



DINAS A SIR CAERDYDD  
CITY AND COUNTY OF CARDIFF

**COUNCIL SUMMONS**

THURSDAY, 25 NOVEMBER 2021

**GWYS Y CYNGOR**

DYDD IAU, 25 TACHWEDD 2021,

You are summoned to attend a meeting of the **COUNTY COUNCIL OF THE CITY AND COUNTY OF CARDIFF** which will be held remotely on Thursday, 25 November 2021 at 4.30 pm to transact the business set out in the agenda attached.

**Davina Fiore**  
**Director of Governance & Legal Services**

County Hall  
Cardiff  
CF10 4UW

Friday, 19 November 2021

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Promotion of equality and respect for others | Objectivity and propriety | Selflessness and stewardship  
Integrity | Duty to uphold the law | Accountability and openness

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<i>Item</i>		<i>Approx Time</i>	<i>Max Time Allotted</i>
<b>1</b>	<b>Apologies for Absence</b> <i>To receive apologies for absence.</i>	4.30 pm	5 mins
<b>2</b>	<b>Declarations of Interest</b> <i>To receive declarations of interest (such declarations to be made in accordance with the Members Code of Conduct)</i>		
<b>3</b>	<b>Minutes (Pages 11 - 44)</b> <i>To approve as a correct record the minutes of the 21 October 2021. .</i>		
<b>4</b>	<b>Public Questions</b> <i>To receive previously notified questions from Members of the Public.</i>	4.35 pm	5 mins
<b>5</b>	<b>Petitions</b> <i>To receive petitions from Elected Members to Council.</i>	4.40 pm	5 mins
<b>6</b>	<b>Lord Mayor's Announcements</b> <i>To receive the Lord Mayor's announcements including Recognitions and Awards.</i>	4.45 pm	5 mins
<b>7</b>	<b>Heath By-Election</b> <i>To report on the outcome of the Heath By-Election held on 11 November 2021 and welcome the new elected Member.</i>	4.50 pm	5 mins
<b>8</b>	<b>Revised Political Balance - Allocation of Committee Seats (Pages 45 - 50)</b> <i>Report of the Director of Governance and Legal Services and Monitoring Officer.</i>	4.55 pm	5 mins
<b>9</b>	<b>Statement of Accounts 2020-2021, Cardiff &amp; Vale of Glamorgan Pension Fund (Pages 51 - 108)</b>	5.00 pm	15 mins
<b>10</b>	<b>Mid-Year Treasury Management Report 2021-22 (Pages 109 - 134)</b>	5.15 pm	15 mins

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<b>11</b>	<p><b>Elected Member Learning and Development</b> (Pages 135 - 222)</p> <p><i>Report of the Director of Governance and Legal Services and Monitoring Officer.</i></p>	5.30 pm	15 mins
<b>12</b>	<p><b>Governance and Audit Committee Annual Report 2020-21</b> (Pages 223 - 256)</p>	5.45 pm	15 mins
<b>13</b>	<p><b>Re-appointment of Governance &amp; Audit Independent Members</b> (Pages 257 - 258)</p> <p><i>Report of the Director of Governance and Legal Services and Monitoring Officer.</i></p>	6.00 pm	5 mins
<b>14</b>	<p><b>Cabinet Member Statements</b> (Pages 259 - 298)</p> <p><i>To receive statements from the Leader and Cabinet Members</i></p>	6.05 pm	45 mins
<b>15</b>	<p><b>Notice of Motion 1</b></p> <p>Proposed by Councillor Derbyshire Seconded by Councillor Henshaw</p> <p><i>This Council Notes</i></p> <p><i>That the World is already warming at an alarming rate leading to more extreme weather conditions.</i></p> <p><i>The ‘Special Report on Global Warming of At a 1.5°C warmer world, 6% of insects 8% of plants and 8% of vertebrates would be lost; increasing to 18%, 16% and 8% respectively at 2°C warmer.</i></p> <ul style="list-style-type: none"> <li><i>• Approximately 4% of the global terrestrial land area is projected to undergo a transformation of ecosystems from one type to another at 1°C of global warming, with 13% at 2°C.</i></li> <li><i>• Biodiversity-related factors such as forest fires, extreme weather events and the spread of invasive species, pests and diseases also need to be taken into account. Many of those are already happening.</i></li> </ul> <p><i>The latest <u>State of Nature report</u> published by RSPB and other partners in 2019 found that:</i></p> <ul style="list-style-type: none"> <li><i>• Of 3,902 species assessed in Wales, 666 (17%) are threatened with extinction from Wales, and another 73</i></li> </ul>	6.50 pm	30 mins

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*(2%) have gone extinct already.*

- The average abundance of butterflies (33 species) has declined in Wales by 52% since 1976.*

*This Council further notes:*

*That Biodiversity was raised as an issue within the Council's decision to declare a Climate Emergency and forms a key part of our One Planet strategy.*

*The recommendations from the Environmental Scrutiny Committees exercise 'Managing Biodiversity in Cardiff', resulted in the Council accepting a wide range of recommendations aimed at protecting, enhancing, and promoting biodiversity.*

*The wide range of actions being undertaken as part of the council's Biodiversity and Resilience of Ecosystems Duty {BRED} Forward Plan, which will be updated in 2022.*

*That bold action to protect and enhance the biodiversity of Cardiff can deliver benefits in terms of wellbeing, in new jobs, economic savings and market opportunities.*

*The exciting new Coed Caerdydd project and that Cardiff Council has committed to working with partners to become a National Park City.*

*This Council therefore resolves to:*

- 1 Declare a Nature Emergency in Cardiff.*
- 2 Place biodiversity with equal prominence to climate change at the heart of decision making in Cardiff Council.*
- 3 Make representations to the Welsh and UK Governments, as appropriate; to provide the necessary powers, resources and technical support to local authorities in Wales to help them successfully achieve this aim.*
- 4 Continue to work with partners across the county, region and nationally to develop and implement best practice methods that can protect Wales' biodiversity. Including seeking a joint approach with neighbouring authorities.*
- 5 Work with local stakeholders including*

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*Councillors, residents, young people, businesses and other relevant parties, to develop a strategy aligned with One Planet and Coed Caerdydd with a target of no net loss of biodiversity. This will also explore ways to maximise the local benefits of these actions in other sectors such as employment, health, agriculture, transport and the economy.*

