'Pipeline Programme'. A Team structure review in quarter one of 2020/21 will seek opportunities to address this. Welsh Government have noted the decline in schemes and are considering implementing measures to support Local Authorities, including regional dedicated 'Project Managers' to facilitate scheme delivery on behalf of local FCERM clients. Recruitment into the team was planned for quarter four but has been put on hold in response to the pandemic.</p> <p>Last Updated: 23-Jun-2020</p>						

37-2019-2020




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Insufficient funding to ensure our highways infrastructure remains safe and capable of supporting economic growth	Barry Wilkinson - Highways Network Manager	Ruth Cartwright - Regulatory Services Manager				Open

Potential Effect: Deterioration of the condition of highways in Flintshire.

Management Controls: Focussed investment through the funding of schemes that maintain or reduce the pace of deterioration of the condition of the main highway infrastructure.
Road Safety Scheme identification for improvement to routes through available funding.
Maximise funding received through the quality of the bid submission by aligning submissions to follow successful bid model techniques.

Progress Comment: The funding provided for the highway infrastructure maintenance programmes has been allocated and will be spent by the end of the financial year, however the delivery of some of the final schemes were impacted by COVID-19 and will be completed once restrictions and resources allow. The annual funding remained below the level of funding required to maintain a Steady State in the condition of the road network, which would need to be more than £2.7m per annum. Streetscene & Transportation agree strategies for investment in highway asset groups, and ensure improved highway asset management and best value for highways investment is achieved. Condition surveys are undertaken and reviewed annually to produce the annual resurfacing programme for the next financial year. Priority is given to the areas of the network that require the investment whilst considering the local infrastructure, and this will continue whilst being mindful of the impact of COVID-19 on the deliverability of the schemes during the summer season, which is the best time of year for the works to be carried out.

Last Updated: 18-Apr-2020

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Sufficient funding will not be found to continue to provide subsidised bus services.	Ceri Hansom - Integrated Transport Unit Manager	Anthony Stanford - Highways Strategy Manager				Open




Potential Effect: Decrease in bus services to residents, particularly in rural areas

Management Controls: Develop services so that they become more commercially viable

Progress Comment: The bus subsidy is now complete with 10 Local Travel arrangements in place. A review of the local travel arrangements is now taking place and alternative solutions have been recommended where utilisation and patronage on arrangements is particularly low. This will allow the routes to be sustainable going forward.

Last Updated: 16-Apr-2020

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RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Supply chain resilience of transport providers	Ceri Hansom - Integrated Transport Unit Manager	Anthony Stanford - Highways Strategy Manager				Open

Potential Effect: Transport services cannot be provided
Management Controls: i) Management of safety compliance checks.
ii) Management of financially compliant contracts
Progress Comment: Control measures have been put in place to mitigate against another major transport services provider going into administration or not able to meet the required operating standards. New processes have been established and officers are carrying out both safety compliance checks and also finance compliance checks on contractors. Due to the current emergency situation the risks to suppliers have increased. Action has been taken by Welsh Government and local authorities to mitigate the risk by providing a financial support package to the industry. The risk will escalate in the event that financial support is withdrawn.
Last Updated: 16-Apr-2020




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Adverse weather conditions on the highway network	Barry Wilkinson - Highways Network Manager					Open




Potential Effect: Increase in cost to future planned repairs as network deteriorates beyond that can be rectified by planned maintenance
Increase in insurance claims.
Management Controls: Targeting funding on those schemes that maintain or reduce the pace of deterioration of the condition of the main highway infrastructure.
Progress Comment: During the Summer of 2019, pothole repairs were undertaken in a countywide programme of patching to ensure that the Highway Network is in a safe condition for the travelling public.
Repairing the Council's roads is a priority for the service and Area Coordinators continue to identify safety defects on the network, and prioritise the roads in need of repair. This response to defect repair is delivery through the in-house Streetscene & Transportation Service Delivery teams.
Last Updated: 18-Apr-2020

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Lack of community support for transport options	Ceri Hansom - Integrated Transport Unit Manager	Ruth Cartwright - Regulatory Services Manager	Yellow	Yellow	↔	Open
<p>Potential Effect: i) Planned programme of community transport hubs not delivered. ii) Decreased passenger numbers on bus services. iii) Increase in individual car usage.</p> <p>Management Controls: Officer appointed to work full time on the Community Transport / Local Travel arrangement project. Review of schemes to be undertaken 2019/2020</p> <p>Progress Comment: An officer has been appointed in October 2019 to review local travel arrangements implemented and develop work with demand responsive transport. Following a review of services where patronage is low, from January 2020, two local transport arrangements have been replaced with a demand responsive transport arrangement. Further work is ongoing with local communities and operators to review local travel arrangements throughout the County.</p> <p>Last Updated: 16-Apr-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Public acceptance and support for recycling and re-use	Ruth Cartwright - Regulatory Services Manager		Amber	Amber	↔	Open
<p>Potential Effect: Increased financial pressure to pay for disposal of residual waste. Failure to meet Welsh Government statutory recycling/re-use/composting targets.</p> <p>Management Controls: Continued public engagement with Flintshire residents to educate on waste management issues. Monitoring of resident recycling participation rates. The use of enforcement to ensure compliance with recycling collection requirements.</p> <p>Progress Comment: The Council has achieved the statutory recycling target for 2024-5. The Council recently consulted with residents on the future of the collection service. Almost 9000 responses were received clearly showing that residents are engaged and value the current service. Feedback received will be used to target education campaigns to improve understanding and engagement. The Christmas waste campaign was well received by residents and Members. Ongoing engagement through the month of March (via email/press/website) to update residents on changes to waste service in light of the coronavirus pandemic.</p> <p>Last Updated: 14-Apr-2020</p>						

Safe and Clean Council

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Increased demand on enforcement services with introduction of new legislation	Vicky Plant - Support Services Manager	Ruth Cartwright - Regulatory Services Manager				Open
<p>Potential Effect: Lack of resilience to respond to parking contraventions or environmental crimes. Increased environmental crimes resulting in deterioration of natural environment. Decreased highway safety.</p> <p>Management Controls: Review upcoming legislative changes. Improved time management of current enforcement team.</p> <p>Progress Comment: Management Control in terms of Improving the Time Management of the Officers. The rota was changed Spring 2018 to effectively change the conflict of crossover within the job roles and allow the continuity of patrol to be more time effective. The team numbers have also increased from four to eight, and flexible working hours have also been introduced. Management changes to the rota are reflected in service demand and issues as reported in specific areas by members of the public, school, councillors etc. Cabinet approval to employ two further enforcement officers with increase in workload.</p> <p>Last Updated: 17-Apr-2020</p>						




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Lack of public support for enforcement services	Vicky Plant - Support Services Manager	Ruth Cartwright - Regulatory Services Manager				Open
<p>Potential Effect: Lack of support for the enforcement services. Rescinding of enforcement action leading to lack of confidence in service. Abuse and aggression towards the enforcement team. Increased traffic contraventions and environmental crime occurrences.</p> <p>Management Controls: Improved engagement with public via education and engagement events. Improved understanding of what a parking or environmental crime is. Engagement with NWP via Chief Officer, monthly reports now being circulated and logging of all incidents reported by Enforcement Officers.</p> <p>Progress Comment: Ongoing Educational Campaigns have been progressed to provide residents with understanding on current legislation and the need to comply. Education takes place before the implementation of any new legislation introduced. Enforcement services fully operated by in-house team, focusing on education before enforcement.</p> <p>Last Updated: 17-Apr-2020</p>						




Connected Council




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
The capacity and appetite of the community and social sectors	Neil Ayling - Chief Officer - Social Services	Jacque Slee - Team Manager Performance	Amber	Yellow	↓	Open
<p>Potential Effect: Lack of capacity to and desire of the sector resulting in unsustainable community and social sector projects such as Community Asset Transfers and Alternative Delivery Models.</p> <p>Management Controls: Work with Flintshire Community Voluntary Sector, Co-operative Wales, and local community groups and social enterprises to develop skills.</p> <p>Progress Comment: We continue to make progress in growing the social sector through the development of Community Asset Transfers and Alternative Delivery Models. Regular review meetings and partnership board meetings are in place.</p> <p>Last Updated: 20-Apr-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Market conditions which the new alternative delivery models (ADM's) face	Neil Ayling - Chief Officer - Social Services	Jacque Slee - Team Manager Performance	Amber	Yellow	↓	Open
<p>Potential Effect: More competition from other agencies or decreasing use of the services means they are in the future unsustainable.</p> <p>Management Controls: Continue to work with the Alternative Delivery Models (ADM's) to grow their entrepreneurial skills and meet with them annually at least to review progress.</p> <p>Progress Comment: Aura, Newydd and HFT have now successfully taken forward their Business Plans. Regular reporting to the Council through the appropriate Scrutiny Committees continues to take place.</p> <p>Last Updated: 20-Apr-2020</p>						




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Limitations on public funding to subsidise alternative models (ADM's)	Neil Ayling - Chief Officer - Social Services	Jacque Slee - Team Manager Performance	Amber	Yellow	↓	Open
<p>Potential Effect: Reductions in funding to these models by the public sector resulting in the new to stop or close services and facilities.</p> <p>Management Controls: Support to Alternative Delivery Models (ADM's) to ensure their financial plans are resilient if public funding decreases.</p> <p>Progress Comment: Review meetings are providing an update on the future financial context so organisations can plan for potential reductions when appropriate. Business Plans have been shared with the Council and show that funding levels for organisations moving forward into 2020/21 are sustainable.</p> <p>Last Updated: 20-Apr-2020</p>						




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Newly established Social Enterprises and Community Asset Transfers failing in their early stages of development.	Neil Ayling - Chief Officer - Social Services	Jacque Slee - Team Manager Performance				Open
<p>Potential Effect:</p> <p>Management Controls: Open book accounting by key social enterprises with the Council and where issues identified cooperative work to resolve these.</p> <p>Progress Comment: Review meetings of Community Asset Transfers (CATs) have been ongoing and it has been identified that the new organisations running CATs are sustainable and well regarded social businesses. The programme of CAT review and support is ongoing to ensure that these social businesses continue to offer well regarded services.</p> <p>Last Updated: 20-Apr-2020</p>						




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Reduced national funding reduces our ability to invest in communities and work proactively with them to develop their resilience	Neil Ayling - Chief Officer - Social Services	Jacque Slee - Team Manager Performance				Open
<p>Potential Effect: Communities cannot capitalise on their resources and resort to support from statutory services.</p> <p>Management Controls: Work with communities to identify key challenges and barriers that they face as individuals and collectively; and use a framework of tools to help them design a local response to address them.</p> <p>Help communities, and leaders from within communities, to develop the skills and confidence to support their community to respond to challenges and optimise opportunities to thrive.</p> <p>Be smarter about securing and linking potential social investment to locally identified priorities.</p> <p>Work proactively with our supply chain to maximise the impact that our investment and collaboration has for communities across Flintshire.</p> <p>Progress Comment: The Council and other stakeholders have been proactive in maximizing the available funding to invest in communities. We are engaging and working with local alternative delivery models (ADM's), and other alternatives to improve community resilience. We are actively reviewing community asset transfer (CAT) projects to ensure that they are successful and pursue key priorities of the council.</p> <p>Last Updated: 20-Apr-2020</p>						




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Customers who do not have access to technology, or the confidence to use it.	Rebecca Jones - Customer Services and Registration Manager	Margaret Parry-Jones - Overview & Scrutiny Facilitator				Closed
<p>Potential Effect: Customers are excluded from accessing Council services e.g. school admissions, and do not access benefits they are entitled to receive e.g. Council Tax Reduction.</p> <p>Management Controls: Flintshire Connects provides face to face support for vulnerable customers who need assistance to access services. All Connects Centre are equipped with self-service facilities to assist those people who do not have access to technology and the team can signpost to other support e.g. Aura (libraries). The Customer Service Advisors are trained to support customers who do not have confidence to use digital technology e.g. creating email accounts, navigating website, applying for services online. The intention is to introduce Digital Champions moving forward to further support our customers and ensure no one is excluded from accessing Council services now and in the future.</p> <p>Progress Comment: This risk has been closed due to it also being measured through various KPI's.</p> <p>Last Updated: 13-Jan-2020</p>						




Serving Council



RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
The scale of the financial challenge	Gary Ferguson - Corporate Finance Manager	Sara Dulson - Strategic Finance Manager				Open
<p>Potential Effect: Reduction in funding of Revenue Support Grant leading to challenging financial position for the Council in its ability to set a balanced budget.</p> <p>Management Controls: In view of the significant financial challenge and in the absence of indicative future funding allocations from Welsh Government, the Council has primarily needed to focus on the year ahead. However, known pressures are able to be modelled for the life of the current Council term with the strategy to be reviewed during the period based on the best available intelligence and identification of solutions available.</p> <p>Progress Comment: The Council considered the final options for the budget on 18th February 2020 and was able to approve a legally balanced budget, although there were no indicative amounts provided for 2021/22 and beyond.</p> <p>The current emergency began towards the end of the financial year and will have a significant impact on public finances including local government. Even prior to the pandemic, the medium term was forecast to be challenging with an initial high level forecast for 2021/22 of a gap of £10m. This is currently being reviewed following a Medium Term Financial Strategy (MTFS) workshop held in early March 2020 and an update on the future outlook is due to be reported to Members prior to the Summer recess.</p> <p>Last Updated: 23-Jun-2020</p>						



RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
The capacity and capability of the organisation to implement necessary changes.	Gareth Owens - Chief Officer - Governance					Open
<p>Potential Effect: That projects agreed as part of the Digital Strategy will be hindered or delayed thereby delaying the potential benefits to residents or causing cost to be incurred in correcting mistakes</p> <p>Management Controls: Capacity will be taken into account when selecting projects for inclusion in the action plan and will be timed to fit with the needs of the service and availability of employees. Each separate project will also undergo a risk assessment to establish the capacity and capability necessary to take it forward and any gaps that might need to be addressed</p> <p>Progress Comment: A detailed programme of works has been developed including all the Council's aspirations. This has been developed into a phased action plan with sufficient resource allocated to achieve the aspirations. Resources are tight, especially in certain teams, and work is planned based on an assessment of which teams are needed to complete the task and whether they have capacity. Any significant extra requests for work will delay the existing planned actions.</p> <p>Last Updated: 20-Apr-2020</p>						



RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Fully funding demand led services and inflationary pressures	Sara Dulson - Strategic Finance Manager	Gary Ferguson - Corporate Finance Manager				Open
<p>Potential Effect: Reductions or cessation of services and high increases in Council Tax levels</p> <p>Management Controls: National lobbying for improved funding for local government in Wales to include indexation of nationally agreed pay award, increases in demand and Nationally agreed legislative changes.</p> <p>Maximisation of business planning efficiencies from Portfolios and increases to fees and charges</p> <p>Progress Comment: The Council successfully developed its case through a Cross Party Working Group of Members and supporting officers to align with the work the Welsh Local Government Association (WLGA). The Council will continue to press for fully funded demand led services and inflationary pressures as it progresses and updates its Medium Term Financial Strategy.</p> <p>Last Updated: 23-Jun-2020</p>						




RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Competing priorities and limited organisational capacity slow the pace of change	Gareth Owens - Chief Officer - Governance	Lisa McQuaide - Project Manger				Open
<p>Potential Effect: It will delay implementation of projects and the improvements to service or income they might generate.</p> <p>Management Controls: The Digital Strategy Board has ranked all the current projects based on organisational significance and is preparing work plan based on the available capacity.</p> <p>Progress Comment: Planned work programme discussions have taken place and some items within have been scheduled - risk level currently remains the same in terms of competing priorities and capacity. Digital Strategy Board governance arrangements are in place to support this.</p> <p>Last Updated: 15-Apr-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Encouraging our customers to access services digitally results in some people finding it more difficult to get the support or service they need	Cher Lewney - Digital Customer & Community Resilience Programme Manager	Aled Griffith - IT Infrastructure Manager				Closed
<p>Potential Effect: Sectors of our population could find it more difficult or be unable to access the services they need.</p> <p>Management Controls: The Council will continue to provide services via its telephone contact centre and Connects offices.</p> <p>Progress Comment: This risk has been closed due to the risk no longer being appropriate and the lack of opportunity to measure a meaningful and reflective impact.</p> <p>Last Updated: 13-Jan-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
A shift in technical and digital skill-sets is required to ensure we can support new digital ways of working.	Cher Lewney - Digital Customer & Community Resilience Programme Manager	Aled Griffith - IT Infrastructure Manager			↔	Closed
<p>Potential Effect: It will sub-optimize the benefits or savings that might be achieved from digital services and will slow the pace of take up of digital services.</p> <p>Management Controls: Each project will include its own staff development plan to ensure that skills exist to utilize new digital technology as it is installed. Digital skills will be included essential criteria when recruiting. The Council will need to consider building a team to support the website.</p> <p>Progress Comment: This risk is to be reassessed as we are not able to report on it efficiently or effectively.</p> <p>Last Updated: 24-Jan-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Potential impact on service demand when setting fees and charges	Kelly Oldham Jones - Income Generation and Marketing Manager	Rachael Corbelli - Finance Manager			↔	Open
<p>Potential Effect: Reduced service demand and knock on effect on workforce capacity. Reduced income and/or failure to achieve income target.</p> <p>Management Controls: Market analysis for new fees/charges to inform level of charging. Three year staged approach to achieve full cost recovery, allowing incremental increases rather than one significant in year change. Annual review of fees and charges which will consider service demand and enable fees and charges to be reviewed in line with demand/cost analysis.</p> <p>Progress Comment: This risk is ongoing, with the management controls deployed when setting new fees/charges and for the annual review as and when required.</p> <p>Last Updated: 21-Apr-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Meeting Internal Targets	Sara Dulson - Strategic Finance Manager	Gary Ferguson - Corporate Finance Manager			↑	Open
<p>Potential Effect: Impact on the overall financial position of the Authority impacting on Medium Term Financial Strategy (MTFS).</p> <p>Management Controls: Review of in year efficiencies and mitigate any shortfalls. Review of income and expenditure to ensure financial management is robust. Review at Programme Board and escalation as necessary.</p> <p>Progress Comment: Recurring shortfalls in income and expenditure that cannot be mitigated are included as pressures in the Medium Term Financial Strategy (MTFS). Programme Boards receive an update on the financial position for the portfolio at each meeting. The Month 11 revenue monitoring report confirms that 91% of the in-year efficiencies will be met by the end of the financial year. The 2020/21 budget included some pressures for efficiencies that were unable to be mitigated and the MTFS continues to be updated as part of the ongoing review.</p> <p>Last Updated: 14-Apr-2020</p>						

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
The appetite of collaborative partners limits the scope for new collaborations and can bring into question the long-term viability of existing collaborations where performance and/or cost-benefit is questioned.	Colin Everett - Chief Executive	Joanne Pierce - Executive Officer (Chief Executives Suite)				Open




Potential Effect:

- Failure to deliver efficiencies
- Reputational damage
- Failure to deliver corporate priorities

Management Controls:

- Ensure that all service change takes into account collaborative benefits as one of the options
- Regularly monitor progress of existing collaborations
- Ensure appropriate governance arrangements are in place, both at transition and as part of the final collaboration
- Provide political and professional profile for ongoing collaborative projects

Progress Comment: - All portfolio business plans consider collaborations as a model of delivery.
 - Progress against collaboration models is monitored and reported upon twice annually; including providing a position statement to WLGA.
 All collaborations consider and make arrangements for appropriate governance; following the governance arrangements of the lead authority.
 Cabinet are informed of the progress against ongoing collaborative projects twice annually. Flintshire takes a professional role in all the collaborations we are a partner in.
 Last Updated: 23-Apr-2020

RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
The transition of one service model to another	Neal Cockerton - Chief Officer - Housing and Assets	Lynne McAlpine - Personal Assistant				Open

Potential Effect:




- Delay in the transition
- Anticipated efficiencies will not be realised leading to potential increased cost

Management Controls: Ensure adequately resourced

- Realistic programmes regularly managed and monitored
- Regular reporting to COT, Cabinet and Scrutiny

Progress Comment: This risk affects a number of service areas. The specific risk to Housing and Assets is related to housing repairs expanding on external opportunities. This is at concept stage.
 Last Updated: 17-Apr-2020

Appendix 84

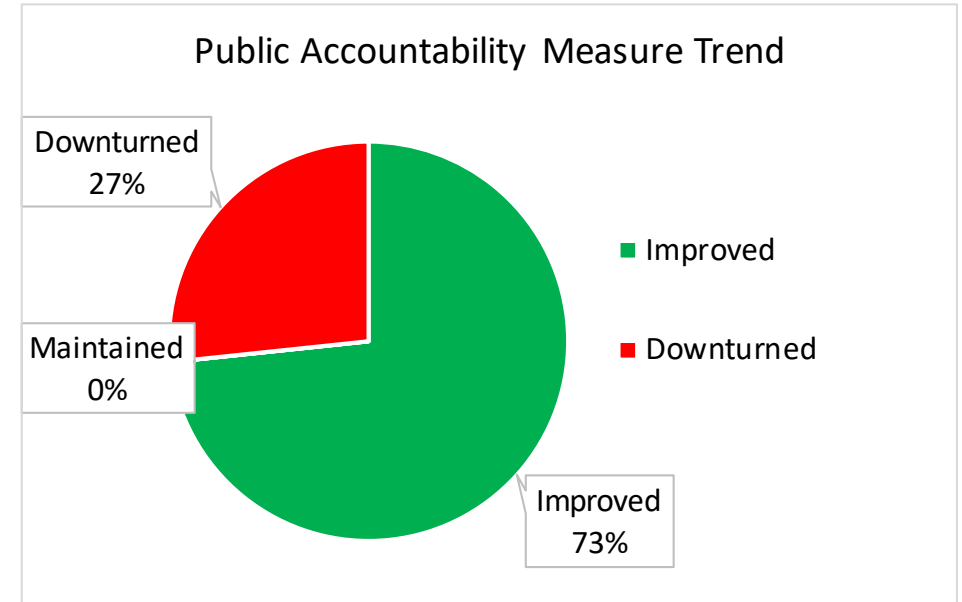
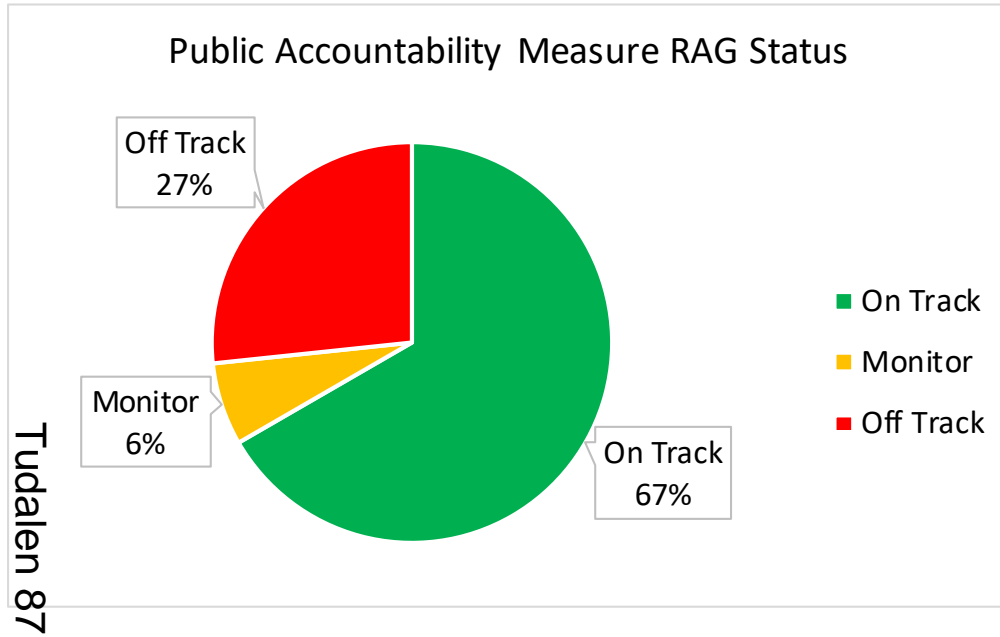
RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
Increasing costs of service delivery and rising demand for some services	Gary Ferguson - Corporate Finance Manager	Sara Dulson - Strategic Finance Manager				Open
<p>Potential Effect: The Council may not be able to deliver services or may not be able to set a legal balanced budget</p> <p>Management Controls:</p> <ul style="list-style-type: none"> • Regular monitoring of budgets • Escalation of areas of increasing financial risk such as increased cost and demand • Seek additional national funding for inflationary uplifts and areas of high service demand • Challenge by finance for mitigation within the service • Prevention strategies to minimise demand • Regular reporting to COT/Cabinet/Council <p>Progress Comment: The Council monitors the cost of service delivery through revenue monthly monitoring with service managers and reports to Cabinet. The Council approved a balanced budget at its meeting on 18 February 2020 for 2020/21 and this will be monitored on a monthly basis through reporting to Cabinet. Any issues relating to service delivery and rising demand are considered as part of the ongoing work on the Councils Medium Term Financial Strategy.</p> <p>Last Updated: 23-Jun-2020</p>						

Tudbury 85	RISK TITLE	LEAD OFFICER	SUPPORTING OFFICERS	INITIAL RISK RATING	CURRENT RISK RATING	TREND ARROW	RISK STATUS
	Not investing sufficiently in the resource to modernise our business processes and technologies.	Mandy Humphreys - IT Business Services Manager	Aled Griffith - IT Infrastructure Manager, Gareth Barclay - Senior Performance and Business Data Officer				Closed
<p>Potential Effect: This will impact both our customers, who increasingly expect to access services digitally and our partners, who increasingly wish to collaborate with us digitally.</p> <p>Failure to digitise services will limit the degree to which the council will be able to deliver associated efficiencies.</p> <p>Management Controls: The Digital Strategy Board will assess business cases for inclusion in the Digital Strategy with prioritization given to those likely to deliver tangible benefits to the public.</p> <p>Funding arrangements to support business cases will need to be included.</p> <p>Any business cases/projects that are considered critical to the success of the strategy where no funding is available should be submitted as bids as part of the councils Medium Term Financial Strategy/Capital Strategy.</p> <p>Progress Comment: Closed as the risk is a duplicate of another risk - 'Competing priorities and limited organisation capacity slow the pace of change'.</p> <p>Last Updated: 16-Jun-2020</p>							

Mae'r dudalen hon yn wag yn bwrpasol

Public Accountability Measures 2019/20

Below is a summary of Flintshire's performance against its targets for the Public Accountability Measures.



Measure	Year	Performance	Performance Indicator Trend
Corporate			
PAM/001 Sickness absence	2018/19	10.50 days	↓
	2019/20	11.05 days	↓
PAM/044 The number of apprentices (excluding teachers) on formal recognised apprenticeship schemes within the authority during the year per 1,000 employees	2018/19	New measure for 2019/20	
	2019/20	18.33	New measure for 2019/20
Education			
PAM/032 Average Capped 9 score for pupils in Year 11	2018/19	352.2	New measure for 2018/19
	2019/20	347.2	↓
PAM/007 Primary attendance	2018/19	94.6%	↓
	2019/20	95.2%	↑
PAM/008 Secondary attendance	2018/19	93.7%	↓
	2019/20	94.6%	↑
PAM/009 NEET	2018/19	1.2	New measure for 2018/19
	2019/20	Awaiting data from WG	
Housing			
PAM/012 Percentage of households successfully prevented from becoming homeless	2018/19	79.54	↑
	2019/20	81.33	↑
PAM/013 Empty private sector houses brought back into use	2018/19	No data collected	
	2019/20	Measure being reviewed by WG – due April 2021	

Measure	Year	Performance	Performance Indicator Trend
PAM/015 Disabled facilities grants	2018/19	298.3 days	↓
	2019/20	195.8 days	↑
PAM/037: Average number of calendar days taken to complete all repairs	2018/19	8.7	New measure for 2018/19
	2019/20	8	↑
PAM/039 Percentage of rent debit lost due to lettable units of permanent accommodation being empty during the year	2018/19	No data collected	
	2019/20	2.08	No trend available
Streetscene			
PAM/010 Highway cleanliness	2018/19	90.9%	↓
	2019/20	94.4%	↑
PAM/035 Average number of working days taken to clear fly-tipping incidents	2018/19	New measure for 2019/20	
	2019/20	3.2 days	New measure for 2019/20
PAM/020 Principal A roads in poor condition	2018/19	1.7%	↓
	2019/20	2.15%	↓
PAM/021 B roads in poor condition	2018/19	1.4%	↓
	2019/20	1.82%	↓
PAM/022 C roads in poor condition	2018/19	5.8%	↓
	2019/20	4.95%	↑

Measure	Year	Performance	Performance Indicator Trend
Leisure			
PAM/017 Visits to sport and leisure facilities per 1,000 population	2018/19	7732.3	↑
	2019/20	9412.9	↑
Public Protection			
PAM/023 Food establishments – hygiene standards	2018/19	97.9%	↑
	2019/20	98.1%	↑
Planning			
PAM/018 Planning applications determined within time periods	2018/19	77.9%	↓
	2019/20	83.5%	↑
PAM/019 Percentage of appeals against planning application decisions dismissed	2018/19	55%	↓
	2019/20	63%	↑

Tudalen 96

Eitem ar gyfer y Rhaglen 8



FLINTSHIRE COUNTY COUNCIL

Date of Meeting	Tuesday, 20 th October 2020
Report Subject	Treasury Management Annual Report 2019/20
Report Author	Corporate Finance Manager

EXECUTIVE SUMMARY

The report presents the Treasury Management Annual Report 2019/20 for Member approval.

The Annual Treasury Management Report 2019/20 is attached as Appendix 1. As required by the Council's Financial Procedure Rules, this Annual Report was reviewed by Audit Committee on 23rd July 2020 and Cabinet on 15th September 2020.

RECOMMENDATIONS

1	That Council approves the Annual Treasury Management Report for 2019/20.
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REPORT DETAILS

1.00	EXPLAINING THE ANNUAL REPORT
1.01	On 19 th February 2019, the Council approved the Treasury Management Strategy 2019/20, following the recommendation of Cabinet and consideration by the Audit Committee.
1.02	The Council delegates responsibility for the implementation and regular monitoring of its treasury management policies and practices to Cabinet, and for execution and administration of treasury management decisions to the Corporate Finance Manager, who acts in accordance with the Council's Treasury Management Policy Statement, Strategy and Practices.
1.03	The Council has nominated Audit Committee to be responsible for ensuring effective scrutiny of Treasury Management Strategy and Policies.
	<u>CONSIDERATIONS</u>
1.04	The Annual Treasury Management Report 2019/20 is attached as Appendix 1. As required by the Council's Financial Procedure Rules, this Annual Report was reviewed by Audit Committee on 23 rd July 2020 and Cabinet on 15 th September 2020.
	<u>SUMMARY OF KEY POINTS</u>
1.05	The two major influences on the UK economy in 2019/20 were the uncertainty created by the negotiations towards the UK's exit from the European Union followed by the impact of the COVID-19 Pandemic. The Bank of England rate held steady at 0.75% for most of 2019/20 but in March was cut to 0.25%, and soon after to 0.1%. Section 2 of the report provides a full economic and interest rate review for 2019/20.
1.06	Short term money market rates remained at very low levels which continued to have a significant impact on investment income. The average return on Council investments for the year was 0.62%. Section 4 provides further details of the Council's investment activity during the year.
1.07	Public Works Loan Board (PWLB) long term rates remained low during 2019/20 and a total of £19.45m PWLB loans were taken out during the year. Of these, £1.95m have been on-lent to NEW Homes, the Council's wholly owned subsidiary, to fund the building of affordable homes in Flintshire. Section 3 provides more information on borrowing and debt management during the year.
1.08	Debt rescheduling opportunities were considered by officers and the Council's treasury management advisors. The premium charged for early repayment of PWLB debt remained relatively expensive for the loans in the Council's portfolio and therefore unattractive for debt rescheduling activity. As a consequence, no rescheduling activity was undertaken.
1.09	The treasury function operated within the limits detailed in the Treasury Management Strategy 2019/20.

2.00	RESOURCE IMPLICATIONS
2.01	Financial implications are addressed in the report; no other resource implications directly as a result of this report.

3.00	CONSULTATIONS REQUIRED / CARRIED OUT
3.01	Arlingclose Ltd, being the Council's treasury management advisors.

4.00	RISK MANAGEMENT
4.01	Risk Management directly addressed within the report and appendices including identification of risks and measures to mitigate likelihood and impact of risks identified.

5.00	APPENDICES
5.01	1. Treasury Management Annual Report 2019/20.

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	None

7.00	CONTACT OFFICER DETAILS
7.01	Contact Officer: Paul Vaughan – Interim Technical Finance Manager Telephone: 01352 702219 E-mail: paul.vaughan@flintshire.gov.uk

8.00	GLOSSARY OF TERMS
8.01	<p>Authorised Limit: A statutory limit that sets the maximum level of external debt for the Council.</p> <p>Balances and Reserves: Accumulated sums that are held, either for specific future costs or commitments (known as earmarked) or generally held to meet unforeseen or emergency expenditure.</p> <p>Bank Rate: The official interest rate set by the Bank of England's Monetary Policy Committee and what is generally termed at the "base rate".</p>

Basis Point: A unit of measure used in finance to describe the percentage change in the value or rate of a financial instrument. One basis point is equivalent to 0.01% (1/100th of a percent). In most cases, it refers to changes in interest rates and bond yields. For example, if interest rates rise by 25 basis points, it means that rates have risen by 0.25% percentage points.

Bond: A certificate of debt issued by a company, government, or other institution. The bond holder receives interest at a rate stated at the time of issue of the bond. The price of a bond may vary during its life.

Capital Expenditure: Expenditure on the acquisition, creation or enhancement of capital assets.

Capital Financing Requirement (CFR): The Council's underlying need to borrow for capital purposes representing the cumulative capital expenditure of the local authority that has not been financed.

Certificates of Deposits (CD's): A savings certificate entitling the bearer to receive interest. A CD bears a maturity date, a specified fixed interest rate and can be issued in any denomination. CDs are generally issued by commercial banks. The term of a CD generally ranges from one month to five years.

Cost of Carry: The "cost of carry" is the difference between what is paid to borrow compared to the interest which could be earned. For example, if one takes out borrowing at 5% and invests the money at 1.5%, there is a cost of carry of 3.5%.

Consumer Price Index (CPI): The UK's main measure of inflation (along with Retail Price Index or 'RPI') The Monetary Policy Committee of the Bank of England set the Bank Rate in order to try and keep CPI at or close to the target set by the Government. The calculation of CPI includes many items of normal household expenditure but excludes some items such as mortgage interest payments and Council Tax.

Credit Rating: Formal opinion by a registered rating agency of a counterparty's future ability to meet its financial liabilities; these are opinions only and not guarantees.

Corporate Bonds: Corporate bonds are bonds issued by companies. The term is often used to cover all bonds other than those issued by governments in their own currencies and includes issues by companies, supranational organisations and government agencies.

Counterparty List: List of approved financial institutions with which the Council can place investments.

Debt Management Office (DMO): The DMO is an Executive Agency of Her Majesty's Treasury and provides direct access for local authorities into a government deposit facility known as the Debt Management Account Deposit Facility (DMADF). All deposits are guaranteed by HM Government and therefore have the equivalent of a sovereign credit rating.

Federal Reserve: The US central bank, the equivalent of the Bank of England. (Often referred to as “the Fed”).

Financial Instruments: Financial instruments are tradable assets of any kind. They can be cash, evidence of an ownership interest in an entity, or a contractual right to receive or deliver cash or another financial instrument

Gilts: Gilts are bonds issued by the UK Government. They take their name from ‘gilt-edged’. They are deemed to be very secure as the investor expects to receive the full face value of the bond to be repaid on maturity.

LIBID: The London Interbank Bid Rate (LIBID) is the rate bid by banks on Eurocurrency deposits (i.e. the rate at which a bank is willing to borrow from other banks).

LIBOR: The London Interbank Offered Rate (LIBOR) is the rate of interest that banks charge to lend money to each other. The British Bankers' Association (BBA) work with a small group of large banks to set the LIBOR rate each day. The wholesale markets allow banks who need money to borrow from those with surplus amounts. The banks with surplus amounts of money are keen to lend so that they can generate interest which it would not otherwise receive.

LOBO: Stands for Lender Option Borrower Option. The underlying loan facility is typically very long-term - for example 40 to 60 years - and the interest rate is fixed. However, in the LOBO facility the lender has the option to call on the facilities at pre-determined future dates. On these call dates, the lender can propose or impose a new fixed rate for the remaining term of the facility and the borrower has the ‘option’ to either accept the new imposed fixed rate or repay the loan facility.

IFRS: International Financial Reporting Standards.

Maturity: The date when an investment or borrowing is repaid.

Maturity Structure / Profile: A table or graph showing the amount (or percentage) of debt or investments maturing over a time period.

Monetary Policy Committee (MPC): Government Body that sets the Bank Rate. Its primary target is to keep inflation within 1% of a central target of 2%. Its secondary target is to support the Government in maintaining high and stable levels of growth and employment.

Money Market Funds (MMF): Pooled funds which invest in a range of short term assets providing high credit quality and high liquidity.

Minimum Revenue Provision (MRP): An annual provision that the Council is statutorily required to set aside and charge to the Revenue Account for the repayment of debt associated with expenditure incurred on capital assets.

Non Specified Investment: Investments which fall outside the WG Guidance for Specified investments (below).

Operational Boundary: This linked directly to the Council's estimates of the CFR and estimates of other day to day cash flow requirements. This indicator is based on the same estimates as the Authorised Limit reflecting the most likely prudent but not worst case scenario but without the additional headroom included within the Authorised Limit.

Premiums and Discounts: In the context of local authority borrowing,
(a) the premium is the penalty arising when a loan is redeemed prior to its maturity date and
(b) the discount is the gain arising when a loan is redeemed prior to its maturity date.

Prudential Code: Developed by CIPFA and introduced in April 2004 as a professional code of practice to support local authority capital investment planning within a clear, affordable, prudent and sustainable framework and in accordance with good professional practice.

Prudential Indicators: Indicators determined by the local authority to define its capital expenditure and asset management framework. They are designed to support and record local decision making in a manner that is publicly accountable; they are not intended to be comparative performance indicators

Public Works Loans Board (PWLB): The PWLB is a statutory body operating within the United Kingdom Debt Management Office, an Executive Agency of HM Treasury. The PWLB's function is to lend money from the National Loans Fund to local authorities and other prescribed bodies, and to collect the repayments.

Quantitative Easing (QE): In relation to the UK, it is the process used by the Bank of England to directly increase the quantity of money in the economy. It does not involve printing more banknotes. Instead, the Bank buys assets from private sector institutions – that could be insurance companies, pension funds, banks or non-financial firms – and credits the seller's bank account. So the seller has more money in their bank account, while their bank holds a corresponding claim against the Bank of England (known as reserves). The end result is more money out in the wider economy.

Revenue Expenditure: Expenditure to meet the continuing cost of delivery of services including salaries and wages, the purchase of materials and capital financing charges.

Retail Price Index (RPI): A monthly index demonstrating the movement in the cost of living as it tracks the prices of goods and services including mortgage interest and rent.