<b>BREAK</b>			
<b>16</b>	<p><b>Notice of Motion 2</b></p> <p>Proposed by: Councillor Molik</p> <p>Seconded by: Councillor Sandrey</p> <p><i>Council notes;</i></p> <ul style="list-style-type: none"> <li>• <i>That the availability of accessible public toilet facilities within communities plays a vital role in supporting the health and wellbeing of people. The inability to satisfy someone’s physiological needs due to lack of a public facility can lead to health issues such as urinary tract infections, kidney infections and digestive problems. A lack of adequate, publicly available toilet facilities can have a negative effect on the health, dignity, and lifestyle of a very substantial proportion of the population.</i></li> <li>• <i>The World Health Organisation states that toilets should be “suitable, private and safe to use of all intended users”.</i></li> <li>• <i>With Cardiff Council operates toilets in various recreational and leisure destinations across the city. However, most facilities are in private business outlets. When these outlets close, such facilities become inaccessible. The Council has a responsibility to assess the community’s need for toilets and to put a plan in place to meet identified needs.</i></li> <li>• <i>During the pandemic, many toilets were closed to the public, causing many people to be unable to exercise outdoors confidently and safely or come out of lockdown when restrictions eased, without the fear of being caught short or otherwise unable to access necessary hygiene facilities.</i></li> </ul>	7.35 pm	30 mins

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- *Cardiff being the home of many diverse communities, Cardiff Council should embrace the mindset of having accessible toilets for all abilities, genders, ages, ethnicities and religions. Public toilets should meet accessibility requirements for a range of disabilities and the principles of providing bidet or other alternative washing facilities (such as lota/ bodna, water jug or hand shower) which serve the toilet etiquette practised by religions such as Islam should be supported.*
- *Having accessible public toilet facilities has a positive impact on the environment and prevents anti-social behaviour such as fouling of parks, streets, and gardens.*

*Council resolves to;*

- *Provide a report on the current state of council toilet provision across the city, including details on when they are open, how often they are cleaned and maintained, and how accessible they are.*
- *Asks the cabinet member with responsibility for public facilities to produce a toilet strategy that identifies issues raised within this motion to ensure all residents (including people with differing ability, gender, age, ethnicity and religion) can access appropriate facilities when not at home.*
- *Consider the need for additional female toilet provision to reflect the different ways in which genders use facilities, and consider the need and take forward the implementation of having gender-neutral facilities*
- *Conduct a regular audit and monitoring of public toilet facilities, with a report presented by the relevant cabinet member on an annual basis.*

<b>17</b>	<p><b>Oral Questions</b></p> <p><i>To receive oral questions to the Leader, Cabinet Members; Chairs of Committee and/or nominated Members of the Fire Authority.</i></p>	8.05 pm	80 mins
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<b>18</b>	<b>Urgent Business</b>	9.25 pm	
<b>Unopposed Council Business</b>			
<b>19</b>	<b>Amendments to the Inter Authority Agreement of the Wales Pension Partnership (Pages 299 - 314)</b>  <i>Report of the Corporate Director Resources.</i>	9.25 pm	5 mins
<b>20</b>	<b>Local Authority Governor Appointments (Pages 315 - 322)</b>  <i>Report of the Director of Governance and Legal Services</i>	9.30 pm	5 mins
<b>21</b>	<b>Committee Membership (Pages 323 - 324)</b>  <i>Report of the Director of Governance and Legal Services and Monitoring Officer.</i>	9.35 pm	5 mins
<b>22</b>	<b>Outside Bodies (Pages 325 - 326)</b>  <i>Report of the Director of Governance and Legal Services and Monitoring Officer.</i>	9.40 pm	5 mins
<b>23</b>	<b>Written Questions</b>  <i>In accordance with the Council Procedure Rules, Rule 17(f) Written Questions received for consideration and response will be included as a record in the minutes of the meeting.</i>	9.45 pm	

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City Council of the City & County of Cardiff  
21 October 2021

1

THE COUNTY COUNCIL OF THE CITY & COUNTY OF CARDIFF

The County Council of the City & County of Cardiff met at County Hall, Cardiff on 21 October 2021 to transact the business set out in the Council summons dated Friday, 15 October 2021.

Present: County Councillor McKerlich (Lord Mayor)

County Councillors Ahmed, Asghar Ali, Dilwar Ali, Berman, Bowen-Thomson, Boyle, Bradbury, Bridgeman, Burke-Davies, Carter, Cowan, Cunnah, De'Ath, Derbyshire, Driscoll, Ebrahim, Elsmore, Ford, Gibson, Goddard, Goodway, Gordon, Henshaw, Hinchey, Hopkins, Howells, Hudson, Jacobsen, Jenkins, Jones-Pritchard, K Jones, Owen Jones, Joyce, Kelloway, Lancaster, Lay, Lent, Lister, Mackie, McEvoy, McGarry, Melbourne, Merry, Michael, Morgan, Naughton, Owen, Parkhill, Jackie Parry, Keith Parry, Patel, Phillips, Dianne Rees, Mia Rees, Robson, Sandrey, Sattar, Simmons, Singh, Stubbs, Huw Thomas, Lynda Thorne, Walker, Weaver, Wild, Williams, Wong and Wood

72 : APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillors Gavin Hill-John, Phillipa Hill-John, Graham Thomas and Molik. Councillors McEvoy and Howells had indicated that they would be late in attending the meeting.

73 : DECLARATIONS OF INTEREST

The following declarations of interest were received in accordance with the Members Code of Conduct:

COUNCILLOR	ITEM NO:	NATURE OF INTEREST
Cllr Naughton	Item 8	Personal Interest – Family Member in receipt of a pension from Cardiff Bus
Cllr Bowen-Thomas	Item 12	Personal Interest – CEO, Safer Wales, Cardiff

74 : MINUTES

The minutes of the meeting on the 30 September were approved and signed as a correct record of the meeting.

75 : PUBLIC QUESTIONS

It was noted that no public questions had been received for this meeting.

76 : PETITIONS

Councillor Driscoll presented a petition on behalf of Councillor McKerlich. The petition contained 338 valid signatures asking the Council to review the layout of the Llantrisant Road/Radyr junction.

77 : LORD MAYOR'S ANNOUNCEMENTS

The Lord Mayor updated the Council on events he had attended recently, to include:

- Chief Guest at the celebration of the birth anniversary of Mahatma Gandhi at the Hindu Council of Wales;
- The official red-dedication of HMS Cambria;
- The Opening of the Staybridge Suites, extension of the Holiday Inn Express, Cardiff Bay where he had delivered a speech;
- The Opening of the new Military Preparation College in Cardiff, the college has helped over 4,900 young people progress into careers in the Armed Forces; and
- Welcomed Her Majesty, the Queen to Cardiff at Central Station

Donations to the Lord Mayors Charity have recently been made by the Rabbaniah Mosque in Grangetown and The Staybridge Suites Hotel.