Term Deposits: Deposits of cash with terms attached relating to maturity and rate of return (Interest).

Specified Investments: Term used in the Welsh Assembly Guidance for Local Authority Investments. Investments that offer high security and high liquidity, in sterling and for no more than one year. UK government, local authorities and bodies that have a high credit rating.

Supported Borrowing: Borrowing for which the costs are supported by the government or third party.

Supranational Bonds: Instruments issued by supranational organisations created by governments through international treaties (often called multilateral development banks). The bonds carry an AAA rating in their own right. Examples of supranational organisations are the European Investment Bank, the International Bank for Reconstruction and Development.

Treasury Bills (T-Bills): Treasury Bills are short term Government debt instruments and, just like temporary loans used by local authorities, are a means to manage cash flow. They are issued by the Debt Management Office and are an eligible sovereign instrument, meaning that they have an AAA-rating.

Treasury Management Code: CIPFA's Code of Practice for Treasury Management in the Public Services, initially brought in 2003, subsequently updated in 2009 and 2011.

Treasury Management Practices (TMP): Treasury Management Practices set out the manner in which the Council will seek to achieve its policies and objectives and prescribe how it will manage and control these activities.

Temporary Borrowing: Borrowing to cover peaks and troughs of cash flow, not to fund capital spending.

Unsupported Borrowing: Borrowing which is self-financed by the local authority. This is also sometimes referred to as Prudential Borrowing.

Yield: The measure of the return on an investment instrument.

Mae'r dudalen hon yn wag yn bwrpasol



FLINTSHIRE COUNTY COUNCIL

TREASURY MANAGEMENT

ANNUAL REPORT 2019/20

1.00 INTRODUCTION

The Council approved the Treasury Management Strategy 2019/20 (the Strategy) including key indicators, limits and an annual investment strategy on 19th February 2019.

The Strategy was produced based on the 2017 edition of the CIPFA Treasury Management in the Public Services: Code of Practice.

The purpose of this report is to review the outcomes from 2019/20 treasury management operations and compare these with the Strategy.

Treasury management comprises the management of the local authority's cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.

2.00 ECONOMIC & INTEREST RATE REVIEW 2019/20

This is provided by Arlingclose Ltd, the Council's treasury management advisors.

2.01 Economic commentary

The UK's exit from the European Union and future trading arrangements had remained one of the major influences on the UK economy and sentiment during 2019/20. The 29th March 2019 Brexit deadline was extended to 12th April, then to 31st October and finally to 31st January 2020. Politics played a major role in financial markets over the period as the UK's tenuous progress negotiating its exit from the European Union together with its future trading arrangements drove volatility, particularly in foreign exchange markets. The outcome of December's General Election removed a lot of the uncertainty and looked set to provide a 'bounce' to confidence and activity.

The headline rate of UK Consumer Price Inflation fell to 1.7% year on year in February, below the Bank of England's target of 2%. Labour market data remained positive. The ILO unemployment rate was 3.9% in the three months to January 2020 while the employment rate hit a record high of 76.5%. The average annual growth rate for pay excluding bonuses was 3.1% in January 2020 and the same when bonuses were included, providing some evidence that a shortage of labour had been supporting wages.

GDP growth in Q4 2019 was reported as flat by the Office for National Statistics and service sector growth slowed and production and construction activity contracted on the back of what at the time were concerns over the impact of global trade tensions on economic activity. The annual rate of GDP growth remained below-trend at 1.1%.

Then coronavirus swiftly changed everything. COVID-19, which had first appeared in China in December 2019, started spreading across the globe causing plummeting sentiment and falls in financial markets not seen since the Global Financial Crisis as part of a flight to quality into sovereign debt and other perceived 'safe' assets.

In response to the spread of the virus and sharp increase in those infected, the government enforced lockdowns, central banks and governments around the world cut interest rates and introduced massive stimulus packages in an attempt to reduce some of the negative economic impact to domestic and global growth.

The Bank of England, which had held policy rates steady at 0.75% through most of 2019/20, moved in March to cut rates to 0.25% from 0.75% and then swiftly thereafter brought them down further to the record low of 0.1%. In conjunction with these cuts, the UK government introduced a number of measures to help businesses and households impacted by a series of ever-tightening social restrictions, culminating in pretty much the entire lockdown of the UK.

The US economy grew at an annualised rate of 2.1% in Q4 2019. After escalating trade wars and a protracted standoff, the signing of Phase 1 of the trade agreement between the US and China in January was initially positive for both economies, but COVID-19 severely impacted sentiment and production in both countries. Against a slowing economic outlook, the US Federal Reserve began cutting rates in August. Following a series of five cuts, the largest of which were in March 2020, the Fed Funds rate fell from 2.5% to range of 0% - 0.25%. The US government also unleashed a raft of COVID-19 related measures and support for its economy including a \$2 trillion fiscal stimulus package. With interest rates already on (or below) the floor, the European Central Bank held its base rate at 0% and deposit rate at -0.5%.

2.02 Financial markets

Financial markets sold off sharply as the impact from the coronavirus worsened. After starting positively in 2020, the FTSE 100 fell over 30% at its worst point with stock markets in other countries seeing similar huge falls. In March sterling touched its lowest level against the dollar since 1985. The measures implemented by central banks and governments helped restore some confidence and financial markets have rebounded in recent weeks but remain extremely volatile. The flight to quality caused gilts yields to fall substantially. The 5-year benchmark falling from 0.75% in April 2019 to 0.26% on 31st March. The 10-year benchmark yield fell from 1% to 0.4%, the 20-year benchmark yield from 1.47% to 0.76% over the same period. 1-month, 3-month and 12-month bid rates averaged 0.61%, 0.72% and 0.88% respectively over the period.

Since the start of the calendar 2020, the yield on 2-year US treasuries had fallen

from 1.573% to 0.20% and from 1.877% to 0.61% for 10-year treasuries. German bund yields remain negative.

3.00 BORROWING REQUIREMENTS AND DEBT MANAGEMENT

3.01 PWLB (Public Works Loans Board) Certainty Rate

The Council qualified for the PWLB Certainty Rate, allowing the authority to borrow at a reduction of 20 basis points on the Standard Rate for a further 12 months from 1st November 2019.

3.02 Borrowing Activity in 2019/20.

The total long term borrowing outstanding, brought forward into 2019/20 totalled £272.8 million.

	Balance 01/04/2019 £m	Debt Maturing £m	New Debt £m	Balance 31/03/2020 £m
Capital Financing Requirement	340.1	(6.6)	16.8	350.3
Short Term Borrowing	44.0	(44.0)	53.0	53.0
Long Term Borrowing	272.8	(0.9)	19.4	291.3
TOTAL BORROWING	316.8	(44.9)	72.4	344.3
Other Long Term Liabilities	5.0	(0.5)	0.0	4.5
TOTAL EXTERNAL DEBT	321.8	(45.4)	72.4	348.8
Increase/(Decrease in Borrowing (£m))	-	-	27.0	

The Council's Capital Programme is financed by a combination of capital receipts and grants, CERA (revenue contributions) and borrowing. The borrowing strategy in recent years, in accordance with advice received from the Council's treasury management advisors, Arlingclose, has been to use existing cash balances and short term borrowing to confirm the long term borrowing requirement. This is to ensure that the Council does not commit to long term borrowing too early and borrow unnecessarily which will be costly. This is balanced against securing low interest costs and achieving cost certainty over the

period for which the funds are required so as not to compromise the long term stability of the portfolio.

Short term borrowing continued to be available throughout the year at much lower rates than long term borrowing and was utilised as far as possible without exposing the Council to excessive refinancing risk. The total short term (temporary) borrowing as at 31st March 2020 was £53m with an average rate of 1.07%.

The relative costs and benefits of internal / short term borrowing and long term borrowing were monitored closely, in conjunction with Arlingclose, throughout the year. The Council continues to have a long term borrowing requirement and as PWLB long term rates remained low during the year the following loans were taken out:

Start Date	Maturity Date	Amount	Rate	Loan Type
1 st Apr 2019	1 st Apr 2034	£10.0m	1.65%	EIP
13 th Aug 2019	13 th Aug 2037	£7.5m	1.28%	EIP
7 th Jan 2020	7 th Jan 2060	£584k	3.06%	Annuity
30 th Mar 2020	30 th Mar 2060	£294k	2.65%	Annuity
30 th Mar 2020	30 th Mar 2060	£1.07m	2.65%	Annuity

£1.95m of these loans have been on-lent to NEW Homes, the Council's wholly owned subsidiary, to fund the building of affordable homes in Flintshire.

At 31st March 2020, loans with the PWLB were in the form of fixed rate (£257.16m) and variable rate (£10m), £18.95m were variable in the form of LOBO's (Lender Option Borrower Option) and £5.17m were interest free loans from the Government, available for specific schemes. The Council's average rate for long term borrowing was 4.57%.

The Council's underlying need to borrow as measured by the Capital Financing Requirement (CFR) as at 31st March 2020 was £350.3m. The Council's total external debt was £348.8m.

3.03 Loans at Variable Rates

The Council has £10m of PWLB variable rate loans, at an average rate of 0.91% which mitigate the impact of changes in variable rates on the Council's overall treasury portfolio. This strategic exposure to variable interest rates will be regularly reviewed and, if appropriate, reduced by switching into fixed rate loans.

3.04 Lender Option Borrower Option loans (LOBOs)

The Council holds £18.95m of LOBOs, loans where the lender has the option to propose an increase in the interest rate at set dates, following which the Council has the option to either accept the new rate or to repay the loan at no additional cost. All of these LOBOs had options during the year, none of which were exercised by the lender.

3.05 Debt Rescheduling

Options for debt rescheduling were explored in conjunction with our treasury management advisors. The premium charged for early repayment of PWLB debt remained relatively expensive for the loans in the Council's portfolio and therefore unattractive for debt rescheduling activity. As a consequence no rescheduling activity was undertaken.

The Corporate Finance Manager, in conjunction with the Council's treasury advisors, will continue to review any potential opportunities for restructuring the Council's debt in order to take advantage of potential savings as interest rates change and to enhance the balance of the long term portfolio (amend the maturity profile and/or the balance of volatility).

4.00 INVESTMENT ACTIVITY

4.01 Guidance

The Welsh Government's Investment Guidance gives priority to security and liquidity and the Council's aim is to achieve a yield commensurate with these principles.

4.02 Investment Activity in 2019/20

Summary of investments as at 31st March 2020.

Country	Total	<1 month	1 –12 months	>12 months
	£m	%	£m	£m
UK BANKS				
UK BUILDING SOCIETIES				
OVERSEAS				
MMF's				
LOCAL AUTHORITIES				
DMO	31.1	31.1		
<u>TOTAL</u>	31.1	31.1	0.00	0.0

As none of these investments were greater than three months they are classified as cash in the Council's Balance Sheet.

Security of capital remained the Council's main investment objective. This was maintained by following the Council's counterparty policy as set out in its Strategy for 2019/20. Investments during the year included:

- Deposits with the Debt Management Office
- Deposits with other local authorities
- Investments in AAA-rated Low Volatility Net Asset Value (LVNAV) money market funds
- Call accounts and deposits with banks and building societies

4.03 Credit Risk

The Authority assessed and monitored counterparty credit quality with reference to credit ratings; credit default swaps; GDP of the country in which the institution operates; the country's net debt as a percentage of GDP and share price. The minimum long-term counterparty credit rating determined by the Authority for the 2019/20 treasury strategy was A-/A-/A3 across rating agencies Fitch, S&P and Moody's.

4.04 Counterparty Update

In Q4 2019 Fitch affirmed the UK's AA sovereign rating, removed it from Rating Watch Negative (RWN) and assigned a negative outlook. Fitch then affirmed UK banks' long-term ratings, removed the RWN and assigned a stable outlook. Standard & Poor's also affirmed the UK sovereign AA rating and revised the outlook to stable from negative. The Bank of England announced its latest stress tests results for the main seven UK banking groups. All seven passed on both a common equity tier 1 (CET1) ratio and a leverage ratio basis. Under the test scenario the banks' aggregate level of CET1 capital would remain twice their level before the 2008 financial crisis.

After remaining flat in January and February and between a range of 30-55bps, Credit Default Swap spreads rose sharply in March as the potential impact of the coronavirus on bank balance sheets gave cause for concern. Spreads declined in late March and through to mid-April but remain above their initial 2020 levels. NatWest Markets Plc (non-ring-fenced) remains the highest at 128bps and National Westminster Bank Plc (ring-fenced) still the lowest at 56bps. The other main UK banks are between 65bps and 123bps, with the latter being the thinly traded and volatile Santander UK CDS.

While the UK and non-UK banks on the Arlingclose counterparty list remain in a strong and well-capitalised position, the duration advice on all these banks was cut to 35 days in mid-March.

Fitch downgraded the UK sovereign rating to AA- in March which was followed by a number of actions on UK and non-UK banks. This included revising the outlook on all banks on the counterparty list to negative, with the exception of Barclays Bank, Rabobank, Handelsbanken and Nordea Bank which were placed on Rating Watch Negative, as well as cutting Close Brothers long-term rating to A-. Having revised their outlooks to negative, Fitch upgraded the long-term ratings on Canadian and German banks but downgraded the long-term ratings for Australian banks. HSBC Bank and HSBC UK Bank, however, had their long-term ratings increased by Fitch to AA-.

4.05 Liquidity

In keeping with the WG's Guidance on Investments, the Council maintained a sufficient level of liquidity through the use of money market funds and call accounts.

4.06 Yield

The UK Bank Rate began the year at 0.75% with decreases in March to 0.25% then to 0.10%. Short term money market rates also remained at very low levels which continued to have a significant impact on investment income. The low rates of return on the Authority's short-dated money market investments reflect prevailing market conditions and the Authority's objective of optimising returns commensurate with the principles of security and liquidity.

The Authority's budgeted investment income for the year had been prudently estimated at £80k. The average cash balance was £25.9m during the period and interest earned was £163k, at an average interest rate of 0.62%.

4.07 Loans to NEW Homes

The loans to NEW Homes do not meet the definition of an investment and are not therefore included in the Council's investment figures below. They are classed as capital expenditure.

5.00 COMPLIANCE

The Council can confirm that it has complied with its Prudential Indicators for 2019/20. These were approved by Council as part of the Treasury Management Strategy on 19th February 2019.

In compliance with the requirements of the CIPFA Code of Practice this report provides members with a summary report of the treasury management activity during 2019/20. None of the Prudential Indicators have been breached and a prudent approach has been taken in relation to investment activity with priority being given to security and liquidity over yield.

The treasury function operated within the limits detailed in the Treasury Management Policy and Strategy Statement 2019/20.

6.00 OTHER ITEMS

The following were the main treasury activities during 2019/20

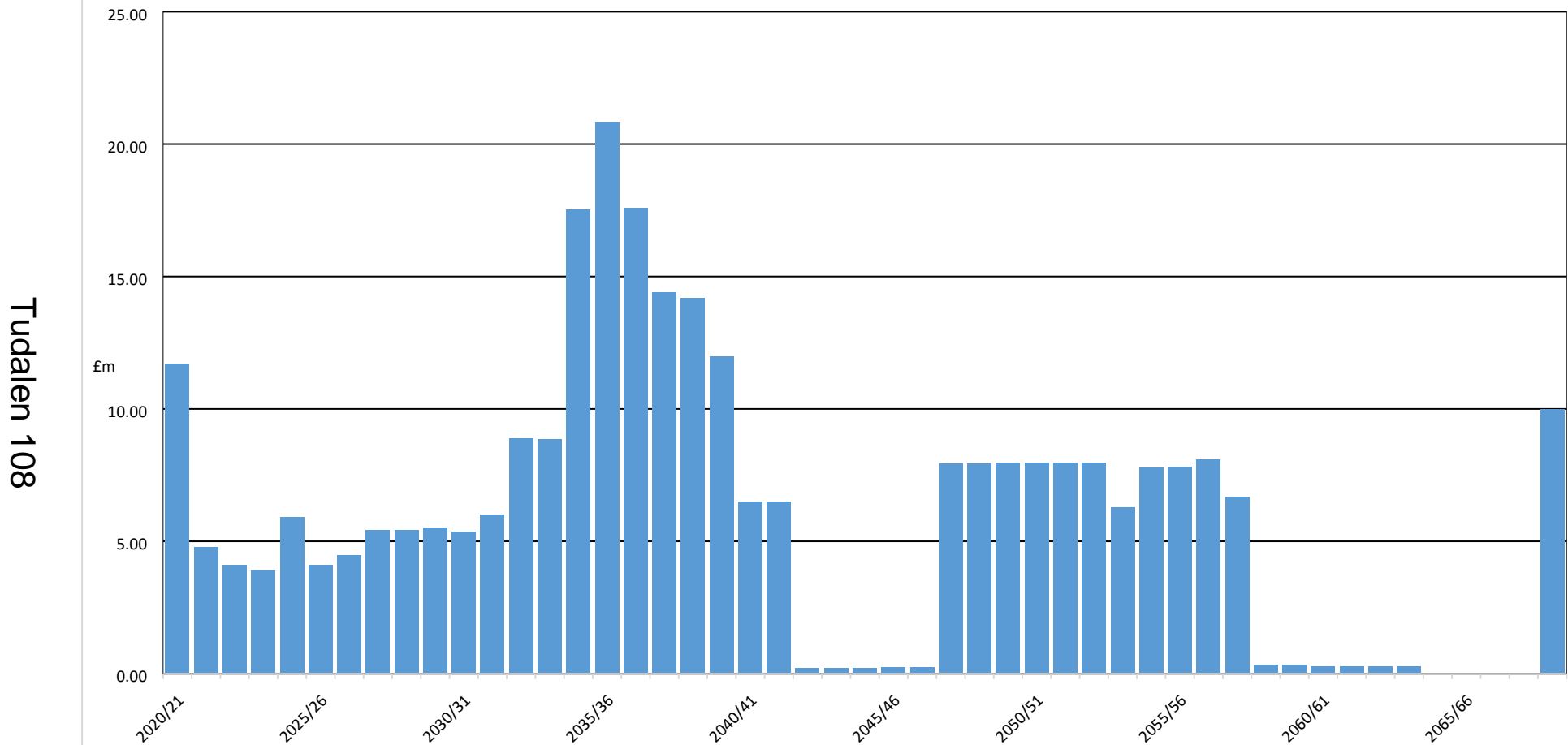
- The Council's Audit Committee received a Mid-Year Report on 20th November 2019.
- Quarterly update reports were presented to the Audit Committee.
- The 2020/21 Investment Strategy Statement was approved by Council on 18th February 2020.
- The Council continued to be a member of the CIPFA Treasury Management Network.
- The Council's cash flow was managed on a daily basis. During the year the Council acted both as a borrower and as a lender and was a net borrower over the year in question. The maximum investments the Authority had on deposit at any one time were £50.5m and the maximum long-term borrowing at any one time was £291.3m.

7.00 CONCLUSION

The treasury management function has operated within the statutory and local limits detailed in the 2019/20 Treasury Management Strategy.

The Policy was implemented in a pro-active manner with security and liquidity as the focus.

Debt Maturity Profile - March 2020



Eitem ar gyfer y Rhaglen 9



COUNTY COUNCIL

Date of Meeting	Tuesday, 20 th October 2020
Report Subject	Pay Policy Statement for 2020/21
Report Author	Chief Executive and Senior Manager, Human Resources and Organisational Development

EXECUTIVE SUMMARY

All local authorities are required to publish an annual Pay Policy Statement.

The Pay Policy presented within this report is the eighth annual statement published by the Council.

The latest Equal Pay Audit is also appended to this report for information.

RECOMMENDATIONS

1	That County Council approves the appended Pay Policy Statement for 2020/21 and notes the latest Equal Pay Audit.
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REPORT DETAILS

1.00	EXPLAINING THE PAY POLICY STATEMENT
1.01	<p>Under the Localism Act 2011 local authorities are required to publish an annual Pay Policy Statement. A Pay Policy Statement should include:</p> <ul style="list-style-type: none"> • the local authority's policy on the level and elements of remuneration for each chief officer; • the policy on the remuneration of its lowest-paid employees - together with its definition of lowest-paid employees and the reasons for adopting that definition; • the policy on the relationship between the remuneration of its chief officers and other officers; and • the policy on other specific aspects of chief officers' remuneration such as recruitment, pay increases, the use of performance related pay and bonuses, termination payments, and pay transparency.
1.02	The Council's current Pay Policy Statement was approved by Council on 29 January 2019, updated on 19 November 2019.
1.03	The draft Pay Policy Statement for 2020/21 is appended to this report. The Statement summarises the organisation's approach to pay and remuneration and sets this within an organisational, regional and national context. It has also been updated to provide a more comprehensive account of the Council's approach to the remuneration of its workforce.
1.04	<p>The draft Pay Policy Statement appended to this report sets out:</p> <p>The Councils approach to job evaluation and the grading of posts; The Council's pay multiple (the ratio between the highest paid employee and the median average salary of the Council's workforce) which is 1:7:80 (compared to 1:8:20 in 2019/20)</p>
1.05	<p>This year's statement is largely consistent with the 2019/20 statement. Whilst there is no change to the proposed principles or approach to remuneration, a number of sections have been re-written and re-ordered to improve the flow of the report.</p> <p>There are also a number of additional sections, as follows:</p> <p>Section 7 – Exit Payment Cap and Pension Reforms Section 14 – Non Guaranteed Working Hours</p>
	Equal Pay Audit
1.06	In addition to the obligations placed on the Council by the Localism Act 2011 in relation to its pay policy, the Council has obligations under the Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 to report on the gender pay gap.

1.07	The gender pay gap is the difference between men's pay and women's pay as a percentage of men's pay.
1.08	The Council fulfils its obligations under the Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 through an Equal Pay Audit which it undertakes annually. The Equal Pay Audit involves the specific comparison of the pay of male and female colleagues, investigating the causes of any pay gaps by gender, ethnicity, disability or working pattern and planning to close any gaps that cannot be justified on grounds other than one of those characteristics.
1.09	The Equal Pay Audit 2019 which is appended to this report shows an improving position when compared to the 2018, with highlights as follows: <ul style="list-style-type: none"> • The overall gender pay gap across all grades and terms and conditions is 13.40% compared to 13.65% in 2018. • The gender pay gap for those employed on NJC Pay Scales (Green Book) is 15.45% which has reduced from 16.22% last year. • The gender pay gap for Chief Officers is 10.70% down from 15.65% last year.

2.00	RESOURCE IMPLICATIONS
2.01	None as the Pay Policy Statement appended to this report is a description of existing arrangements.

3.00	CONSULTATIONS REQUIRED / CARRIED OUT
3.01	None required.

4.00	RISK MANAGEMENT
4.01	None as the Pay Policy Statement appended to this report is a description of existing arrangements.

5.00	APPENDICES
5.01	Appendix A – Pay Policy Statement 2020/21 Appendix B – Pay Tables Appendix C – Local Government Pension Scheme (LGPS) Discretionary Pension Statement Appendix D – Equal Pay Audit 2019

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	None

7.00	CONTACT OFFICER DETAILS
7.01	<p>Contact Officer: Sharon Carney, Senior Manager, Human Resources and Organisational Development Telephone: 01352 702139 E-mail: Sharon.carney@flintshire.gov.uk</p>

8.00	GLOSSARY OF TERMS
8.01	As detailed in the attached Pay Policy Statement for 2020/21.

Pay Policy Statement



2020 - 2021

Pay Policy Statement

Including LGPS Employer’s Discretionary Policy 2020-2021

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1. Introduction and Purpose

This Pay Policy Statement (the statement) sets out the Council's approach to pay policy in accordance with the requirements of the Localism Act 2011 (the Act). Under section 38 (1) of the Act 2011 English and Welsh local authorities are to produce and publish a pay policy statement for each financial year covering:

- The authority's policies for the remuneration of chief officers;
- The arrangements for the publication of and access to information on the remuneration of chief officers;
- The authority's policies towards the remuneration of its lowest paid employees; and
- The relationship between the remuneration of its chief officers and other employees.

The Council has published information on senior pay for a number of years on its website and in its Statement of Accounts. It has also responded openly and in full to Freedom of Information Act requests for such details.

In relation to other organisations in all sectors across the UK, we are a large, complex organisation providing a very diverse range of services. Many of these services are vital to the wellbeing of individuals and groups of residents in our local community. These can be delivered in very challenging circumstances, which means the Council must take account of the levels of need and ensure the availability of resources to meet them.

We compete with other local employers to recruit and retain managers capable of meeting the challenges of delivering our services to the required standards. This has an important bearing on the levels of remuneration we offer. At the same time, we are obligated to secure the best value for money for our residents and taxpayers in taking decisions on our pay levels. Therefore, the arrangements for the evaluation of posts across the workforce, and pay and terms and consideration of employment, are complex and require careful planning, maintenance and control.

2. Legislation and Other Matters Relevant to Remuneration

In determining the remuneration of all of its employees, the Council will comply with all relevant employment legislation. The Council is also bound by collective agreements and contractual arrangements which cannot be unilaterally altered.

Relevant legislation includes the Employment Rights Act 1996, Equality Act 2010, Part Time Employment (Prevention of Less Favorable Treatment) Regulations 2000, the Transfer of Undertakings (Protection of Employment) Regulations 2006, as amended, and the Children & Families Act 2014.

On the Equal Pay requirements contained within the Equality Act, the Council will ensure there is no pay discrimination within its pay structures and that all pay differentials can be objectively justified through the use of equality proofed Job Evaluation systems and processes which directly tie salaries to the requirements, demands and responsibilities of the role.

3. Scope of the Pay Policy Statement

The Localism Act 2011 requires authorities to publish their pay policy on all aspects of Chief Officer Remuneration (including on ceasing to hold office) and to explain the relationship between remuneration for Chief Officers and other workforce groups including the 'lowest paid'.

In the interests of transparency the Council has chosen to take a broader approach and produces a policy covering all employee groups with the exception of School Teachers (as the remuneration for this latter group is set by the Welsh Government and therefore not in local authority control).

Nothing within the provisions of the Localism Act 2011 detract from the Council's autonomy in making decisions on pay that are appropriate to local circumstances and which deliver achieve business objectives and value for money. The Council will follow its own policy in setting remuneration levels for all workforce groups within its scope.

4. Broad Principles of our Pay and Reward Strategy

1) Transparency, accountability and value for money

The Council is committed to an open and transparent approach to pay policy which will enable anyone to access, understand and assess information on remuneration levels across all groups of Council employees. The following is available on the council's website at www.flintshire.gov.uk.

Remuneration data

- All employee pay scales
- Individual remuneration details for senior employees whose remuneration is over £60,000 per annum, and the number of employees whose remuneration exceeds £60,000 as required under the Accounts and Audit (Wales) (Amendment) Regulations 2010.

Policy documents

- [Additional Payments](#)
- [Policy Statement on Redundancy and Severance Payments \(including additional pension payments\)](#)

All relevant policies are reviewed periodically to ensure they are current and meet the principles of fairness, equality, accountability and value for money.

II) Development of Pay and Reward Strategy

The primary aim of a reward strategy is to attract, retain and motivate suitably skilled employees so that the organisation can perform to its best. The biggest challenge for the Council in the current financial climate is to maximise productivity and efficiency within current resources. Pay policy is a matter of striking a balance between setting remuneration levels at appropriate levels to ensure a sufficient 'supply' of appropriately skilled, experienced and qualified individuals to fill the Council's wide range of posts, and ensuring that the burden of cost does not become greater than can be justified.

It should be recognised that in a competitive recruitment 'market' remuneration levels need to enable the attraction of a suitably wide pool of talent (which will ideally include people from across the public sector and from outside as well as within Wales), and the retention of suitably skilled and qualified individuals once in post. It should be also be recognised that the Council will often be seeking to recruit in competition with other public and private sector employers.

The Council is a major employer in the area. The availability of good quality employment on reasonable terms and conditions and fair rates of pay has a beneficial impact on the quality of life in the community as well as on the local economy. The Council also has a role in setting a benchmark example on pay and conditions to other employers in the area for the same reasons.

In designing, developing and reviewing the Pay and Reward strategy the Council will seek to balance these factors to achieve performance outcomes for the organisation and the community it serves, whilst managing and controlling total pay costs.

III) The Council's Pay and Grading Structure

Section 112 of the Local Government Act 1972 provides that a local authority shall appoint such Officers for the proper discharge of its functions on such reasonable terms and conditions, including conditions as to remuneration as the local authority thinks fit.

The remuneration of the large majority of employees of the Council is in accordance with the locally agreed pay scale with spinal column points based on the nationally agreed pay spine (the NJC pay scale).

The Council uses a range of methods to evaluate pay and has multiple pay scales dependent on the terms and conditions of employment.

For roles that are not nationally prescribed and are not Chief Officer posts, the Council uses the Greater London Provincial Committee (GLPC), which is part of the Single Status Collective Agreement, and role profiles for support workers employed by School Governing Bodies.

In 2016 the Council introduced a collective agreement known as the 'House Agreement' for Theatr Clwyd covering pay and terms and conditions of employment. The agreement introduced a new pay scale and terms and conditions of employment that ensured future payments were equitable, affordable and sustainable whilst facilitating retention and recruitment. Generic profile descriptors are used as a basis for matching each job to the most appropriate grade.

In October 2019, employees engaged under the JNC Craft Agreement (Red Book) were assigned to one of four newly evaluated positions and mapped across to the Council's new pay model. This had the effect of providing an all-inclusive rate and increase in base pay, removed spot points, provided incremented grades and incremental progression, consistent with employees on the nationally agreed pay spine (the NJC pay scale).

Pay Progression

With the exception of Chief Officers whose pay progression is based on performance, all employees receive annual increments until the maximum spinal point in the grade is reached, subject to six months in that grade (whether attained by appointment, promotion or re-grading).

All employees, including senior employees, will normally be appointed to the minimum point of the pay grade for the job. In certain circumstances it may be appropriate to appoint to a higher point in the pay grade. This may arise when, for example, the preferred candidate for the job is or has been in receipt of a salary at a higher level than the grade minimum, subject to approval by their respective Chief Officer.

Within Theatr Clwyd incremental progression will be dependent on Theatr Clwyd achieving collective targets which are agreed and reviewed annually by the Board of Trustees.

Bonus Payments and Performance Related Pay

The Council does not apply any bonus payments. The Council operates an appraisal system as part of its performance management strategy and with the exception of Chief Officers (see above) this is not linked to pay.

Chief Officer Job Evaluation

For Chief Officers, the Council uses the nationally recognised Hay Job Evaluation Scheme. The scheme is an analytical one that takes into consideration three key elements of a post:

- Know How – the levels of knowledge, skill and experience (gained through work experience, education and tradition) which are required to perform the job successfully;
- Problem Solving – the complexity of thinking required to perform the job when applying Know How;
- Accountability – the impact the job has on the organisation and the constraints the job holder has on acting independently.

The Council undertook reviews of Chief Officer's roles and associated pay arrangements in 2014. Therefore, current arrangements are modern for the business needs of the Council.

IV) Additional Payments

There may be occasions when an employee is asked to carry out additional duties to those of their substantive post for a period of time. In such circumstances an additional payment may be made in line with the Council's Additional Payments policy. The policy provides a framework to ensure the continued fairness, equitability and affordability of the pay and grading structure and differentiates between the following scenarios:

Honoraria

Subject to certain conditions, employees who are temporarily required to undertake some or all of the duties of a higher graded posts are eligible to be paid an honorarium. Details of the scheme can be found in the Council's Additional Payments Policy.

Market Supplements

From time to time it may be necessary to take account of the external pay levels in the labour market in order to attract and retain employees with particular experience, skills and capacity and apply a time limited, market supplement. Where necessary, the Council will ensure the requirement is objectively justified by reference to a clear and transparent evidence of relevant market comparators, using data sources available from the local government sector and outside, as appropriate. The Council uses market supplements sparingly as a practice.

V Salary Protection

The Council will take reasonable steps to protect an employee's basic pay where it is reduced as a result of:

- Organisational change

- Redeployment where the individual is at risk of or under notice of redundancy and is redeployed or assimilated into either a lower graded post or a post which attracts a lower total remuneration package than their previous post

The Council protects the remuneration of employees for a maximum of twelve months from the date of the change to basic pay, subject to a maximum of one grade difference or equivalent between the old post and the new post.

5. Chief Officer Remuneration

i) Definitions of Chief Officer

For the purposes of this statement, 'Chief Officers' are as defined within S43 of the Localism Act. The relevant occupied posts within the Council are as follows:

- Chief Executive (including Head of Paid Service)
- Chief Officer, Governance
- Chief Officer, Streetscene and Transportation
- Chief Officer, Planning, Environment and Economy
- Chief Officer, Social Services
- Chief Officer, Education and Youth,
- Chief Officer, Housing and Assets

These officers are responsible for working alongside and advising elected members over the strategic direction of the Council, carrying out the stated aims of the Council, ensuring the efficiency and effectiveness of all services provided by the Council and its partners, and providing overall day to day operational management of services.

A new single grade and pay range for the new Chief Officer group was introduced in June 2014. All roles in the structure are positioned in the same single incremental range, given that all roles are broadly the same size, other than the Chief Executive. Placing the new Chief Officer roles on the same grade also removes any hierarchy at senior management level and reflects the single, collective tier.

All roles have access to the same four increments. The pay range has a clear rationale, building on the options developed with the independent advice from Hay Group and being mindful of both affordability and the relativity to management roles in the grades below. The range overlaps with the increments which existed for the former Heads of Service but falls below the former Director pay. It also represents a consistent policy of paying between the lower quartile and the median. Progression through the range is based on performance. The approach is affordable and fair, and has ensured that the Council can meet its financial targets for the reduction of senior management costs.

ii) Policy on the Remuneration of Chief Officers

The Terms and Conditions of employment applicable to Chief Officers are as determined by the JNC (Joint Negotiating Council) for Chief Officers of Local Authorities (or JNC for Chief Executives of Local Authorities) as amended/ supplemented or superseded by decisions on conditions of service made by the Council from time to time and contained within the Council's Employment Policies and Procedures.

iii) Recruitment of Chief Officers

The Council's policy and procedures for the recruitment of Chief Officers is set out within Article 15, 15.01 sub section (b) of the Constitution.

The Council's Management Structure is as approved by Council. The Job Descriptions and Person Specifications for each Chief Officer post are approved prior to advertisement by the Council's appointment panel which comprises seven elected members. The determination of the remuneration to be offered to any newly appointed Chief Officer will take account of such factors as the requirements of the job, the relative size of the organization, local and national market rates and the relationship with other posts within the grading structure. It is the responsibility of the Chief Executive to make and maintain arrangements for the professional management of the Council to meet both its legal duties and its business needs.

There is a requirement under the Welsh Government Regulations that all vacant posts with a salary of over £100,000 are publicly advertised. The Council has not appointed to any posts in this range since 2007. The only exception to this new rule is where the appointment is for 12 months or less. It is also possible to divide up the duties from one deleted Chief Officer post between other existing post holders.

iv) Chief Officer Salaries

Details of the Chief Officers basic salary are set out below (salaries are those applicable at 1 April 2020).

Chief Executive

The Chief Executive salary scale has four incremental points between £131,664.00 rising to a maximum of £143,110.00. (This salary range was set by the Council in 2007 with external advice. It was reviewed again in 2014 but a decision was taken not to change at that time.)

The Chief Executive, voluntarily waived his entitlement to a pay award in 2019 and has elected to receive only 2% of the 2.75% nationally agreed pay award for 2020 based on

the budget provision the Council has made. The Chief Executive's actual annual salary from 1 April 2020 is therefore **£139,279.00**.

Chief Officers

The Chief Officer salary scale has four incremental points between £87,873.00 rising to a maximum of £98,997.00.

v) Additions to Salary of Chief Officers

The Council does pay all reasonable travel and subsistence expenses on produced of receipts and in accordance with JNC conditions and other local conditions. Part III changes which formed part of the Single Status Agreement have removed other previous entitlements. A number of senior employees choose not to claim in full expenses to which they are contractually entitled as a 'conscious' voluntary decision given the current financial constraints.

The Returning Officer for the County Council is the Chief Executive. The Returning Officer duties are not part of the Chief Executive's substantive role. The appointment of Electoral Registration Officer is required by S8 Representation of the People Act 1983, and the appointment of Returning officer by S35 Representation of the People Act, 1983. The fee for parliamentary, European Union, Welsh Government, Police and Crime Commissioner Elections and all referenda are set by legislation. For these externally sponsored elections any fee is funded through grant awarded by the Welsh Government or the UK Government. Local authorities have the discretion to set the fee for local elections and this Council has does so contractually.

vi) Performance Related Pay and Bonuses

The Council does not apply any bonuses or performance related pay to its Chief Officers pay. However, the annual increment (if not already at top of scale) is only awarded once the Annual Appraisal has been passed as satisfactory (page 7 refers).

All Chief Officers have annual and mid-year appraisals and the Chief Executive has an annual appraisal facilitated by an external party as per national guidance and the post holder's contractual rights.

vii) Payments on Termination

The Council's policies for redundancy payments and retirement are set out respectively within its Discretionary Compensation Scheme and Early Retirement Policy.

Under the Local Government (Early Termination of Employment) Discretionary Compensation) (England and Wales) Regulations 2006, the Council applies its discretion under Regulation 5 in the case of both voluntary and compulsory redundancy to base any payments on an employee's actual week's pay.

Under Regulation 6, the Council makes redundancy payments (compulsory and voluntary) to employees based upon the statutory redundancy payments scale which are calculated by multiplying a number of weeks based on their age and length of service (subject to a maximum of 20 years' service) by their actual weekly rate of pay, as follows:

- 0.5 week's pay for each year of employment in which the employee was aged 21 and below
- 1 week's pay for each year of employment in which the employee was aged 22 to 40 inclusive.
- 1.5 week's pay for each year of employment during which the employee was aged 41 or over.

For employees under the age 55 (or aged 55 and over and are *not* members of the Local Government Pension Scheme (LGPS) apply a multiplier of 1.5 times the redundancy payment as calculated above.

Any severance packages with a value in excess of £100,000 will be approved by Council before they are agreed. This policy applies to severance packages whether or not made pursuant to a settlement agreement. However, it does not apply in relation to the cost of early access to, and/or enhancement of a retirement pension, where the employee's employment is terminated on grounds of ill health.

Since April 2020 employers are liable to pay Class 1A national insurance contributions on termination payments above £30,000 that are subject to income tax by the employee. The Council will fully comply with this requirement.

viii) [Publication of Chief Officer and Other Senior Post Salaries](#)

Upon approval by the full Council, this statement will published on the Council's Website. In addition, for posts where the full time equivalent salary is over £60,000 per annum the Council's Annual Statement of Accounts will include a note setting out by posts the total amount of:

- salary, fees or allowances paid to or receivable by the person in the current and previous year;
- any bonuses so paid or receivable by the person in the current and previous year;
- any sums payable by way of expenses allowance that are chargeable to UK income tax;
- any compensation for loss of employment and any other payments connected with termination; and
- any benefits received that do not fall within the above.

ix) Pay Increases – Chief Officers

The Council employs Chief Officers under JNC terms and conditions which are incorporated into their contracts. The JNC for Chief Officers negotiates on national (UK) annual cost of living pay increases for this group, and any award of the same is determined on this basis. Chief Officers employed on JNC terms and conditions are contractually entitled to any national JNC determined pay rises and this Council will therefore pay these as and when determined in accordance with current contractual arrangements.

Agreement was reached on the pay awards applicable for Chief Executives and Chief Officers from 1 April 2020 on 24 August 2020. These pay agreements cover the period 1 April 2020 to 31 March 2021 and provided for the individual basic salary of all officers within scope of the JNC for Chief Officers and Chief Officers of Local Authorities to be increased by 2.75% with effect from 1 April 2020.

x) Other Employee Benefits

The Council is responsible for supporting the health, safety and wellbeing of its employees in order to ensure that they can perform at their best. As part of this approach and in common with other large employers the Council provides a small number of non-pay benefits such as eye test reimbursement for users of display screen equipment at work, leisure and retail discounts through our eRewards and Vectis card scheme childcare vouchers via a salary sacrifice scheme (following the Government's closure of such schemes, this benefit is now only available for those who joined the scheme prior to October 2018) and participation in the Cycle to Work scheme.

An in-house team of medical experts within our Occupational Health service, give advice in support of positive mental and physical health. In addition, all employees have access to our Employee Assistance Programme (EAP) via CareFirst which provides emotional and practical support for issues at home or in work. These services are available online and via a free phone number 24 hours a day, 365 days of the year

6. Independent Remuneration Panel for Wales (IRMPW)

Section 143A of the Local Government (Wales) Measure 2011 refers to the Independent Remuneration Panel in Wales ("the IRP") and sets out their functions in relation to salaries of heads of paid service. The IRP may make recommendations about any policy in this Pay Policy Statement which relates to the salary of the Council's head of paid service and any proposed change to the salary of the Council's Head of Paid Service. The Council, will, as required, consult the IRP in relation to any change to the salary of the head of paid service which is not commensurate with a change of the salaries of the Council's other

staff, and will have regard to any recommendation received from the IRP when deciding whether or not to proceed with making the change.

The Council is required to identify in this pay policy statement whether any such referral has been made to the IRP, and if so, the nature of the referral, the IRP's decision and the Council's response. No referral has been made to the IRP during 2019/2020.

The Local Government (Wales) Act 2015 extends the power of the IRP, under section 143A of the Local Government (Wales) Measure 2011 to cover salaries payable to chief officers (using the Localism Act definition) as well as the head of paid service.

7. Exit Payment Cap and Pension Reforms

The Government announced its intention to introduce a cap on Public Sector exit payments in order to restrict these to a maximum of £95,000. This has the potential to reduce both redundancy dismissal and efficiency pension benefits where the Chief Officer is aged 55+ and may have some of their pension benefits reduced where the overall cost of termination exceeds £95,000 including pension strain costs.

The background to the current position is that the Enterprise Act 2016 has been passed and Section 9 provides enabling powers to make regulations for exit payments. The Act also gives powers to Welsh Ministers to 'relax' any regulations made.

The enabling regulations, namely the restriction of public sector exit payment Regulations 2019, went through the House of Commons on 30 September 2020 and we await confirmation of an implementation date which could be as soon as 26th October 2020. The waiver situation remains unclear both as far as the Regulations themselves are concerned and any decision making powers Welsh Government Ministers may decide to adopt. We continue to await an update in response to this

Outside of the policies outlined above the Council does not operate any other policy of making any specific or general payment to its Chief Officers or any other employees on their ceasing to hold office or to be employed by the Council but it may, where appropriate, agree to waive contractual notice.

8. Remuneration of the Lowest Paid Employees

The lowest paid persons employed under a contract of employment with the Council are defined as those employed on full time 37 hours equivalent salaries in accordance with the minimum spinal column point currently in use within the Council's grading structure post single status. As at 1 April 2020, this is **£17,842** per annum. The Council has adopted this definition as it is recommended in relevant guidance as the most easily understood.

The Council employs apprentices (and other such trainees) who are not included within the definition of 'lowest paid employees' and are paid less than the minimum spinal column point for other employees during their apprenticeship. The purpose of paying a lower salary is to reflect the particular nature and/or duration/frequency of their employment and to maximize the number of apprenticeships offered. There is an exception to this agreement in relation to Graduate Trainees who we have agreed should not earn less than our lowest evaluated rate of pay.

9. Pay Relativities within the Authority

The statutory guidance under the Localism Act recommends the use of pay multiples as a means of measuring the relationship between pay rates across the workforce and that of senior managers, as included within the Hutton 'Review of Fair Pay in the Public Sector' (2010).

The Hutton report was asked by Government to explore the case for a fixed limit on dispersion of pay through a requirement that no public sector manager can earn more than 20 times the lowest paid person in the organisation. The report concluded that the relationship to median earnings was a more relevant measure and the Governments Code of Recommended Practice on Data Transparency recommends the publication of the ratio between the highest paid salary and the median average salary of the whole of the Authority's workforce. The median salary for Flintshire County Council based on based on a payroll extract as at 1 April 2020 taken on 6 October 2020 to reflect the impact of the 2020 pay award is **£20,092.00**

The multiples of pay for Flintshire County Council are as follows:

1. The multiple between the lowest paid (full time equivalent) employee and the Chief Executive is 1:7:80 (*compared to 1:8.20 last year*)
2. The multiple between the lowest paid employee and mean average Chief Officer is 1:5:55 (*previous year 1:4.92*)
3. The multiple between the median (average) full time equivalent employee and the Chief Executive is 1:6:93 (*previous year 1:7.18*)

(based on a payroll extract taken as at 6 April 2020)

The interim Hutton Fair Pay Report noted that most 'top to bottom' pay multiples in the public sector are in the region of **1:8.1 to 1:12.1**. The multiples in Flintshire are therefore below this notional range and are showing a reducing pay range between 'top and bottom' year on year.

10. National Negotiating Bodies and Pay Awards

The National Joint Council negotiates the pay, terms and conditions of employees in local authorities. It agrees an annual cost of living uplift to the national pay spine, on which each individual council decides where to place its employees. Each council takes into account a number of factors such as job size and local market conditions when deciding an employee's salary. There are no nationally determined jobs or pay grades in local government, unlike in other parts of the public sector.

As with other Welsh councils, the Council continues to comply with all national pay bargaining arrangements in respect of the establishment and revision of the national pay spine, for example through any agreed annual pay increases negotiated with joint trade unions at a UK level.

11. National Living Wage (NLW)

In April 2016 a new (statutory) National Living Wage was introduced by the Government which provides a supplement to the National Minimum Wage for those aged 25 and over. This rate of pay, since 1 April 2020 is £8.72 per hour. The lowest rate of hourly rate of pay for a Council employee is currently £9.25 (SCP01) which is £.053 per hour higher than the National Living Wage, reflecting the implementation of the NJC pay and grading structure.

12. Pension Benefits

Where employees have exercised their statutory right to become members of the Local Government Pension Scheme, the Council is required to make a contribution to the scheme representing a percentage of the pensionable remuneration due under the contract of employment of that employee.

The rate of contribution is set by Actuaries advising the Clwyd Pension Fund and reviewed on a triennial basis in order to ensure the scheme is appropriately funded.

There are two sections to the LGPS - MAIN and 50/50. The main section is calculated using 1/49th of an individual's annual pensionable pay (CARE pay). The 50/50 section is a new option (since 01/04/2014). Employees who join this scheme, pay half contributions but build up half the normal pension. This is calculated using 1/98th of annual pensionable pay (CARE pay) instead of the 1/49th in the MAIN scheme.

The contribution rate provided for the LGPS is based on actual pensionable pay, and there are nine different contribution rates ranging from 5.5% to 12.5% in the MAIN scheme and 2.75% to 6.25% in the 50/50 scheme.

The Council has prepared a written statement of policy in relation to its exercise of certain discretionary functions, available under the LGPS regulations. The Council's Local Government Pension Scheme (LGPS) Discretionary Pension Statement is detailed in Appendix 2.

13. Re-engagement of Chief Officers

No Chief Officer who was previously made redundant or granted early retirement from the Council will be later re-employed or re-engaged either as an employee (Contract of Service), as a Consultant (Contract for Service) or through an external contractor commission to work in behalf of the Council.

This is aligned to the principles applied within the Voluntary Redundancy Policy which provides that employees who voluntarily leave the Council's employment under the Scheme should not be re-engaged in any capacity within a period of 24 months from the end of their employment, save for exceptional circumstances and only if approved by the Chief Executive as Head of Paid Service.

14. Non-Guaranteed Working Hours

In December 2016 the Welsh Government issued principles and guidance on the appropriate use of non-guaranteed hours arrangements in the devolved public services in Wales. These principles and guidance were developed by the Public Services Staff Commission in social partnership with the Welsh Government's Partnership Council and its sector groups. The Council is committed to the principles determined by Welsh Government which apply to those employees who are employed on a relief, casual or sessional basis. These employees are used in services within the Council where there is either a need to bring in an additional workforce in order to cover peaks in workload or where the workload is on a one off basis.

15. Partnership with Trade Unions

The Council will maintain the constructive partnership approach it has developed with the recognised Trade Unions and will continue to work closely with them on pay issues.

16. Future Legislation

The Council will comply with changes to legislation in relation to remuneration and exist payments requirements should legislation change.

17. Monitoring, Evaluation and Review

This policy statement is subject to review on a minimum of an annual basis and the policy for the next financial year will be approved annually by 31st March. Should circumstances require, the policy can be amended during the course of the year subject to the same requirement of approval by full council.

Appendix 1

Salary Tables

Appendix 2

Local Government Pension Scheme (LGPS) Discretionary Pension Statement

Flintshire County Council

Green Book Pay Model

1 April 2020

	JE Range	Grade	SCP	Salary 1 April 2020	Monthly Salary	Hourly Rate
Officer Range	<305	G01 <small>(old A & B)</small>	01	£17,842.00	£1,486.83	£9.25
			02	£18,198.00	£1,516.50	£9.43
			03	£18,562.00	£1,546.83	£9.62
			04	£18,933.00	£1,577.75	£9.81
	306-369	G02 <small>(old C & D)</small>	05	£19,312.00	£1,609.33	£10.01
			06	£19,698.00	£1,641.50	£10.21
			07	£20,092.00	£1,674.33	£10.41
			08	£20,502.00	£1,708.50	£10.63
	370-395	G03 <small>(old E)</small>	09	£20,903.00	£1,741.92	£10.83
			10	£21,322.00	£1,776.83	£11.05
			11	£21,748.00	£1,812.33	£11.27
			12	£22,183.00	£1,848.58	£11.50
	396-440	G04 <small>(old F)</small>	15	£23,541.00	£1,961.75	£12.20
			17	£24,491.00	£2,040.92	£12.69
			19	£25,481.00	£2,123.42	£13.21
			20	£25,991.00	£2,165.92	£13.47
Senior Officer Range	441-480	G05 <small>(old G)</small>	24	£28,672.00	£2,389.33	£14.86
			25	£29,577.00	£2,464.75	£15.33
			26	£30,451.00	£2,537.58	£15.78
			27	£31,346.00	£2,612.17	£16.25
	481-525	G06 <small>(old H)</small>	28	£32,234.00	£2,686.17	£16.71
			29	£32,910.00	£2,742.50	£17.06
			30	£33,782.00	£2,815.17	£17.51
			31	£34,728.00	£2,894.00	£18.00
Manager Range	526-560	G07 <small>(old I)</small>	32	£35,745.00	£2,978.75	£18.53
			33	£36,922.00	£3,076.83	£19.14
			34	£37,890.00	£3,157.50	£19.64
			35	£38,890.00	£3,240.83	£20.16
	561-595	G08 <small>(old J)</small>	36	£39,880.00	£3,323.33	£20.67
			37	£40,876.00	£3,406.33	£21.19
			38	£41,881.00	£3,490.08	£21.71
			39	£42,821.00	£3,568.42	£22.20
	596-635	G09 <small>(old K)</small>	40	£43,857.00	£3,654.75	£22.73
			41	£44,863.00	£3,738.58	£23.25
			42	£45,859.00	£3,821.58	£23.77
			43	£46,845.00	£3,903.75	£24.28

Senior Manager Range	636-685	G10 (old L)	45	£49,070.00	£4,089.17	£25.43
			46	£50,373.00	£4,197.75	£26.11
			47	£51,710.00	£4,309.17	£26.80
			48	£53,086.00	£4,423.83	£27.52
	686-729	G11 (old N & M)	50	£55,939.00	£4,661.58	£28.99
			51	£57,424.00	£4,785.33	£29.76
			52	£58,948.00	£4,912.33	£30.55
			53	£60,511.00	£5,042.58	£31.36
	>730	G12 (New Grade)	58	£68,965.00	£5,747.08	£35.75
			59	£70,793.00	£5,899.42	£36.69
			60	£72,669.00	£6,055.75	£37.67
			61	£74,594.00	£6,216.17	£38.66

Theatr Clwyd Pay Scale

1st April 2020

Grade	SCP	Salary 1 April 2020	Monthly Salary	Hourly Rate
CTC07	01	£17,842.00	£1,486.83	£9.25
CTC06	02	£18,198.00	£1,516.50	£9.43
	03	£18,562.00	£1,546.83	£9.62
CTC05	04	£18,933.00	£1,577.75	£9.81
	05	£19,312.00	£1,609.33	£10.01
	06	£19,698.00	£1,641.50	£10.21
	07	£20,092.00	£1,674.33	£10.41
CTC04	08	£20,493.00	£1,707.75	£10.62
	09	£20,903.00	£1,741.92	£10.83
	10	£21,322.00	£1,776.83	£11.05
	11	£21,748.00	£1,812.33	£11.27
CTC03	12	£22,183.00	£1,848.58	£11.50
	14	£23,080.00	£1,923.33	£11.96
	15	£23,541.00	£1,961.75	£12.20
	17	£24,491.00	£2,040.92	£12.69
	19	£25,481.00	£2,123.42	£13.21
CTC02	20	£25,991.00	£2,165.92	£13.47
	23	£27,741.00	£2,311.75	£14.38
	24	£28,672.00	£2,389.33	£14.86
	25	£29,577.00	£2,464.75	£15.33
	26	£30,451.00	£2,537.58	£15.78
CTC01.5	28	£32,234.00	£2,686.17	£16.71
	30	£33,782.00	£2,815.17	£17.51
	31	£34,728.00	£2,894.00	£18.00
	32	£35,745.00	£2,978.75	£18.53
	33	£36,922.00	£3,076.83	£19.14
CTC01	34	£37,890.00	£3,157.50	£19.64
	35	£38,890.00	£3,240.83	£20.16
	36	£39,880.00	£3,323.33	£20.67
	37	£40,876.00	£3,406.33	£21.19
	38	£41,881.00	£3,490.08	£21.71

Music Service

Fixed Point	01	£24,660.00	£2,055.00	£12.78
Fixed Point	02	£28,770.00	£2,397.50	£14.91

Chief Executive

1 April 2020

Grade	New Salary 1 April 2020	Monthly Salary	Hourly Rate
CEO Point 01	£131,664.00	£10,972.00	£68.24
CEO Point 02	£135,478.00	£11,289.83	£70.22
CEO Point 03	£139,295.00	£11,607.92	£72.20
CEO Point 04	£143,110.00	£11,925.83	£74.18
FCC Spot Point	£139,279.00	£11,606.58	£72.19

Chief Officers

1 April 2020

Grade	New Salary 1 April 2020	Monthly Salary	Hourly Rate
New Chief Officer Point 1	£87,873.00	£7,322.75	£45.55
New Chief Officer Point 2	£91,210.00	£7,600.83	£47.28
New Chief Officer Point 3	£94,547.00	£7,878.92	£49.01
New Chief Officer Point 4	£98,997.00	£8,249.75	£51.31

Joint Chief Executive

1 April 2020

Grade	New Salary 1 April 2020	Monthly Salary	Hourly Rate
Joint Chief Executive Point 1	£63,512.00	£5,292.67	£32.92
Joint Chief Executive Point 2	£64,835.00	£5,402.92	£33.61
Joint Chief Executive Point 3	£66,159.00	£5,513.25	£34.29
Joint Chief Executive Point 4	£67,481.00	£5,623.42	£34.98
Joint Chief Executive Point 5	£68,804.00	£5,733.67	£35.66

Soulbury Pay Scales

1 September 2020

Assistant Educational Psychologists

Spinal Column Point	Salary 1 September 2020	Monthly Salary	Hourly Rate
01	£30,166.00	£2,513.83	£15.6358
02	£31,399.00	£2,616.58	£16.2749
03	£32,630.00	£2,719.17	£16.9130
04	£33,856.00	£2,821.33	£17.5485

Educational Psychologists

Spinal Column Point	Salary 1 September 2020	Monthly Salary	Hourly Rate
01	£38,197.00	£3,183.08	£19.7985
02	£40,136.00	£3,344.67	£20.8036
03	£42,075.00	£3,506.25	£21.8086
04	£44,012.00	£3,667.67	£22.8126
05	£45,951.00	£3,829.25	£23.8176
06	£47,889.00	£3,990.75	£24.8221
07	£49,714.00	£4,142.83	£25.7681
08	£51,538.00	£4,294.83	£26.7135
09	£53,247.00	£4,437.25	£27.5993
10	£54,959.00	£4,579.92	£28.4867
11	£56,554.00	£4,712.83	£29.3134

Senior and Professional Educational Psychologists

Spinal Column Point	Salary 1 September 2020	Monthly Salary	Hourly Rate
01	£47,889.00	£3,990.75	£24.8221
02	£49,714.00	£4,142.83	£25.7681
03	£51,538.00	£4,294.83	£26.7135
04	£53,247.00	£4,437.25	£27.5993
05	£54,959.00	£4,579.92	£28.4867
06	£56,554.00	£4,712.83	£29.3134
07	£57,209.00	£4,767.42	£29.6529
08	£58,433.00	£4,869.42	£30.2874
09	£59,646.00	£4,970.50	£30.9161
10	£60,880.00	£5,073.33	£31.5557
11	£62,090.00	£5,174.17	£32.1829
12	£63,323.00	£5,276.92	£32.8220
13	£64,577.00	£5,381.42	£33.4720
14	£65,790.00	£5,482.50	£34.1007
15	£67,061.00	£5,588.42	£34.7595

Educational Improvement Professionals (Soulbury)

Spinal Column Point	Salary 1 September 2020	Monthly Salary	Hourly Rate
01	£36,419.00	£3,034.92	£18.8769
02	£37,723.00	£3,143.58	£19.5528
03	£38,955.00	£3,246.25	£20.1914
04	£40,203.00	£3,350.25	£20.8383
05	£41,443.00	£3,453.58	£21.4810
06	£42,684.00	£3,557.00	£22.1243
07	£43,988.00	£3,665.67	£22.8001
08	£45,243.00	£3,770.25	£23.4506
09	£46,705.00	£3,892.08	£24.2084
10	£48,009.00	£4,000.75	£24.8843
11	£49,295.00	£4,107.92	£25.5509
12	£50,541.00	£4,211.75	£26.1967
13	£51,951.00	£4,329.25	£26.9276
14	£53,209.00	£4,434.08	£27.5796
15	£54,598.00	£4,549.83	£28.2996
16	£55,854.00	£4,654.50	£28.9506
17	£57,114.00	£4,759.50	£29.6037
18	£58,350.00	£4,862.50	£30.2444
19	£59,625.00	£4,968.75	£30.9052
20	£60,283.00	£5,023.58	£31.2463
21	£61,549.00	£5,129.08	£31.9025
22	£62,653.00	£5,221.08	£32.4747
23	£63,867.00	£5,322.25	£33.1040
24	£64,956.00	£5,413.00	£33.6684
25	£66,121.00	£5,510.08	£34.2723
26	£67,257.00	£5,604.75	£34.8611
27	£68,419.00	£5,701.58	£35.4634
28	£69,597.00	£5,799.75	£36.0740
29	£70,777.00	£5,898.08	£36.6856
30	£71,956.00	£5,996.33	£37.2967

Young Peoples / Community Service Manager (Y&C Officers)

Spinal Column Point	Salary 1 September 2020	Monthly Salary	Hourly Rate
01	£37,772.00	£3,147.67	£19.5782
02	£39,008.00	£3,250.67	£20.2189
03	£40,243.00	£3,353.58	£20.8590
04*	£41,505.00	£3,458.75	£21.5131
05	£42,786.00	£3,565.50	£22.1771
06	£44,036.00	£3,669.67	£22.8250
07**	£45,314.00	£3,776.17	£23.4874
08	£46,767.00	£3,897.25	£24.2406
09	£47,568.00	£3,964.00	£24.6558
10	£48,806.00	£4,067.17	£25.2974
11	£50,036.00	£4,169.67	£25.9350
12	£51,269.00	£4,272.42	£26.5741
13	£52,493.00	£4,374.42	£27.2085
14	£53,729.00	£4,477.42	£27.8492
15	£54,966.00	£4,580.50	£28.4903
16	£56,207.00	£4,683.92	£29.1336
17	£57,455.00	£4,787.92	£29.7805
18	£58,695.00	£4,891.25	£30.4232
19	£59,927.00	£4,993.92	£31.0618
20***	£61,186.00	£5,098.83	£31.7143
21***	£62,469.00	£5,205.75	£32.3793
22***	£63,782.00	£5,315.17	£33.0599
23***	£65,120.00	£5,426.67	£33.7534
24***	£66,486.00	£5,540.50	£34.4615

*normal minimum point for senior youth and community service officers undertaking the full range of duties at this level (see paragraph 5.6 of the Soulbury Report).

**normal minimum point for principal youth and community service officer undertaking the full range of duties at this level (see paragraph 5.8 of the Soulbury Report).

***extension to range to accommodate discretionary scale points and structured professional assessments.

Mae'r dudalen hon yn wag yn bwrpasol

Discretionary Compensations Payments Policy



2020 - 2023

1. Overview

POLICY	Discretionary Compensation Payments Policy
OWNER	Senior Manager HR& OD
NOMINATED CONTACT	Sian Croston (sian.croston@flintshire.gov.uk) Rachel Roberts (Rachel.roberts@flintshire.gov.uk)
REVIEWED BY	HR Policy & Reward Advisor
DATE OF LAST REVIEW	September 2020
DATE OF NEXT REVIEW	September 2023
RELATED DOCUMENTS	Organisational Change & Redundancy Policy Pay Policy

Revision History

Version	Issue Date	Author	Summary of Changes
1	2007		
2	2014	HR Policy & Reward Advisor	Removal of Capped Payment
2.3	July 2016	HR Policy & Reward Advisor	.Localism Act Formatting & Front Cover
2.4	September 2020	HR Policy & Reward Advisor	Cyclical Review No change

Consultation

Version	Who	Date
2	CMT, Trade Unions	

Approval

Version	Who/Where	Date
1	Full Council	2007
2	Full Council	2014

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1. Introduction

The following Statement sets out the Policy of the Council regarding the exercise of its discretionary powers under the Local Government Early Termination of Employment) (Discretionary Compensation) (England and Wales) Regulations 2006 (SI2914).

2. Scope

The policy applies to all employees of Flintshire County Council. It sets out the discretionary payments to be made to employees in cases of:-

1. Redundancy – Compulsory or Voluntary.
2. Early Retirement on the grounds of Voluntary Redundancy.
3. In the Interest of Efficiency of the Service

3. Definition

The relevant discretionary powers under the 1996 Regulation for the purpose of this Policy are:

Part II Power to increase redundancy payments above the statutory weekly pay limit.

Part III Compensation for premature retirement.

Part IV Other compensation for redundancy.

In operating and reviewing this Policy the Council must have regard to the extent to which the exercise of its discretionary powers, unless properly limited, could lead to a serious loss of confidence in the public service and must be satisfied that the Policy is workable, affordable and reasonable, having regard to the foreseeable costs.

4. Policy

Where an employee ceases to be employed by the Council in any of the circumstances in which the Council's discretionary powers referred to above could be exercised, the Council will give proper consideration to the exercise of its discretionary powers. This will include consideration of the following: -

1. Circumstances of the employee concerned,
2. The financial position of the Council.

3. The long-term effects on the Council, its employees and community.

The Council will exercise its discretionary powers impartially and in a consistent and reasonable manner. The final decision on any matter set out above rests with the Council.

(Part 11) Increase of Statutory Redundancy Payments

The Council will pay the actual weekly rate of pay of the employee as calculated against the statutory provisions (i.e. up to 30 weeks maximum). See Appendix A for details.

(Part 111) Compensation for Premature Retirement

The Council will not award any additional period of membership of the LGPS.

(Part IV) Other Compensation for Redundancy

The Council will not pay any additional compensation on redundancy or premature retirement on the grounds of efficiency in circumstances where Part III does not apply.

Multiplier

The Council will pay a multiplier of 1.5 times the redundancy payment as calculated against the statutory formula.

Age 55 and over with LGPS Membership

For those employees aged 55 and over with LGPS membership the Council will apply the following: -

- A) Using the statutory redundancy payments formula (up to 30 weeks) but at actual pay.
- B) There will be no multiplier applied.

Teacher's Pension Membership

For those employees of Normal Pension Age¹ with Teachers Pension Membership the Council will apply the following:-

- A) Using the statutory redundancy payments formula (up to 30 weeks) but at actual pay.
- B) There will be no multiplier applied.

Redundancy Payments (Compulsory or Voluntary)

For those employees with a minimum of 2 years continuous service, who are dismissed on the grounds of redundancy by the Authority, they are entitled to receive a statutory redundancy payment based on their length of continuous service. The Council may use its discretionary power to pay the redundancy payment as per the below table and as detailed under Part II, III, IV.

Completed year of continuous service	Statutory entitlement	Weekly Pay	Multiplier
Up to age 21	0.5 week's pay	Actual pay	1.5
From age 22 to 40	1 week's pay	Actual pay	1.5
From age 41	1.5 week's pay	Actual pay	1.5
From Age 55 with LGPS Membership	1.5 week's Pay	Actual pay	No Multiplier.

Continuous employment will be the aggregation of all continuous Local Government and related employment defined within the Redundancy Payments (Continuity of Employment in Local Government) (Modification) Order 1999.

Reckonable years are counted backwards from the relevant date (i.e. the date on which notice expires or on which termination takes effect). A maximum of 20 completed years will apply.

For employees who have at least 2 years' qualifying employment (Under Age 55) and leave on grounds of redundancy, the Authority has the discretion to calculate redundancy payments on the basis of actual week's pay rather than the statutory limit (**up to a maximum of 30 weeks' actual pay**).

¹ Normal Pension Age (NPA) is the age at which pension benefits can be claimed without actuarial reduction

For employees (Aged 55 and over with LGPS membership) who have at least 2 years' qualifying employment and leave on grounds of redundancy, the Authority will calculate redundancy payments using the Statutory Redundancy Payments Formula but using actual week's pay rather than the statutory limit (**up to a maximum of 30 weeks', there will be no multiplier**).

For employees (Aged 55 and over with no LGPS membership) who have at least 2 years' qualifying employment and leave on grounds of redundancy, the Authority will calculate redundancy payments on the basis of actual week's pay rather than the statutory limit (**up to a maximum of 30 weeks' actual pay**).

For employees (Under Normal Pension Age with Teachers Pension Membership) who have at least 2 years' qualifying employment and leave on grounds of redundancy, the Authority will calculate redundancy payments using the Statutory Redundancy Payments Formula but using actual week's pay rather than the statutory limit (**up to a maximum of 30 weeks' actual pay**).

For employees(Normal Pension Age and over with Teachers Pension Membership) who have at least 2 years' qualifying employment and leave on grounds of redundancy, the Authority will calculate redundancy payments using the Statutory Redundancy Payments Formula but using actual week's pay rather than the statutory limit (**up to a maximum of 30 weeks', there will be no multiplier**)

For employees (Normal Pension Age with no Teachers Pension Membership) who have at least 2 years' qualifying employment and leave on grounds of redundancy, the Authority will calculate redundancy payments on the basis of actual week's pay rather than the statutory limit (**up to a maximum of 30 weeks' actual pay**).

A week's pay does not include overtime.

The Authority will consider making payments by applying a multiplier of 1.5 to the statutory formula as detailed above, using an actual week's pay, to employees who have at least 2 years' qualifying employment and who:

- are leaving employment on the grounds of redundancy,

Therefore, if this guideline is applied, the maximum number of weeks' pay that can be calculated is 45 (i.e. 30 x 1.5). **However the multiplier will not apply to those employees aged 55 and above with LGPS membership or employees of Normal Pension Age and above with Teachers Pension Membership**).

Any payment made under the above discretions incorporates the employee's statutory redundancy entitlement.

Localism Act 2011

To comply with our obligations under the Localism Act 2011, Full Council will be given an opportunity to vote before severance packages are approved for employees leaving the organisation where the exit costs are £100,000 or above (Included in the £100k limit is salary paid in lieu, redundancy compensation, pension entitlements and holiday pay)

Modification Order

Employees who, after being made redundant by the Authority, commence work with another employer covered by the Redundancy Payments (Continuity of Employment in Local Government etc) (Modification) Order 1999 may lose their entitlement to a redundancy payment. This will apply where the individual accepts the job offer with the new employer prior to the date of dismissal by the Authority, and the date of commencement of the new job is four weeks or less after their last day of service with the Authority. Any pension payments received may be subject to abatement.

In the Interest of Efficiency of the Service

There may be occasions where employees wish to leave and access their local government pension, and it would be in the interests of the efficiency of the Council's operation to permit this.

In this instance there is no redundancy payment, however, there is a cost to be repaid to the Local Government Pension Scheme by the Council to compensate for the early drawing of the pension. This cost is known as the Actuarial Strain. The efficiency savings identified must offset this cost and provide a financial benefit for the Council if the early retirement application is to be agreed.

The decision upon the application would be entirely at the discretion of the Council. In considering early retirement on these grounds, the Council will assess each case on its own merits, taking into account all of the circumstances, including capitalised and other costs of early retirement, any impact on service delivery, the potential for service improvements, skill shortages, any savings which may arise and whether it is affordable and reasonable in view of the foreseeable costs.

5. Procedure

This policy should be read in conjunction with the Organisational Change and Redundancy Policy and therefore all procedures detailed in that policy carried out accordingly.

The Chief Executive Officer, in consultation with relevant Chief Officer's/Senior Managers will consider all circumstances when any decision has to be made about the exercise of the Council's discretionary powers as outlined above and have the authority of the County Council to make such delegated decisions.

All decisions made within this delegation will be reported bi-annually to the County Council.

6. Role of the Manager

Line Managers are responsible for determining that a payment should be made under the scheme on the grounds of redundancy or efficiency, and for ensuring that the appropriate procedures are followed to achieve a fair termination of employment.

7. Monitoring and Evaluation

This policy confers no contractual rights and the Council retains the right to change the policy at any time.

This policy will be reviewed as necessary to ensure that it complies with current employment legislation and the requirements of the Council.

8. Appendices

Appendix 1 – Statutory Redundancy Table

To calculate the number of week's redundancy pay, cross reference the person's age and years of service and then multiply that number by the actual weekly salary. 61+ -The table stops at age 61 because for employees age 61 and over, the payment remains the same as for age 61.

Statutory redundancy pay table																			
Age	Service (Years)																		
	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
17	1																		
18	1	1½																	
19	1	1½	2																
20	1	1½	2	2½	-														
21	1	1½	2	2½	3	-													
22	1	1½	2	2½	3	3½	-												
23	1½	2	2½	3	3½	4	4½	-											
24	2	2½	3	3½	4	4½	5	5½	-										
25	2	3	3½	4	4½	5	5½	6	6½	-									
26	2	3	4	4½	5	5½	6	6½	7	7½	-								
27	2	3	4	5	5½	6	6½	7	7½	8	8½	-							
28	2	3	4	5	6	6½	7	7½	8	8½	9	9½	-						
29	2	3	4	5	6	7	7½	8	8½	9	9½	10	10½	-					
30	2	3	4	5	6	7	8	8½	9	9½	10	10½	11	11½	-				
31	2	3	4	5	6	7	8	9	9½	10	10½	11	11½	12	12½	-			
32	2	3	4	5	6	7	8	9	10	10½	11	11½	12	12½	13	13½	-		
33	2	3	4	5	6	7	8	9	10	11	11½	12	12½	13	13½	14	14½	-	
34	2	3	4	5	6	7	8	9	10	11	12	12½	13	13½	14	14½	15	15½	-
35	2	3	4	5	6	7	8	9	10	11	12	13	13½	14	14½	15	15½	16	16½
36	2	3	4	5	6	7	8	9	10	11	12	13	14	14½	15	15½	16	16½	17
37	2	3	4	5	6	7	8	9	10	11	12	13	14	15	15½	16	16½	17	17½
38	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	16½	17	17½	18
39	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	17½	18	18½
40	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	18½	19
41	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	19½
42	2½	3½	4½	5½	6½	7½	8½	9½	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½
43	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
44	3	4½	5½	6½	7½	8½	9½	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½	21½
45	3	4½	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
46	3	4½	6	7½	8½	9½	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½	21½	22½
47	3	4½	6	7½	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
48	3	4½	6	7½	9	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½	21½	22½	23½
49	3	4½	6	7½	9	10½	12	13	14	15	16	17	18	19	20	21	22	23	24
50	3	4½	6	7½	9	10½	12	13½	14½	15½	16½	17½	18½	19½	20½	21½	22½	23½	24½
51	3	4½	6	7½	9	10½	12	13½	15	16	17	18	19	20	21	22	23	24	25
52	3	4½	6	7½	9	10½	12	13½	15	16½	17½	18½	19½	20½	21½	22½	23½	24½	25½
53	3	4½	6	7½	9	10½	12	13½	15	16½	18	19	20	21	22	23	24	25	26
54	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	20½	21½	22½	23½	24½	25½	26½
55	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22	23	24	25	26	27
56	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	23½	24½	25½	26½	27½
57	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25	26	27	28
58	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	26½	27½	28½
59	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	27	28	29
60	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	27	28½	29½
61+	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	27	28½	30

Equal Pay Audit



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1.0 Introduction

Flintshire County Council supports the principle of equal pay for equal work of equal value and recognises that there should be a pay and grading structure which is free from bias and based on objective criteria. The Council's principal terms and conditions for staff were harmonised under the Single Status Agreement of 1997, which was implemented in June 2014, following the undertaking of a full job evaluation exercise within the Council. Job evaluation is a systematic way of determining the value/worth of a job compared to other jobs within an organisation. All (Green Book) jobs were evaluated using the GLPC (Greater London Provincial Committee) Job Evaluation Scheme.

This is the fourth equal pay audit that Flintshire County Council has undertaken since the implementation of the Single Status Agreement. A data extract from the Council's payroll system iTrent was taken on 1st April 2019 and this audit has focused on an analysis of **all** employees within the organisation across the full range of terms and conditions.

2.0 Background

The Equality Act gives a right to equal pay for equal work. Employers are responsible for providing equal pay and for ensuring that the pay systems are transparent. The Equality and Human Rights Commission (EHRC) code of practice recommends equal pay reviews as the most appropriate method of ensuring that a pay system delivers equal pay free from discrimination.

3.0 What does the audit cover?

The report contains the following:

3.1 Gender Pay Audit

This is a broad analysis of how pay rates are distributed by gender across Flintshire County Council. The gender pay gap is defined as the difference between the average male and female pay rates.

This analysis does not look at whether there are differences in pay for men and women in equivalent posts and so the results will be affected by differences in the gender composition across our various professional groups and job levels. Gender pay reporting does not take into consideration the difference in size of roles either.

Reporting the total gender pay gap of an organisation reveals the difference in the level of roles performed by men and women. A gender pay gap may be indicative of talent management and diversity issues, reflecting higher proportions of female employees in less senior roles and/or employed in roles which are valued lower in the market.

3.2 Equal Pay Audit

An Equal Pay Audit involves the specific comparison of the pay of male and female colleagues, investigating the causes of any pay gaps by gender, ethnicity, disability or working pattern and planning to close any gaps that cannot be justified on grounds other than one of those characteristics.

There are a number of benefits of conducting an equal pay audit:

- Identifying, explaining and, where justifiable, eliminating pay inequalities.
- Supporting rational, fair and transparent pay arrangements.
- Demonstrating to employees a commitment to equality.
- Demonstrating the Council's values to external stakeholders.
- Helping to meet the public sector equality duty.

3.3 The Gender Pay Gap

The gender pay gap refers to the difference between men's pay and women's pay as a percentage of men's pay.

It is worth emphasising that a 'Gender Pay Gap' is not the same as an issue of 'Equal Pay'. The Council has a long standing commitment to equality and a solid analytical approach to pay and grading in line with the Single Status Agreement as well as an analytical approach to the evaluation of senior roles. As a result, the Council is confident employees receive remuneration within the same grade when carrying out the same or equivalent work. The gender pay gap therefore does not stem from paying men and women differently. Rather, it is the result of the roles in which men and women work within the organisation and the salaries that these roles attract.

Based on data from the ONS Annual Survey of House and Earnings (2019) the current gender pay gap in the UK, based on median hourly earnings, excluding overtime for full time workers is 8.9% (median). The gap for all employees (full and part time) is 17.3% and has fallen from 17.8% in 2018.

4.0 Methodology and Data Collection

The Equality and Human Rights Commission (EHRC) guidelines for undertaking equal pay audits has been followed and the data has been analysed using the definitions and methodologies advocated in national guidelines.

The data was extracted from the Council's HR and Payroll system 'iTrent on 1st April 2019. Relief workers were not included in the data extract. However, temporary employees were included. Data was analysed for all employees irrespective of their terms and conditions to provide an overall gender pay gap, with further analysis focusing on certain groups of employees.

Analysis of this data has been undertaken to consider the following:

- Workforce composition including male, female, BME (black minority ethnic) and disability.
- Average male/female pay gap across pay grades.
- Distribution of males/females across pay grades.
- Distribution of full and part time workers across pay grades.
- Gender profile of full and part workers.

The gender pay gap is calculated using the mean and median salaries of female employees expressed as a percentage of the mean and median salaries of male employees doing work of equal value. The 'Salary' figure used is the full time equivalent salary.

4.1 Definitions of Mean and Median

Mean – a measure of the average which is derived by summing values for a given sample, and then dividing the sum by the number of observations in the sample. In earnings, the mean can be disproportionately influenced by a relatively small number of high paying jobs.

Median – the value below which 50% of all jobs fall. This is less affected by a small number of very high earners. This therefore gives a better indication of typical pay than the mean.

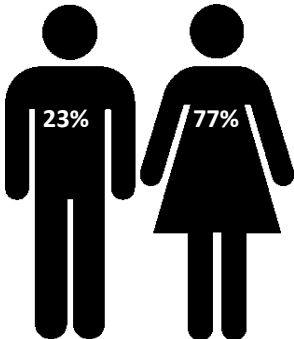
5.0 Workforce Composition

From the data extract taken on 1st April 2019, the Council has 6737 (occupied positions) which represents an increase of 88 when compared to the 2018 audit. This is not a head count figure as a proportion of our employees hold multiple positions across the organisation.