Finally the Lord Mayor thanked Professor James Downe for his contribution to the Council having become an Independent Member of the Standards & Ethics Committee in November 2013, and later on becoming the Vice Chair and Chair of that Committee.

78 : FIFTH CARDIFF LOCAL DEVELOPMENT PLAN ANNUAL MONITORING REPORT

The reason for the report was to outline the purpose of the Local Development Plan (LDP) Annual Monitoring Report (AMR) process and to seek the endorsement of the fifth Cardiff LDP AMR for submission to the Welsh Government by 31<sup>st</sup> October 2021.

RESOLVED:

Council was recommended to endorse the fifth AMR for submission to the Welsh Government by 31<sup>st</sup> October 2021.

79 : COMPLIANCE REPORTS 2020/21 STATEMENT OF ACCOUNTS, ANNUAL GOVERNANCE STATEMENT AND ANNUAL TREASURY MANAGEMENT REPORT

The Statement of Accounts for 2020/21 were presented in order to meet the requirement of the Accounts and Audit (Wales) Regulations 2014 (as amended). This provides that the Statement of Accounts be approved by a relevant committee or by the Council meeting as a corporate body. Due to Covid-19, national timescales in  
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respect to the signing of accounts continue to be extended from 31 May to 31 August and those for publication, extended from 31 July to 30 November. The report also includes the Annual Governance Statement (AGS) which is required to be approved by Council.

RESOLVED:

Council AGREED to:

1. Approve the audited Statement of Accounts 2020/21 – The County Council of the City and County of Cardiff and Cardiff Harbour Authority (Appendix 1).
2. Approve the Annual Governance Statement 2020/21 (Appendix 2)
3. Note the Audit of Accounts Reports (ISA 260) from Audit Wales on the Statement of Accounts of County Council of the City and County of Cardiff and Cardiff Harbour Authority for the year ending 31 March 2021 (Appendices 4 and 5).
4. Approve the Cardiff Port Health Authority Annual Return 2020/21 (Appendix 6)
5. Note the final Letters of Representation for the County Council of the City and County of Cardiff and Cardiff Harbour Authority included within Appendices 4 and 5.
6. Note that the following documents will be signed following the conclusion of the meeting:
  - Statement of Accounts for County Council of the City and County of Cardiff – Lord Mayor and Corporate Director Resources
  - Statement of Accounts for Cardiff Harbour Authority – Corporate Director Resources
  - Annual Return of Cardiff Port Health Authority – Lord Mayor and Corporate Director Resources
  - Annual Governance Statement – Leader of the Council and Chief Executive
  - Audit Certificate for the County Council of the City and County of Cardiff and Cardiff Harbour Authority – Appointed Auditor, Audit Wales.
  - Letter of Representation for the County Council of the City and County of Cardiff - Lord Mayor and Chief Executive.
  - Letter of Representation for Cardiff Harbour Authority – Lord Mayor and Chief Executive.
7. Note the Treasury Management Annual Report for 2020/21 (Appendix 7).

80 : STANDARDS & ETHICS ANNUAL REPORT 2021

The Council received the report which covered a year for the Standards and Ethics Committee. This was outlined by the Chairperson Professor James Downe who was standing down as Chairperson in October 2021.

81 : SOCIAL MEDIA CODES

The report was to enable the Council to consider draft social media codes for (i) Elected Members and (ii) Partner organisations, developed in accordance with the Motion carried at the Council meeting in March 2021 ('the Social Media Codes').

RESOLVED:

Council AGREED to:

1. Approve and adopt: (i) the draft Members' Code of Principles on Social Media Use (**Appendix A**); and (ii) the draft Partner Organisations' Code of Practice on Social Media (**Appendix B**);
2. Agree that the Members' Code of Conduct should be amended as shown in **Appendix C**, to incorporate the approved Members' Code of Principles on Social Media Use (**Appendix A**); the Monitoring Officer be authorised to issue the required public notice and send notification to the Public Services Ombudsman for Wales; and the Constitution updated accordingly; and
3. Agree that the Partner Organisations Code of Practice on Social Media (**Appendix B**) should be published on the Council's website.

82 : CABINET MEMBER STATEMENTS

[Leaders Statement](#) – Councillor Huw Thomas

The Leader responded to questions in relation to:

- Western Gateway

[Cabinet Member, Children & Families](#) – Councillor Hinchey

The Cabinet Member responded to questions in relation to:

- National Launch of Foster Wales

[Cabinet Member, Social Care, Health & Well-being](#) – Councillor Elsmore The Cabinet Member responded to questions in relation to:

- Afghan Citizens Resettlement Scheme
- Older Persons Day Centres and Community Hubs

[Deputy Leader & Cabinet Member, Education, Employment & Skills](#) – Councillor Merry

The Cabinet Member responded to questions in relation to:

- COVID-19 Update for Schools
- The Queen's Green Canopy

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- Edible Playgrounds

[Cabinet Member, Strategic Planning & Transport](#) – Councillor Wild

The Cabinet Member responded to questions in relation to:

- Active Travel Schools Programme
- Bus Strategy Consultation
- New Car Club
- LED Street Lighting

[Cabinet Member, Investment & Development](#) – Councillor Goodway

The Cabinet Member responded to questions in relation to:

- Property Strategy and Annual Property Plan
- City Centre Recovery

[Cabinet Member, Culture & Leisure](#) – Councillor Bradbury

The Cabinet Member responded to questions in relation to:

- Green Flag Awards
- New BMX Facility
- Skateboard Park Consultation

[Cabinet Member, Finance, Modernisation & Performance](#) – Councillor Weaver

There were no questions to the Cabinet Member for Finance, Modernisation & Performance

[Cabinet Member, Housing & Communities](#) – Councillor Thorne

The Cabinet Member responded to questions in relation to:

- Welsh Housing Awards 2021
- Hubs and Libraries

[Cabinet Member, Clean Streets, Recycling & Environment](#) – Councillor Michael

The Cabinet Member responded to questions in relation to:

- Thornhill Crematorium
- RSPCA PawPrints Awards 2021
- Garden Waste Collections

83 : NOTICE OF MOTION 1

The Lord Mayor noted that a Notice of Motion proposed by Councillor Carter and seconded by Councillor Wood had been received for consideration. One Amendment had been received from the Conservative Group.

The Lord Mayor invited Councillor Carter to propose the motion as follows:

The Council notes that:

- Since 2017, Cardiff has seen increasing rates of anti-social behaviour, public order, knife and drug related crimes.

- A recent poll of residents across 15 major UK cities, Cardiff was rated the least safe place to live
- 38% of people said that didn't feel safe at all on the streets at night, while another 31% worry about their safety during the daytime.
- 26% of adults in the poll had witnessed a crime
- In 2020, the most common crimes were anti-social behaviour, followed by violence and sexual assault.
- Interventions to reduce crime, or the fear of crime, are linked to improved health and well-being within communities.

The Council calls on the Cabinet to:

- Expand the number of anti-social behaviour officers working for the council and improve links with the police
- Commission a review of youth provision to engage children and young people in what they need. Youth clubs are recognised as important ways to prevent vulnerable young people from joining gangs and engaging in crime
- Increase the support available to community organisations and sports clubs to expand services in areas of high anti-social behaviour
- To better use planning and design to build out crime through lighting and minimising dangerous locations. All public space projects should include a statement on how the design is expected to impact on criminal activity
- Expand the ARC CCTV network into outer Cardiff wards to tackle crime and anti-social behaviour.
- Work with bus companies to re-establish night buses to reduce the risk of people becoming victims of crime on their way home.
- Expand the neighbourhood watch network, supporting the development of new groups and recruiting volunteers.
- Develop a trusted tradesperson register of qualified trade people working in the city to avoid rogue traders profiting from vulnerable residents.
- Safeguard funding for specialist services for victims of violence to adequately meet anticipated demand during and after the pandemic.
- Work with South Wales Police to commission a review of crime and community safety and learn from other cities.
- Work with the South Wales Police and Crime Commissioner to drive forward harm reduction policy, including the creation of legal drug consumption rooms to take dangerous drugs off our streets.

The Motion was seconded by Councillor Elsmore

Amendment One – Conservative

The Lord Mayor called Councillor Mia Rees to move the amendment as follows:

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The Council notes that:

- Since 2017, Cardiff has seen increasing rates of anti social behaviour, public order, knife and drug related crimes.
- A recent poll of residents across 15 major UK cities, Cardiff was rated the least safe place to live
- 38% of people said that didn't feel safe at all on the streets at night, while another 31% worry about their safety during the daytime.
- 26% of adults in the poll had witnessed a crime **(Insert: and 29% had been a victim of a crime)**
- In 2020, the most common crimes were anti-social behaviour, followed by violence and sexual assault.
- Interventions to reduce crime, or the fear of crime, are linked to improved health and well-being within communities.

The Council calls on the cabinet to:

- Expand the number of anti-social behaviour officers working for the council and improve links with the police
- Commission a review of youth provision to engage children and young people in what they need. Youth clubs are recognised as important ways to prevent vulnerable young people from joining gangs and engaging in crime

**Delete:**

- **'Increase the support available to community organisations and sports clubs to expand services in areas of high anti-social behaviour'**
- **'To better use planning and design to build out crime through lighting and minimising dangerous locations. All public space projects should include a statement on how the design is expected to impact on criminal activity'**

**Insert:**

- ***Ensure that youth provision reaches every corner of our city, giving all young people the opportunity to access the support they need by increasing the support available to community organisations and sports clubs in areas of high anti-social behaviour.***
- ***The Council to consider in the ongoing LDP review the use of planning and design to build out crime through lighting and minimising dangerous locations.***
- Expand the ARC CCTV and footpath lighting networks into outer Cardiff wards to tackle crime and anti-social behaviour.

- Work with bus companies to re-establish night buses to reduce the risk of people becoming victims of crime on their way home.

- Expand the neighbourhood watch network, supporting the development of new groups and recruiting volunteers.

**Delete:**

- **Develop a trusted tradesperson register of qualified trade people working in the city to avoid rogue traders profiting from vulnerable residents’.**

- Safeguard funding for specialist services for victims of violence to adequately meet anticipated demand during and after the pandemic.

- Work with South Wales Police to commission a review of crime and community safety and learn best practice from other cities.

**Insert**

- **Formally request that the Community Safety Partnership develops a robust violence prevention strategy and report its progress to the Council's Crime and Disorder Committee within 6 months**

**Delete:**

**Work with the South Wales Police and Crime Commissioner to drive forward harm reduction policy, including the creation of legal drug consumption rooms to take dangerous drugs off our streets.**

**Insert**

- **Bring forward a report regarding these items within three months.**

The Amended Motion to read:

The Council notes that:

- Since 2017, Cardiff has seen increasing rates of anti social behaviour, public order, knife and drug related crimes.

- A recent poll of residents across 15 major UK cities, Cardiff was rated the least safe place to live

- 38% of people said that didn't feel safe at all on the streets at night, while another 31% worry about their safety during the daytime.

- 26% of adults in the poll had witnessed a crime and 29% had been a victim of a crime

- In 2020, the most common crimes were anti-social behaviour, followed by violence and sexual assault.



· Interventions to reduce crime, or the fear of crime, are linked to improved health and well-being within communities.

The Council calls on the cabinet to:

- Expand the number of anti-social behaviour officers working for the council and improve links with the police
- Commission a review of youth provision to engage children and young people in what they need. Youth clubs are recognised as important ways to prevent vulnerable young people from joining gangs and engaging in crime
- Ensure that youth provision reaches every corner of our city, giving all young people the opportunity to access the support they need by increasing the support available to community organisations and sports clubs in areas of high anti-social behaviour.
- The Council to consider in the ongoing LDP review the use of planning and design to build out crime through lighting and minimising dangerous locations.
- Expand the ARC CCTV and footpath lighting networks into outer Cardiff wards to tackle crime and anti-social behaviour.
- Work with bus companies to re-establish night buses to reduce the risk of people becoming victims of crime on their way home.
- Expand the neighbourhood watch network, supporting the development of new groups and recruiting volunteers.
- Safeguard funding for specialist services for victims of violence to adequately meet anticipated demand during and after the pandemic.
- Work with South Wales Police to commission a review of crime and community safety and learn best practice from other cities.
- Formally request that the Community Safety Partnership develops a robust violence prevention strategy and report its progress to the Council's Crime and Disorder Committee within 6 months
- Bring forward a report regarding these items within three months.

The amendment was formally seconded by Councillor Parkhill.