Table 1: Workforce Composition

Females	% Females	Males	% Males
5156	77%	1581	23 %

Total Workforce Demographic



We have seen an increase in occupied positions this year with an increase of both males and females in the composition of the workforce. With an increase of 78 female employees and an increase of 10 male employees.

6.0 Gender Pay Gap Analysis – All employees on all terms and conditions

There are 6737 permanent occupied positions (records) for employees of Flintshire County Council across the full range of terms and conditions of employment. This is not a head count figure as a number of our employees hold multiple positions across the organisation.

The table below provides a breakdown of all terms and conditions, gender numbers and the average salaries for each group.

Table 2: Average Salary for Males and Females on different terms and conditions

Pay Table	Female Numbers	Female Average Salary	Male Numbers	Male Average Salary	Overall Numbers	Overall Average Salary	Gender Pay Gap
Chief Officers/Chief Executive	1	£92,017.00	6	£103,048.00	7	£101,472.14	10.70%
Craft & Associated Employees	4	£20,116.21	101	£23,636.43	105	£23,502.32	14.89%
Head Teachers	121	£54,079.72	84	£57,023.78	205	£55,277.55	5.16%
Joint Chief Executive (Theatr Clwyd)	1	£66,963.00	1	£66,963.00	2	£66,963.00	0.00%
Local Rates			3	£17,864.67	3	£17,864.67	100.00%
National Trainees	9	£15,839.44	14	£15,839.44	23	£15,839.44	0.00%
NJC Pay Table 2019	3888	£21,838.65	1009	£25,828.21	4897	£22,660.68	15.45%
Occupational Health Nurses	2	£40,465.50	1	£37,267.00	3	£39,399.33	-8.58%
Single Status Pay Scale (2014)	48	£20,662.96	13	£21,110.62	61	£20,758.36	2.12%
Soulbury/Y&C Officers/Ed. Psychos	15	£52,290.53	2	£57,190.50	17	£52,867.00	8.57%
Teachers - Basic Scale	943	£36,185.99	265	£36,243.19	1208	£36,198.54	0.16%
Teachers - Unqualified (Assimilated)	19	£23,844.74	25	£25,214.32	44	£24,622.91	5.43%
Theatr Clwyd Pay Scale - DO NOT USE	2	£19,397.50	5	£24,535.40	7	£23,067.43	20.94%
Theatr Clwyd Pay Scale 2019	46	£22,164.67	33	£25,466.91	79	£23,544.09	12.97%
Unison Pay Structure	1	£21,016.08			1	£21,016.08	N/A
Youth Workers	56	£21,751.77	19	£23,023.79	75	£22,074.01	5.52%
Grand Total	5156	£25,322.99	1581	£29,242.37	6737	£26,242.32	13.40%

Overall the average salary for women across all grades and terms and conditions is **£25,322.99** and the average salary for men across all grades and terms and conditions is **£29,242.37** giving an **overall** Gender Pay Gap of **13.40%**. This is using the **mean** method of calculating average pay.

Using the **median method**, the average salary for men across all Grades and terms and conditions is **£25,295** and the average salary for females across all grades and terms and conditions is **£19,953** giving an overall gender pay gap of **21.12%**. This is a

slight increase in the median pay gap from 2018 (20.36%) this is likely to be attributable to the new grade G12 in the NJC pay scales. There are only 5 positions within this grade and the position occupied by the highest earner is male. The position will equalise as the other post holders progress through the increments in this grade.

From the data in the table, the biggest gender pay gaps are in Chief Officers, Craft and Associated employees (Red Book) and the NJC Pay Table (Green Book). This gender pay gap is attributable to the unequal distribution of males and females within those groups. This report will therefore analyse data from these areas in more detail.

6.1 Gender Pay Gap Analysis - Craft and Associated employees (Red book)

At 1st April 2019 a high gender pay gap is reported in this group of 14.89%, which is attributable to this work area being traditionally male orientated. In 2019, a significant piece of organisational change took place following consultation with the recognised trade unions and affected employees to transfer to NJC (Green Book) pay and terms and conditions of employment. A workforce ballot took place on 24th October which resulted in 79% voting in favour of the change which was subsequently implemented in December 2019, back dated to 1st September 2019. This positive change will see an increase in basic pay for all employees in scope in addition to the introduction of incremental pay progression.

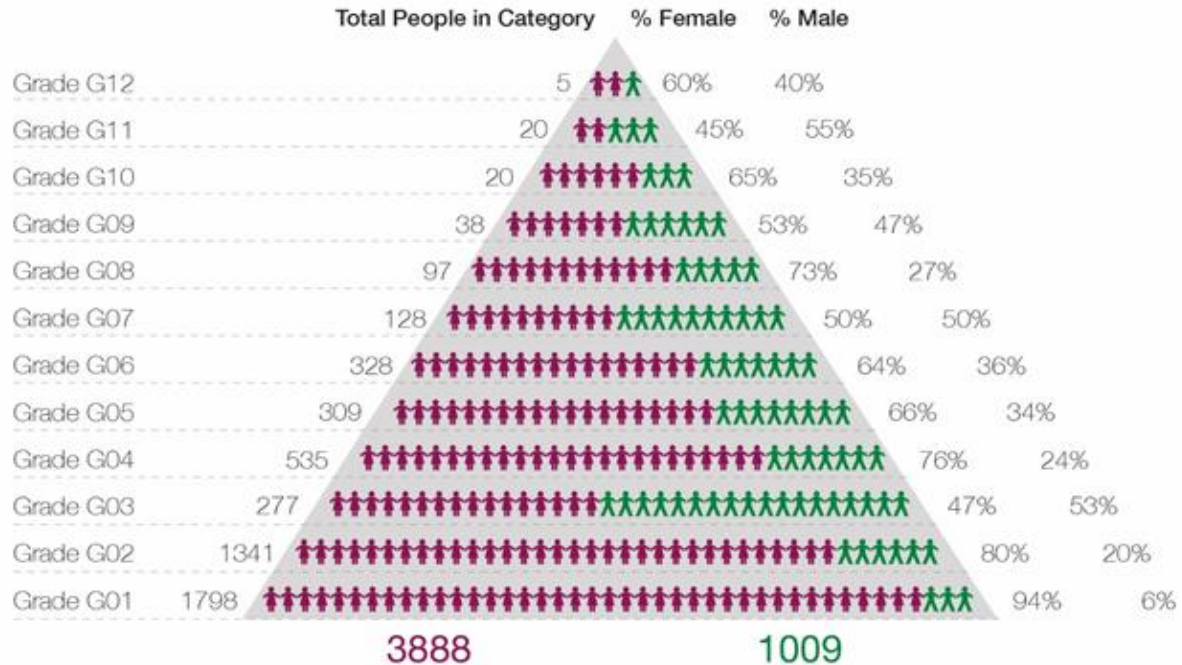
6.2 Gender Pay Gap Analysis - Chief Officer Terms and conditions

The data confirms a pay gap of 10.70% within this group which represents a significant decrease from 15.45% in 2018. There has been a reduction in headcount in this group from 2018 which now comprises of one female and six males. The change in size and composition of this group has contributed positively to the decrease in the gender pay gap.

6.3 Gender Pay Gap Analysis – NJC (Green Book)

NJC Pay Tables were previously known as Single Status Pay Scales.

The majority of our employees, are working under Green Book terms and conditions (NJC pay table) and their roles have been evaluated using the GLPC method of Job Evaluation (4897 records).



Using the mean method of calculation, the average salary for women across all NJC grades (grade 01 to grade 12) is **£25,322** and the average salary for males across all grades is **£29,242** giving an overall gender pay gap of **15.45%** which has reduced from **16.22% in 2018**.

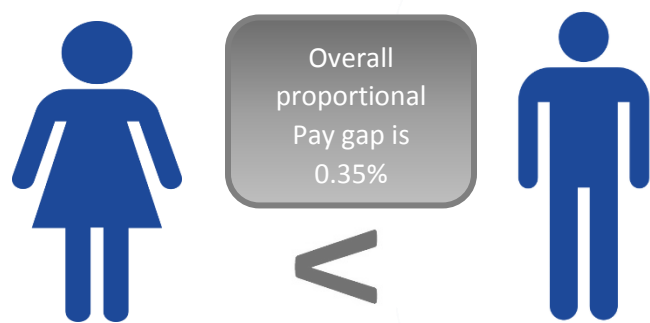
Using the median method of calculation, the average salary for women across all NJC grades (grade 01 to grade 12) is **£19,953** and the average salary for males across all grades is **£25,295**, representing an overall gender pay gap of **21.12%**.

Significant remodelling of the pay scales took place in 2019 in order to meet our obligations of the NJC Pay Award. This has resulted in 3 merged grades and introduction of a new grade (Grade 12) at the top of the pay model to bridge the gap between the top of the scales and the Chief Officers Pay Scale. This revised pay model contributed positively to the improved gender pay gap (mean 13.40%).

Table 3: Distribution of Male and Females employees by grade including average basic salary

Grade	Number of Female	Female Average Salary	Number of Males	Male Average Salary	Total Number in Grade	Total Average	Gender Pay Gap
G01	1684	£18,194.84	114	£18,236.80	1798	£18,197.50	0.23%
G02	1075	£19,393.23	266	£19,434.76	1341	£19,401.47	0.21%
G03	131	£21,296.51	146	£21,281.19	277	£21,288.44	-0.07%
G04	406	£24,706.81	129	£24,707.31	535	£24,706.93	0.00%
G05	203	£30,063.88	106	£29,959.87	309	£30,028.20	-0.35%
G06	209	£33,471.15	119	£33,406.32	328	£33,447.63	-0.19%
G07	64	£37,454.89	64	£37,654.27	128	£37,554.58	0.53%
G08	71	£40,375.07	26	£40,607.46	97	£40,437.36	0.57%
G09	20	£44,096.70	18	£44,307.67	38	£44,196.63	0.48%
G10	13	£50,326.00	7	£50,326.00	20	£50,326.00	0.00%
G11	9	£55,591.22	11	£55,655.36	20	£55,626.50	0.12%
G12	3	£67,119.00	2	£68,921.50	5	£67,840.00	2.62%
Work Placement			1	£1,091.00	1	£1,091.00	100.00%
Grand Total	3888	£21,838.65	1009	£25,828.21	4897	£22,660.68	15.45%

Overall Proportional Pay Gap



This is a typical gender profile for a large county council that comprises large groups of female dominant roles. A number of observations can be made about the data presented in the table. With the merging of some of the grades this year at the bottom of the payscale, there is now a large proportion of employees in Grade G01 and G02.

The mean salaries for male and female employees are relatively similar within each grade. Whilst mean male salaries within a grade are slightly higher (Grade G07, G08, G09), this is by less than approx. 0.50%. Mean female salaries are slightly higher in some grades (Grade G03, G05, G06), with the highest pay gap being 2.62% in Grade

G12 (this is a new grade and likely due to the very small number of post holders within grade.

This data provides reassurance that the Council's new NJC Pay Model is robust and has improved the gender pay gap overall and within each grade. Also that that the **job evaluation scheme** and the processes within it are robust and meet equality requirements.

The clustering of male employees on higher grades and female employees on lower and middle grades remains a significant impact on the gender pay gap.

There is no evidence that the gender pay gap is attributable to direct or indirect unfair discrimination in our processes or decision making. Possible reasons for the pay gap could be:-

- The labour market experience of women; length and breaks in employment.
- Female self-selection for part time work.
- Elements of occupational segregation.

Common causes of occupational segregation, including vertical segregation, are gender stereotyping (attitudes which stereotype roles which males and females should have in society), inflexible working (women with children struggle to find work commensurate with their skills, abilities and aspirations, that they can balance with childcare and other caring responsibilities) and recruitment practices (the way jobs are advertised and recruitment processes.)

Research to date has uncovered a range of important issues that contribute to or are related to the gender pay gap. A significant review of the gender pay gap by UK Government Equalities Office concludes that the most important factor influencing the gender pay gap is the effects of interruptions to employment and the lack of 'good' part time work. These findings are supported by numerous studies.

Despite significant equal pay initiatives in local government and the health sector, there has been little progress in closing the gender pay gap in the public sector, which currently stands at 17.7%¹. Part of the lack of progress in the gender pay gap in the public sector is explained by the lack of representation of females in senior management roles in the sector. Women represent 53% of all employees in the civil service but occupy only 33% of senior management roles.

¹ Source ONS Annual Survey of Hours and Earnings 2017

Table 4: Mean Gender Pay Gap

	Public Sector	Private Sector
All employees	17.7%	21.1%
Full Time	14.3%	17.1%
Part Time	28.7%	4.5%

Source: ONS Annual Survey of Hours and Earnings 2017.

Women are considerably more likely to be in health and social work and education sectors than men, who are more likely to be in manufacturing, construction and transport (horizontal segregation). Traditionally, health, social work and education tends to be delivered by the public sector. Accordingly, women are significantly more likely to work for a public sector employer. According to the EHRC, 40% of women work in the public sector compared to only 15% of men. This is quite significant for Flintshire County Council, with the gender distribution of the workforce being 76.3% women.

7.0 Full and Part time Staff

Table 5: Distribution of Male and Female by Basis

Basis	Female Average Salary	Count Female	Male Average Salary	Count Male	Pay Gap	Total	Overall Average Salary
Full Time	£32,709.42	1689	£30,585.78	1269	-6.94%	2958	£31,798.37
Full Time Term Time	£24,196.52	94	£25,994.75	20	6.92%	114	£24,512.00
Part Time	£25,349.55	1398	£26,873.02	175	5.67%	1573	£25,518.18
Part Time Term Time	£19,041.01	1975	£18,750.28	117	-1.55%	2092	£19,024.75
Grand Total	£25,322.99	5156	£29,242.37	1581	13.40%	6737	£26,242.32

A comparison between the earnings of full-time employees and part-time employees has been calculated across all terms and conditions within the Council.

The pay gap between a full time male salary (average £30,585.78) against a part time female salary (average £25,349.55) is **17.12%**.

There is a positive gender pay gap between full time females and full time males of 6.94% meaning full time females earn on average 6.94% more than full time males.

The proportion of females in part time work and the quality of part time work available in the UK are closely associated with its relatively high gender pay gap in comparison to international standards. Around 1 in 5 jobs in the UK is part time but 4 in 10 females

work in part time employment . These proportions have remained constant since the early 1990's.

While opportunities for part time work in the UK has increased rapidly, there are concerns about the quality of these jobs, particularly pay, career progression, training and other conditions of employment.

In shifting to part time work, women are also likely to downgrade their occupational status due to lack of suitable part time opportunities that fit their skill set. Research has found that a third of female corporate managers move to a lower skill occupation after having a child with two thirds of these moving into clerical work.

Table 6: Part time and Full Time analysis by Grade and Average FTE salary (Green book (NJC) terms and conditions)

Basis	Female										Male										Overall		
	Full Time		Full Time Term Time		Part Time		Part Time Term Time		Overall Average Salary	Total Female	Full Time		Full Time Term Time		Part Time		Part Time Term Time		Overall Average Salary	Total Male	Overall Total		
	Av Salary	Count	Av Salary	No	Av Salary	No	Av Salary	No			Av Salary	No	Av Salary	No	Av Salary	No	Av Salary	No			Av Salary	No	
G01	£18,109.39	18	£18,362.29	7	£18,200.44	275	£18,192.76	137	£18,194.84	1684	£18,199.45	11	£18,426.00	3	£18,341.77	30	£18,189.57	70	£18,236.80	114	£18,197.50	179	8
G02	£19,350.49	219	£19,375.43	1	£19,364.18	442	£19,450.67	393	£19,393.23	1075	£19,470.34	22	£19,431.67	3	£19,412.15	13	£19,174.03	29	£19,434.76	266	£19,401.47	134	1
G03	£21,285.61	70	£21,166.00	1	£21,301.83	58	£21,589.00	2	£21,296.51	131	£21,254.14	11	£21,589.00	1	£21,421.72	25	£20,966.50	2	£21,281.19	146	£21,288.44	277	
G04	£24,667.09	148	£24,727.25	8	£24,981.33	93	£24,559.18	137	£24,706.81	406	£24,759.81	11	£25,295.00	3	£24,103.00	6	£24,020.33	6	£24,707.31	129	£24,706.93	535	
G05	£30,049.26	121	£29,685.62	1	£30,350.84	50	£29,642.45	11	£30,063.88	203	£29,877.42	88	£30,162.60	5	£30,440.00	13			£29,959.87	106	£30,028.20	309	
G06	£33,417.56	149	£33,799.00	1	£33,600.95	59			£33,471.15	209	£33,397.18	11	£33,799.00	1	£33,568.75	4			£33,406.32	119	£33,447.63	328	
G07	£37,512.44	52	£35,934.00	1	£37,365.60	10	£36,876.00	1	£37,454.89	64	£37,663.95	57			£37,575.43	7			£37,654.27	64	£37,554.58	128	
G08	£40,387.40	55	£40,434.00	3	£40,353.25	12	£39,782.00	1	£40,375.07	71	£40,607.46	26							£40,607.46	26	£40,437.36	97	
G09	£44,002.24	17			£44,632.00	3			£44,096.70	20	£44,307.67	18							£44,307.67	18	£44,196.63	38	
G10	£50,326.00	10			£50,326.00	3			£50,326.00	13	£50,326.00	6			£50,326.00	1			£50,326.00	7	£50,326.00	20	
G11	£55,591.22	9							£55,591.22	9	£55,776.70	10			£54,442.00	1			£55,655.36	11	£55,626.50	20	
G12	£67,119.00	3							£67,119.00	3	£68,921.50	2							£68,921.50	2	£67,840.00	5	
Work Placement															£1,091.00	1			£1,091.00	1	£1,091.00	1	
Grand Total	£28,064.93	871	£24,161.34	9	£21,657.34	100	£18,995.04	191	£21,838.65	3888	£27,092.97	78	£24,728.69	1	£23,580.73	10	£18,835.25	10	£25,828.21	100	£22,660.68	489	7

Table 7: Full and Part Time analysis – Percentage of Male and Female by Basis and Grade

Basis	Full Time		Full Time Term Time		Part Time		Part Time Term Time		Overall Average Salary	Total Female	Full Time		Full Time Term Time		Part Time		Part Time Term Time		Overall Average Salary	Total Male	Overall Total	
	%	Count	%	No	%	No	%	No	%		%	No	5	No	%	No	%	No	%		%	No
G01	0.37%	18	0.35%	17	5.62%	275	28.06%	1374	34.39%	1684	0.22%	11	0.06%	3	0.61%	30	1.43%	70	2.33%	114	36.72%	1798
G02	4.47%	219	0.43%	21	9.03%	442	8.03%	393	21.95%	1075	4.51%	221	0.06%	3	0.27%	13	0.59%	29	5.43%	266	27.38%	1341
G03	1.43%	70	0.02%	1	1.18%	58	0.04%	2	2.68%	131	2.41%	118	0.02%	1	0.51%	25	0.04%	2	2.98%	146	5.66%	277
G04	3.02%	148	0.57%	28	1.90%	93	2.80%	137	8.29%	406	2.33%	114	0.06%	3	0.12%	6	0.12%	6	2.63%	129	10.93%	535
G05	2.47%	121	0.43%	21	1.02%	50	0.22%	11	4.15%	203	1.80%	88	0.10%	5	0.27%	13	0.00%		2.16%	106	6.31%	309
G06	3.04%	149	0.02%	1	1.20%	59	0.00%		4.27%	209	2.33%	114	0.02%	1	0.08%	4	0.00%		2.43%	119	6.70%	328
G07	1.06%	52	0.02%	1	0.20%	10	0.02%	1	1.31%	64	1.16%	57	0.00%		0.14%	7	0.00%		1.31%	64	2.61%	128
G08	1.12%	55	0.06%	3	0.25%	12	0.02%	1	1.45%	71	0.53%	26	0.00%		0.00%		0.00%		0.53%	26	1.98%	97
G09	0.35%	17	0.00%		0.06%	3	0.00%		0.41%	20	0.37%	18	0.00%		0.00%		0.00%		0.37%	18	0.78%	38
G10	0.20%	10	0.00%		0.06%	3	0.00%		0.27%	13	0.12%	6	0.00%		0.02%	1	0.00%		0.14%	7	0.41%	20
G11	0.18%	9	0.00%		0.00%		0.00%		0.18%	9	0.20%	10	0.00%		0.02%	1	0.00%		0.22%	11	0.41%	20
G12	0.06%	3	0.00%		0.00%		0.00%		0.06%	3	0.04%	2	0.00%		0.00%		0.00%		0.04%	2	0.10%	5
Work Placement	0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.00%		0.02%	1	0.00%		0.02%	1	0.02%	1
Total	17.79%	871	1.90%	93	20.52%	1005	39.19%	1919	79.40%	3888	16.03%	785	0.33%	16	2.06%	101	2.19%	107	20.60%	1009	100.00%	4897

This table demonstrates vertical and horizontal segregation between male and female employees across the grades within the County Council. Out of all the employees (male and female) on Green Book terms and conditions, the highest percentage of employees are female part time term time within Grade G01 (28.06%) which will be attributable to schools support staff and employees who support schools such as school escorts and passenger assistants. The majority of our employees are within Grade G01 and G02, which is expected following the merged grades in the new pay model. This also demonstrates our Organisational Development (OD) principles with a flatter structure and less layers and levels.

8.0 Disability Analysis

Table 8: Disability analysis of all employees

	Number	Percentage	Average FTE salary
Disabled	158	2.35%	£25,011.34
Not Disabled	4043	60.01%	£26,664.95
Prefer not to say or undisclosed	2536	37.64%	£26,396.20

** Note: It has not been possible to produce a meaningful view of a grade-by-grade comparison and of occupational segregation due to low numbers, as noted above.*

There are a significant numbers of employees who have not declared their disability status or for whom this status is not known and this makes it difficult to undertake a robust analysis of pay by disability status. Out of the 6737 records across all County Council employees, 158 (2.35%) have disclosed a disability, 4043(60.01%) have registered not disabled and 2536 (37.64%) have not disclosed any information in relation to a disability. The data has improved from the 2018 audit with a decrease in the numbers of employees who have not disclosed their disability status. However there is still 37.64% of the workforce who have not declared.

There is a 6.13%% mean pay gap between all employees across the County Council with a registered disability and those who have declared themselves as not disabled. This means the average salary of a disabled person is on average 6.13%% lower than a non-disabled person. This data however, is not considered to be robust due to the high proportion (37.64%) of employees who have not declared information on disability.

All employees are encouraged to utilise the employee self-service on the HR system to disclose information in relation to protected characteristics. On-going work within this area will continue.

9.0 Ethnicity Analysis

Table 9: Ethnic Profile for all Employees of Flintshire County Council

Row Labels	Average Salary	Percentage	Number of Ethnicity
African	£37,805.25	0.06%	4
Any Other Asian Background	£27,089.50	0.03%	2
Any Other Background	£19,189.50	0.03%	2
Any Other Chinese Background	£30,507.00	0.01%	1
Any Other Mixed Background	£27,599.00	0.06%	4
Any Other White Background	£29,146.25	0.06%	4
Bangladeshi	£18,990.00	0.03%	2
Caribbean	£44,652.50	0.03%	2
Chinese	£34,095.50	0.03%	2
Indian	£18,245.50	0.03%	2
Pakistani	£35,008.00	0.01%	1
White And Asian	£28,023.50	0.03%	2
White And Black Caribbean	£21,468.00	0.09%	6
White British	£25,474.13	19.09%	1286
White British English	£26,857.72	14.16%	954
White British Other	£26,369.11	0.27%	18
White British Scottish	£28,310.32	0.33%	22
White British Welsh	£27,214.67	29.40%	1981
White Irish	£27,180.31	0.24%	16
White Other	£22,763.56	0.77%	52
Unknown/blank	£25,572.15	34.73%	2340
Prefer Not to Say/Not Stated	£27,502.48	0.50%	34

There are significant numbers of staff who have chosen not to disclose their ethnicity or who have not provided any information on their ethnic origin (34.73%). This has slightly improved from 2018, where the figure was 37.39% but, this makes it difficult to undertake a robust analysis of pay by ethnicity.

4397 have disclosed their ethnicity as “white” (65.26%) and 26 employees have disclosed their ethnicity as BME (Black or Minority Ethnic) (0.38%). Please note the ethnic profile of Flintshire County is 98.5% white (2011 census – office for national statistics). The Ethnicity pay gap is -12.87% which shows that BME employees earn

on average 12.87% more than those who have disclosed their ethnicity as White. However due to high number of employees who have not stated their ethnicity or we do not have the information this is not considered to be robust enough for meaningful data.

10.0 Sexual Orientation

The proportion of the total population of employees who have declared their sexual orientation as heterosexual is 39.59%. 0.79% have declared themselves as bisexual/gay/lesbian, and 2.57% have preferred not to say and for 56.89% their sexual orientation is unknown. The data that the County Council holds on sexual orientation is not sufficiently robust to report on pay gaps.

11.0 Religion

The proportion of the total population of employees who have declared their religion or belief as Christian is 31.33% and 0.19% have declared another religion or belief (Buddhist, Hindu, Jewish, Muslim or Sikh.) 16.40% reported they have no religion and 2.52% prefer not to say and for 48.36% religion or belief is unknown. The data which the County Council holds on religion is not sufficiently robust to report on pay gaps.

12.0 Conclusion

The proportion of low paid employees in the workforce has a disproportionately high impact on the overall Gender Pay Gap. These roles are often part-time and many are also term-time only. Employment in these positions follows the national trend of being predominantly female and has a significant impact on our overall pay gap

The gap in the top quartile of pay again follows the national trend.

The Council also has an aging workforce with a high proportion of female employees. Nationally, the pay gap widens with age: older women experience a larger pay gap compared to their male peers than younger women compared to their male peers.

This data needs to be set against a negative gender pay gap across the middle portion of the organisation (i.e. women, on average, are paid more than men); an overall workforce which is approximately two thirds female and one third male; and a Chief Officer Team (COT) which has a higher number of men than women (5 out of 6).

The Audit provides reassurance that the County Councils job evaluation scheme and the processes within which it operates are robust and meet equality requirements.

Flintshire County Council is committed to delivering equal treatment of its employees regardless of their gender or other protected characteristics. The Equality and Diversity Infonet pages provide further information about the equality initiatives the County Council is currently engaged with. The County Councils commitment to equality and diversity can also be evidenced by the specific objectives that have been identified in the Strategic Equality Plan 2016-2020.

As we monitor the sizes of our gender pay gaps within Flintshire County Council, we will seek to continue to ensure that our HR policies and practices help to improve awareness across the organisation and help close the gender pay gap.

The Council is committed to work life balance and provides a wide range of flexible working opportunities as a means to support, develop and retain employees at work. We will continue to promote these initiatives going forward and hopefully encourage more females to take up more senior management roles within the County Council. The Agile Working Policy was reviewed in 2018, which promotes agile and flexible ways of working to support both the employee and the organisation.

13.0 Next Steps and Action Planning

Since the last audit, we have worked hard to improve our diversity data by carrying out diversity questionnaires and encouraging employees to update their diversity data via an organisational campaign. This has resulted in an improved picture since last year and overall since the first audit in 2016, however there is still further work that can be done in this area.

Last year's action was to improve our data by sending out diversity questionnaire with the updated contracts, due to logistics we were unable to do this. For the next year our aim is till to continue to improve our data

Action targeted campaign to update our data, when sending out addendum to contracts we will send a diversity questionnaire to be completed and returned. We will run a communications campaign via the infonet and change exchange asking employees to update their details on self serve.–

As referred to in the conclusion, our biggest challenge remains occupational segregation. Flintshire County Council is composed of 77% females, which are more highly concentrated lower down the pay and grading structure. Last year's action was to begin campaign that "challenges gender stereotypes", it remains our aim to continue with this work

We will continue to work on a campaign that "**challenges gender stereotypes.**" We have some good, albeit small numbers of examples across the County Council where employees have challenged that stereotype. As part of our campaign, we want to complete case studies on some of these employees to highlight that some roles that may have traditionally been filled with a particular gender, can be accessible to all genders. We then plan to target this campaign through our apprentice and graduate recruitment as well as general recruitment across the organisation.

Action – Prepare a number of case studies which identifies services where the composition of a team or service departs from traditional stereotypes as part of a "challenging gender stereotypes" campaign. We will also continue to work with

services to address occupational segregation which remains a significant factor in influencing pay gaps between males and females.

In conclusion:-

- We will continue to report annually on the gender pay gap in Flintshire County Council.
- We will continue to appoint and develop people on merit, regardless of their gender or other factors covered by the Equality Act 2010.
- We will continue to develop our workforce at all levels to make sure talented people can progress into the most senior roles.
- We will continue to promote positive work/life balance offering flexible working options to assist in addressing any equality issues.
- We will continue to apply fair recruitment and selection practices.

These targets are designed to push Flintshire County Council to become more imaginative in how we go about attracting, recruiting, developing and encouraging our most talented colleagues to stay with us.

In conclusion the County Council will continue to eliminate unlawful discrimination and to advance equality of opportunity through its role as employer and through its work with the community.

This comprehensive audit emphasises the County Council's commitment to monitoring pay in order to equally reward work of equal value and continue to contribute to develop equality and diversity strategies to promote good practice.

Mae'r dudalen hon yn wag yn bwrpasol

Eitem ar gyfer y Rhaglen 10



FLINTSHIRE COUNTY COUNCIL

Date of Meeting	Tuesday, 20 th October 2020
Report Subject	Financial Procedure Rules
Cabinet Member	Cabinet Member for Finance
Report Author	Corporate Finance Manager
Type of Report	Operational

EXECUTIVE SUMMARY

The purpose of the report is to provide the Members of the Council with the proposed updated Financial Procedure Rules (FPR's) as detailed in Appendix 1.

The FPR's were considered and endorsed by Audit Committee on 29th January 2020 subject to some minor amendments. They were then considered by the Constitution and Democratic Services Committee on 5 March 2020 who requested two minor amendments to wording which have since been incorporated in this revision.

The updated FPR's are attached as Appendix 1 with the Glossary of Terms included as Appendix 2.

RECOMMENDATIONS

1	That Members approve the updated Financial Procedure Rules.
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REPORT DETAILS

1.00	EXPLAINING THE FINANCIAL PROCEDURE RULES (FPR'S)					
1.01	Section 151 of the Local Government Act 1972 and the Accounts and Audit (Wales) Regulations require the Council to make arrangements for the proper administration of its financial affairs.					
1.02	To conduct its business efficiently, the Council needs to ensure that it has sound financial management policies in place and that they are adhered to. Part of this is the establishment of financial procedures that set out the financial policies of the Authority.					
1.03	The FPR's state that: 'The Chief Finance Officer is responsible for maintaining a continuous review of the Financial Procedure Rules, and submitting any additions or changes necessary to Council for approval.'					
1.04	<p>The FPR's are set out into six main sections:</p> <ol style="list-style-type: none"> 1. Status of Financial Regulations 2. Financial Management – General roles and responsibilities 3. Financial Planning 4. Risk Management and Control of Resources 5. Financial Systems and Procedures 6. External Arrangements 					
1.05	The Councils FPR's are reviewed every two years. Previous reviews have updated them to reflect the CIPFA guidance on financial regulations.					
1.06	The FPR's were last updated in 2017 and were approved by Council on 1 st March 2018.					
1.07	The revisions made to this updated version represent minor changes that reflect the current Chief Officer operating model, the revised finance structure and updates that reflect current processes.					
1.08	<p>Audit Committee considered the revised FPR's on 29th January 2020. Feedback from the committee included minor rewording to sections 4.1 and 4.3 together with other questions as follows:</p> <table border="1" data-bbox="319 1702 1388 2038"> <thead> <tr> <th>Audit Committee Question</th> <th>Response</th> </tr> </thead> <tbody> <tr> <td>How will Finance ensure compliance?</td> <td>Programme of raising awareness through Portfolio Management Team Meetings and specifically targeting areas where there has been a high turnover of staff to ensure all are aware of specific responsibilities.</td> </tr> </tbody> </table>		Audit Committee Question	Response	How will Finance ensure compliance?	Programme of raising awareness through Portfolio Management Team Meetings and specifically targeting areas where there has been a high turnover of staff to ensure all are aware of specific responsibilities.
Audit Committee Question	Response					
How will Finance ensure compliance?	Programme of raising awareness through Portfolio Management Team Meetings and specifically targeting areas where there has been a high turnover of staff to ensure all are aware of specific responsibilities.					

		A quarterly report on any non-compliance to be taken to Chief Officer Team.
	How do we incorporate Internal Audit recommendations to FPR changes?	We have consulted with Audit as part of the review and any relevant recommendations or actions have been included.
	Chief Financial Officer (CFO) role – How does the CFO ensure adequate involvement in the financial implications of the Councils Business?	The CFO is a standing member of the Chief Officer Team meetings and also attends and advises Cabinet and Council to ensure all financial implications are accurately reported.
1.09	<p>The Constitution and Democratic Services Committee considered the revised FPR's following incorporation of the comments from Audit Committee on 5 March 2020.</p> <p>They suggested minor changes to the wording in Sections 1.4.4 and 3.3.1 paragraph "m". A copy of the revised FPR's showing these tracked changes is attached as Appendix 1.</p>	
1.10	A summary of the FPR's will also be made available which is intended to be an easy reference guide for budget holding managers and other staff. This will include practical advice and references to more detailed information when requested.	
1.11	Following approval of the FPR's the Finance Team will undertake awareness raising with management teams to ensure that managers and their staff understand their responsibilities with regard to the FPR's and emphasis will be put on the requirement of <u>all</u> staff to ensure compliance.	
1.12	Once approved, new arrangements to ensure corporate oversight will be put in place with adherence to the FPR's monitored by Finance Teams with any breaches or concerns reported to Chief Officers on a quarterly basis.	

2.00	RESOURCE IMPLICATIONS
2.01	There are no resource implications arising directly from the report although the implementation of the FPR's ensure robust, consistent financial processes across the Authority.

3.00	IMPACT ASSESSMENT AND RISK MANAGEMENT
3.01	The FPR's contribute to minimising the financial risks across the Council

4.00	CONSULTATIONS REQUIRED/CARRIED OUT
4.01	The proposed changes have been prepared in consultation with the Chief Officer Team, Financial Management Team and Internal Audit and have been considered by the Audit and the Constitution and Democratic Services Committee.

5.00	APPENDICES
5.01	Appendix 1 – Financial Procedure Rules (With tracked Changes from CDC) Appendix 2 – Glossary of Terms

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	None

7.00	CONTACT OFFICER DETAILS
7.01	Contact Officer: Sara Dulson, Strategic Finance Manager Telephone: 01352 702287 E-mail: Sara.dulson@flintshire.gov.uk

8.00	GLOSSARY OF TERMS
8.01	See Appendix 2

Appendix 1

Flintshire County Council

Financial Procedure Rules

Revised 2020

Tudalen 177

Contents

1. Status of Financial Regulations
2. Financial Management – General Roles and Responsibilities
3. Financial Planning
4. Risk Management and Control of Resources
5. Financial Systems and Procedures
6. External Arrangements

1. Status of Financial Regulations

1.1 What are Financial Procedure Rules?

1.1.1 Financial Procedures provide the framework for managing the Council's financial affairs. They apply to every Member and officer of the Council and anyone acting on its behalf.

1.1.2 The procedures identify the financial responsibilities of the full Council, the Cabinet and officers.

1.1.3 Where there are references to the Chief Executive and Chief Officer the responsibility is as follows:

The Chief Executive as Head of Paid Service at a strategic level provides oversight, coordination and direction across the organisation and ensures the Chief Officer Team work collectively.

Chief Officers are accountable at a strategic and operational level for resource management, performance management and delivery of services for the Portfolio for which they have responsibility.

In addition, the Council holds the following statutory posts:

The Head of Paid Service is the Chief Executive

The Chief Finance Officer is the Corporate Finance Manager

The Chief Education Officer is the Chief Officer (Education and Youth)

The Monitoring Officer is the Chief Officer (Governance)

The Chief Officer Social Services

Democratic Services Manager

1.1.4 These Financial Procedure Rules are part of the Council's Rules of Procedure. They must be read in conjunction with the rest of the Constitution, of which they form part, including the Contract Procedure Rules.

1.1.5 These Financial Procedure Rules and other regulatory rules apply to the Clwyd Pension Fund except where separate legislation exists, e.g. Local Government Investment Regulations.

1.2 Why are they important?

1.2.1 To conduct its business effectively, the Council needs to ensure that sound financial management arrangements are in place and that they are strictly adhered to in practice. Part of this process is the establishment of Financial Procedures which set out the financial responsibilities of the Council. These procedures have been devised as a control to help the Council manage its financial matters properly in compliance with all necessary requirements.

1.2.2 Good, sound financial management is a key element of the Council's Corporate Governance framework which helps to ensure that the Council is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.

1.2.3 Good financial management secures value for money, controls spending, ensures due probity of transactions and allows decisions to be informed by accurate accounting information.

1.2.4 Good financial management requires secure and reliable records and systems to process transactions and information and substantiate the effective use of public money.

1.2.5 Financial Procedures should not be seen in isolation, but rather as part of the overall regulatory framework of the Council as set out in the Council's Constitution.

1.3 Who do Financial Procedures apply to?

1.3.1 Financial Procedures apply to every Member and officer of the Council and anyone acting on its behalf. Members and officers have a general responsibility for taking reasonable action to provide for the security and use of the resources and assets under their control, and for ensuring that the use of such resources and assets is legal, consistent with Council policies and priorities, is properly authorised, provides value for money and achieves best value.

1.3.2 Separate financial procedures have been incorporated into the Council's Scheme for Financing of Schools and relate to those matters where decisions have been delegated to school governing bodies.

1.3.3. These Financial Procedures shall apply in relation to any partnership for which the Council is the accountable body, unless the Council expressly agrees otherwise. Where services are provided via an 'Alternative Delivery Model', specific financial procedures will be incorporated into the individual models.

1.3.4 Failure to observe Financial Procedures may result in action under the Council's disciplinary procedures.

1.4 Who is responsible for ensuring that they are applied?

1.4.1 The Chief Executive and Chief Officers are ultimately responsible to the Council for ensuring that Financial Procedures are applied and observed by his/her staff and contractors providing services on the Council's behalf and for reporting to the Chief Finance Officer any known or suspected breaches of the procedures.

1.4.2 The Chief Finance Officer is responsible for maintaining a continuous review of the Financial Procedures and submitting any additions or changes necessary to the Council for approval. The Chief Finance Officer is also responsible for reporting, where appropriate, breaches of the Financial Procedures to the Council and/or to the Members.

1.4.3 The Chief Finance Officer is responsible for issuing advice and guidance to underpin the Financial Procedures which Members, Chief Executive and Chief Officers and others acting on behalf of the Council are required to follow.

1.4.4 Where any Officer or Member considers that complying with Financial Procedures in a particular situation might conflict with the achievement of value for money or the principles of Best Value or the best interests of the Council, he/she shall raise the issue with the Chief Finance Officer who will, if he/she considers necessary and appropriate, seek formal approval from the Council for a specific waiver of the procedures, or an amendment to the procedures themselves.