The Lord Mayor invited debate on the motion and amendment.

The Lord Mayor invited Councillor Carter to respond to the issues raised during the debate.

Councillor Carter responded to the issues raised and confirmed the Amendment was accepted.

The Lord Mayor called for a Vote on the Substantive Motion as amended.

The Vote on the Substantive Motion as amended was LOST.

#### 84 : NOTICE OF MOTION 2

The Lord Mayor noted that a Notice of Motion proposed by Councillor Robson and seconded by Councillor Hudson had been received for consideration. Two Amendments had been received from the Labour Group and Liberal Democrat Group.

The Lord Mayor invited Councillor Robson to propose the motion as follows:

This Council notes that:

1. Cardiff's parks and open spaces are a major feature of the city which are a valuable resource and safe space for residents and visitors.
2. Parks are places where individuals and families should feel safe and during the Coronavirus pandemic, many residents enjoyed and appreciated their local park to be able to get outside.
3. There are a number of volunteer groups, including "Friends" groups, who make a valuable contribution and help to enhance our parks. This Council expresses its thanks to them for their hard work.
4. The work of parks rangers is crucial in both enabling work carried out by Friends groups and ensuring that Cardiff parks are safe and well-managed.

This Council also notes that there has sadly been a spate of incidents in parks over the past few months, ranging from serious crimes to low-level anti-social behaviour.

This Council calls on the Cabinet to bring forward a report which includes:

- Increases the funding available for park rangers. More rangers will both assist with making our parks safer and encouraging friends groups to develop.
- A policy on where and when it is appropriate to introduce lighting in parks, and what consultation would be undertaken to identify any paths that need lighting.
- Consideration of whether when serious vandalism occurs in parks the Council should, after seeking advice from the Police, offer a reward for information which leads to arrests.

Such a report should be brought to Cabinet within four months.

The Motion was seconded by Councillor Hudson.

Amendment One – Labour Group

The Lord Mayor called Councillor Bradbury to move the first amendment as follows:

This Council notes that:

1. Cardiff's parks and open spaces are a major feature of the city which are a valuable resource and safe space for residents and visitors.
2. Parks are places where individuals and families should feel safe and during the Coronavirus pandemic, many residents enjoyed and appreciated their local park to be able to get outside.
3. There are a number of volunteer groups, including "Friends" groups, who make a valuable contribution and help to enhance our parks. This Council expresses its thanks to them for their hard work.
4. The work of parks rangers is crucial in both enabling work carried out by Friends groups and ensuring that Cardiff parks are safe and well-managed.

**Insert:**

5. ***That working with the police is vital to keeping Park's safe and well managed, and notes that 21,000 Police Officers in the UK have been cut since 2010.***

This Council also notes that there has sadly been a spate of incidents in parks over the past few months, ranging from serious crimes to low-level anti-social behaviour.

This Council calls on the Cabinet to bring forward a report which includes:

**Delete:**

- **Increases the funding available for park rangers. More rangers will both assist with making our parks safer and encouraging friends groups to develop.**

**Insert:**

- ***Continue to look at ways during the budget process to increase funding in park safety and support staff and Friends Groups going forward***
- A policy on where and when it is appropriate to *continue* to introduce lighting in parks, and what consultation would be undertaken to identify any paths that need lighting.
- Consideration of whether when serious vandalism occurs in parks the Council should, after seeking advice from the Police, offer a reward, *where appropriate* for information which leads to arrests.

**Insert:**

***Such a report should be brought to Cabinet within four months.***

The amended motion would read.

This Council notes that:

1. Cardiff's parks and open spaces are a major feature of the city which are a valuable resource and safe space for residents and visitors.
2. Parks are places where individuals and families should feel safe and during the Coronavirus pandemic, many residents enjoyed and appreciated their local park to be able to get outside.
3. There are a number of volunteer groups, including "Friends" groups, who make a valuable contribution and help to enhance our parks. This Council expresses its thanks to them for their hard work.
4. The work of parks rangers is crucial in both enabling work carried out by Friends groups and ensuring that Cardiff parks are safe and well-managed.
5. That working with the police is vital to keeping Park's safe and well managed, and notes that 21,000 Police Officers in the UK have been cut since 2010.

This Council also notes that there has sadly been a spate of incidents in parks over the past few months, ranging from serious crimes to low-level anti-social behaviour.

This Council calls on the Cabinet to bring forward a report which includes:

- Continue to look at ways during the budget process to increase funding in park safety and support staff and Friends Groups going forward
- A policy on where and when it is appropriate to continue to introduce lighting in parks, and what consultation would be undertaken to identify any paths that need lighting.
- Consideration of whether when serious vandalism occurs in parks the Council should, after seeking advice from the Police, offer a reward, where appropriate for information which leads to arrests.

Such a report should be brought to Cabinet within four months.

The first amendment was formally seconded by Councillor Bradbury.

Amendment Two – Liberal Democrat Group

The Lord Mayor called on Councillor Berman to move the second amendment as follows:

In the section headed "*This Council calls on the Cabinet to bring forward a report which includes:*", after the third bullet point add the following additional fourth bullet point:

- ***Proposals to undertake a meaningful consultation with local communities on whether or not to return to locking local parks at night.***

Amended Motion would read:

This Council notes that:

5. Cardiff's parks and open spaces are a major feature of the city which are a valuable resource and safe space for residents and visitors.
6. Parks are places where individuals and families should feel safe and during the Coronavirus pandemic, many residents enjoyed and appreciated their local park to be able to get outside.
7. There are a number of volunteer groups, including "Friends" groups, who make a valuable contribution and help to enhance our parks. This Council expresses its thanks to them for their hard work.
8. The work of parks rangers is crucial in both enabling work carried out by Friends groups and ensuring that Cardiff parks are safe and well-managed.

This Council also notes that there has sadly been a spate of incidents in parks over the past few months, ranging from serious crimes to low-level anti-social behaviour.

This Council calls on the Cabinet to bring forward a report which includes:

- Increases the funding available for park rangers. More rangers will both assist with making our parks safer and encouraging friends groups to develop.
- A policy on where and when it is appropriate to introduce lighting in parks, and what consultation would be undertaken to identify any paths that need lighting.
- Consideration of whether when serious vandalism occurs in parks the Council should, after seeking advice from the Police, offer a reward for information which leads to arrests.
- Proposals to undertake a meaningful consultation with local communities on whether or not to return to locking local parks at night.

Such a report should be brought to Cabinet within four months.