2. Financial Management – General Roles and Responsibilities

The Role of the Full Council

2.1.1. The Council has a duty towards its Council Tax payers and Non Domestic Ratepayers with regard to financial decisions and their consequences. The full Council is responsible for adopting the Council's Constitution and Members' Code of Conduct and for approving the budget and policy framework within which the Cabinet operates. It is also responsible for approving and monitoring compliance with the Council's overall framework of accountability and control. The full Council is also responsible for monitoring compliance with policies and related Cabinet decisions.

2.2 The Role of the Cabinet

2.2.1 The Cabinet (as the Council's Executive) is responsible for proposing the Budget and Policy Framework to full Council, and for discharging executive functions in accordance with the Budget and Policy Framework.

2.3 The Role of the Chief Finance Officer

2.3.1 The Chief Finance Officer is accountable to the Chief Executive and the Council and has statutory duties that provide overall responsibility for the financial administration and stewardship of the Council. This statutory responsibility cannot be overridden. These statutory duties arise from:

- Section 151 of the Local Government Act 1972
- The Local Government Finance Act 1988
- The Local Government and Housing Act 1989
- The Accounts and Audit Regulations (Wales) Regulations currently in force

2.3.2 The Chief Finance Officer among other functions is responsible for;

- a) The proper administration of the Council's financial affairs.
- b) Setting and monitoring compliance with financial management standards.
- c) Advising on the corporate financial position and on the key financial controls necessary to secure sound financial management.
- d) Advising on all matters which affect, or potentially affect, the finances or financial administration of the Council.
- e) Providing financial information.
- f) Making recommendations to the Cabinet and Council for the preparation of the revenue budget and capital programme.

- g) Preparing the approved revenue budget and capital programme.
- h) Treasury management.

The Chief Executive and Chief Officers are responsible for promoting the financial management standards set by the Chief Finance Officer in their portfolio and monitoring adherence to the standards and practices, liaising as necessary with the Chief Finance Officer.

Section 114 of the Local Government Finance Act 1988 requires the Chief Finance Officer to report to every Member of the Cabinet or the Council as appropriate and to the External Auditor, if the Council, a Committee or Officer of the Council, or a Joint Committee on which the Council is represented:

- Has made, or is about to make, a decision which involves or would involve the Council incurring expenditure which is unlawful
- Has taken, or is about to take, a course of action which, if pursued to its conclusion, would be unlawful and likely to cause a loss or deficiency to the Council
- Is about to make an unlawful entry in the Council's accounts

The Chief Finance Officer must consult with the Head of Paid Service and the Monitoring Officer when preparing any report under Section 114.

The Chief Finance Officer shall make a report under this Section if it appears to him or her that the expenditure of the Council incurred (including expenditure it proposes to incur) in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure.

Section 114 of the 1988 Act also requires:

- The Chief Finance Officer to nominate a properly qualified member of staff to deputise should he or she be unable to perform the duties under Section 114 personally, due to absence or illness
- The Council to provide the Chief Finance Officer with sufficient staff, accommodation and other resources – including legal advice where this is necessary – to carry out the duties under section 114
(All references to a Committee (joint or otherwise) include Sub-Committees).

Where a report has been issued by the Chief Finance Officer under Section 114 of the Local Government Finance Act 1988, the Council and the Council's Head of Paid Service shall then follow the requirements of Sections 115 and 116 of the said Act.

2.4 The Role of Chief Officers

2.4.1 Chief Officers are each accountable to the Council for the financial management and administration of those services and activities allocated to them in accordance with Council policy.

2.4.2 Chief Officers are responsible for:

- a) Ensuring that adequate and effective systems of internal control are operated to ensure the accuracy, legitimacy and proper processing of transactions and the management of activities, having regard to advice and guidance from the Chief Finance Officer.
- b) Ensuring that Cabinet members are advised of the financial implications of all proposals and that the financial implications have been agreed by the Chief Finance Officer.
- c) Consulting with the Chief Finance Officer in seeking approval regarding any matters which may affect the Council's finances materially, before any commitments are incurred.
- d) Consulting with each other on any issue with corporate financial implications before submitting policy options or recommendations to Members.

3. Financial Planning

3.1 Strategic Planning

Why is this important?

Planning is a continuous process and is a fundamental tool in the management and control of the Council. The Council has a statutory responsibility to produce various plans. Financial planning is a key part of this process, setting out the financial consequences of the actions planned to meet the objectives and targets set within the plan.

Key Controls

- Ensure that all relevant plans are produced and that they are consistent with Corporate objectives
- Produce plans in accordance with statutory requirements
- Meet the timetables set
- Ensure that all performance information is accurate, complete and up to date
- Provide improvement targets that are meaningful, realistic and challenging

Responsibilities of the Chief Finance Officer

- a) To advise and supply the financial information that needs to be included in plans in accordance with the statutory requirements and agreed timetables.
- b) To contribute to the development of corporate and service targets and objectives and performance information.
- c) To ensure that performance information is monitored frequently to allow corrective action to be taken if targets are not likely to be met.

Responsibilities of the Chief Officers

- a) To contribute to the development of plans in line with statutory requirements.
- b) To contribute to the development of corporate and service targets and objectives and performance information.

3.2 Budgets and Medium Term Planning

Why is this important?

The Council is a complex organisation responsible for delivering a wide variety of services. It needs to plan effectively to enable scarce resources to be allocated in accordance with the Council's priorities.

Flintshire's Medium Term Financial Strategy (MTFS) provides a framework for the financial principles through which revenue and capital resources will be forecast, organised and managed to deliver the Council's vision and strategic objectives.

The MTFS uses detailed intelligence led forecasting to estimate available resources, investment needs linked to the Council Plan and priorities, demand and externally led cost pressures and opportunities for efficiencies / savings for both revenue services and the capital programme over the medium term. The MTFS enables the gap between forecast funding levels and resource requirements to be identified over the medium term.

Detailed work is undertaken on an annual basis by The Finance Team, in conjunction with the Chief Executive and Chief Officer Team to build on the MTFS to enable a balanced revenue budget and capital programme which is approved by Council for the following financial year.

Responsibilities of the Chief Finance Officer

- a) To prepare and submit reports on budget prospects for the Cabinet including resource constraints set by the Welsh Government.
- b) To determine the detailed form of revenue estimates after consultation with the Cabinet, Chief Executive and Chief Officers.
- c) To prepare and submit forecasting reports to the Cabinet on the aggregate spending plans and resources available to fund them.
- d) To advise on the medium term implications of spending decisions and prepare forecasts.
- e) To encourage the best use of resources and value for money by working with Chief Officers to identify opportunities to improve economy, efficiency and effectiveness.
- f) To advise the Council on proposals in accordance with responsibilities under Section 151 of the Local Government Act 1972.

Responsibilities of the Chief Officers

- a) To integrate financial and budget plans into service planning so that budget plans can be supported by financial and non-financial performance measures.
- b) To encourage the best use of resources and value for money by working with the Chief Finance Officer to identify opportunities to improve economy, efficiency and effectiveness.

3.3 Budgeting

3.3.1 Revenue Budget

Why is this important?

Budgetary control and monitoring procedures ensure that once the budget has been formally approved by the County Council, resources allocated are used for their intended purposes and are properly accounted for. Budgetary control is a continuous process, enabling the Council to review and adjust its budget targets during the financial year.

By continuously identifying and explaining variances against budgetary targets, the Council can identify changes in trends and resource requirements at the earliest opportunity.

Key Controls

The key controls for managing and controlling the revenue budget are:

- Budget managers should be responsible only for income and expenditure that they can influence
- There is a nominated budget manager for each cost centre heading and the responsibilities for budgetary control are clearly defined
- Budget managers accept accountability for their budgets and the level of service to be delivered and understand their financial responsibilities
- Budget managers follow an approved certification process for all expenditure
- Income and expenditure are properly recorded and accounted for
- Performance levels of service are monitored in conjunction with the budget and necessary action is taken to align service outputs and budget
- An annual cycle is established to ensure budgets are promptly prepared

Responsibilities of the Chief Finance Officer

To ensure an appropriate framework of budgetary management and control that ensures that:

- a) A revenue budget is prepared on an annual basis, together with a revenue projection over the medium term, for consideration by the Cabinet, which will make recommendations to the Council. The Council is responsible for the approval of the revenue budget.
- b) A resource allocation process is developed and maintained for consideration by Members at each stage of the revenue budget process.
- c) The revenue budget includes the proposed level of unallocated Council Fund reserves, proposed taxation levels and the proposed budgets for each Chief Officer and for central and corporate budget heads.
- d) Each Chief Officer has available timely information on receipts and payments on each budget which is sufficiently detailed to enable managers to fulfil their budgetary responsibilities.
- e) Expenditure is committed only against an approved budget head.
- f) Significant variances from approved budgets are investigated and reported by budget managers on a regular and timely basis.

Responsibilities of the Chief Officers

- a) To maintain budgetary control within their departments and ensure that all income and expenditure are properly recorded and accounted for.
- b) To ensure that an accountable budget manager is identified for each area of income and expenditure under the control of the Chief Officer. As a general principle, budget responsibility should be aligned as closely as possible to the decision making that commits expenditure.
- c) Ensure that Managers and all staff understand their financial responsibilities.
- d) Ensure that budget managers follow the monthly budget monitoring procedures when using Collaborative Planning (CP) system.
- e) To prepare annual service plans linked to the Council Plan identifying any budgetary implications for inclusion in the Medium Term Financial Plan for Member consideration.
- f) To ensure that spending remains within the service's overall cash limit, and that individual budget heads are not overspent, by monitoring the budget and taking appropriate corrective action where significant variations from the approved budget are forecast. Variances in excess of £50k should be reported with an explanation to the Chief Finance Officer.

- g) Prepare budget action plans where a significant overspend is forecast. The action plan should identify how expenditure will be brought back into line with budget, either by taking corrective action, or through the proposed use of compensating savings elsewhere in their budget.
- h) Report areas of forecast under spend, along with the implications for future years, for corporate consideration of where any available resources should be re-allocated. The use of budget savings other than in accordance with the approved budget is not permitted without Cabinet approval.
- i) Consult with the Chief Finance Officer and seek advice on further action to be taken before any commitments are incurred, where these are not covered by the Council's approved budget.
- j) Report significant variations from budget to the Chief Finance Officer, who will report the position and any budget actions plans in the overall budget monitoring report to Cabinet. In certain circumstances it may be that the significance of the variance requires a separate report to Cabinet for consideration or approval. The report will outline the reasons for the projected variance, the implications for future years' budgets, along with the budget action plan to bring expenditure in line with the budget.
- k) Budget action plans will be monitored by the relevant Chief Officer who will notify the Chief Finance Officer should it emerge that a budget action plan will fail to prevent an overspend. The Chief Finance Officer will report the position to Cabinet.
- l) In exceptional cases submit reports to the Cabinet and to the Council, in consultation with Chief Finance Officer, where a Chief Officer is unable to balance expenditure and resources within existing approved budgets under his or her control, requesting a supplementary budget allocation for the current financial year only.
- m) Nothing in the Financial Procedure Rules shall prevent expenditure being incurred which is essential to meet any immediate needs arising from an emergency, including any expenditure under Section 155 of the Local Government and Housing Act 1989 (Emergency Financial Assistance Scheme, formerly known as the "Belwin" scheme). Such action shall only be taken after consultation with the Chief Finance Officer, and any such expenditure must be reported retrospectively to the Cabinet, and agreement for the funding of such expenditure and how it should be treated must be agreed as soon as possible.
- n) To ensure compliance with the scheme of virement.

3.3.2 Budget Virements/Accounting Adjustments

Why is this important?

Transfers between budgets is an integral and important feature of budgetary control for an organisation to ensure sound financial management.

In general terms there are two main types of budget transfers:-

1. Accounting Adjustments – this is where it is necessary to transfer a budget from one place to another to account properly for the relevant expenditure or income but where the approved purpose of that expenditure/income does not change from that approved by County Council. An example of this is the allocation of energy inflation which is held centrally and allocated to portfolio areas based on evidenced need.
2. Formal Virements – this is where there is an intended action to transfer budget from one place to another that does change the purpose of the expenditure/income approved by County Council. An example of this would be the transfer of an amount from Adult Social Services to Children’s Social Services to deal with a pressure in the Children’s Services area.

The Key Principles underpinning the control of budget transfers are as follows:

- Where Budget transfers relate to a change of use or policy they should be authorised and there should be formal evidence of this
- Transferring budgets simply to minimise variances are specifically precluded
- Where an approved budget is a lump sum provision or contingency intended for allocation during the year, its allocation will not be treated as a virement provided the amount is used in accordance with the purposes for which it was originally intended, or if Cabinet has approved the basis on which it will be allocated

Formal Virements in excess of £100,000 (this includes cumulative amounts over £100,000) should be submitted to Cabinet for Approval

- Where there are policy implications for the Council which require a budget virement, Cabinet approval must be obtained

Overall control of budget transfers is undertaken within the Strategy and Insurance team which tracks the movements and also ensures that any virements that change the purpose of the funding are subject to the relevant approval

The Corporate Finance Manager as Section 151 Officer for the Council has a legal responsibility to ensure the proper management of the Councils financial affairs and is content that the rules and procedures in place governing the virement of budget are adequate.

Key Controls

- Performance levels of service are monitored in conjunction with the budget and necessary action is taken to align service outputs and budget
- Notification of virements should be given to the Chief Finance Officer and approved

Responsibilities of the Chief Finance Officer

- a) Ensure that budget virements in excess of £100,000 (cumulative) are submitted to Cabinet for approval.
- b) Where there are policy implications for the Council ensure that Cabinet approval is obtained where it is proposed to vire between budgets of different Cabinet Portfolio holders or vire between budgets managed by different Chief Officers.
- c) Where there are implications to the policy framework submit a joint report with the relevant Chief Officer.

Responsibilities of the Chief Officers

- a) To ensure compliance with the scheme of virement.
- b) To agree with the relevant Chief Officer where it appears that a virement proposal may impact materially on another service area.

3.4 Capital Programme

Why is this important?

Capital expenditure involves acquiring or enhancing fixed assets with a long term value to the Council such as land, buildings and major items of plant, equipment and vehicles. Capital assets shape the way services are delivered in the long term and create financial commitments for the future in the form of financing costs and revenue running costs.

Key Controls

The key controls for capital programmes are:

- Specific approval by the County Council for the programme of capital expenditure
- Expenditure on capital schemes is subject to the approval of the Chief Officer
- A scheme and estimate, including project plan, progress targets and associated revenue expenditure is prepared for each capital project
- Accountability for each proposal is accepted by a named manager

- Monitoring of progress in conjunction with expenditure and comparison with approved budget

Responsibilities of the Chief Finance Officer

- a) To prepare capital estimates jointly with Chief Officers to report them to the Cabinet for approval which will make recommendations to the Council.
- b) To be responsible for the monitoring of the capital programme in conjunction with the Chief Officer (Housing and Assets).
- c) To prepare and submit reports to the Cabinet on the projected income, expenditure and resources compared with the approved estimates on a quarterly basis. The report will identify changes in capital resources, including the generation of capital receipts and the effect of carry forward together with quantifying contractually uncommitted values by scheme.
- d) To obtain authorisation from the Cabinet for individual schemes where the estimated expenditure exceeds the capital programme provision by more than the specified amount.
- e) To ensure that whole schemes, or distinct parts thereof, which are identified as slipping into the following financial year, shall be included in the Capital Programme assessments for the later year.
- f) Ensure that the approved Capital Programme includes information on grant funded schemes if appropriate.

Responsibilities of the Chief Officers

- a) To comply with guidance concerning capital schemes and controls issued by the Chief Finance Officer.
- b) To ensure that all capital proposals have undergone a project appraisal in accordance with guidance issued by the Chief Finance Officer.
- c) To prepare regular reports reviewing the capital programme provisions for their services.
- d) To ensure that adequate records are maintained for all capital contracts.
- e) To proceed with projects only when there is adequate provision in the capital programme and with the agreement of the Chief Finance Officer, where required.
- f) To ensure that credit agreements such as leasing agreements are not entered into without the agreement of the Chief Finance Officer (via the Treasury Management Team) and if applicable approval of the scheme through the capital programme.

- g) To ensure that for the purchase of all items which are not brand new that a Hire Purchase Information (HPI) check has been undertaken to ensure that there is no outstanding finance.

3.5 Maintenance of Reserves

Why is this important?

The Council must decide the general level of reserves it wishes to maintain before it can decide the level of Council tax. Reserves are maintained as a matter of prudence. They enable the Council to provide for unexpected events and therefore protect it from overspending should such events occur. Reserves for specific purposes may also be maintained such as the purchase or renewal of capital items.

Key Controls

To maintain reserves in accordance with the CIPFA Code of Practice and agreed accounting policies.

The Councils Reserves protocol must be adhered to by all officers to ensure the controls governing reserves are followed.

Responsibilities of the Chief Finance Officer

To advise the Cabinet and/or the full Council on prudent levels of reserves for the Council and to provide an annual statement as to the adequacy of the level of reserves held.

Responsibilities of the Chief Officers

To ensure that resources are used only for the purposes for which they were intended.
To ensure the Reserves Protocol is followed.

4. Risk Management and Control of Resources

4.1 Risk Management

Why is this important?

The Council, like any organisation, faces risks to people, property and continued business operations. Risk is the chance or possibility of loss, damage, injury or failure to achieve objectives caused by an unwanted or uncertain action or event. Risk management is the planned and systematic approach to the identification, evaluation and control of risk. Its objectives are to secure the assets of the Council and ensure the continued financial and organisation well-being of the Council. Risk management is concerned with evaluating the measures the Council has in place to manage identified risks and recommending the course of action the organisation needs to take to control these risks effectively.

Risk Management is an integral part of the Council's Governance Framework and Internal Control. The Council has a Risk Management Strategy which outlines how the Council manages risk corporately.

Key Controls

The key controls for risk management are:

- Procedures are in place to identify, assess, prevent or contain material known risks
- A monitoring process is in place to review regularly the effectiveness of risk reduction strategies and the operation of these controls. The risk management process should be conducted on a continuing basis
- Managers know that they are responsible for managing relevant risk and are provided with relevant information
- Provision is made for losses that might result from the risks that remain
- Procedures are in place to investigate claims within required timescales
- Acceptable levels of risk are determined and insured against where appropriate
- Business Continuity Plans are in place

Responsibilities of the Chief Finance Officer

- a) To develop and implement risk management controls in conjunction with Chief Officers.
- b) To include all appropriate employees of the Council in a suitable Fidelity Guarantee insurance policy.
- c) To effect corporate insurance cover, for all relevant and identified risks, through external insurance and internal funding and negotiate all claims in consultation with other officers.
- d) In consultation with other officers if applicable, to negotiate all claims with a view to minimising both financial and reputational loss.

Responsibilities of the Chief Officers

- a) To notify the Chief Finance Officer immediately of any loss, liability or damage that may lead to a claim against the Council, and to respond promptly with any information or explanation required by the Chief Finance Officer for the Council's insurers.
- b) To take responsibility for risk management, having regard to advice from the Chief Finance Officer and other specialist officers e.g. health and safety.
- c) To implement the Risk Management Strategy and ensure a regular review of risks within the service they manage.
- d) To notify the Chief Finance Officer promptly of all new risks, properties or vehicles that require insurance and of any alterations affecting existing insurances.
- e) To ensure that employees or anyone covered by the Council's insurances do not admit liability or make any offer to pay compensation that may prejudice the assessment of liability in respect of any insurance claim.
- f) To ensure Business Continuity plans are in place and regularly reviewed.
- g) To ensure that no insurance policies are taken out without first consulting with the Chief Finance Officer.

4.2 Internal Controls

Why is this important?

Overall responsibility for the control environment rests with the Council as a whole. The Chief Officer Team is responsible for overseeing and monitoring the control environment.

Monitoring of compliance with policies, procedures, laws and regulations is undertaken by relevant key officers. The Chief Finance Officer and Monitoring Officer have statutory responsibilities. Chief Officers have responsibility for the development and maintenance of the internal control environment to ensure:

- The Council's objectives are achieved in a manner that promotes economical, efficient and effective use of resources and that the Council's assets and interests are safeguarded
- Compliance with all applicable statutes and procedure rules, and other relevant statements of best practice

Key Controls

The key controls and objectives for internal control systems are:

- Key controls should be reviewed on a regular basis
- Financial and operational control systems and procedures, which include physical safeguards for assets, segregation of duties, authorisation and approval procedures and information systems
- An effective internal audit function that is properly resourced

Responsibilities of the Chief Finance Officer

To assist the Council to put in place an appropriate control environment and effective internal controls which provide reasonable assurance of effective and efficient operations, financial stewardship, probity and compliance with laws and regulations.

Responsibilities of the Chief Officers

- a) To manage processes to check that established controls are being adhered to and to evaluate their effectiveness, in order to be confident in the proper use of resources, achievement of objectives and management of risks.
- b) To be responsible for having in place procedures to ensure that established controls are being adhered to and for evaluating their effectiveness. Chief Officers are required to periodically assess their systems of internal control to ensure that they are adequate to manage the risks associated with the service. They are also required to undertake such reviews when material changes are to be made either to structures or to working practices. This requirement applies equally to those arrangements in which the Council has a partnership relationship with a third party.
- c) Assess, at least once a year, the effectiveness of the systems of internal control, in line with current Accounts & Audit (Wales) Regulations.
- d) Provide appropriate information to the Corporate Governance Working Group to enable the Annual Governance Statement to be included within the financial statements, as required.
- e) Review existing controls in the light of changes affecting the Council and establish and implement new controls as necessary. Also remove controls that are unnecessary or not cost or risk effective – for example, because of duplication.

- f) Ensure that staff have a clear understanding of all procedures, and of the consequences of lack of control.

4.3 Audit Requirements – Internal Audit

Why is this important?

The requirement for an internal audit function for local authorities is implied by section 151 of the Local Government Act 1972 and is required by the Accounts and Audit (Wales) Regulations 2005. The regulations state that 'a local government body shall maintain an adequate and effective system of internal audit of its accounting records and of its system of internal control in accordance with proper internal audit practices'.

Internal audit is defined in the Public Sector Internal Audit Standards as:

'Internal Auditing is an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes'

Key Controls

The key controls for internal audit are:

- That it is independent in its planning and operation
- The Internal Audit Manager has direct access to the Head of Paid Services, the Monitoring Officer, External Audit and the Chair of the Audit Committee

Responsibilities of the Chief Finance Officer

To ensure that an effective Internal Audit function is resourced and maintained. Under Section 151 the local Council should 'make arrangements for the proper administration of their financial affairs'. Proper administration includes compliance with the statutory requirements for accounting and internal audit.

Responsibilities of the Chief Officers

Chief Officers will:

- (a) Ensure that internal and external auditors are given access at all reasonable times to premises, personnel, documents and assets that the auditors consider necessary for the purposes of their work.

- (b) Ensure that auditors are provided with any information and explanations that they seek in the course of their work.
- (c) Consider and respond promptly to recommendations in audit reports.
- (d) Ensure that any agreed actions arising from audit recommendations are carried out timely and efficiently.
- (e) Ensure that whenever any matter arises which involves, or potentially involves, any suspected fraud, theft, irregularity, improper use or misappropriation of the Council's property or resources, Internal Audit are notified and take any such other immediate action as considered necessary (subject to any Council rules and protocols).
- (f) Internal Audit shall notify the Chief Officer (Governance) where appropriate, and take such action by way of investigation and report, including informing and consulting with the relevant Chief Officer, Senior Manager (HR & OD), notifying the Head of Paid Service, the Police and/or the External Auditor, as considered appropriate. Pending investigations and reporting, the Chief Officer will follow the fraud response plan and will take all necessary steps to prevent further loss and to secure records and documentation against removal or alteration.
- (g) Where sufficient evidence exists to believe that a criminal offence may have been committed, Internal Audit will consult with the Chief Officer, Senior Manager (HR & OD) and the Monitoring Officer, together with the Head of Paid Service and determine whether to refer the matter to the Police. The Police will determine, with the Crown Prosecution Service, whether any prosecution will take place. Where fraud, theft, improper use or misappropriation of the Council's property or resources is proved, and the Council has suffered a financial loss, the Council will seek to recover the full value of any loss as outlined in the Corporate Anti-Fraud and Anti-Corruption Strategy, Fraud Response Plan and Prosecution Policy.
- (h) Instigate the Council's disciplinary procedure when the outcome of an audit investigation indicates improper behaviour (by a member of staff), or indicates that a wider investigation is appropriate.
- (i) Ensure that new systems for maintaining financial records, or records of assets, or changes to such systems, are discussed with and agreed by the Internal Audit Manager prior to implementation, to ensure that control issues are fully considered and complied with.

4.4 Security of Assets

Why is this important?

The Council holds assets in the form of property, vehicles, equipment, furniture, and other items. It is important that assets are safeguarded and used efficiently in service delivery and that there are arrangements for the security of both assets and information required for service operations. An up to date asset register is a pre-requisite for sound asset management.

Key Controls

The key controls for the security of resources such as land, buildings, fixed plant machinery, equipment, software and information are:

- Resources are used only for the purposes of the Council and are properly accounted for
- Resources are available for use when required
- An asset register is maintained, assets are recorded when acquired and the record is updated following completion of condition surveys which are carried out on a cyclical planned basis
- All staff are aware of their responsibilities with regard to safeguarding the Council's assets and information including the requirements of the General Data Protection Regulation (GDPR) and software copyright legislation
- All staff are aware of their responsibilities with regard to safeguarding the security of the Council's computer systems, including maintaining restricted access to the information held on them and the compliance with the Council's computer and internet security policies

Responsibilities of the Chief Finance Officer

Ensure that an asset register is maintained in accordance with good practice for all fixed assets. The function of the asset register is to provide the Council with information about fixed assets so that they are safeguarded, used efficiently and effectively and adequately maintained.

To receive the information required for accounting, costing and financial records from each Chief Officer.

To ensure that assets are valued in accordance with the Code of Practice on Local Council Accounting in the United Kingdom (CIPFA/LASAAC).

Ensure appropriate accounting entries are made to remove the value of disposed assets from the Council's records and to include the sale proceeds.

Responsibilities of the Chief Officers

- a) Ensure that records and assets are properly maintained and securely held.
- b) The corporate property function resides within the Housing and Assets Portfolio, with property records maintained by Valuation and Estates Services in conjunction with Legal.
- c) The Chief Officer (Governance), in consultation with the Chief Officer (Housing and Assets), shall maintain a register of:
 - All lands and properties owned by the Council (with the exception of dwellings provided under the Housing Acts) in a form agreed with the Chief Finance Officer, recording the holding Committee, purpose for which held, location, extent, plan reference, purchase details, particulars of all interests, tenancies granted and rents receivable.
 - All lands and properties leased to the Council in a form agreed with the Chief Finance Officer, recording the holding Committee, purpose for which held, location, extent, plan reference and lease rental payment details.
- d) The Chief Officer (Housing & Assets) will arrange for the valuation of assets for accounting purposes to meet requirements specified by the Chief Finance Officer and, in accordance with the *Code of Practice on Local Council Accounting in the United Kingdom* (CIPFA/LASAAC).
- e) The Legal Services Manager shall have custody of all title deeds and will put in place secure arrangements for this.
- f) The Chief Officer (Housing and Assets) shall maintain a record of all dwellings provided under the Housing Acts in a form agreed with the Chief Finance Officer.
- g) Chief Officers shall be responsible for maintaining proper security and confidentiality of all financial and related information in the Chief Officer's possession including complying with the requirements of the Council's Information Security Policy, General Data Protection Regulation (GDPR), the Computer Misuse Act and any subsequent legislation.

h) Chief Officers must ensure that:

- All staff are aware of their responsibilities with regard to safeguarding the Council's assets and the protection and confidentiality of information, whether held in manual or computerised records, including the requirements of GDPR and software copyright legislation
- All staff are aware of their responsibilities with regard to safeguarding the security of the Council's computer systems, including maintaining restricted access to the information held on them and compliance with the Council's computer, portable storage media acceptable usage, e-mail and internet security policies
- Arrangements are in place for the proper security and safe custody of all buildings, vehicles, equipment, furniture, stock, stores and other assets under their control
- Lessees and other prospective occupiers of Council land or buildings are not allowed to take possession or enter the land or building until a lease or legal agreement, in a form approved by the Chief Officer (Governance) in consultation with the Chief Finance Officer, has been established as appropriate
- Where land or buildings are surplus to requirements, a recommendation for sale is the subject of a report by the Chief Officer, or where action is taken under delegated powers this is reported to the Cabinet
- Each Chief Officer maintains a register of assets with a value of over £500 which are moveable or desirable assets. The register should list the asset, location recorded, and that they are appropriately marked and insured
- Cash holdings on premises are kept to a minimum and shall not exceed such limit as the Chief Finance Officer may prescribe, and that the arrangements for such cash holdings have been agreed with Internal Audit. Each Chief Officer must, in consultation with the Chief Finance Officer ensure safe and efficient cover for cash in transit
- Keys to safes and similar receptacles are carried in the possession of those responsible at all times; loss of any such keys must be reported to the Chief Finance Officer as soon as possible. All official keys of buildings, alarms and secure places shall be securely maintained at all times using a designated key tagging system by the individual responsible for their custody. If not held on the person of the individual responsible for their custody, they should be held under secure arrangements. The loss of any such keys shall be reported to the Chief Finance Officer immediately
- Assets are only used in the course of the Council's business, unless the Chief Officer concerned has given permission, in writing, for personal use by an employee
- Records are kept of the disposal or part-exchange of assets

- Inventories or other records are maintained, in a form approved by the Chief Finance Officer, of all vehicles, plant, equipment (including portable equipment such as FCC Laptops), machinery, protective clothing and such other items as the Chief Finance Officer may require for each location under the Chief Officer's control. Unless otherwise authorised in writing by the Chief Finance Officer, each inventory shall record, in respect of each item a brief description of the item, the serial number or other identifying mark (where applicable), particulars of acquisition (including details of ownership where applicable) and, in due course, particulars of disposal
- An annual check of all items on the inventory is carried out in order to verify location, review condition and to take action in relation to surpluses or deficiencies, annotating the inventory accordingly. Attractive and portable items such as computers, cameras and video recorders should be identified with security markings as belonging to the Council
- There are arrangements for the care and custody of stocks and stores in the Portfolio. Each Chief Officer shall be responsible for the care and custody of all stocks and stores held in that Portfolio and shall account for their purchase, control, issue and return and disposal in a manner approved by the Chief Finance Officer
- Items shall be held in stock only where ready availability or where purchase in bulk is more economical than purchase of individual items, having due regard to the storage and administration costs associated with each method. Stocks shall not exceed the level required to meet reasonable anticipated needs or to obtain the benefits of bulk purchasing, except in special circumstances in consultation with the Chief Finance Officer
- Stocks are maintained at reasonable levels and are subject to a regular independent physical check. All discrepancies should be investigated and pursued to a satisfactory conclusion, referring issues to Internal Audit, where appropriate
- The Chief Finance Officer shall receive from the appropriate Chief Officer such information relating to stocks as the Chief Finance Officer may require for accounting or costing purposes, and shall require the appropriate Chief Officer to conduct, by persons other than the storekeeper, a complete stock-take at intervals of not more than one year together with one interim stock check
- Sample checks are made of all actual stock holdings against recorded stock holdings. The checks should be such that all items of stock are included within the check at least once a year
- Discrepancies are investigated and written off as necessary

- i) Surplus, obsolete or defective items held in stock shall be disposed of at regular intervals not exceeding one year. Procedures for disposal of such stocks and equipment, including inventory items, should be by competitive quotations or auction, unless, following consultation with the Chief Finance Officer, the Cabinet decides otherwise in a particular case. Such write-offs or disposals will be reported to the Cabinet.
- j) When the Chief Officer considers it appropriate, the stock or inventory item may be offered to other Portfolio's or employees for the highest quotation received in a sealed bid process and competitive basis or disposed of by public auction. In each case officers should seek to achieve the highest amount of value for the Council, whichever method of disposal is appropriate. Disposal shall be certified in the stock records or inventory by the signature of the Chief Officer or other authorised Officer.
- k) The names of Officers authorised to certify such disposals shall be agreed with and notified to the Chief Finance Officer by each Chief Officer, who shall provide the Chief Finance Officer with the specimen signature and initials of each such authorised Officer and amendments as they may occur. Disposal of items by any other method shall be subject to prior written consent from the Chief Finance Officer.
- l) In the event that the Council decides to become involved in the commercial exploitation of intellectual property e.g. software development, the matter should be agreed by the Cabinet.
- m) Whenever, in case of eviction, re-possession or similar circumstances, the Council takes possession or custody of private moveable property, an itemised inventory shall be taken in the presence of two persons, one of whom shall be a Council Officer or representative, who both shall witness it as a correct record.
- n) Each Chief Officer shall be responsible for ensuring safe custody and maintaining adequate records of lost property found on premises for which that Chief Officer is responsible. Unclaimed items shall be disposed of by the Chief Officer under arrangements approved by the Chief Finance Officer.
- o) Each Chief Officer will ensure that controls are in place to ensure that staff do not carry out private work in Council time and that staff are aware of an employer's rights with regard to intellectual property. The Senior Manager (HR & OD) will ensure that this is reflected in the Council's HR Policies.
- p) Ensure that income received for the disposal of an asset is properly banked and recorded.
- q) If any aspect of security is considered defective, or if special security arrangements are considered desirable, the Chief Officer concerned shall consult with the Chief Finance Officer with a view to remedial action.

4.5 Treasury Management

Why is this important?

The Council holds varying levels of surplus cash at certain points in the year representing income received in advance of expenditure plus balances and reserves held. The Council complies with CIPFA and WG guidance to invest its funds prudently and to have regard to the security and liquidity of its investments before seeking the highest rate of return, or yield. The Council's objective when investing money is to strike an appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk of receiving unsuitably low investment income.

Key Controls

That the Council's borrowing and investments comply with the CIPFA Code: Treasury Management in Public Services: Code of Practice and Cross-Sectoral Guidance Notes (2011 Edition), Welsh Government (WG) guidance on local Council investments and the Council's Treasury Management Strategy.

The Council nominates Audit Committee to be responsible for ensuring effective scrutiny of the Treasury Management Strategy and Policies.

Responsibilities of the Chief Finance Officer

- a) Ensure that the Council has an annual Treasury Management Strategy which fulfils the Council's legal obligation under the Local Government Act 2003 and to have regard to both the CIPFA code and the WG guidance.
- b) The Chief Finance Officer will operate bank accounts as are considered necessary. Opening or closing any bank account shall require the approval of the Chief Finance Officer. Heads of Service will follow the instructions on banking issued by the Chief Finance Officer.
- c) The Chief Finance Officer will act as the Council's registrar of stocks, bonds and mortgages and maintain records of all borrowing of money by the Council.

Responsibilities of the Chief Officers

- a) Arrange for all trust funds to be held, wherever possible, in the name of the Council. All officers acting as trustees by virtue of their official position shall deposit securities, etc. relating to the trust with the Chief Finance Officer, unless the deed otherwise provides.

- b) Arrange where funds are held on behalf of third parties, for their secure administration, approved by the Chief Finance Officer, and for the maintenance of written records of all transactions.
- c) Ensure that trust funds are operated within any relevant legislation and the specific requirements for each trust.

4.6 Imprest Accounts

Responsibilities of the Chief Finance Officer

- a) Provide employees of the Council with cash or bank imprest accounts to meet minor expenditure on behalf of the Council and prescribe rules for operating these accounts.
- b) Agree, in consultation with the relevant Chief Officer, the petty cash limit and maintain a record of all transactions and petty cash advances made, and periodically review the arrangements for the safe custody and control of these advances.
- c) Reimburse imprest holders as often as necessary to restore the imprests, but normally not more than monthly.
- d) Issue to Officers authorised to receive official money, such change floats as considered necessary, following consultation with the relevant Chief Officer, for the efficient performance of cash collection duties. Such a float shall not be used for any purpose other than the giving of change, and the Officer to whom it is issued shall be responsible at all times for its safe custody until such time as it is repaid to the Chief Finance Officer.
- e) The Chief Finance Officer may at any time require the authorised Officer to produce the float for inspection, to repay it or to sign a certificate of the amount held.
- f) Where considered appropriate the Chief Finance Officer shall open an account with the Council's bankers or other approved agency.

Responsibilities of the Chief Officers

Ensure that a business case is submitted to the Chief Finance Officer for any new Imprest Account. Payments shall be limited to minor items of expenditure up to a general individual limit of £50.

Ensure that employees operating an imprest account:

- (a) Obtain and retain receipts/invoices and vouchers to support each payment from the Imprest account. Where appropriate, an official receipted VAT invoice must be obtained in order to ensure the correct recovery of VAT as per Her Majesty's Revenue and Customs (HMRC) regulations.
- (b) Ensure reimbursement claims are signed by the claimant and one authorising signatory. Imprest controllers must ensure that two authorising signatories are obtained where there are no valid receipts/invoices to support the expenditure.
- (c) Make adequate arrangements for the safe custody of the account.
- (d) Produce upon demand by the Chief Finance Officer cash and all receipts/invoices and vouchers to the total value of the imprest amount.
- (e) Record transactions promptly.
- (f) Reconcile and balance the account at least monthly irrespective of the frequency of reimbursement claims. Reconciliation sheets are to be signed by the imprest holder and two authorising signatories and placed on file.
- (g) The Imprest holder shall not allow the account to become overdrawn. It shall be a standing instruction to the Council's bankers or approved agency that the amount of any overdrawn balance on a Petty Cash Imprest holder's bank account be reported to the Chief Finance Officer.
- (h) Provide the Chief Finance Officer with a certificate of the value of the imprest account/float at the date requested by the Chief Finance Officer.
- (i) Ensure that the imprest is never used to cash personal cheques or to make personal loans and that the only payments into the account are the reimbursement of the float and change relating to purchases where an advance has been made.
- (j) Ensure that payments are never made to individuals, contractors, consultants, casual staff or self-employed persons. The exceptions are where incentive bonus payments are made to service users in Social Services Day Opportunities and payments are made to residents from deputyship monies. Payments can be made from petty cash and then coded appropriately to the correct budget. In the case of deputyship, this is then reclaimed from personal monies.
- (k) Where emergency loans are made to service users, Officers will comply with the Monitoring and Recovery of Loans Procedure.
- (l) On leaving the Council's employment or otherwise ceasing to be entitled to hold or be a signatory for an imprest account inform the Chief Finance Officer so that arrangements can be made to close the account or transfer to another authorised Officer.

4.7 Staffing

Why is this important?

In order to provide the highest level of service, it is crucial that the Council recruits and retains high calibre, knowledgeable individuals, qualified to an appropriate level.

Key Controls

The key controls for staffing are:

- a) An appropriate workforce strategy and policy exists in which workforce requirements and budget allocations are matched.
- b) Procedures are in place for forecasting workforce requirements and cost.
- c) Controls are implemented that ensure that workers time is used efficiently and to the benefit of the Council.
- d) Checks are undertaken prior to engaging new employees to ensure that they are appropriately qualified, experienced and trustworthy.

The management of employee costs within schools is the responsibility of the Governing Body.

Responsibilities of the Chief Finance Officer

To act as an advisor on workforce related costs (e.g. pension contributions) as appropriate.

Responsibilities of the Chief Officers

The Senior Manager (HR & OD) will act as an advisor to a Chief Officer on Human Resources (HR) policies.

Chief Officers will:

- (a) Ensure that budget provision exists for all existing and new employees.
- (b) Monitor employee's activity to ensure adequate control over such costs as sickness, overtime, training and temporary workers.
- (c) Ensure that the staffing budgets are not exceeded without due authority and that they are managed to enable the agreed level of service to be provided.

- (d) When reporting to the Cabinet or Council on any matter which has, or is liable to have, people / HR implications, the Chief Officer shall, in consultation with the Chief Finance Officer and the Senior Manager (HR & OD), incorporate into the report both the people / HR and financial implications of the matter under discussion.
- (e) Maintain a register of interests, in which any hospitality or gifts accepted, must be recorded:
- In compliance with the Flintshire County Council Code of Conduct for Local Government Employees, no employee of the Council shall accept any fee, gift or reward which is intended as, or might be construed as, an inducement to influence that employee in the execution of that employee's duties
 - The offer of any such fee, gift or reward shall be reported immediately by the employee concerned to the appropriate Chief Officer, and shall be recorded in the register of gifts and hospitality

The Senior Manager (HR & OD) will ensure that this policy will be reflected in the HR Policies and other policies, as relevant, of the Council.

5. Financial Systems and Procedures

5.1 General

Why is this important?

The information held in financial systems must be accurate and the systems and procedures well administered. They should contain controls to ensure that transactions are properly processed and errors detected promptly.

Key Controls

The key controls for systems and procedures are:

- a) Basic data exists to enable the Council's objectives, targets, budgets and plans to be formulated.
- b) Performance is communicated to the appropriate managers on an accurate, complete and timely basis.
- c) Early warning is provided of deviations from target, plans and budgets that require management attention.

- d) Operating systems and procedures are secure.

Responsibilities of the Chief Finance Officer

To make arrangements for the proper administration of the Council's financial affairs, including to:

- a) Issue advice, guidance and procedures for officers and others acting on the Council's behalf.
- b) Determine the accounting systems, form of accounts and supporting financial records.
- c) Establish arrangements for audit of the Council's financial affairs.
- d) Approve any new financial systems to be introduced.
- e) Approve any changes to be made to existing financial systems.

Responsibilities of the Chief Officers

- a) To ensure that accounting records are properly maintained and held securely.
- b) To ensure that vouchers and documents with financial implications are not destroyed except in accordance with arrangements approved by the Chief Finance Officer.
- c) To ensure that a complete management trail, allowing financial transactions to be traced from the accounting records to the original documents and vice versa is maintained.
- d) To incorporate appropriate controls to ensure where relevant that all input is genuine, complete, accurate, timely and not previously processed. All processing is carried out in an accurate, complete and timely manner and output from the system is complete, accurate and timely.
- e) To ensure that the organisational structure provides an appropriate segregation of duties to provide adequate internal controls and to minimise the risk of fraud or other malpractice.
- f) To ensure there is a documented and tested disaster recovery plan to allow for information system processing to resume quickly in the event of an interruption.
- g) To ensure that systems are documented and staff trained in operations.
- h) To consult with the Chief Finance Officer before changing any existing system or introducing new systems.

- i) To establish a scheme of delegation identifying officers authorised to act upon the Chief Officer's behalf in respect of payments, income collection and placing orders, including variations and showing their authorised limits.
- j) To supply lists of authorised officers, with specimen signatures and delegated limits to the Chief Finance Officer and any subsequent variations.
- k) To ensure that where appropriate, computer systems are registered in accordance with current data protection legislation and that staff are aware of their responsibilities under the legislation. The law around data protection has changed, the General Data Protection Regulation (GDPR) now applies in the UK (from 25th May 2018) and has replaced the Data Protection Act (DPA).

5.2 Income and Expenditure

Why is this important?

Effective income collection systems are necessary to ensure that all income is identified, collected, receipted and banked properly. It is preferable to obtain income in advance of supplying goods or services as this improves the Council's cashflow and avoids the time and cost of administering debts.

Key Controls

The key controls for income are:

- a) All income due to the Council is identified and charged correctly, in accordance with the Council's Income Generation Policy, which is regularly reviewed.
- b) All income is collected from the correct person at the right time using the correct procedures.
- c) All money received by an employee on behalf of the Council is paid without delay to the Chief Finance Officer or as he or she directs to the Council's bank account and properly recorded. The responsibility for cash collection should be separated from that of identifying the amount due and for reconciling the amount due to the amount received.
- d) Effective action is taken to pursue non-payment within defined timescales.
- e) Formal approval for debt write-off is obtained.

- f) Appropriate write-off action is taken within defined timescales.
- g) Appropriate accounting adjustments are made following write-off action.
- h) All appropriate income documents are retained and stored for the defined period in accordance with the document retention schedule.
- i) Money collected and deposited is reconciled to the bank account by a person who is not involved in the collection or banking process.
- j) The Council's position on money laundering is contained within the Money Laundering Policy, which is available upon request from the Chief Finance Officer. Officers involved in the collection of income should make themselves aware of this policy and report suspected cases to the Chief Finance Officer. For this purpose, the Council cannot accept cash in excess of £5,000, although it is for individual officers to decide if, in specific instances, they should report incidents involving lesser amounts. In any situation requiring a sizeable refund the Officer involved should check the original type of lodgement.

Responsibilities of the Chief Finance Officer

- a) To agree arrangements for the collection of all income due to the Council and to approve the procedures, systems and documentation for its collection.
- b) To order, control and issue all receipts, invoices, tickets and other documents recording, acknowledging, or demanding the receipt of monies paid to the Council, except where the Chief Finance Officer has given written approval to alternative arrangements in specific instances.
- c) Agree the write-off of bad debts up to £5,000 in aggregate for each single domestic or business debtor, agree in consultation with the Cabinet Member the write-off of bad debts over those amounts but up to £25,000 and refer for approval items for write-off in excess of £25,000 to the Cabinet. A record of all sums written off up to the approved limit is maintained to adhere to the requirements of the Accounts and Audit Regulations
- d) Make or approve secure and efficient arrangements for the recording of all income received by direct debit, standing order, debit and credit cards and such other methods of payment as the Council may approve.
- e) To ensure that appropriate accounting adjustments are made following write-off action.

Responsibilities of the Chief Officers

- a) To comply with the Income Generation Policy which has been established to support the provision of setting the Council's fees and charges, ensuring these operate at full cost recovery wherever possible and are subject to annual review and uplift.

- b) Where possible income should be obtained in advance of supplying goods or services to improve the Council's cash flow, to avoid the time and cost of administering debts, and to reduce the risk of non-collection, particularly for low value items.
- c) No Sundry debt invoices with a value of less than £40, with the exception of invoices relating to peppercorn rents, licenses or leases in connection with the occupation of council land or property, shall be raised without the approval of the Chief Finance Officer and supported by an application in writing.
- d) To separate the responsibility for identifying amounts due and the responsibility for collection.
- e) To initiate appropriate debt recovery procedures in accordance with the Corporate Debt policy.
- f) To issue official receipts or to maintain other documentation for income collection.
- g) To ensure that at least two employees are present when post is opened so that money received by post is properly identified and recorded.
- h) To lock away all income to safeguard against loss or theft and to ensure the security of cash handling.
- i) To ensure that income is paid fully and promptly into the appropriate Council bank account in the form in which it is received.
- j) To ensure income is not used to cash personal cheques or other payments.
- k) To supply the Chief Finance Officer with details relating to work done, goods supplied, services rendered or other amounts due, to enable the Chief Finance Officer to record correctly the sums due to the Council and to ensure accounts are sent out promptly. If possible all invoices should be raised within 5 working days of the provision of goods or services or at the earliest opportunity.
- l) Have a responsibility to assist the Chief Finance Officer in collecting debts that they have originated, by providing any further information requested by the debtor, and in pursuing the matter on the Council's behalf.
- m) To recommend to the Chief Finance Officer all debts to be written off and keep a record of all sums written off up to the approved limit. Once raised, no bona fide debt may be cancelled except by full payment or by it being subject to formal writing off.

- n) Ensure that levels of cash held on the premises do not exceed approved limits.
- o) Keep a record of every transfer of cash between employees of the Council. The receiving officer must sign for the transfer and the transferor must retain a copy. Every transfer of cash shall be made direct by hand and not through the internal or external post (unless by prior approval from the Chief Finance Officer).
- p) To obtain the approval of the Chief Finance Officer when writing off debts in excess of the approved limit and the approval of Cabinet where required.

5.3 Ordering and paying for work, goods and services

Why is this important?

Public money should be spent with demonstrable probity and in accordance with the Council's policies. The Council has a statutory duty to achieve best value through economy and efficiency. The Council's procedures should help ensure that services obtain value for money from their purchasing arrangements. These procedures should be read in conjunction with the Council's Contract Procedure Rules.

General

Every officer and Member of the Council has a responsibility to declare any links or personal interests that they may have with purchasers, suppliers and/or contractors if they are engaged in contractual or purchasing decisions on behalf of the Council in accordance with the appropriate codes of conduct.

Official orders must be submitted in advance via the Purchase to Pay system (P2P). No retrospective orders should be placed. Official orders must be issued for all work, goods or services to be supplied to the Council except for petty cash purchases or other exceptions specified by the Chief Finance Officer.

Each order must conform to the guidelines approved by the full Council on central purchasing and the standardisation of supplies and materials. Standard terms and conditions must not be varied without the prior approval of the Chief Finance Officer.

Apart from petty cash, schools own bank accounts and other payments in advance accounts, the normal method of payment from the Council shall be by BACS or other instrument or approved method drawn on the Council's bank account. The use of direct debit shall require the prior agreement of the Chief Finance Officer.

Official orders must not be raised for any personal or private purchases, nor must personal or private use be made of Council contracts.

Key Controls

The key controls for ordering and paying for work, goods and services are:

- a) All goods and services are ordered only by appropriate persons and are correctly recorded.
- b) All goods and services shall be ordered in accordance with the Council's Contract Procedure Rules.
- c) All orders are submitted via Purchase to Pay (P2P) and placed in advance of the relevant work, goods services or works being supplied.
- d) Goods and services received are checked to ensure they are in accordance with the order. Goods should not be received by the person who placed the order.
- e) Payments are not made unless goods have been received by the Council to the correct price, quantity and quality standards.
- f) All payments are made to the correct person, for the correct amount and are properly recorded, regardless of the payment method.
- g) All appropriate evidence of transaction and payment documents are retained and stored for the defined period in accordance with the document retention schedule.
- h) All expenditure, including VAT, is accurately recorded against the right budget and any exceptions corrected.
- i) The effect of electronic purchasing requires that processes are in place to maintain the security and integrity of data for transacting business electronically.
- j) Purchases made using corporate credit cards:
 - Must be made in accordance with these Financial Procedure rules and requires the cardholder to obtain a valid receipt for each item purchased to ensure the expenditure and VAT can be properly accounted for
 - Must only be used for legitimate purposes and only for official Council purchases
 - Must not be used to circumvent the official procedures of ordering and procuring goods and services

Responsibilities of the Chief Finance Officer

- a) To ensure that all the Council's financial systems and procedures are sound and properly administered.
- b) All procurement activities (ordering of goods, services and works) will be undertaken on the Council's approved Purchase to Pay (P2P) system.

- c) To approve any changes to existing financial systems and to approve any new systems before they are introduced.
- d) To approve the form of official orders and associated terms and conditions.
- e) To make payments from the Council's funds on the Chief Officer's authorisation that the expenditure has been duly incurred in accordance with financial procedure rules.
- f) To make payments, whether or not provision exists within the estimates where the payment is specifically required by statute or is made under a court order.
- g) To make payments to contractors on the certificate of the appropriate Chief Officers which must include details of the value of work, retention money, amounts previously certified and amounts now certified.
- h) To provide advice and encouragement on making payments by the most economical means.
- i) To ensure that a budgetary control system is established that enables commitments incurred by placing orders to be shown against the appropriate budget allocation so that they can be taken into accounts in budget monitoring reports.
- j) To authorise the issue of corporate Credit cards together with the agreed spending limit.

Responsibilities of the Chief Officers

- a) To ensure that upfront electronic orders using the Purchase to Pay (P2P) system are placed for all goods and services other than petty cash purchases and any other exemptions specified by the Chief Finance Officer.
- b) To ensure that orders are only used for goods and services provided to the Portfolio. Individuals must not order goods or services for their private use.
- c) To ensure that only those staff authorised by the Chief Officer approve orders and to maintain an up to date list of such authorised staff including specimen signatures identifying in each case the limits of their authority. The list should be reviewed annually. Names of authorising Officers together with details of the limits of their authority shall be forwarded to the Chief Finance Officer and any subsequent amendments incorporated into the P2P system.

- d) The authoriser of the order should be satisfied that the goods and services ordered are appropriate and that there is adequate budgetary provision and that quotations or tenders have been obtained if necessary. Best value principles should underpin the Council's approach to procurements. Value for money should always be achieved.
- e) To ensure that all expenditure, including VAT, is accurately recorded against the correct budget head and any exceptions are corrected. If it is deemed that a budget amount has been incorrectly allocated, a Chief Officer will request a journal adjustment. Under no circumstances will the expenditure be incorrectly coded in order to match the expenditure with an incorrect budget allocation.
- f) Each Chief Officer shall be responsible for all orders issued from, or on behalf of, his or her Portfolio. Where one Chief Officer places an order on behalf of another, that Chief Officer shall obtain the latter's consent in advance.
- g) To ensure that goods and services are checked on receipt to verify that they are in accordance with the order. This check should where possible be carried out by a different officer from the person who authorised the order.
- h) To ensure that payment is not made unless a proper VAT invoice has been received, checked, coded and certified for payment confirming:
- Receipt of goods or services
 - That the invoice has not been previously paid
 - That expenditure has been properly incurred and is within budget provision
 - That prices and arithmetic are correct and accord with quotations, tenders, contracts or catalogue prices
 - Correct accounting treatment of tax
 - That discounts have been taken where available
 - That appropriate entries will be made in accounting records
- f) To ensure that two authorised members of staff are involved in the ordering, receiving and payment process and appropriate segregation of duties are maintained at each stage.
- g) To ensure that the Portfolio maintains and reviews periodically a list of staff approved to authorise the invoices. Names of authorising officers together with specimen signatures and details of the limits of their Council shall be forwarded to the Chief Finance Officer.
- h) To ensure that payments are not made on a photocopied or faxed invoice, statement or other document other than the formal invoice.
- i) To encourage suppliers of goods and services to receive payments by the most economical means for the Council. Payments made by direct debit must have the prior approval of the Chief Finance Officer.

- j) To ensure that the directorate obtains the best value from purchases by taking appropriate steps to obtain competitive prices for goods and services of the appropriate quality with regard to best value principles and Contract Procedure Rules.
- k) To ensure that loans, leasing or rental arrangements are not entered into without prior agreements from the Chief Finance Officer.
- l) To notify the Chief Finance Officer of outstanding expenditure relating to the previous financial year as soon as possible after 31 March in line with the timetable determined by the Chief Finance Officer.
- m) To notify the Chief Finance Officer immediately of any expenditure incurred as a result of statute/court order where there is no budgetary provision.
- n) To ensure that all appropriate payment records are retained and stored for the defined period in accordance with the document retention schedule.
- o) For all staff issued with a Corporate Credit card, to ensure that they:
 - Comply with the Corporate Card Policy issued upon receipt of the Corporate Card
 - Ensure the safe custody of the card

5.4 Payments to employees and Members

Why is this important?

Staff costs are the largest item of expenditure for most Council services. It is therefore important that payments are accurate, timely, made only where they are due for services to the Council and that payments accord with individuals' conditions of employment. It is important that all Members' allowances are authorised in accordance with the scheme adopted by the full Council.

Key Controls

The key controls for payments to employees and Members are:

- a) Proper authorisation procedures are in place and that there are corporate timetables in relation to starters, leavers and variations to pay.
- b) Frequent reconciliation of payroll expenditure against approved budget and bank account.

- c) All appropriate payroll documents are retained and stored for the defined period in accordance with the retention schedule.
- d) Compliance with HMRC and other statutory regulations.
- e) All claims for payment of financial loss, attendance, travelling, subsistence and car allowances and other incidental expenses paid for by the claimant, shall be completed and signed by the claimant in a form approved by the Corporate Finance Manager or Senior Manager (HR & OD) as appropriate.
- f) The off-payroll (IR35) working rules are in place to ensure that where an individual would have been an employee if they were providing their services directly, their payments are processed via payroll.

Responsibilities of the Corporate Finance Manager

The Corporate Finance Manager or Senior Manager (HR & OD) as appropriate will:

- a) Arrange and control secure and reliable payment of salaries, pensions, compensation or other emoluments to existing and former employees, in accordance with procedures prescribed by him or her, on the due date.
- b) Record and make arrangements for the accurate and timely payment to all appropriate statutory and non-statutory bodies including Pay as you Earn (PAYE), pensions and other payroll deductions.
- c) Make arrangements for payment of all travel and subsistence claims or financial loss allowance.
- d) Make arrangements for paying Members' under the Members Allowances Scheme and the Members Travel and Subsistence Scheme, which will be maintained by the Corporate Finance Manager or Senior Manager (HR & OD) as appropriate.
- e) Ensure that there are adequate arrangements for administering pension scheme matters on a day-to-day basis.
- f) Maintain a list of all officers who are approved to authorise any payroll related records as notified by the relevant Chief Officer. This shall be reviewed on a regular basis. Chief Officers must communicate any changes as soon as they are known.

- g) Implement pay agreements as soon as possible after their notification from the appropriate body and process increments. Arrangements for funding such awards will be determined each year as part of the budgetary process.
- h) Retain for each employee, a copy of contracts and terms and engagements together with sufficient information to identify service, salary scale and current amount payable and absences from duty (apart from approved leave).

Responsibilities of the Chief Officers

- a) To provide the Senior Manager (HR & OD) in writing with the names of officers authorised to certify claims for expenses together with the specimen signature of each such authorised Officer, and any amendments on the occasion of any change. Certification of a claim by, or on behalf of, a Chief Officer shall signify that the certifying Officer is satisfied that the journeys were authorised, that the expenses were necessarily incurred in the performance of duty, that the allowances are properly payable by the Council, and that cost-effective travel arrangements are achieved.
- b) To ensure that claims are submitted to the Senior Manager (HR & OD) for payment within the specified timescale. Ensure appointments are made in accordance with the Procedure Rules of the Council and approved establishments, grades, scale of pay and that adequate budget provision is available.
- c) Notify the Senior Manager (HR & OD) of all appointments, terminations (resignations, dismissals) or variations (secondments, transfers, absences from duty through sickness or other reasons apart from approved leave, changes in remuneration, other than normal increments and pay awards and agreements of general application) which may affect the pay or pension of an employee or former employee, in the form and to the timescale required by the Senior Manager (HR & OD) as appropriate.
- d) Ensure that adequate and effective systems and procedures are operated in a form approved by the Senior Manager (HR & OD), so that payments are only authorised to bona fide employees:
 - Payments are only made where there is a valid entitlement
 - Conditions and contracts of employment are correctly applied
 - Employees' names listed on the payroll are checked at regular intervals to verify accuracy and completeness
- e) Provide information necessary to maintain records of service for pensions, income tax, national insurance or other statutory obligations.

- f) Ensure that payroll transactions are processed only through the payroll system. Chief Officers should give careful consideration to the employment status of individuals employed on a self-employed, consultant or subcontract basis. HMRC applies a tight definition for employee status, and in cases of doubt, advice should be sought from the Senior Manager (HR & OD).
- g) Ensure that the Senior Manager (HR & OD) is notified of the details of any employee benefits in kind, to enable full and complete reporting within the income tax self-assessment system.
- h) In conjunction with the Senior Manager (HR & OD), maintain an up to date establishment structure and adhere to the Establishment Control Maintenance Process.
- i) The Senior Manager (HR & OD) will be responsible for recovering payroll overpayments where the employee continues to have employment with the Council and where the overpayment is £750 or less. A repayment schedule, ensuring repayment is made within the same financial year as the overpayment, will be formally agreed with the employee.
- j) For all payroll overpayments in excess of £750, irrespective of employment status, recovery of the overpayment will be the responsibility of Debt Recovery, ensuring that such overpayments are included within the Council's total debt.
- k) All pay documents shall be, in a manner prescribed by the Senior Manager (HR & OD), certified manually by or on behalf of the appropriate Chief Officer. The names of Officers authorised to certify such documents shall be agreed with, and notified in writing to the Senior Manager (HR & OD) by each Chief Officer, who shall provide the Corporate Finance Manager with the specimen signature and initials of each such authorised Officer and any amendments on the occasion they arise.
- l) Chief Officers and the Senior Manager (HR & OD) will ensure that all appropriate payroll documents are retained and stored, as required, by the Senior Manager (HR & OD).
- m) No cheque made payable to a Member or employee will be cashed by the Council, unless it is under a scheme approved by the Corporate Finance Manager and is presented by the person named on the cheque, and duly endorsed.
- n) Members and employees will submit claims for travel and subsistence on a monthly basis and comply with the Mileage and Expenses Policy. Mileage and expense claims over three months old will only be paid once a satisfactory written explanation of the late submission has been provided from the relevant Service Manager to the Senior Manager (HR and OD).

- o) Timesheets, Employee Self Service and other documents which are used to generate payment of salaries or other employee related expenses must be on official forms or via authorised electronic inputs. Chief Officers are responsible for ensuring that they are certified by an authorised Certifying Officer.

5.5 Taxation

Why is this important?

The Council is responsible for ensuring its tax affairs are in order. Tax issues are often very complex and the penalties for incorrectly accounting for tax are severe. It is therefore very important that all officers are made aware of their role.

Key Controls

The key controls for taxation are:

- a) Budget managers are provided with the relevant information and kept up to date on tax issues.
- b) Budget managers are instructed on required record keeping.
- c) All taxable transactions are identified, properly carried out and accounted for within stipulated timescales.
- d) Records are maintained in accordance with instructions.
- e) Returns are made to the appropriate authorities within the stipulated timescale.

Responsibilities of the Chief Finance Officer

- a) The Chief Finance Officer and / Senior Manger HR & OD (as appropriate as described below) is responsible for advising Chief Officers and Heads of Service, on all taxation issues that affect the Council.
- b) The Chief Finance Officer or Senior Manger HR & OD as appropriate is responsible for maintaining the Council's tax records, making tax payments, receiving tax credits and submitting tax returns by their due date.
- c) Complete a monthly return of Value Added Tax (VAT) inputs and outputs to HMRC.

- d) Be responsible for accounting to the appropriate agency for other forms of taxation payable to or by the Council and for supplying to such agencies such other information as they may validly require.
- e) Provide details to HMRC regarding the construction industry tax deduction scheme.
- f) Maintain up-to-date guidance for each Chief Officer on their responsibilities in regard to any taxation matters, and to individual Council employees on taxation issues.
- g) The Senior Manger (HR & OD), with guidance from the Chief Finance Officer, will:
- Account to HMRC for all tax deducted from employees' emoluments under the PAYE arrangements
 - Maintain up-to-date guidance for Chief Officers on their responsibilities in regard to taxation matters relating to Payroll, and inform Council employees of taxation issues arising within Payroll
- h) The Chief Finance Officer or Senior Manger (HR & OD) as appropriate may require from any employee of the Council such information as is necessary for fulfilment of their obligation under this Financial Procedure Rule.

Responsibilities of the Chief Officers

- (a) Ensure that for any purchase which is taxable under current VAT legislation, payment will only be made on receipt of a proper invoice complying with the VAT regulations. The only exceptions are where an invoice is properly issued by the supplier on receipt of payment or where the use of authenticated VAT receipts has been agreed with the supplier.
- (b) Ensure that the correct VAT liability is attributed to all income due and that the recovery of VAT on purchases, including those paid for via an imprest account or corporate card, complies with HMRC Customs regulations.
- (c) Ensure that, where construction and maintenance works are undertaken, the contractor fulfils the necessary construction industry tax deduction requirements.
- (d) Ensure that all persons employed by the Council are added to the Council's payroll and tax deducted from any payments, except where the individuals are bona fide self-employed or are employed by a recognised staff agency.
- (e) Follow the guidance on taxation issued by the Senior Manger (HR & OD) such as the "Tax Management: Corporate Policy Statement"; in the "VAT Manual" and in taxation updates issued periodically.

- (f) Seek advice from the Chief Finance Officer or Senior Manager (HR & OD) as appropriate on VAT, or other tax implications, when entering into partnerships and other joint working arrangements.

5.6 Trading Accounts and Business Units

Why is this important?

Trading accounts and business units will become more important as services develop a more commercial culture. Authorities are required to keep trading accounts for services provided on a basis other than a straightforward recharge of cost.

Where services are provided via an 'Alternative Delivery Model' (separate legal entities), specific financial procedures will be incorporated into the individual models.

Responsibilities of the Chief Finance Officer

To advise on the establishment and operation of trading accounts and business units.

Responsibilities of the Chief Officers

- a) To consult with the Chief Finance Officer where a business unit wishes to enter into a contract with a third party where the contract exceeds the remaining life of their main contract with the Council.
- b) To observe all statutory requirements in relation to business units, including the maintenance of a separate revenue account to which all relevant income is credited and all relevant expenditure, including overhead costs is charged to produce an annual report in support of the final accounts.
- c) To ensure that the same accounting principles are applied in relation to trading accounts as for other services or business units.
- d) To ensure that each business unit prepares an annual business plan.

6. External Arrangements

6.1 Partnerships

Why is this important?

Partnerships play a key role in delivering community strategies and in helping to promote and improve the well-being of an area. The Council can still deliver some services, but their distinctive leadership role is to bring together the contributions of the various stakeholders and deliver a shared vision of services based on user wishes.

Key Controls

The key controls for Council partners are:

- a) If appropriate to be aware of their responsibilities under the Council's financial regulations and contract standing orders.
- b) To ensure that risk management processes are in place to identify and assess all known risks.
- c) To ensure that project appraisal processes are in place to assess the viability of the project in terms of resources, staffing and expertise.
- d) To agree and accept formally the roles and responsibilities of each of the partners involved in the project before the project commences.
- e) To communicate regularly with other partners throughout the project so that problems can be identified and shared to achieve their successful resolution.

General

- a) Both the Council and the Cabinet are responsible for approving delegations, including frameworks for partnerships and joint ventures. The Cabinet is the focus for forming partnerships and joint ventures with other local public, private, voluntary and community sector organisations to address local needs.
- b) Both the Council and the Cabinet can delegate functions – including those relating to partnerships – to Officers. These are set out in the Scheme of Delegation that forms part of the Council's Constitution. Where functions are delegated the Officers remain accountable for them to the Council and the Cabinet as appropriate.

c) The Head of Paid Service or other nominated Officers will represent the Council on partnerships and external bodies, in accordance with decisions of the Council/Cabinet or otherwise as authorised by the Head of Paid Service.

Responsibilities of the Chief Finance Officer

a) Be responsible (with the Monitoring Officer) for encouraging the same high standards of conduct (with regard to financial administration and other matters, respectively) in partnerships and joint ventures that apply throughout the Council insofar as the constitutions of respective organisations permit them to do so.

b) Ensure that the accounting arrangements to be adopted relating to partnerships and joint ventures are appropriate. He or she, in consultation with the Monitoring Officer, must also consider the overall corporate governance arrangements and legal issues when arranging contracts with external bodies, ensuring that the risks have been fully appraised before agreements are entered into.

c) Advise on the key elements of funding a project, including:

- An options appraisal scheme for financial viability
- Risk appraisal and management
- Resourcing, including taxation and pension issues
- Audit, security and control requirements
- Carry-forward arrangements

d) Ensure that the accounting arrangements are appropriate.

Responsibilities of the Chief Officers

a) To be responsible for ensuring that appropriate approvals are obtained before any negotiations are concluded in relation to work with external bodies. (The Monitoring Officer will advise on legal matters).

b) Maintain a register of all contracts entered into with external bodies in accordance with procedures specified by the Chief Finance Officer.

- c) Ensure that, before entering into agreements with external bodies, a risk management and options appraisal has been prepared for the Cabinet, in consultation with the Chief Finance Officer and Monitoring Officer.
- d) Ensure that all agreements and arrangements are properly documented.
- e) Provide appropriate information to the Chief Finance Officer to enable a note to be entered into the Council's Statement of Accounts concerning material items.
- f) Ensure that the project progresses in accordance with the agreed plan and that all expenditure is properly incurred and recorded.

- g) Ensure that loans are not made to third parties and that interests are not acquired in companies, joint ventures or other enterprises without the approval of the Council, following consultation with the Chief Finance Officer.

- h) Seek advice from the Chief Finance Officer or Senior Manager (HR & OD) as appropriate on VAT, or other tax implications, when entering into partnerships.

6.2 External Funding including Grants

Why is this important?

External funding is potentially a very important source of income, but funding conditions need to be carefully considered to ensure that they are compatible with the aims and objectives of the Council. Local authorities are increasingly encouraged to provide seamless service delivery through working closely with other agencies and private service providers.

Key Controls

The key controls for external funding are:

- a) To ensure that key conditions of funding and any statutory requirements are complied with and that the responsibilities of the accountable body are clearly understood.
- b) To ensure that funds are acquired only to meet the priorities approved in the policy framework by the full council.

- c) To ensure that any match funding requirements are given due consideration prior to entering into long term agreements and that future revenue budgets reflect these requirements.

Responsibilities of the Chief Finance Officer

- (a) Ensure that all funding notified by external bodies is received and properly recorded in the Council's accounts.
- (b) Ensure that all grant income and associated information is logged on the Corporate Grants Database and adhere to the requirements of the Grant Manual.
- (c) Ensure that audit requirements are met.
- (d) Ensure that match funding requirements are considered prior to entering into the agreements and that future revenue budgets reflect these requirements.

Responsibilities of the Chief Officers

- a) Ensure that key conditions of funding and any statutory requirements are complied with and that the responsibilities of the accountable body are clearly understood.
- b) Ensure that funds are acquired only to meet the priorities approved by the Council in the policy framework.
- c) Ensure that any match-funding requirements are given due consideration and that future revenue budgets reflect these requirements, before entering into long-term agreements.
- d) Ensure that all claims for funds are made by the due date.

- e) Ensure that proposals are costed properly and that the approval of the Cabinet is obtained before any negotiations are concluded to work for third parties.
- f) Ensure that contracts are drawn up and maintain a register of all contracts entered into with third parties.
- g) Ensure that appropriate insurance arrangements are made, via the Chief Finance Officer.
- h) Ensure that, as far as possible, the Council is not put at risk from any bad debts.
- i) Ensure that no contract is subsidised by the Council.
- j) Ensure that such contracts do not impact adversely upon the services provided for the Council.

- k) Have in place an exit strategy to implement when the funding ceases. This strategy must allow for all costs associated with the winding up, including any costs arising because staff have gained employment rights, being met from within the externally provided monies and, therefore, at no additional cost to the Council. If the terms of the external funding do not allow such costs to be met from it, then they must be met from within the base budget of the Portfolio concerned.
- l) Provide appropriate information to the Chief Finance Officer to enable a note to be entered into the Statement of Accounts, as required.
- m) Ensure that all grant income is coded, in the first instance, to the appropriate balance sheet code in order to avoid double counting the overall income and expenditure of the Council.

Other Funds

Why is this important?

The Council will not as a general rule supervise the financial administration of, nor audit, unofficial funds, and accepts no liability whatsoever for any loss however caused. Unofficial funds are defined as those which are not the property of the Council, for example school monies collected by schools for school trips and monies held in Amenities Funds in Social Services establishments. Those operating such funds, therefore, have an overall responsibility to ensure that proper financial stewardship is observed.

Key Controls

- (a) A Treasurer and independent auditor are formally appointed.
- (b) Proper rules are operated to secure adequate standards.
- (c) Adequate records and procedures are maintained.
- (d) Regular reports on fund transactions and balances are received and checked against bank statements.
- (e) Annual statements of income and expenditure and fund balances are prepared and audited on a timely basis.

General

The School Fund Regulations, 2013 must be followed for the operation of all school funds in Flintshire Schools and ensure that funds are only used for the purpose that they are intended for as per the regulations.

Responsibilities of the Chief Finance Officer

Prepare the note to be entered into the Statement of Accounts

Responsibilities of the Chief Officers

Those operating or intending to operate unofficial funds are also required to:

- (a) Notify the Chief Finance Officer of details of the fund as soon as it is set up.
- (b) Provide an independent audit certificate for the fund on an annual basis.
- (c) Provide appropriate information to the Chief Finance Officer to enable a note to be entered into the Statement of Accounts, as required.

Protection of Clients Assets

Why is this important?

Where the Council is appointed as a Deputy for a Client by the Office of the Public Guardian (OPG), the Chief Officer will ensure that all OPG regulations and guidelines are complied with.

Where the Council is approved by the Department for Work and Pensions (DWP) to act as a Corporate Appointee for a Client, Chief Officers will ensure that all guidelines provided by the DWP are complied with.

Key Controls

Responsibilities of the Chief Officers

Heads of Service will ensure that a separate bank account is arranged for each Client, with the bank account reconciled on a regular basis, at least monthly.

Every transfer of clients monies from one Officer to another shall be recorded immediately in a manner approved by the Chief Finance Officer and shall be evidenced by the signature of the receiving Officer.

Mae'r dudalen hon yn wag yn bwrpasol

GLOSSARY OF FINANCIAL TERMS	
Aggregate External Finance (AEF)	Aggregate external finance (AEF) represents the support for local revenue spending from the Welsh Government and is made up of formula grant. Formula grant includes the revenue support grant (RSG), and the distributable part of non-domestic rates (NDR). Amounts are determined annually and in advance of each new financial year as part of the Local Government Financial Settlement.
Annual Report & Accounts	The document that contains a summary of the purpose of the local authority, its activities and performance for the year, as well as the annual accounts.
Anti Canvassing	A declaration that a supplier, provider or contractor has not been party to canvassing or lobbying Council staff or Members either directly or indirectly to gain preferential treatment in competitive tendering processes.
Anti Collusive	A declaration that a supplier, provider or contractor has not been party to possibly fraudulent arrangements between two or more of them whereby prices or service requirements are manipulated to get round competitive tendering.
Assets	Any item of value owned by an entity (e.g. buildings, vehicles). Assets can be classed as Non-current or capital assets where the asset has a useful life of more than one year (e.g. buildings, vehicles), or a current asset which includes cash or other assets which can reasonably be expected to be converted to cash in the normal course of business including stocks, debtors etc.
Audit Certificate	The document that contains the opinion of the external auditor regarding an organisation's accounts, systems and standards.
Audit Committee	Audit Committees monitor and review the risk, control and governance processes that have been established in an organisation and the associated assurance processes to ensure that internal control systems are effective and that activities are within the law and governing regulations. This is done through a process of constructive challenge.
Audit Plan	Internal audit identification of the work that they intend carrying out over the audit planning period (up to a year) and the resources needed for that work.
Barnett Formula	The formula used to allocate a population based share of changes in planned expenditure on comparable services by Departments of the UK Government to the devolved administrations of Wales, Scotland and Northern Ireland. The Barnett Formula calculates the size of change to the assigned budget rather than the total assigned budget.
Benchmarking	A method for councils to work out how well they are doing, by comparing their performance with other, similar councils, and with performance indicators.
Best value	A statutory duty owed by local authorities to their local community, requiring them to make continuous improvements in the way they carry out their functions having regard to a combination of economy, efficiency and effectiveness.
Block Grant	The Block Grant is the sum of money voted by parliament to the Secretary of State for Wales. It constitutes the assigned element of the

Appendix 2

	Welsh Governments' Departmental Expenditure Limit and is calculated from the existing baseline using the Barnett Formula.
Budget	A statement expressing the Council's policies and service levels in financial terms for a particular financial year. In its broadest sense it includes both the revenue budget and the capital programme and any authorised amendments to them.
Budget Book	The publication in which the Council sets out its budget for a particular financial year.
Budget Head	For a particular service activity, the level of detail at which revenue or capital budgets are approved by the Council, whether in the Budget Book, the latest approved capital programme or as a result of supplementary estimates approved for the budget year.
Budgetary Control	The continual review of expenditure and income, both revenue and capital, against planned levels of expenditure and income to help ensure that service objectives are achieved and the overall resources of the Council are not over or under spent. This process is aided by the use of budget profiles.
Capital Programme	The Council's financial plan covering capital schemes and expenditure proposals for the current year and a number of future years. It also includes estimates of the capital resources available to finance the programme.
Capital Charges	A calculation of the annual costs, included within the revenue accounts of using capital assets. This includes, where appropriate depreciation.
Capital Expenditure	Spending on non-current assets (buildings, equipment and land) intended to benefit future accounting periods or spending that increases the capacity, economy, efficiency or lifespan of an existing asset.
CIPFA	Chartered Institute of Public Finance and Accountancy
Code of Corporate Governance	The part of the Council's constitution which sets out the systems and processes, and cultures and values necessary for achieving and demonstrating good corporate governance.
Codes of Conduct	The protocols within which Members and Officers will work as set out in the Constitution.
Codes of Practice	Guidance issued by professional bodies in relation to standards which are not regulated by statute, or by the Council itself.
Collaborative Arrangement	A contract or agreement established in conjunction with one or more other organisations.
Collaboration/ Consortium	The process of procurement shared between different Councils or other public sector organisations.
Construction Industry Scheme 2007	Legislation designed to ensure that all payments to contractors are made in accordance with HMRC legislation.
Consultant	A person (not an employee), agency or firm engaged for a limited period of time on a fee basis to carry out a specific task or tasks. A consultant provides subject matter expertise and/or experience to the Council either because it does not possess the skills or resource in-house or which requires an independent evaluation/assessment to be made

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Contract	An agreement to be supplied with goods, works, services or supplies on mutually agreed and binding terms, often in writing.
Contractor/ Supplier/ Provider	The successful 'other party' with whom a contract is formed to provide the specified requirement.
Corporate Contracts	A contract which has been procured by Flintshire County Council or a Consortium for the potential use of, and on behalf of, the whole of Flintshire.
Corporate Governance	The system by which organisations are directed and controlled. The framework that ensures that an organisation fulfils its overall purpose, achieves its intended outcomes for residents of Flintshire and service users, and operates in an effective, efficient and ethical manner.
Council Fund	The fund to which all the Council's revenue expenditure is charged
Council Tax	A local tax based on the capital value of residential properties.
Council Tax Base	The estimated number of chargeable properties, expressed as the equivalent number of 'Band D' properties in the Council's area. The Council is required to annually advise the Welsh Government of its Council Tax Base (as at 31 st October), which they use in the Local Government Financial Settlement, and to allow the County Council, North Wales Police Authority and Town / Community Councils to calculate the following year's Council Tax charges.
Council's Constitution	The Constitution sets out how Flintshire County Council operates, how decisions are made and the procedures which are followed to ensure that the Council is efficient, transparent and accountable to local people.
Council's Monitoring Officer	The Officer designated by the Council as its Statutory Monitoring Officer.
Creditors	A person or body to whom the Council owes money.
Debtors	A person or body who owes the Council money. The debt may derive from a number of sources such as Council Tax or rent arrears, rechargeable works or where an account has been rendered for a service provided by the Council.
E procurement	The effective use of ICT to communicate and transact Council business with suppliers etc.
E tender	The effective use of ICT to undertake tenders.
Estimated Outturn	Estimates of the expenditure to the end of the financial year, made on the basis of actual expenditure incurred to date.
External Audit	External auditors provide an independent check that the annual accounts of a body properly reflect the financial year, funds were spent in accordance with relevant regulations or directions, and that the body achieves the best possible value for public money. External audit may also carry out value for money or other reviews of services.
Financial Regulations	That part of the Council's Constitution which provides an approved framework for the proper financial management of the authority.
Financial year	The period of twelve months commencing on 1 April
Framework Agreements	An arrangement under which a contracting Authority establishes with a provider of goods, works or services, the terms under which contracts subsequently can be entered into, or 'called-off' (within the limits of the agreement) when particular needs arise.