The second amendment was formally seconded by Councillor Hopkins.

The Lord Mayor invited debate on the motion and amendments.

The Lord Mayor invited Councillor Robson to respond to the issues raised and confirmed that the Liberal Democrat Amendment was accepted.

The Lord Mayor called for a Vote on Amendment One.

The Vote on Amendment One move by Councillor Bradbury and seconded by Councillor Derbyshire was CARRIED.

The Lord Mayor invited Councillor Bradbury to speak before a vote on the substantive motion was taken.

The Lord Mayor called for a vote on the Substantive Motion as amended by the Labour Group.

The Vote on the Substantive Motion as amended was CARRIED.

## 85 : ORAL QUESTIONS

### Question - Councillor Robson

£64.89m of the Non-Domestic Rates collected by Cardiff was redistributed by Welsh Government, whilst Cardiff's NDR collection rate dropped by 10.54%. What actions do you propose to improve collection rates for the remainder of the 2021/22 financial year?

### Reply – Cllr Weaver

Thanks for the question, Councillor Robson.

The 10.54% you refer to is of course for the 2020/21 financial year, which we all know was an extremely challenging year for businesses due to the Covid-19 pandemic.

You will be pleased to know that information for the first six months of the current financial year – 2021/22 – shows that we have already collected 55.69% of the Non-Domestic Rates so far for this year, which is virtually identical to the 55.8% we collected in the first six months of 2019/20, so this year collection rates are comparing really well to pre-pandemic levels.

This is obviously very positive news, but please be assured that officers will continue to take appropriate action during the rest of the year in order to maintain this position, and will continue to monitor the situation closely.

### Supplementary Question – Cllr Robson

This is good to hear that the collection rate is getting back to back to normal. In relation to the distribution of the NNDR collected by Cardiff, what discussions do you plan to have with your counterparts in Welsh government to lobby to ensure that Cardiff keeps more of the rates that it collects?

### Reply – Cllr Weaver

The Council's always in discussion with Welsh government about ensuring that there is fair funding across Wales for all local authorities and the redistribution of business rates is something that allows the Welsh government to fund all local authorities in the area we do not want to see any authority in Wales go without funding. Of course what this drop in the collection rates in the pandemic year do show is that if we were entirely reliant on business rates as has been asked for before in this Chamber we

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would in fact have had to take that hit ourselves as an authority and so whilst we'll discuss with Welsh government the way to ensure there's a fair funding settlement for every local authority, we understand that the business rates collection is going to continue as is at the moment.

Question -Councillor Berman

What proportion of the council's waste collection fleet had the in-cab technology (which makes it harder for crews to miss assisted lifts and blocks of flats with communal bins) when waste collection rounds were changed in February, what proportion has since been provided with it, and what proportion has still to be fitted with it?

Reply – Cllr Michael

At the time of implementation of 4-day collection model, 61% (36) of our 59 Refuse Collection Vehicles had in-cab technology installed.

This was due to the delivery of new collection vehicles and the ability of our contractor to facilitate the hardwire installations during the pandemic. The contractor also advised us that there was a delay in the delivery of the in-cab technology screens due to the impact of Brexit on the manufacturing process.

We currently have 97% of collection vehicles (57) with in-cab technology installed and, therefore, 3% of vehicles (2) do not yet have this technology.

Supplementary Question – Cllr Berman

Thank you I mean given now that we only have a couple of vehicles that don't have the technology and given that I have previously asked when I have had these kind of missed collections if steps can be taken to avoid them happening again, I have been told that the in-cab technology was going to sort it out. Can you explain why I have had a spate of complaints from Penylan in the last week or two of a more missed collections they seem to be happening with increasing frequency at the moment and are we going to be able to sort it out by getting the in-cab technology to the remaining vehicles?

Reply – Cllr Michael

The answer is yes, we'll be getting in-cab technology to the remaining vehicles but interestingly the biggest problem we have is not collecting waste and missed collections but the sheer amount that are wrong collections shall we say, there is an increasing amount of waste that is incorrectly put out. So one of the problems we are having is looking at this and we are addressing this in the new recycling plan which is coming on soon. Interestingly enough I was looking at some statistics earlier on and in your last year as Leader you still hold the record of 19500 missed collections and the point I am trying to make is that you did the right thing then by going to bi- weekly collections so you are took the appropriate steps which is exactly what we are trying to do. So I believe the new technology and changes we are making will see a drop in those missed collections and less contamination to go with it.

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Question -Councillor Keith Parry

How many houses and flats are rented out as Holiday Lets by AirBnB and other means in Cardiff?

Reply- Cllr Thorne

As of 30<sup>th</sup> September 2021, the Council Tax Team in the Resources Directorate held records of 3,590 properties that were considered to be furnished dwellings in which no-one is resident.

Unfortunately, this figure can't be broken down further to determine if these are second homes, holiday lets, service lets and furnished properties that are unoccupied between lets.

Supplementary Question – Cllr Keith Parry

Yes thank you Lord Mayor what actions can the Council take to either reduce or control the number of these lets as they have a substantial effect on hotels and other accommodation in the holiday trade and also an effect on private rented accommodation in taking buildings out of use for private rented accommodation.

Reply – Cllr Thorne

Absolutely I agree with you but at the moment we have no powers that we can use to curtail that, people can let their properties and in whichever way they choose.

Question -Councillor Mackie

Could you update us on what the Council is doing to support the businesses at the Castle Emporium to relocate?

Reply – Cllr Goodway

I can confirm that Economic Development Officers met with representatives of Castle Emporium when the Council was informed that their lease was about to expire. Officers offered support in identifying potential new locations for the business, sites within the Council's control, as well as those that are privately available.

The Council will continue to provide support in looking at both temporary and permanent solutions for Castle Emporium.

Supplementary Question – Cllr Mackie

More generally, what is the Council doing to foster, encourage and support independent retailers who bring so much differentiation to Cardiff's retail offer?



Reply – Cllr Goodway

The Council recognises the role that local, independent retailers bring to the city – both in developing our own businesses, but also the role that such businesses play in attracting people to Cardiff.

The Council has submitted a Levelling Up Fund application to the UK Government for investment in Cardiff Market to provide a world-class home at the heart of the city centre for independent businesses.

The Council is exploring proposals with FOR Cardiff for a ‘meanwhile use’ programme for empty and underutilised properties and places to provide space for emerging independent businesses.

The Council is also actively working with property owners and developers to make sure that current and future developments support independent retailers, so there's a wide range of activities that were undertaking at the moment designed to do precisely what you're asking for I have to say it will take some time to evaluate how successful we have been.