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Fraud	Fraud is an intentional deception made for personal gain or to damage another individual. Good internal controls and governance arrangements are essential to minimise the risk of fraud. When council suffer fraud or theft it is often the case that the perpetrator has prepared false documents to disguise or to cover up the theft or fraud. In many cases the false documents include invoices and minutes
Goods	Tangible, moveable commodities (e.g. furniture and equipment etc)
Housing Revenue Account	The Housing Revenue Account (HRA) is a local authority account showing current income and expenditure on housing services related to its own housing stock. The account is separate from the council fund and trading accounts and is funded primarily from rents and government subsidy. Rent increases and the Housing Revenue Account Subsidy (HRAS) are approved annually under Standing Order 29, by the Welsh Government, through the <i>(Wales) General Determination of the Item 8 Credit and Item 8 Debit</i> and the <i>Housing Revenue Account Subsidy (Wales) Determination</i> .
Hypothecated Funding	Ring-fenced funding, which must be spent on particular services or initiatives
Indicator Based Assessments (IBAs)	Service specific Indicator Based Assessments (IBAs) are combined to generate total Standard Spending Assessments (SSAs, see further on) which are used by the Welsh Government to distribute the Revenue Support Grant funding to Local Authorities. IBAs are for use in calculating total SSAs and are not intended for use in determining individual authorities' budgeted expenditure on particular services.
Investment Income	Income form interest receipts on investments held by the council
Indemnity	Protection against future loss, or legal exemption from liability for damages
Insurance	Insurance is one of the ways that the councils manage the risk of losses
Internal Audit	Internal audit provides an objective appraisal service within an organisation, to improve the organisation's risk management, control and governance procedures, and to provide assurance to the accountable officer and the audit committee on these matters.
Internal control	The systems an organisation has in place to manage and mitigate risk.
Inventory	A detailed listing of all goods, materials, furniture and equipment in the ownership or use of a particular service, other than those held in stocks and stores records. They are also subject to periodic physical checks. Inventories are normally maintained in sufficient detail as to description, location, age, value etc. to enable any material loss arising from a fire, theft or other event to be identified and to support any insurance claim.
Land Terrier	Records of land owned by the Council
Liabilities	Items that are owed by the entity such as loans, leases, etc.
Liquidated Damages	A prior estimate of a justifiable financial loss in the event of a failure to complete by the specified date(s).
Materiality	An expression of the relative significance of a particular matter in the context of the financial statements as a whole

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Members Allowances	A scheme of payments to elected Members of the Council in recognition of their duties and responsibilities in accordance with the relevant Regulations.
Medium Term Financial Strategy	The approved strategic process by which the council expects to finance its activities in the medium term.
Outturn	Expenditure actually incurred
Overspend	When referring to expenditure the actual expenditure incurred is greater than the budget. Shown as a +ve When referring to income the actual income achieved is less than the budget. Shown as a +ve.
PAYE	Tax deductions from salaries and wages payments made by the Council in accordance with HMRC legislation.
Petty Cash/Imprest Account	A small amount of cash kept on hand by a service for incidental expenses
Precept	This is the Council Tax collected by the Council on behalf of the Community Councils and the North Wales Police Authority
Procurement	Procurement is the process of obtaining supplies, services and works spanning the life cycle of the asset or service contract. It has a wider meaning than traditional terms such as purchasing, buying or commissioning. It is about securing services and products which best meet the needs of all stakeholders; anyone who can or might be affected by the services and products involved.
Reserves	These are balances in hand that have accumulated over previous years and are held for defined (earmarked reserves) and general (general reserves) purposes. Councils are required to regularly review the level and purpose of their reserves and to take account of the advice of the Chief Finance Officer.
Revenue	A term used to describe the day-to-day costs of running Council services and income deriving from those services. It also includes however charges for the repayment of debt, including interest, and may include direct financing of capital expenditure.
Revenue Support Grant (RSG)	<p>The Revenue Support Grant (RSG) represents the major element in the support for local revenue spending that the Council receives from the Welsh Government, as required by section 78(1) of the <i>Local Government Finance Act 1988</i>. Amounts are determined annually and in advance of each new financial year as part of the Local Government Financial Settlement, and form a part of the Aggregate External Finance (AEF).</p> <p>The objective of the revenue support grant system is to enable authorities to provide a common level of service consistent with an aggregate figure of total standard spending (as assessed by Welsh Government using Standard Spending Assessments, see below). Its aim is to compensate for differences in the levels at which authorities need to spend and at which they can raise council tax in order to provide a common level of service. This objective is met by calculating the revenue support grant for each authority as the difference between its standard spending assessment and the sum of its re-distributed</p>

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	non-domestic rate income and council tax (as calculated by the Welsh Government for standard spending purposes.)
Risk Management	A planned and systematic approach, involving culture, structure and processes, to provide assurance that the Council's significant risks are identified, evaluated and managed effectively
Risk Management Policy	An agreed policy which sets out how and why the Council will manage risk of all types across all of its activities
Scheme of Delegation	The framework by which budgetary control and financial monitoring are exercised at a local level.
Section 151 Officer	Section 151 of the Local Government Act 1972 requires every local authority to make arrangements for the proper administration of their financial affairs and requires one officer to be nominated to take responsibility for the administration of those affairs. In Flintshire, this responsibility is vested in the Head of Finance.
Select List	A list of suitably qualified contractors, suppliers or providers that has been drawn up and assessed through an advertising and short-listing exercise for a particular contract or procurement activity.
Services	Intangible commodities (e.g. agency staff, consultants etc). It can also mean support to individuals or groups.
Standard Spending Assessments (SSAs)	<p>Standard Spending Assessments (SSAs) are notional assessments of each council's need to spend on revenue services, calculated each year by the Welsh Government for use in the distribution of the Revenue Support Grant (RSG). SSAs are calculated prior to the year to which they relate using principles established by the Welsh Government, which encompass the demographic, physical and social characteristics of each area, as reflected by a range of indicators. SSAs include the need to spend on the current element of revenue expenditure and the need to spend on the capital charges element of revenue expenditure. The distribution of the current element between local authorities is based on the distribution of, such as pupil numbers, population and measures of deprivation and rurality. The distribution of the capital charges element between local authorities is based on the latest available credit ceiling figure for each authority (which is essentially the level of unpaid debt) together with estimates of how this will change in the year to which the SSAs relate.</p> <p>SSAs are intended to reflect variations in the need to spend which might be expected if all authorities responded in a similar way to the demand for services in their area, and as this is the mechanism for distributing the RSG to local authorities this would enable all authorities in Wales to charge the same level of council tax for the provision of a similar standard of service.</p> <p>An authority's SSA is derived as a funding mechanism to distribute the RSG, it is not and should not be viewed as a target level of expenditure for an authority. The RSG funding is unencumbered, SSAs are not meant to be prescriptive in any way, and therefore</p>

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	authorities will spend at levels above and below their SSA according to decisions that have been made locally.
Statement of Accounts	<p>The Statement of Accounts provides details of the Council's financial position over the previous financial year. Its purpose is to give electors, those subject to locally levied taxes and charges, members of the authority, employees and other interested parties clear information about the authority's finances. Statements of Accounts across all local authorities should reflect a common pattern of presentation, although this does not require them to be in an identical format.</p> <p>The Statement of Accounts is produced in accordance with the requirements of the Code of Practice on Local Authority Accounting in the UK (the code). The code is updated annually and in 2010/11 the code was based on International Financial Reporting Standards (IFRS) issued by CIPFA for the first time.</p>
Sub-contractors	A subcontractor is a legal person appointed by a contractor to get the contract, part of the contract or any section of the contract assigned to him to be executed.
Supplies	Consumables (e.g. paper, stationery, foodstuffs etc).
Tender List	Drawn from a previously determined select list, the list of suppliers, providers or contractors actually invited to tender
Tenderer	A potential supplier or provider or contractor.
Third Sector	Third Sector Organisations are key partners in the delivery of services on behalf of the people of Flintshire
Treasury Management	The management of the authority's cash flows, its borrowings and its investments, the management of the associated risks, and the pursuit of the optimum performance or return consistent with those risks.
Treasury Management Strategy	The strategy for the Treasury Management activities to be adopted for a particular financial year. The strategy needs to be flexible enough to allow the Head of Finance to respond appropriately to changing circumstances during the course of the year to the best advantage of the Council.
Underspend	<p>When referring to expenditure the actual expenditure incurred is less than the budget. Shown as a –ve.</p> <p>When referring to income the actual income achieved exceeds the budget. Shown as a -ve.</p>
Unhypothecated Funding	Funding allocated without restrictions on how it should be spent.
Unhypothecated Supported Borrowing	A source of funding from the Welsh Government to finance general capital expenditure. Allocations are issued annually to each local authority as part of the Local Government Financial Settlement. The Welsh Government includes an element within the Revenue Support Grant to fund the cumulative costs of this borrowing that is classed as supported borrowing.

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<p>Unsupported (Prudential) Borrowing</p>	<p>Borrowing to fund capital expenditure which exceeds Welsh Government support in the Revenue Support Grant. Councils can choose to fund capital expenditure through Unsupported (Prudential) Borrowing so long as they demonstrate that borrowing is prudent, sustainable and affordable, as the ongoing revenue costs of unsupported borrowing will still need to be met from available resources.</p>
<p>Value for Money</p>	<p>Broadly value for money is the extent to which objectives are achieved in relation to costs. It is about achieving the optimum combination of costs and benefits to an organisation. Value for money is more formally defined as the relationship between economy, efficiency and effectiveness. Economy is the price paid for what goes into providing a service Efficiency is a measure of productivity – how much you get out in relation to what is put in Effectiveness is a measure of the impact achieved and can be quantitative or qualitative. Outcomes should be equitable across communities, so effectiveness measures should include aspects of equity.</p>
<p>Variance</p>	<p>Difference between latest budget and actual income or expenditure. Can be to date if reflecting the current or most up to date position or projected for example projected to the end of the month or financial year.</p>
<p>Virement</p>	<p>The transfer of budget provision from one budget head to another. Virement decisions apply to both revenue and capital expenditure heads, and between expenditure and income, and may include transfers from contingency provisions. Virements may not however be approved between capital and revenue budget heads.</p>

Eitem ar gyfer y Rhaglen 11



FLINTSHIRE COUNTY COUNCIL

Date of Meeting	Tuesday, 20 October 2020
Report Subject	Schedule of Remuneration for 2020/21
Report Author	Chief Officer (Governance)

EXECUTIVE SUMMARY

Each year, the Council is required to produce a Schedule of Remuneration for elected and co-opted members. Most appointments to senior salary posts have now been made. This means that the Schedule of Remuneration for 2020/21, which must be published has been completed. It is attached for formal approval, seeking authority to make two additions in due course..

Since the Annual Meeting on 9th September, the Audit Committee has not met: it is scheduled to do so on 18th November, when it will appoint its Chair for the remainder of the municipal year. The Chair appointed for 2019/20 remains in post until that meeting. In addition, there is currently is a co-optee vacancy on the Education, Youth & Culture Overview & Scrutiny Committee.

The Council is requested to authorise the Head of Democratic Services to add those two names to the Schedule and republish when appointed.

RECOMMENDATIONS

1	That the completed Schedule of Remuneration for 2020/21 as attached be approved for publication.
2	That the Head of Democratic Services be authorised to add the names of the Chair of the Audit Committee once appointed and the co-optee on the Education, Youth & Culture Overview & Scrutiny Committee once nominated.

REPORT DETAILS

1.00	EXPLAINING THE SCHEDULE OF REMUNERATION
1.01	Council must publish the payments it will make during the municipal year 20/21 in a schedule of remuneration. That schedule is attached at Appendix 1. Ordinarily this must be completed no later than 31 st July but was delayed this year due to the postponement of the Annual Meeting.
1.02	The Independent Remuneration Panel for Wales (IRPW) have been informed that the Annual Meeting, after which appointments would be confirmed, had been delayed until 9 th September. The Schedule will be sent to IRPW following this meeting.
1.03	Most appointments (see later) have been made to positions that attract a senior salary. Since the Annual Meeting on 9 th September, the Audit Committee has not met. It is scheduled to do so on 18 th November, when it will appoint its Chair for the remainder of the municipal year. The Chair appointed for 2019/20 remains in post until that meeting and thus is shown on the Schedule. Authority is sought for the Head of Democratic Services to include the name of the Chair for 2020/21 once appointed. The schedule will then be republished.
1.04	There is still a vacancy for a parent governor co-optee on the Education & Youth Overview & Scrutiny Committee. If a parent governor is elected to fill the vacancy, the schedule will need to be amended. Therefore, authority is sought for the Head of Democratic Services to make such a change and republish.
2.00	RESOURCE IMPLICATIONS
2.01	The amounts paid to Members in salaries have been budgeted for on the basis of the proposals in the IRPW report which was published in February 2020.
3.00	CONSULTATIONS REQUIRED / CARRIED OUT
3.01	The Constitution & Democratic Services Committee was consulted on the draft IRPW reports at previous meetings.
4.00	RISK MANAGEMENT
4.01	No risk management issues have been identified during the preparation of this report.
5.00	APPENDICES
5.01	Schedule of Member Payments for 2020/21

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	<p>Constitution & Democratic Services Committee, 27th November 2019 Report of the Head of Democratic Services: <i>Annual Report of the Independent Remuneration Panel for Wales (IRPW) for 2020/21</i> and resultant minute.</p> <p>Contact Officer: Robert Robins, Head of Democratic Services Telephone: 01352 702320 E-mail: Robert.robins@flintshire.gov.uk</p>

7.00	GLOSSARY OF TERMS
7.01	IRPW- Independent Remuneration Panel for Wales

Mae'r dudalen hon yn wag yn bwrpasol

FLINTSHIRE COUNTY COUNCIL

MEMBERS' SCHEDULE OF REMUNERATION

This Scheme is made under the Local Government (Wales) Measure 2011 with regard to Independent Remuneration Panel for Wales (IRPW) Regulations which apply to payments made to members and co-opted members of local authorities.

1. Basic Salary

- 1.1 A Basic Salary shall be paid to each elected Member of the Authority.
- 1.2 In accordance with the Regulations, the rate of the Basic Salary shall be reviewed annually as determined by the Independent Remuneration Panel for Wales.
- 1.3 Where the term of office of a Member begins or ends other than at the beginning or end of a year, their entitlement to the Basic Salary will be pro-rata.
- 1.4 No more than one Basic Salary is payable to a Member of the Authority.

2. Senior Salaries & Civic Salaries

- 2.1 Members occupying specific posts shall be paid a Senior Salary as set out in **Schedule 1**.
- 2.2 In accordance with the Regulations, the rates of Senior Salaries and Civic Salaries shall be reviewed annually as determined by the Annual or Supplementary Report of the Independent Remuneration Panel for Wales.
- 2.3 Only one Senior Salary or Civic Salary is payable to a Member of the Authority.
- 2.4 A Member of the Authority cannot be paid a Senior Salary and a Civic Salary.
- 2.5 All Senior and Civic Salaries are paid inclusive of Basic Salary.
- 2.6 A Senior Salary may not be paid to more than the number of members specified by the Independent Remuneration Panel for Wales in its Annual Report and cannot exceed fifty percent of the total membership of the authority, except to include a temporary Senior Salary office holder providing temporary cover for the family absence of the appointed office holder.
- 2.7 A Member of the Authority in receipt of a Senior Salary **cannot** receive a salary from any National Park Authority (NPA) or Fire and Rescue Authority (FRA) for which they have been nominated.
- 2.8 Where the term of Senior Salary or Civic Salary of a Member begins or ends other than at the beginning or end of a year, their entitlement to the Salary will be pro-rata.

3. Election to Forgo Entitlement to Allowance

- 3.1 A Member may, by notice in writing delivered to the Proper Officer of the authority, personally elect to forgo any part of their entitlement to any salary, allowance or fee payable under this Scheme from the date set out in the notice.

4. Suspension of a Member

- 4.1 Where a Member of the Authority is suspended or partially suspended from their responsibilities or duties as a Member of the Authority in accordance with Part III of the Local Government Act 2000 (Conduct of Members), or regulations made under the Act, the part of the Basic Salary payable to them in respect of that period for which they are suspended will be withheld by the Authority (Section 155 (1) of the Measure).
- 4.2 Where a Member in receipt of a Senior Salary is suspended or partially suspended from being a Member of the Authority in accordance with Part III of the Local Government Act 2000 (Conduct of Members), or regulations made under the Act, the Authority must not make payments of the Member's Senior Salary for the duration of the suspension (Section 155 (1) of the Measure). If the partial suspension relates only to the specific responsibility element of the payment, the Member may retain the Basic Salary.

5. Repayment of salaries, allowances or fees

- 5.1 Where payment of any salary, allowance or fee has been made to a Member of the Authority or Co-opted Member in respect of any period during which the Member concerned:
- (a) is suspended or partially suspended from that Member's/Co-opted Member's duties or responsibilities in accordance with Part 3 of the 2000 Act or regulations made under that Act;
 - (b) ceases to be a Member of the Authority or Co-opted Member; or
 - (c) is in any other way not entitled to receive a salary, allowance or fee in respect of that period,

the Authority will require that such part of the allowance as relates to any such period be repaid.

6. Payments

- 6.1 Payments of all allowances will be made by the Employment Services Manager by Bank Credit in instalments of one-twelfth of the Member's annual entitlement on 28th of the Month, or nearest Friday if the 28th falls on a Saturday or Sunday.
- 6.2 Where payment has resulted in a Member receiving more than their entitlement to salaries, allowances or fees the Authority will require that such part that is overpayment be repaid.
- 6.3 All payments are subject to the appropriate tax and National Insurance deductions.

7. Reimbursement of Costs of Care

- 7.1 Reimbursement of costs of care shall be paid to a Member or Co-opted Member, who has caring responsibility for dependent children or adults, or a personal care requirement, provided the Member incurs expenses in the provision of such care whilst undertaking 'approved' council duties.
- 7.2 Reimbursement of costs of care applies in respect of children who are aged 15 or under and other persons for whom the Member or Co-opted Member can show that care is required. If a Member or Co-opted Member has more than one dependent the Member may claim more than one allowance, provided the Member can demonstrate a need to make separate arrangements for care.

7.3 Eligible Members may claim reimbursement of costs of care for actual and receipted costs up to a maximum amount not exceeding that determined by the Independent Remuneration Panel for Wales as set out in **Schedule 1**. All claims for reimbursement of costs of care should be made in writing to Democratic Services detailing times, dates and reasons for claim. Receipts are required for both informal and formal care arrangements.

8. Family Absence

8.1 Members are entitled under the provisions of the Family Absence for Members of Local Authorities (Wales) Regulations 2013 to a period of family absence, during which if they satisfy the prescribed conditions they are entitled to be absent from authority meetings.

8.2 When taking family absence Members are entitled to retain a basic salary irrespective of their attendance record immediately preceding the commencement of the family absence.

8.3 Should a senior salary holder be eligible for family absence they will be able to continue to receive their senior salary for the duration of the absence.

8.4 If the authority agrees that it is necessary to make a substitute appointment to cover the family absence of a senior salary holder the Member substituting will be eligible if the authority so decides to be paid a senior salary.

8.5 If the paid substitution results in the authority exceeding its maximum number of senior salaries, an addition to the maximum will be allowed for the duration of the substitution.

9. Co-optees' payments

9.1 A Co-optees' daily fee (with a provision for half day payments) shall be paid to Co-optees, provided they are statutory Co-optees with voting rights.

9.2 Co-optees' payments will be capped at a maximum of the equivalent of 15 full days a year for each committee to which an individual may be co-opted.

9.3 Payments will take into consideration travelling time to and from the place of the meeting, reasonable time for pre meeting preparation and length of meeting (up to the maximum of the daily rate).

9.4 The Head of Democratic Services is designated as the "appropriate officer" and will determine preparation time, travelling time and length of meeting, the fee will be paid on the basis of this determination.

9.5 The Head of Democratic Services can determine in advance whether a meeting is programmed for a full day and the fee will be paid on the basis of this determination even if the meeting finishes before four hours has elapsed.

9.6 A half day meeting is defined as up to 4 hours.

9.7 A full day meeting is defined as over 4 hours.

9.8 The daily and half day fee for the Chairs of the Standards Committee and Audit Committee, as determined by the Independent Remuneration Panel for Wales, is set out in **Schedule 1**.

9.9 The daily and half day fee for other statutory Co-optees with voting rights, as determined by the Independent Remuneration Panel for Wales, is set out in **Schedule 1**.

10. Travel and Subsistence Allowances

10.1 **General Principles**

- 10.2 Members and Co-opted Members are entitled to claim travelling expenses when travelling on the Authority's business for 'approved duties' as set out in **Schedule 2**. Where Members travel on the Authority's business they are expected to travel by the most cost effective means. In assessing cost effectiveness regard will be given to journey time. A Member who does not travel by the most cost effective means may have their claim abated by an appropriate amount.
- 10.3 Where possible Members should share transport.
- 10.4 The distance claimed for mileage should be the shortest reasonable journey by road from the point of departure to the point at which the duty is performed, and similarly from the duty point to the place of return.
- 10.5 The rates of Members' Travel and Subsistence Allowances are set out in **Schedule 3** and are subject to annual review by the Independent Remuneration Panel for Wales.
- 10.6 Where a Member is suspended or partially suspended from their responsibilities or duties as a Member of the Authority in accordance with Part III of the Local Government Act 2000 (Conduct of Members), or regulations made under the Act, any travel and subsistence allowances payable to them in respect of that period for which they are suspended or partially suspended must be withheld by the Authority.

11. **Travel by Private Vehicle**

- 11.1 The Independent Remuneration Panel for Wales has determined that the maximum travel rates payable should be the rates set out by Her Majesty's Revenue & Customs for the use of private cars, motor cycles and pedal cycles plus any passenger supplement.
- 11.2 The mileage rates for private vehicles as determined by the Independent Remuneration Panel for Wales are set out in **Schedule 3**.
- 11.3 Where a Member makes use of their private vehicle for approved duty purposes, the vehicle must be insured for business use. Proof of appropriate insurance must be provided to the Authority on request.

12. **Travel by Public Transport**

12.1 **Rail/Coach Travel**

Unless otherwise authorised rail tickets will be second-class.

Civic & Members' Services will purchase requisite rail and coach tickets for Members in advance of journeys. In the unlikely event that a Member needs to purchase a ticket directly, payment will be reimbursed upon production of the used ticket and/or a receipt.

12.2 **Taxi Fares**

Taxi fares will only be reimbursed where their use has been authorised for cases of urgency, where no public transport is reasonably available, or a Member has a particular personal need. Re-imbusement will be upon receipt only.

12.3 **Travel Abroad**

Travel abroad on the Authority's business will only be permitted where authorised by the Chief Executive, Chief Officer (Governance) or Corporate Finance Manager. Civic & Members' Services will arrange travel and accommodation.

12.4 **Other Travel Expenses**

Members are entitled to reimbursement of toll fees, parking fees, overnight garaging and other necessary travel associated expenses. Re-imbusement will be upon receipt only.

13. **Overnight Accommodation**

13.1 Overnight stays will only be permitted where the Authority's business extends to two days or more, or the venue is at such a distance that early morning or late night travel would be unreasonable. All overnight stays must receive prior authorisation from the Chief Executive, Chief Officer (Governance) or Corporate Finance Manager.

13.2 Overnight accommodation will be booked by Civic & Members' Services. Wherever possible the overnight accommodation will be pre-paid or invoiced.

13.3 Direct booking of overnight accommodation by a Member will only be permitted in the event of an emergency. Reimbursement will only be made upon the production of a receipt and will be at a level deemed reasonable and not in excess of the rates set out in **Schedule 3**.

14 **Subsistence Allowance**

14.1 The day subsistence rate to meet the costs of meals and refreshments in connection with approved duties (including breakfast when not provided as part of overnight accommodation) is set out in **Schedule 3**. The maximum daily rate covers a 24 hour period and can be claimed for any meal that is relevant, providing such a claim is supported by receipt(s)

14.2 No provision is made for subsistence claims within the County .

15. **Claims and Payments**

15.1 A claim for travel and subsistence allowances must be made in writing within 4 months of the date on which entitlement became due, at the end of the calendar month in which entitlement to allowances arises and must be accompanied by the relevant receipts.

15.2 Allowances will be paid by the Employment Services Manager by direct bank credit. .

16. **Pensions**

16.1 The Authority shall enable its Members who are eligible to join the Local Government Pension Scheme.

17 **Supporting the work of Authority Members**

17.1 The Independent Remuneration Panel for Wales expects Members to be provided with adequate support to carry out their duties and that the support provided should take account of the specific needs of individual Members. The Authority's Democratic Services Committee is required to review the level of support provided to Members and should take proposals for reasonable support to the full council.

- 17.2 All elected Members & Co-opted Members should be provided with adequate telephone, email and internet facilities to give electronic access to appropriate information.
- 17.3 Such support should be without cost to any Member. Deductions must not be made from Members' salaries as a contribution towards the cost of support which the Authority has decided is necessary for the effectiveness and or efficiency of Members.

18 Compliance

- 18.1 In accordance with the Regulations, the Authority must comply with the requirements of Independent Remuneration Panel for Wales in respect of the monitoring and publication of payments made to Members and Co-opted Members as set out in **Schedule 4**.

Members & Co-opted Members are reminded that expense claims are subject to both internal and external audit.

SCHEDULE 1

SCHEDULE OF REMUNERATION 2020/21

MEMBERS ENTITLED TO BASIC SALARY		ANNUAL AMOUNT OF BASIC SALARY ACCEPTED
1.	Mike Allport	£14,218
2.	Bernie Attridge	£13,950
3.	Janet Axworthy	£13,600
4.	Glyn Banks	£13,950
5.	Haydn Bateman	£13,868
6.	Marion Bateman	£13,868
7.	Sean Bibby	£12,240 (10% reduction)
8.	Chris Bithell	£13,600
9.	Sian Braun	£14,218
10.	Helen Brown	£13,950
11.	Derek Butler	£13,600
12.	Clive Carver	£13,868
13.	Geoff Collett	£14,218
14.	Bob Connah	£13,950
15.	David Cox	£14,218
16.	Paul Cunningham	£13,600
17.	Jean Davies	£13,600
18.	Rob Davies	£14,218
19.	Ron Davies	£13,600
20.	Adele Davies-Cooke	£13,868
21.	Chris Dolphin	£14,218
22.	Rosetta Dolphin	£14,218
23.	Ian Dunbar	£13,600
24.	Andy Dunbobbin	£13,868
25.	Mared Eastwood	£13,950
26.	Carol Ellis	£13,600
27.	David Evans	£13,868

28.	Veronica Gay	£14,218
29.	George Hardcastle	£13,950
30.	David Healey	£13,868
31.	Gladys Healey	£13,868
32.	Patrick Heesom	£13,868
33.	Cindy Hinds	£13,600
34.	Dave Hughes	£13,950
35.	Kevin Hughes	£13,600
36.	Ray Hughes	£14,218
37.	Dennis Hutchinson	£13,950
38.	Joe Johnson	£13,868
39.	Paul Johnson	£13,868
40.	Rita Johnson	£13,950
41.	Christine Jones	£13,600
42.	Richard Jones	£13,950
43.	Tudor Jones	£13,950
44.	Colin Legg	£14,218
45.	Brian Lloyd	£14,218
46.	Richard Lloyd	£14,218
47.	Mike Lowe	£13,600
48.	Dave Mackie	£14,218
49.	Hilary McGuill	£14,218
50.	Billy Mullin	£13,600
51.	Ted Palmer	£13,868
52.	Mike Peers	£13,600
53.	Michelle Perfect	£13,600
54.	Vicky Perfect	£13,600
55.	Neville Phillips	£13,600
56.	Ian Roberts	£13,600
57.	Tim Roberts	£13,868
58.	Kevin Rush	£13,868
59.	Tony Sharps	£14,218
60.	Aaron Shotton	£13,950
61.	Paul Shotton	£14,218
62.	Ralph Small	£14,218
63.	Ian Smith	£13,600
64.	Carolyn Thomas	£13,600
65.	Owen Thomas	£14,218
66.	Martin White	£13,600
67.	Andy Williams	£13,600
68.	David Williams	£14,218
69.	David Wisinger	£14,218
70.	Arnold Woolley	£14,218

	SENIOR SALARIES ENTITLEMENTS (includes basic salary)		ANNUAL AMOUNT OF SENIOR SALARY
	ROLE	MEMBER	
1.	Leader & Cabinet member for Education	Ian Roberts	£48,300
2.	Deputy leader & Cabinet Member for Streetscene & Countryside	Carolyn Thomas	£33,800

3.	Cabinet Member for Planning & Public Protection	Chris Bithell	£29,300
4.	Cabinet Member for Economic Development	Derek Butler	£29,300
5.	Cabinet Member for Social Services	Christine Jones	£29,300
6.	Cabinet Member for Corporate Management & Assets	Billy Mullin	£29,300
7.	Cabinet Member for Finance	Glyn Banks	£29,650
8.	Cabinet Member for Housing	Dave Hughes	£29,650
9.	Chair of Audit Committee	Chris Dolphin	£22,918
10.	Chair of Community & Enterprise O&SC	Ian Dunbar	£22,300
11.	Chair of Corporate Resources O&SC	Clive Carver	£22,568
12.	Chair of Education & Youth O&SC	Dave Healey	£22,568
13.	Chair of Environment & Economy O&SC	Rosetta Dolphin	£22,918
14.	Chair of Organisational Change O&SC	Dave Mackie	£22,568
15.	Chair of Social & Healthcare O&SC	Hilary McGuill	£22,918
16.	Leader of the largest opposition group	Mike Peers	£22,300
17.	Chair of Planning Committee	David Wisinger	£22,918
18.	Chair of Licensing Committee	Tony Sharps	£22,918
<p>A maximum of 18 senior salaries for Flintshire County Council may be paid and this has not been exceeded.</p> <p>Note: A senior salary equivalent of £22,568 is paid to the Chair of the Clwyd Pension Fund Committee, Cllr Ted Palmer. This payment is at the Council's discretion and is outside the remit of the Independent Remuneration Panel for Wales, which is why it is not shown in the table above..</p>			

ENTITLEMENT TO CIVIC SALARIES		ANNUAL AMOUNT OF CIVIC SALARY
ROLE	MEMBER	
Civic Head (Chair of Council)	Marion Bateman	£22,568
Deputy Civic Head (Vice-chair of Council)	Joe Johnson	£17,568

ENTITLEMENT AS STATUTORY CO-OPTTEES		AMOUNT OF CO-OPTTEES ALLOWANCES
ROLE	MEMBER	
Chair of Standards committee	Robert Dewey	£256 Daily Fee £128 ½ Day Fee

ENTITLEMENT AS STATUTORY CO-OPTees		AMOUNT OF CO-OPTees ALLOWANCES
ROLE	MEMBER	
Member of Standards Committee	Jonathan Duggan-Keen	£198 Daily Fee £99 ½ Day Fee
Member of Standards Committee	Philippa Earlam	£198 Daily Fee £99 ½ Day Fee
Member of Standards Committee	Julia Hughes	£198 Daily Fee £99 ½ Day Fee
Member of Standards Committee	Kenneth Molyneux	£198 Daily Fee £99 ½ Day Fee
Member of Standards Committee	Mark Morgan	£198 Daily Fee £99 ½ Day Fee
Member of Education & Youth Overview & Scrutiny Committee	Lynn Bartlett	£198 Daily Fee £99 ½ Day Fee
Member of Education & Youth Overview & Scrutiny Committee	David Hytch	£198 Daily Fee £99 ½ Day Fee
Member of Education & Youth Overview & Scrutiny Committee	Rita Price	£198 Daily Fee £99 ½ Day Fee
Member of Education & Youth Overview & Scrutiny Committee	Rebecca Stark	£198 Daily Fee £99 ½ Day Fee
Member of Education & Youth Overview & Scrutiny Committee	Vacant	£198 Daily Fee £99 ½ Day Fee
Member of the Audit Committee	Sally Ellis	£198 Daily Fee £99 ½ Day Fee
Member of the Audit Committee	Allan Rainford	£198 Daily Fee £99 ½ Day Fee

Reimbursement of costs of care	
All Members	Up to a maximum of £403 per month

Members Support – what is provided in terms of telephone, internet or email (see Determination 6)	
Telephone Support for Executive Members	Mobile phones provided to Cabinet members
Telephone Support for Chairs of Committees	Mobile phones provided to 4 out of the 9 committee chairs
Telephone Support for all other Members	Not personally, but available in Group Rooms
Access to Email for Executive Members	Yes

Access to Email for Chairs of Committees	Yes
Access to Email for all other Members	Yes
Internet Support for Executive Members	IPads issued to Cabinet Members are wi fi enabled
Internet Support for Chairs of Committees	Not personally, but available in Group Rooms computer terminals
Internet Support for all other Members	Not personally, but available in Group Rooms computer terminals

SCHEDULE 2

Approved duties: -

- attendance at a meeting of the Authority or of any committee of the Authority or of any body to which the Authority makes appointments or nominations or of any committee of such a body;
- attendance at a meeting of any association of authorities of which the Authority is a member;
- attendance at any other meeting the holding of which is authorised by the Authority or by a committee of the Authority or by a joint committee of the Authority and one or more other Authorities;
- a duty undertaken for the purpose of or in connection with the discharge of the functions of Cabinet;
- a duty undertaken in pursuance of a standing order which requires a Member or Members to be present when tender documents are opened;
- a duty undertaken in connection with the discharge of any function of the Authority which empowers or requires the Authority to inspect or authorise the inspection of premises;
- attendance at any training or developmental event approved by the Authority or its Cabinet;
- the following duties which have been approved by Council:

a) Attendance at any training or developmental event approved by a Committee of the Council or by the Chief Executive or appropriate Chief Officer in consultation with the Chair or Vice Chair of the Council.

b) Any attendance required by financial regulations or Contract Standing Orders.

c) Any attendance authorised/required by the Council's Scheme of Delegation (e.g. attendances for consultation purposes).

d) Attendance upon an Officer of the Council upon Ward business.

e) Attendance upon an Officer of the Council upon Council business.

f) Attendance to inspect background documents under Section 100D Local Government Act 1972.

g) Any other attendances expressly authorised by Committee, Executive or Council.

Where the above official business is carried out within the Council area, this will not entitle payment of a subsistence allowance except where it relates to a co-opted Member living outside the Council area.

SCHEDULE 3

Mileage Rates

All sizes of private motor vehicle Up to 10,000 miles Over 10,000 miles	45 pence per mile 25 pence per mile
Private Motor Cycles Pedal Cycles	24 pence per mile 20 pence per mile
Passenger supplement	05 pence per mile

Subsistence Allowance

The day subsistence rate is up to a maximum of £28 and covers a 24 hour period and can be claimed for any meal if relevant provided such a claim is supported by receipts.

Re-imbusement of alcoholic drinks is not permitted.

Overnight Stay

The maximum allowances for an overnight stay are £200 for London and £95 for elsewhere. A maximum of £30 is available for an overnight stay with friends or relatives whilst on approved duty.

SCHEDULE 4

Compliance

- The Authority will arrange for the publication on the council's website the total sum paid by it to each Member and Co-opted Member in respect of salary, allowances, fees and reimbursements not later than 30 September following the close of the year to which it relates. In the interests of transparency this will include remuneration from all public service appointments held by elected Members.
- The Authority will publish on the council's website a statement of the basic responsibility of a councillor and role descriptors for senior salary office holders, which clearly identify the duties expected.
- The Authority will publish on the council's website the annual schedule of Member Remuneration not later than 31 July of the year to which the schedule refers.
- The authority will send a copy of the schedule to the Independent Remuneration Panel for Wales not later than 31 July of the year to which the schedule refers.
- The Authority will maintain records of Member/Co-opted Members attendance at meetings of council, cabinet and committees and other approved duties for which a Member/Co-opted Member submits a claim for reimbursement.
- The Authority will arrange for the publication on the council's website of annual reports prepared by Members.
- When the Authority agrees a paid substitution for family absence it will notify the Independent Remuneration Panel for Wales within 14 days of the date of the decision of the details including the particular post and the duration of the substitution.

Eitem ar gyfer y Rhaglen 12



FLINTSHIRE COUNTY COUNCIL

Date of Meeting	Tuesday 20 th October 2020
Report Subject	Review of Member/Officer Protocol
Report Author	Chief Officer, Governance

EXECUTIVE SUMMARY

The Protocol on Member/Officer Relations (informally called the Member/Officer Protocol) explains how the nature of the relationship between elected Councillors and employed officials should work and describes their different but complementary roles within the Council. It also sets out the behaviours and treatment that each can expect from the other and thereby expands upon the Councillors Code of Conduct.

The Protocol has been reviewed as part of the Standards Committee's rolling programme of looking at each of the codes and protocols in the Constitution. Also, towards the end of 2019 and in early 2020 the Council had undertaken work around specific aspects of the working relationship such as case handling for Councillors and the Flintshire Standard. It is appropriate that the protocol should be amended to incorporate the results of that work. Lastly, it is appropriate to update the protocol to strengthen the guidance on relationships between employees and Councillors in light of the recent Case Tribunal.