Question -Councillor Driscoll

Will the council be facilitating or holding bonfire/firework celebrations in Coopers Field this year?

Reply – Cllr Bradbury

The Council did receive and facilitate a booking from Cardiff Round Table for their popular annual “Sparks in the Park” fireworks and fundraising night that was scheduled for Saturday 6<sup>th</sup> November in Bute Park.

Sadly, the event organisers cancelled their booking in August after failing to secure a principal sponsor. This, coupled with Covid impacts and uncertainties, led the organisers to conclude that the event was unviable in 2021.

We are looking forward to receiving an application for the event from Cardiff Round Table in 2022 and the Council stands ready to provide support the in the usual way.

Supplementary Question – Cllr Driscoll

Thank you for your answer, this is very disappointing because obviously it is a popular event organised by the Cardiff Round Table with well over 4000 people attending past celebrations and I see that Swansea Council are going ahead with an event so can you just clarify is it cancelled because of the climate emergency or Environmental impact of air pollution is that maybe some of the reasons behind it or is it concerns around effects on pets and animals or purely because though they couldn't find a sponsor for the event?

Reply – Cllr Bradbury

Thank you Councillor I have been told it's because they could not secure a principal sponsor and they had Covid impacts and uncertainties about the pandemic. As I've said we have supported this event for decades, the event was also cancelled last year which would have been the 40th anniversary year it is a massively important event for us we want to see it back and we want to see it enjoyed in what is a fantastic city centre location so I mean it has never been from the Council stopping it from happening it was a decision that was taken by the event organisers themselves.

Question -Councillor Sandrey

What steps are the council taking to ensure blue badge parking in the city centre is not only retained but improved?

Reply – Cllr Wild

The Council is working with the Access Focus Group to consult on transport schemes and take advice on disabled parking numbers. At present, we are not aware of a shortage of spaces and any new transport schemes will always seek to strategically relocate and not displace disabled parking spaces.

Supplementary Question – Cllr Sandrey

The reason I raise this point is because and I'm not sure if you're aware of it, there has been some controversy in York City Centre with regards to Blue badge parking and access being taken away and I just wanted to raise this issue because I think it's really important that we work with people and not just do things to them without working with them so I guess can you just reassure Council that we won't be repeating what York has done?

Reply – Cllr Wild

Thank you Councillor Sandrey I wasn't on the ball enough to know what's going on in York but yes I can reassure you that we've got 109 dedicated disabled spaces in Cardiff, all sorts of other spaces where we allow people with blue badges to park for free in a lot of our pay and display parking bays. I can assure you this is absolutely top of our priority to make sure that people with a disability, people with blue badges can get around and get around their lives in a good way.

Question - Councillor Keith Parry

How many Second Homes are there in Cardiff?

Reply – Cllr Thorne

I would refer you to the figure provided in my reply to your earlier Oral Question.

Supplementary Question – Cllr Keith Parry

Do you have any plans to increase council tax on second homes as some Council's have done in various part of the country?

Reply – Cllr Thorne

We've increased council tax on vacant properties but I'm sure I can ask my colleague Councillor Weaver to look at that.

Question - Councillor Henshaw

I was delighted to hear that Waterloo Gardens was awarded a Green Flag for excellence last week. These parks really are jewels in the city's crown, and I know people travel, not just from all over Cardiff, but from across the city-region to visit them. Could the Cabinet member outline the plans to sustain this level of achievement, and secure further Green Flag awards? I am particularly keen for my local park in Splott to secure this award in the future.

Reply – Cllr Bradbury

The Council is really proud to have achieved a record number of Green Flag awards for the city's parks and green spaces.

In terms of sustaining our Green Flag status, we have, through the life of the Capital Programme, committed to investing £400,000 in infrastructure improvements, ensuring that key actions within management plans are delivered.

During the summer, I requested that officers undertake a self-assessment exercise in order to inform our forward plan of new award submissions.

This exercise was supported by Keep Wales Tidy and it has been determined that Hendre Lake in the Trowbridge ward should be submitted for a Green Flag in 2022.

Consideration will also be given to include a future submission for Splott Park within the forward plan.

Question -Councillor Hudson

In line with the commitment for an age-friendly city for the people of Cardiff, will the Council also commit to more accessible disabled spaces in the city centre?

Reply – Cllr Wild

I can reassure you that disabled parking is – and will be – given due consideration during the planning of the city centre. This will be part of the work to design these schemes, and officers will meet to discuss where we could review existing bays for taxi ranks, loading etc. with the intention of creating more bays for disabled drivers if possible and if necessary.

Supplementary Question – Cllr Hudson

Please could bays be placed around the City for social events such as the Hayes, St David Centre because there's usually a Christmas Fayre, the Millennium Centre as they are really sparse in these areas and not easily accessible.

Reply – Cllr Wild

We will have to check that and as I said my previous answer my understanding is St David's is entirely suitable for blue badge holders lots of lots of accessible parking there so if there's a problem area or if you think of it then please send them through to me so I can check as it wasn't something I was aware of.

Question -Councillor Berman

Has the council consulted the citizens of Cardiff as a whole on the principle of replacing road space which can be used by both buses and cycles but not private cars with road space that can only be used for cycling (thereby giving cyclists priority over bus users) and, if so, how was this done, what was the outcome and was the principle subject to an equality impact assessment?

Reply- Cllr Wild

The Council's Transport White Paper provides a clear commitment to the re-prioritisation of Cardiff's streets to give more space to people walking and cycling and investment in a network of segregated cycleways across the city.

The White Paper was produced following an extensive process of public and stakeholder engagement and consultation, which began with work on the previous Transport and Clean Air Green Paper that helped to inform the priorities contained in the White Paper. An Equality Impact Assessment was also produced in support of the Transport White Paper.

Supplementary Question – Cllr Berman

Thank you for that but what you've said there didn't contain the idea of basically replacing bus lanes with lanes that buses and cyclists can use where both key priority over cars, with space that only cyclists can use so that cyclists effectively are getting priority over buses and this has recently been done on Newport Road with a new segregated cycle way and it has been done at the expense of bus lane which means the buses now have to share the same single track that that the car use and this is going to slow down buses going out to the east of the city and I'm really worried about the impact on this because obviously bus users are going to find that their bus journeys home from town will be slower, so have we actually consulted on seeing how we can actually make cyclists have more priority than buses. I don't have a problem with cyclists having more priority than cars but I think there is an issue when cyclists are getting more priority than buses.