RECOMMENDATIONS

1	That Council approves the amended protocol.
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REPORT DETAILS

1.00	ROLE AND STATUS OF THE MEMBER/OFFICER PROTOCOL
1.01	<p>The Member/Officer protocol is an adjunct to the Councillors' Code of Conduct and is an important contributor to the working culture within the Council. It sets out:</p> <ul style="list-style-type: none"> • the differing roles of members and officers and what they can expect from each other; • further explanation and guidance on appropriate behaviours; • mechanisms for handling concerns or problems within the relationship. <p>An alleged breach of the Protocol cannot be directly enforced in the same way as an alleged breach of the Code of Conduct. However, the document will inform any investigation by the Public Services Ombudsman for Wales.</p>
1.02	<p>The Protocol was considered as part of the Standards Committee's rolling programme of reviewing the codes and protocols in the Constitution. As such the Committee considered whether:</p> <ol style="list-style-type: none"> i. the document is still pertinent; ii. changes in other parts of the Constitution impact upon the Protocol; iii. it is up to date generally (i.e. does it reflect current working practices and arrangements within the Council); iv. any other circumstances that might indicate a change is required. <p>The rolling view was timely and took into account:</p> <ol style="list-style-type: none"> a) recent work undertaken by the Council to amend the Flintshire Standard; b) the recent review of handling member queries and correspondence c) changes in working practices within the Council; d) the outcome of the Case Tribunal reported to the Committee last time.
	<u>Explaining the Proposed Amendments</u>
1.03	<p>The Protocol is attached as Appendix A to the report showing proposed amendments in tracked changes. Some of the changes are extensive due to the need to modernise language and approach so a clean version is attached at Appendix B. The amendments fall broadly into the four categories outlined above, but I have also tried to simplify the document and update its terminology where appropriate (e.g. the paragraphs on Members' access to buildings). Of course, this work was undertaken prior to the current closure of buildings for health reasons and the rules need to be read as a restatement of what might be in the event that buildings re-open.</p>
1.04	<p>The amendments to the Flintshire Standard expanded upon the meaning of the provision within the code on respect. It sets out behaviours and practical examples of what is meant by treating officers and other Councillors with respect. Without repeating the provisions of the Flintshire</p>

	Standard in full amendments to the Protocol amendments are suggested on matters such as attendance at public meetings.
1.05	<p>The Protocol describes members' rights of access to officers, officer support, Council premises etc. These sections need updating to reflect changes with how the Council works and they need simplifying. For example:</p> <ol style="list-style-type: none"> 1) as the Council moves to open plan offices the arrangements for where and how members and officers meet also need to change. Conversations that once might have taken place between 2 people in a private office will now be audible to other people which could potentially breach confidences and/or distract co-workers whilst they are trying to concentrate; and 2) the Council's opening hours have changed.
1.06	<p>The Protocol deals with personal relationships between Councillors and employees. Councillors must have a geographical tie (residence, land, employment etc.) to the area of the Council in order to be eligible to stand for election. It is common that the majority of employees will also live within the county that they serve. It is inevitable, therefore, that employees and Councillors will have familial, social or even emotional relationships. Provided the relationship is declared by both officer and Councillor through the relevant system for recording interests, it is possible for the Council to put in place arrangements to ensure that Council functions, procedures and safeguards are not affected. The recent Case Tribunal decision showed the potential impact and consequences of covert relationships between Councillors and employees. Amendments have been suggested to reinforce the requirements on declaring interests for this reason.</p>
<u>Consideration by the Standards Committee</u>	
1.07	<p>The Standards Committee considered the protocol at its meeting on 2 March 2020. The Committee proposed a number of changes.</p> <ol style="list-style-type: none"> a. in paragraph 7.3 wording to make clear that support is, and will be, provided to Chairs of Committee as well as Cabinet Members; b. in paragraph 9.2 the Committee wanted to refer to consulting members on "key decisions". The phrase has a technical meaning based on the scale of the decision which would not only serve to confuse understanding with our own local interpretation but might be seen as limiting existing consultations. I have therefore put broader wording that encompasses the current practice of consulting members <ol style="list-style-type: none"> i. as required by a resolution of committee or the Constitution; and ii. based on judgement as to the sensitivity of the issue c. grammatical changes
1.08	<p>The Constitution and Democratic Services Committee is due to consider the protocol at its meeting on the 14th October 2020. The resolution of that meeting will be reported to Council verbally.</p>

2.00	RESOURCE IMPLICATIONS
2.01	There are no extra resource requirements as a result of the proposed amendments to the protocol.

3.00	CONSULTATIONS REQUIRED / CARRIED OUT
3.01	Chief Officers and HR have been consulted on proposed amendments to the Protocol.
3.02	The amendments were considered by the Standards Committee on 2nd March and Constitution and Democratic Services Committee on 14 th October.

4.00	RISK MANAGEMENT
4.01	There are minimal risks associated with the issues in this report.

5.00	APPENDICES
5.01	Appendix A – the Protocol on Member/Officer Relations showing tracked changes Appendix B – “clean copy” of the Protocol on Member/Officer Relations

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	The Flintshire Standard Case Tribunal Decision APW/001/2019-020/CT: Councillor Aaron Shotton Contact Officer: Gareth Owens, Chief Officer, Governance Telephone: 01352 702344 E-mail: Gareth.Legal@flintshire.gov.uk

7.00	GLOSSARY OF TERMS
7.01	Public Services Ombudsman for Wales - Public Services Ombudsman for Wales is a statutory role to consider complaints about public services in Wales and complaints that members of local authorities have broken the Code of Conduct.

SECTION 25

25. PROTOCOL ON MEMBER/OFFICER RELATIONS

1.0 Introduction

1.1 Effective local governance and community leadership depends on good working relationships between Members and Officers.

1.2 This Protocol provides guidance for Members (which includes co-opted members) and ~~officer~~Officers in their working relations with each other. The Protocol covers the more common working situations, but is not comprehensive. The principles underlying it may be applicable to other situations.

1.3 This Protocol applies only to working relations between Members in their role as Members and Officers in their capacity as Officers.

2.0 Working Relations

2.1 Members and Officers shall establish sound and effective working relations that engender mutual respect and put aside any personal differences.

2.2 Members will comply with the Members' Code of Conduct and ~~officer~~Officers with the Officers' Code of Conduct.

2.3 The National Conditions of Service for Staff in Local Government provide:
"The public is entitled to demand, of a local government Officer, conduct of the highest standard".

2.4 Members and Officers must recognise their different roles, needs and objectives. They must be ready to discuss positively how working relations between each other can most effectively be developed (which is normally undertaken by discussion following elections and periodically thereafter). Members and Officers must set aside any personal differences in the interests of maintaining effective working relations.

2.5 It is important that Officers develop political awareness of issues that are sensitive to the individual political groups represented on the Council.

3.0 Roles of Members and Officers

3.1 The respective roles of Members and ~~officer~~Officers can be summarised as follows:- Members and ~~officer~~Officers are servants to the public and they are indispensable to one another. Their responsibilities are distinct. Members are responsible to the electorate and set policy and direction. They can help to guide implementation of policy (especially Cabinet Members) but typically do not get involved in decisions on specific cases (other than at quasi-judicial committees such as Planning and Licensing). Officers are responsible to the Council. An ~~officer~~Officer's job is to give advice to the Council and to carry out the Council's work under the direction and control of the Council, the Cabinet and relevant committees. Senior Officers will help Members to develop policy.

3.2 Members have four main areas of responsibility:-

- Contributing to determining the policy of the Council and giving it leadership;
- Monitoring and reviewing the performance of the Council in implementing that policy and delivering services;
- Representing the Council in their local areas and externally;
- Acting as advocates on behalf of their constituents.

3.3 An ~~officer~~ **Officer**'s role is:-

- To give advice and information to all Members on an impartial basis;
- **To help Members formulate policies;** and
- To implement policies determined by the authority, provided the policies are within the law.
- In all advice, including reports, it is the responsibility of the ~~officer~~ **Officer** to express his/her own ~~objective-professional~~ advice in an ~~objective-professional~~ manner and make recommendations based on this.

3.4 Through performance appraisal, target setting and day to day management, ~~officer~~ **Officers** receive ~~guidance and direction their instructions~~ from their Line Managers. Members are not authorised to ~~ask-instruct-officer~~ **Officers to undertake specific tasks** other than:-

- Through the formal decision-making process (**Council, Cabinet, Committees etc**);
- To request the provision of consumable resources provided by the Council for the use of Members;
- Where staff have been specifically allocated to give support to a Member, a group of Members, or all Members.

4.0 Expectations

4.1 Members can expect from ~~officer~~ **Officers**:-

- A commitment to the Council as a whole and not to any political group.
- A working partnership.
- An understanding of and support for respective roles, workloads and the differing pressures.
- Timely response to enquiries and complaints **in accordance with the agreed procedure for handling Member queries**.
- Clear, o**bjective advice, not influenced by political views or preference, which does not compromise the political neutrality of ~~officer~~ **Officers**.
- Regular, up-to-date information on matters that can reasonably be considered appropriate and relevant to their needs, having regard to any individual responsibilities that they have and positions that they hold.
- Awareness of and sensitivity to the political environment.
- Respect, courtesy and dignified behaviour appropriate to the occasion.
- Training and development in order to carry out their role effectively.
- A high level of integrity and confidentiality, appropriate to the situation.
- Not to have ~~officer~~ **Officers**' personal issues raised with them outside the agreed procedures.
- That they will not attempt to influence improperly any Member to advance ~~officer~~ **Officers**' personal interests or influence improperly a decision
- At all times compliance with the Code of Conduct for Officers

n) Support for the role of Members as the local representatives of the Council, within any scheme of support for Members, which may be approved by the authority.

o) feedback from employees on the outcome of issues raised with them by the Member – such feedback will be in accordance with the Information Sharing Rules in the Constitution

4.2 Officers can expect from Members:

a) A working partnership.

b) An understanding of and support for respective roles, workloads and differing pressures.

c) Leadership and direction.

d) Respect for their advice and as a person, courtesy and dignified behaviour appropriate to the occasion as set out within the Flintshire Standard.

e) A high level of integrity and confidentiality appropriate to the situation.

f) Not to be subject to bullying or to be put under undue pressure to accord with a Member's wishes.

g) Not to use their position or relationship with ~~officer~~Officers improperly to advance their personal interests, or those of others, or to improperly influence decisions.

h) That Members will at all times comply with the Council's Code of Conduct.

i) Appropriate scrutiny of decisions that focuses on objective measures of performance and outcomes

j) Respect for differing working hours and working patterns with appropriate time being allowed for responding to queries and concerns as set out in the agreed procedure

5.0 Courtesy

5.1 Mutual respect between Members and Officers is essential, it is important that any dealings between the parties should observe the highest standards of behaviour and courtesy towards each other and will not take or attempt to take unfair advantage of their position.

5.2 Members and Officers should have regard to the formality of the occasion as to the mode of address they choose to adopt. In particular, in formally convened meetings and/or meetings open to the public a formal mode of address should be adopted. In all other cases Members and Officers will respect preferred modes of address.

5.3 The behaviours expected are set out in more detail within the Flintshire Standard which also includes a mechanism for informally resolving disputes between Members and Officers.

6 Officers Giving Advice and Information to Political Groups

6.1 There is ~~now~~ statutory recognition for political groups. ~~and it~~ It is common practice for such groups to give preliminary consideration to matters of Council business in advance of such matters being considered by the relevant Council decision-making body at Council, Cabinet or Committee, though for some committees (such as Planning Committee and Overview and Scrutiny Committees) it is not appropriate to apply a "political whip". Officers may properly be called upon to support and contribute to such deliberations by political groups.

6.2 The support provided by Officers can take many forms, ranging from a briefing meeting with a Chairperson or Spokesperson prior to a Committee meeting, to a presentation to a

full political group meeting. Whilst in practice such Officer support is likely to be in most demand from whichever political group is for the time being in control of the Council, such support is available to all political groups.

6.3 Certain points must, however, be clearly understood by all those participating in this type of process, ~~M~~members and ~~O~~officers alike. In particular:

- (a) Officer support in these circumstances must not extend beyond providing information and advice in relation to matters of Council business. Officers must not be involved in advising on matters of political group business. The observance of this distinction will be assisted if Officers are not expected to be present at meetings, or parts of meetings, when matters of political group business are to be discussed;
- (b) Political group meetings, whilst they form part of the preliminaries to Council decision making, are not empowered to make decisions on behalf of the Council. Conclusions reached at such meetings do not, therefore, rank as Council decisions and it is essential that they are not interpreted or acted upon as such; and
- (c) Similarly, where Officers provide information and advice to a political group meeting in relation to a matter of Council business, this cannot act as a substitute for providing all necessary information and advice to the County Council or the relevant Committee or Sub-Committee when the matter in question is considered.

6.4 Special care needs to be exercised whenever Officers are involved in providing information and advice to a political group meeting which includes persons who are not ~~member~~Members of the Council. Such persons will not be bound by the National Code of Local Government Conduct (in particular, the provisions concerning the declaration of interests and confidentiality) and for this and other reasons Officers may not be able to provide the same level of information and advice as they would to a Members only meeting.

6.5 Officers must respect the confidentiality of any political group discussions at which they are present in the sense that they should not relay the content of any such discussions to another political group.

6.6 Any particular cases of difficulty or uncertainty in this area of Officer advice to political groups should be raised with the Chief Executive who will discuss them with the relevant Group Leader(s).

7.0 Support Services to Members

7.1 Members will use support services and resources provided by the Council only for Council business. Support services shall not be used for political or campaigning activity, or for private purposes.

7.2 The Council provides support services to ~~member~~Members ~~only in designated areas~~ (including stationery, IT facilities, printing, photo-copying, travel, transport and parking arrangement, etc.) to assist ~~member~~Members in discharging their role as Members of the Council.

7.3 Support services are provided ~~to the Political Group Leaders~~ by the Members' Services Section of the ~~Democracy and Governance~~ ~~Manager Department~~Portfolio. Individual ~~Departments services~~ may, in addition, provide support ~~services to an~~ Cabinet Member ~~with Portfolio, Lead Members~~, Chairs of ~~Scrutiny~~ Committees and Panel Chairs.

8.0 **Communications and Meetings**

8.1 Members and Officers will not, without the agreement of the author, copy a communication, whether physical or electronic, from a member of the public (including MPs, AMs or MEPs) or Member to another Member or to any other third party. This is not intended to restrict the normal sharing of correspondence by Officers with each other and their managers in order to respond to and handle that communication.

8.2 Most correspondence between ~~officer~~Officers or from ~~officer~~Officers to Members will be open and may be copied as a part of the normal arrangements for dealing with the matter within it. Members and Officers may from time to time raise matters confidentially with each other and such confidences shall be respected.

8.3 It may be necessary or appropriate for an Officer to discuss the content of a confidential communication with a ~~another~~ Member, particularly where political consultation is required before action is taken under Officer delegated powers. In these circumstances, the communication should not be copied or shown to another Member or the identity of the author revealed without the express permission of that author.

8.4 Official communications on behalf of the Council should ~~normally~~ be sent ~~out over~~in the name of the appropriate Officer, rather than ~~over~~in the name of a Member. It may be appropriate in certain circumstances (e.g. representations to a Government Minister or Assembly Secretary) for a communication to appear ~~over~~in the name of a Member, but this should be the exception rather than the norm. Communications which, for example, create obligations or give instructions on behalf of the Council should never be sent out ~~over~~in the name of a Member.

8.5 Members and Officers need to meet or speak to discuss Council business. Officers will often keep a written note of such meetings as an aide memoire. Sometimes a more formal note of the discussion will be prepared such as a confirmatory email or minutes. Such record keeping is to be expected, and is normally taken to be agreed. Covert recording of meetings or conversations should not take place.

9.0 **Specific Member/Officer Working Relations**

9.1 Members and Officers will not allow a working relationship to become so close or appear to be so close as to bring into question the Officer's ability to deal impartially with other ~~member~~Members, political groups and other Officers. Where a Member and an Officer have a close relationship (whether familial, social, business, emotional etc) its existence must be declared, through the relevant process for declaring interests, so that appropriate steps can be taken to ensure that the relationship does not

- impinge upon the functioning of the Council or the exercise of council functions
- undermine or circumvent procedural safeguards
- impact upon the Council's reputation

9.2 Cabinet ~~member~~Members with Portfolios, ~~Lead Members~~ and other appropriate members ~~will~~are routinely ~~be~~consulted by Officers, prior to making decisions under delegated powers, as required by specific requirements within the Constitution or based on the Officer's assessment of the significance of the decision.

9.3 The Cabinet Member and/or the Chair and/or the Vice-Chair of the Committee or Panel will be consulted as a part of the agenda preparation for meetings.

9.4 Officers having delegated decision-making Authority are entitled, where considered expedient, to refer a matter to the Cabinet Committee or appropriate Sub-Committee for decision. Officers of Cabinet Management are responsible for the contents of all reports submitted in their name.

9.5 Members must acknowledge that Officers within a department are accountable to their Chief Officer. Officers should always be prepared to assist Members, but they cannot go beyond the bounds of the Authority given to them by their Chief Officer and they must not be asked to do so. Members must also recognise that Officers are bound by professional standards, codes of conduct or professional ethics and they should not be asked to go outside of the bounds set in such codes.

10.0 Involvement of Ward Councillors

10.1 Ward Members will be invited to attend any public meeting organised by the Council which relates to issues affecting their ward.

10.2 Ward Members must be appraised of local issues affecting their ward and involved in any public meeting or consultation exercise. They must be notified, at the outset, of any consultation on a local issue affecting their ward.

10.3 It is the responsibility of a Member who invites an Officer to a public meeting, or who is present at a public meeting to which an Officer has been invited by others, to ensure that the Officer is treated with appropriate levels of courtesy and respect by those at the meeting.

11.0 Members' Access to Information and to Council Documents

11.1 Members have legal rights to access ~~to~~ information and ~~to~~ Council documents that go beyond the rights enjoyed by members of the public. The law relating to Member's rights to information is complex and includes common law and statutory rights. ~~The law also changes from time to time with new legislation or new case law~~ The Council has agreed procedures for what information will be shared with Members in the Information Rules contained within the Constitution. If at any time a Member believes access to information or Council documents is being denied contrary to the Member's legal rights the issue should be raised with the Monitoring Officer or a member of the Legal Service ~~a Senior Officer in the Legal & Democratic Services Department.~~

12.0 Confidentiality of Reports and Correspondence

12.1 All Chief Officers have a duty to satisfy themselves that Committee reports to which they are signatories are only classified as 'exempt information' when the statutory criteria for confidentiality are met. The Chief Executive and the Chief Officer, Governance have an overriding responsibility to determine this compliance.

12.2 Once a report has been issued within Part II of the agenda for a meeting and until a Committee decides that it should ~~not~~ be discussed in ~~the absence of the press and~~ public, Members and Officers must respect the confidentiality of the report and not disclose it to a third party.

142.3 It does not, however, follow that all the contents of the report must be regarded as secret. It may only be certain items of information or terms of negotiations that justify the inclusion of that report within Part II; other aspects may already be within the public domain or otherwise outside the definition of 'exempt'. A Member may accordingly refer to these aspects in discussions with third parties but must exercise proper care and judgement not to reveal those elements of the paper which are protected but it will always be prudent for that Member to consult the Chief Officer, Governance before doing so.

123.0 Access to Council Premises

123.1 All Members of the Council shall be entitled to use, and have access to, any Council building or premises, when that building or the premises are open, as follows:

- a) anywhere which is open to the public;
- b) the Council Chamber and Committee Rooms for the purposes of attending and/or observing scheduled meetings of the Council, its Committees and Sub-Committees, Fora and the Cabinet (subject to any restrictions set out in the Access to Information Procedure Rules) or any public meeting held in those rooms by any other agency or body.
- c) areas set aside for the use of Members as a whole (such as the Members' Services Suite), as a group (such as group rooms), or as an individual (such as the Leader's office, Chair's parlour etc)
- d) any room to which the Member has been invited for a meeting by an Officer.
- e) the canteen
- f) rooms being used for meetings of political groups

~~12.2 Subject to the provisions set out below, Members shall also be entitled to have access to any other part of any Council building or premises open to members of the public between 8.00 am and 6.00 pm.~~

~~12.3 In addition, subject to the provisions set out below, Members shall have access to the Chimney Entrance, the Canteen, the Bridge Link and the areas outside the Council Chamber and Committees Rooms between 8.00 am and 6.00 pm.~~

~~123.042 Such access is to be used for Council purposes and fulfilling the Member's role and responsibilities within the Council only.~~ Members, as with officers, when they are not acting in pursuit of their roles and duties as a Member, ~~shall~~ have no greater rights of access to Council buildings and premises than members of the public.

~~12.5 All Members shall also be entitled to access and use the facilities provided for in the Members' Services Suite between the hours of 8.00 am and 6.00 pm during weekdays (excluding bank holidays).~~

~~13.32.6~~ There is a general presumption that Members will not require access to Council buildings ~~before 8.00 am or after 6.00 pm~~ outside of the hours 7.30 am to 7.00 pm except for scheduled or public meetings referred to in 143.1 above. In exceptional circumstances where a Member remains in the building beyond ~~6~~7.00 pm, he/she must inform security of his/her presence and location and give an indication as to how long he/she intends to stay.

~~13.42.7~~ Where individual Groups have been allotted rooms for their sole use ("group rooms"), Members of that group shall be entitled to have access to the group room ~~set aside for the use of the Group to which he or she belongs~~ subject to any reasonable restrictions which that Group may wish to place upon access from time to time.

~~12.8 Any Committee Chair or Cabinet Member who has been allocated a room shall also be entitled to access to the room so allocated for the purposes of the consultation responsibilities arising under the Delegation Scheme or for any other business arising from their roles and responsibilities~~

~~12.9 All Members who have been invited to attend meetings elsewhere in County Hall shall be entitled to have access to all corridors, stairwells and other reception areas through which it is necessary to pass to enable them to attend. The same limitation shall apply to Committee Chairs and Cabinet Members under 12.1.8 above.~~

~~12.10~~13.05 Members shall not be entitled to enter certain restricted sensitive areas including the central computer suite, ~~unified~~ benefits service (including the corridor on that part of the ground floor on Phase 2), payroll, and child protection unless by invitation of the Chief Officer or a duly authorised Officer in exceptional circumstances.

~~12.11~~13.06 Subject to 13.01 and 13.05 above, ~~there is a presumption that~~ Members will not be entitled to enter other ~~staff only~~ areas in Council buildings so as to preserve the physical security of personal data under GDPR and so as to respect the fact that they are workplaces where Officers are expected to be concentrating on their duties. Members may enter such areas following express invitation to attend a meeting with an Officer, or to arrange a meeting with an Officer. ~~authorisation by the relevant Chief Officer or someone duly authorised to give such authorisation.~~ When seeking meetings, Members will endeavour to make appointments with Officers in advance giving them sufficient time to research the matter to be discussed. A suitable venue for the proposed meeting will be arranged at that time.

~~Staff only areas include individual rooms, open plan areas, management suites, internal reception areas not open to the public.~~

~~12.12~~13.07 In situations where Members and Officers inadvertently meet in the course of their business there should be no expectation on the part of the Member that the Officer will deal with any issue that the Member wishes to raise, unless both agree that it is an urgent issue which cannot wait for a formal appointment to be arranged.

13.08 Areas set aside for the use of Members or Groups are for by councillors only, and councillors must not invite members of the public into those areas

~~12.13 Any contravention of the above provisions shall be reported to the Council's Monitoring Officer who will in the first instance attempt to resolve the issue appropriately. If he is unable to resolve the issue he will report the matter to the Standards Committee. He will also make an annual report to the Standards Committee on the operation of this part of the Protocol.~~

13.0 Criticism of Members and Officers

~~13.1~~14.1 As employer, the Council has a duty to provide and maintain a working environment which is reasonably tolerable to all employees and to protect them from unacceptable treatment and behaviour and unauthorised interference in work duties. All Members must ensure they discharge their duties as employer fairly and impartially and not do anything to undermine the relationship of mutual trust and confidence which must exist between the Council and its employees.

134.2 No public comment will be made on ongoing disciplinary proceedings as it could prejudice their outcome or breach the confidentiality that employees are entitled to expect in relation to such matters.

145.0 Political Group Leaders and the Chief Executive

145.1 The Political Group Leaders and the Chief Executive will develop and conduct appropriate working relations.

154.2 Regular Briefing arrangements between the Political Group Leaders and the Chief Executive are an essential part of the democratic machinery of the Council. It is important that the Chief Executive, as Head of the Paid Service, is accessible by all political groups represented on the Council through their respective Leaders.

156.0 Issues regarding Working Relations between Members and Officers

156.1 Members and Officers will seek to resolve any issues arising within their working relations. In the first instance this will be done by the relevant Member and Officer.

165.2 ~~Chief Officers will, in the first instance, endeavour~~ Where a Member and an Officer are unable to resolve any such issue then the:

- Member's Group Leader; and/or
- Officer's line manager and/or Chief Officer

may be involved.

165.3 The relevant Political Group Leader and the Chief Executive will seek to resolve by mediation and conciliation any unresolved problem or breakdown in working relationships between Members and Officers.

176.0 Review

167.1 This Protocol will be reviewed from time to time ~~and/or in the light of subsequent legislation~~ AF11.

Mae'r dudalen hon yn wag yn bwrpasol

SECTION 25

25. PROTOCOL ON MEMBER/OFFICER RELATIONS

1.0 Introduction

1.1 Effective local governance and community leadership depends on good working relationships between Members and Officers.

1.2 This Protocol provides guidance for Members (which includes co-opted members) and Officers in their working relations with each other. The Protocol covers the more common working situations, but is not comprehensive. The principles underlying it may be applicable to other situations.

1.3 This Protocol applies only to working relations between Members in their role as Members and Officers in their capacity as Officers.

2.0 Working Relations

2.1 Members and Officers shall establish sound and effective working relations that engender mutual respect and put aside any personal differences.

2.2 Members will comply with the Members' Code of Conduct and Officers with the Officers' Code of Conduct.

2.3 The National Conditions of Service for Staff in Local Government provide:
"The public is entitled to demand, of a local government Officer, conduct of the highest standard".

2.4 Members and Officers must recognise their different roles, needs and objectives. They must be ready to discuss positively how working relations between each other can most effectively be developed (which is normally undertaken by discussion following elections and periodically thereafter). Members and Officers must set aside any personal differences in the interests of maintaining effective working relations.

2.5 It is important that Officers develop political awareness of issues that are sensitive to the individual political groups represented on the Council.

3.0 Roles of Members and Officers

3.1 The respective roles of Members and Officers can be summarised as follows:-
Members and Officers are servants to the public and they are indispensable to one another. Their responsibilities are distinct. Members are responsible to the electorate and set policy and direction. They can help to guide implementation of policy (especially Cabinet Members) but typically do not get involved in decisions on specific cases (other than at quasi-judicial committees such as Planning and Licensing). Officers are responsible to the Council. An Officer's job is to give advice to the Council and to carry out the Council's work under the direction and control of the Council, the Cabinet and relevant committees. Senior Officers will help Members to develop policy.

3.2 Members have four main areas of responsibility:-

- Contributing to determining the policy of the Council and giving it leadership;
- Monitoring and reviewing the performance of the Council in implementing that policy and delivering services;
- Representing the Council in their local areas and externally;
- Acting as advocates on behalf of their constituents.

3.3 An Officer's role is:-

- To give advice and information to all Members on an impartial basis;
- To help Members formulate policies; and
- To implement policies determined by the authority, provided the policies are within the law.
- In all advice, including reports, it is the responsibility of the Officer to express his/her own professional advice in an objective manner and make recommendations based on this.

3.4 Through performance appraisal, target setting and day to day management, Officers receive guidance and direction from their Line Managers. Members are not authorised to ask Officers to undertake specific tasks other than:-

- Through the formal decision-making process (Council, Cabinet, Committees etc);
- To request the provision of consumable resources provided by the Council for the use of Members;
- Where staff have been specifically allocated to give support to a Member, a group of Members, or all Members.

4.0 Expectations

4.1 Members can expect from Officers:-

- a) A commitment to the Council as a whole and not to any political group.
- b) A working partnership.
- c) An understanding of and support for respective roles, workloads and the differing pressures.
- d) Timely response to enquiries and complaints in accordance with the agreed procedure for handling Member queries.
- e) Clear, objective advice, not influenced by political views or preference, which does not compromise the political neutrality of Officers.
- f) Regular, up-to-date information on matters that can reasonably be considered appropriate and relevant to their needs, having regard to any individual responsibilities that they have and positions that they hold.
- g) Awareness of and sensitivity to the political environment.
- h) Respect, courtesy and dignified behaviour appropriate to the occasion.
- i) Training and development in order to carry out their role effectively.
- j) A high level of integrity and confidentiality, appropriate to the situation.
- k) Not to have Officers' personal issues raised with them outside the agreed procedures.
- l) That they will not attempt to influence improperly any Member to advance Officers' personal interests or influence improperly a decision
- m) At all times compliance with the Code of Conduct for Officers
- n) Support for the role of Members as the local representatives of the Council, within any scheme of support for Members` , which may be approved by the authority.

o) feedback from employees on the outcome of issues raised with them by the Member – such feedback will be in accordance with the Information Sharing Rules in the Constitution

4.2 Officers can expect from Members:

- a) A working partnership.
- b) An understanding of and support for respective roles, workloads and differing pressures.
- c) Leadership and direction.
- d) Respect for their advice and as a person, courtesy and dignified behaviour appropriate to the occasion as set out within the Flintshire Standard.
- e) A high level of integrity and confidentiality appropriate to the situation.
- f) Not to be subject to bullying or to be put under undue pressure to accord with a Member's wishes.
- g) Not to use their position or relationship with Officers improperly to advance their personal interests, or those of others, or to improperly influence decisions.
- h) That Members will at all times comply with the Council's Code of Conduct.
- i) Appropriate scrutiny of decisions that focuses on objective measures of performance and outcomes
- j) Respect for differing working hours and working patterns with appropriate time being allowed for responding to queries and concerns as set out in the agreed procedure

5.0 Courtesy

5.1 Mutual respect between Members and Officers is essential, it is important that any dealings between the parties should observe the highest standards of behaviour and courtesy towards each other and will not take or attempt to take unfair advantage of their position.

5.2 Members and Officers should have regard to the formality of the occasion as to the mode of address they choose to adopt. In particular, in formally convened meetings and/or meetings open to the public a formal mode of address should be adopted. In all other cases Members and Officers will respect preferred modes of address.

5.3 The behaviours expected are set out in more detail within the Flintshire Standard which also includes a mechanism for informally resolving disputes between Members and Officers.

6 Officers Giving Advice and Information to Political Groups

6.1 There is statutory recognition for political groups. It is common practice for such groups to give preliminary consideration to matters of Council business in advance of them being considered at Council, Cabinet or Committee, though for some committees (such as Planning Committee and Overview and Scrutiny Committees) it is not appropriate to apply a "political whip". Officers may properly be called upon to support and contribute to such deliberations by political groups.

6.2 The support provided by Officers can take many forms, ranging from a briefing meeting with a Chairperson or Spokesperson prior to a Committee meeting, to a presentation to a full political group meeting. Whilst in practice such Officer support is likely to be in most demand from whichever political group is for the time being in control of the Council, such support is available to all political groups.

6.3 Certain points must, however, be clearly understood by all those participating in this type of process, Members and Officers alike. In particular:

- (a) Officer support in these circumstances must not extend beyond providing information and advice in relation to matters of Council business. Officers must not be involved in advising on matters of political group business. The observance of this distinction will be assisted if Officers are not expected to be present at meetings, or parts of meetings, when matters of political group business are to be discussed;
- (b) Political group meetings, whilst they form part of the preliminaries to Council decision making, are not empowered to make decisions on behalf of the Council. Conclusions reached at such meetings do not, therefore, rank as Council decisions and it is essential that they are not interpreted or acted upon as such; and
- (c) Similarly, where Officers provide information and advice to a political group meeting in relation to a matter of Council business, this cannot act as a substitute for providing all necessary information and advice to the County Council or the relevant Committee or Sub-Committee when the matter in question is considered.

6.4 Special care needs to be exercised whenever Officers are involved in providing information and advice to a political group meeting which includes persons who are not Members of the Council. Such persons will not be bound by the National Code of Local Government Conduct (in particular, the provisions concerning the declaration of interests and confidentiality) and for this and other reasons Officers may not be able to provide the same level of information and advice as they would to a Members only meeting.

6.5 Officers must respect the confidentiality of any political group discussions at which they are present in the sense that they should not relay the content of any such discussions to another political group.

6.6 Any particular cases of difficulty or uncertainty in this area of Officer advice to political groups should be raised with the Chief Executive who will discuss them with the relevant Group Leader(s).

7.0 Support Services to Members

7.1 Members will use support services and resources provided by the Council only for Council business. Support services shall not be used for political or campaigning activity, or for private purposes.

7.2 The Council provides support services to Members (including stationery, IT facilities, printing, photo-copying, travel, transport and parking arrangement, etc.) to assist Members in discharging their role as Members of the Council.

7.3 Support services are provided by the Members' Services Section of the Governance Portfolio. Individual services may, in addition, provide support to a Cabinet Member, Chairs of Committee and Panel Chairs.

8.0 Communications and Meetings

8.1 Members and Officers will not, without the agreement of the author, copy a communication, whether physical or electronic, from a member of the public (including MPs, AMs or MEPs) or Member to another Member or to any other third party. This is not

intended to restrict the normal sharing of correspondence by Officers with each other and their managers in order to respond to and handle that communication.

8.2 Most correspondence between Officers or from Officers to Members will be open and may be copied as a part of the normal arrangements for dealing with the matter within it. Members and Officers may from time to time raise matters confidentially with each other and such confidences shall be respected.

8.3 It may be necessary or appropriate for an Officer to discuss the content of a confidential communication with a Member, particularly where political consultation is required before action is taken under Officer delegated powers. In these circumstances, the communication should not be copied or shown to another Member or the identity of the author revealed without the express permission of that author.

8.4 Official communications on behalf of the Council should be sent in the name of the appropriate Officer, rather than in the name of a Member. It may be appropriate in certain circumstances (e.g. representations to a Government Minister or Assembly Secretary) for a communication to appear in the name of a Member, but this should be the exception rather than the norm. Communications which, for example, create obligations or give instructions on behalf of the Council should never be sent out in the name of a Member.

8.5 Members and Officers need to meet or speak to discuss Council business. Officers will often keep a written note of such meetings as an aide memoire. Sometimes a more formal note of the discussion will be prepared such as a confirmatory email or minutes. Such record keeping is to be expected, and is normally taken to be agreed. Covert recording of meetings or conversations should not take place.

9.0 Specific Member/Officer Working Relations

9.1 Members and Officers will not allow a working relationship to become so close or appear to be so close as to bring into question the Officer's ability to deal impartially with other Members, political groups and other Officers. Where a Member and an Officer have a close relationship (whether familial, social, business, emotional etc) its existence must be declared, through the relevant process for declaring interests, so that appropriate steps can be taken to ensure that the relationship does not

- impinge upon the functioning of the Council or the exercise of council functions
- undermine or circumvent procedural safeguards
- impact upon the Council's reputation

9.2 Cabinet Members with Portfolios, and other appropriate members are routinely consulted by Officers, prior to making decisions under delegated powers, as required by specific requirements within the Constitution or based on the Officer's assessment of the significance of the decision.

9.3 The Cabinet Member and/or the Chair and/or the Vice-Chair of the Committee or Panel will be consulted as a part of the agenda preparation for meetings.

9.4 Officers having delegated decision-making Authority are entitled, where considered expedient, to refer a matter to the Cabinet Committee or appropriate Sub-Committee for

decision. Officers of Cabinet Management are responsible for the contents of all reports submitted in their name.

9.5 Members must acknowledge that Officers within a department are accountable to their Chief Officer. Officers should always be prepared to assist Members, but they cannot go beyond the bounds of the Authority given to them by their Chief Officer and they must not be asked to do so. Members must also recognise that Officers are bound by professional standards, codes of conduct or professional ethics and they should not be asked to go outside of the bounds set in such codes.

10.0 Involvement of Ward Councillors

10.1 Ward Members will be invited to attend any public meeting organised by the Council which relates to issues affecting their ward.

10.2 Ward Members must be apprised of local issues affecting their ward and involved in any public meeting or consultation exercise. They must be notified, at the outset, of any consultation on a local issue affecting their ward.

10.3 It is the responsibility of a Member who invites an Officer to a public meeting, or who is present at a public meeting to which an Officer has been invited by others, to ensure that the Officer is treated with appropriate levels of courtesy and respect by those at the meeting.

11.0 Members' Access to Information and to Council Documents

11.1 Members have legal rights to access information and Council documents that go beyond the rights enjoyed by members of the public. The law relating to Member's rights to information is complex and includes common law and statutory rights. The Council has agreed procedures for what information will be shared with Members in the Information Rules contained within the Constitution. If at any time a Member believes access to information or Council documents is being denied contrary to the Member's legal rights the issue should be raised with the Monitoring Officer or a member of the Legal Service.

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12.2 Once a report has been issued within Part II of the agenda for a meeting and until a Committee decides that it should be discussed in public, Members and Officers must respect the confidentiality of the report and not disclose it to a third party.

12.3 It does not, however, follow that all the contents of the report must be regarded as secret. It may only be certain items of information or terms of negotiations that justify the inclusion of that report within Part II; other aspects may already be within the public domain or otherwise outside the definition of 'exempt'. A Member may accordingly refer to these aspects in discussions with third parties but must exercise proper care and judgement not to reveal those elements of the paper which are protected but it will always be prudent for that Member to consult the Chief Officer, Governance before doing so.

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13.02 Such access is to be used for Council purposes and fulfilling the Member's role and responsibilities within the Council only. Members, as with officers, when they are not acting in pursuit of their roles and duties as a Member, have no greater rights of access to Council buildings and premises than members of the public.

13.3 There is a general presumption that Members will not require access to Council buildings outside of the hours 7.30 am to 7.00 pm except for scheduled or public meetings referred to in 13.1 above. In exceptional circumstances where a Member remains in the building beyond 7.00 pm, he/she must inform security of his/her presence and location and give an indication as to how long he/she intends to stay.

13.4 Where individual Groups have been allotted rooms for their sole use ("group rooms"), Members of that group shall be entitled to have access to the group room subject to any reasonable restrictions which that Group may wish to place upon access from time to time.

13.05 Members shall not be entitled to enter certain restricted sensitive areas including the central computer suite, benefits service (including the corridor on that part of the ground floor on Phase 2), payroll, and child protection unless by invitation of the Chief Officer or a duly authorised Officer in exceptional circumstances.

13.06 Subject to 13.01 and 13.05 above, Members will not be entitled to enter other areas in Council buildings so as to preserve the physical security of personal data under GDPR and so as to respect the fact that they are workplaces where Officers are expected to be concentrating on their duties. Members may enter such areas following express invitation to attend a meeting with an Officer, or to arrange a meeting with an Officer. When seeking meetings, Members will endeavour to make appointments with Officers in advance giving them sufficient time to research the matter to be discussed. A suitable venue for the proposed meeting will be arranged at that time.

13.07 In situations where Members and Officers inadvertently meet in the course of their business there should be no expectation on the part of the Member that the Officer will deal with any issue that the Member wishes to raise, unless both agree that it is an urgent issue which cannot wait for a formal appointment to be arranged.

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15.1 The Political Group Leaders and the Chief Executive will develop and conduct appropriate working relations.

15.2 Regular Briefing arrangements between the Political Group Leaders and the Chief Executive are an essential part of the democratic machinery of the Council. It is important that the Chief Executive, as Head of the Paid Service, is accessible by all political groups represented on the Council through their respective Leaders.

16.0 Issues regarding Working Relations between Members and Officers

16.1 Members and Officers will seek to resolve any issues arising within their working relations. In the first instance this will be done by the relevant Member and Officer.

16.2 Where a Member and an Officer are unable to resolve any such issue then the:

- Member's Group Leader; and/or
- Officer's line manager and/or Chief Officer

may be involved.

16.3 The relevant Political Group Leader and the Chief Executive will seek to resolve by mediation and conciliation any unresolved problem or breakdown in working relationships between Members and Officers.

17.0 Review

17.1 This Protocol will be reviewed from time to time.