Reply – Cllr Wild

I don't fully understand the work around on that, a bus Lane is not a cycle lane and cyclists especially on busy roads need to have segregated space for them to feel safe to cycle and that you know that has been well documented and well agreed within this Chamber by nearly all sides. There are some instances across the city we know that there is not sufficient space to provide every form of transport with their own dedicated lane and we're having to make decisions on what is the right form of transport to prioritise but with a re-prioritisation to pedestrians, to cycling, people using public transport which is what we're doing. In terms of Newport Road bus lane I didn't know you were opposed to the cycleway on Newport Road we are aware of some issues in terms of the timings of the junctions and were working hard with bus providers to make sure they can get through. I think because of those some of those issues we will probably hold back some of the extensions on those junctions to make sure buses can get through, this is not easy stuff Councillor Berman but the reprioritisation and how we're consulting on it has been absolutely clear but we're making the changes that are needed for the health of this city and to do all the things we want to do in terms of a positive progressive city centre.

Question - Councillor Keith Parry

How many sewerage outfalls are there that discharge untreated sewerage into the River Ely either constantly or at times of heavy rainfall?

Reply- Cllr Michael

Sewerage outfalls and their location and operational information are the responsibility of Dŵr Cymru Welsh Water.

Investigations into any pollution incidents and sewerage discharge events into main rivers are undertaken by Natural Resources Wales, who will then request assistance if there is a requirement to utilise enforcement powers held by the Council.

Supplementary Question – Cllr Keith Parry

I'm sure the building of sewerage outfalls is the responsibility of the Council, where planning permission is given for housing estates.

Reply – Cllr Michael

That is not the question you asked me.

Question - Councillor Patel

It's brilliant to see the building frame of the new Fitzalan High School coming out of the ground in Leckwith. Could the Cabinet Member give an update on how construction is progressing?

Reply – Cllr Merry

I am pleased that the overall project is progressing well and it is good to see certain components now coming to completion, such as the sports pitches and associated facilities.

In terms of the new build of the actual school, that is also progressing well, with the foundations, piling and over 90% of the steelwork completed.

The programme is aiming for the new building to be fully water-tight by early Spring next year, with completion by mid-2023.

Supplementary Question – Cllr Patel

Would you agree that this is the most expensive state of the art school in Wales which will clearly support our young people in the future and especially the children of Canton?

Reply – Cllr Merry

I agree that it's a superb addition to our educational establishments Councillor Patel but I wouldn't like to compare costs.

Question -Councillor Parkhill

In the past the Council Leader has indicated his support for building new roads within the City. How do you view the Welsh government's moratorium on new road building will impact the future plans for Cardiff's road network?

Reply – Cllr Huw Thomas

You are right I have in the past pointed out that only a kilometre of new road has been built in Cardiff since devolution and I think there is a compelling case to be made in particular around the eastern bay link completing from the Queensgate roundabout to the end of Rover Way to be upgraded and I think that is important not just as a gateway to the city and Cardiff Bay but as a way of diverting traffic away from residential areas including not least at my own Ward of Splott. However just to be clear it's not a moratorium it's a nine month review that looks to consider all the high risk schemes across Wales and seeking to reduce the carbon footprint in Wales and protect people and wildlife from the climate emergency and I welcome it and I support it and my hope is that by undertaking this review that unlocks Welsh government capital funding that can then in turn be used on where is the most appropriate and most highly prioritised need for road building and also where projects are excluded is that money could be diverted into much needed public transport infrastructure investment as well which we will certainly be making a case to Welsh government that is needed in Cardiff.

Supplementary Question – Cllr Parkhill

Thank you Lord Mayor and it's good to hear that you'll be making representations to the Welsh government for that supplementary funding for new road building and what

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meetings and discussions will you be specifically having with ministers in the in the next three months?

Reply – Cllr Huw Thomas

I don't know about that Councillor Parker I don't know what my diary looks like for the next few months but rest assured that particularly on the Eastern Bay Link that conversation at an official level have been happening for some years now and with the decent amount of detail I will certainly be making representations when I next meet the climate change minister and the Deputy Minister for Transport of the importance of that road but also crucially and just to be clear I was saying capital spending unlocked by this review should also be used for public transport infrastructure not least the delivery of the Cardiff transport strategy which makes a fundamental contribution at to our drive to be net-zero by 2030.

Question - Councillor Carter

Could the cabinet member investigate ways to partially reopen Pentwyn Leisure Centre in the lead up to the redevelopment of the building?

Reply- Cllr Bradbury

I have requested that officers explore any such opportunities and will provide ward members with an update in due course.

Supplementary Question – Cllr Carter

Can you please give a reassurance that you will continue to engage Councillors throughout the redevelopment obviously times have slipped we were reflecting the other day that it's about a year since we were shown the wonderful proposals and things have taken longer than we might have liked so can you give an assurance that you and officers will continue to engage ward members regularly on this issue?

Reply – Cllr Bradbury

Councillor I will give that commitment, time frames have slipped in a way that the health board are leaving and trying to put the building whilst we put in place the plans of planning but I am confident we'll be able to get something to you with regards to planning in due course in the very near future so very happy to meet with you as you and your ward colleagues as you know my virtual door is open.

Question - Councillor Ford

If a car turns off the road to a car park or into the street from the newly laid pavements layout, who has the right of way the car driver or the pedestrians?

Reply- Cllr Wild

Currently, Rule 170 of the Highway Code advises vehicle drivers to take extra care at junctions and to watch out for pedestrians crossing a road into which they are

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turning. It also gives pedestrians priority once they have started to cross and requires vehicles to give way.

Rule 206 of the Highway Code also advises vehicle drivers to drive carefully and slowly when turning at road junctions and to give way to pedestrians who are already crossing the road into which they are turning.

#### Supplementary Question – Cllr Ford

Can you advise me then why there are huge holes in Cowbridge Road there are holes in the pavements and in the roads which is the Alexandra Road why have these holes been left it is totally unacceptable residents could break their ankles or be injured more seriously when will you look into this matter and will it be dealt with and could you give me a timescale or date?

#### Reply – Cllr Wild

I didn't know about that Councillor Ford thanks for making me aware I'll get straight onto it tomorrow morning and find out what the issues are.

#### Question -Councillor Owen Jones

The Council's Transport Strategy last year targeted a shift in types of journeys, with the aim of 60% of journeys made by sustainable modes. With footfall in the City Centre returning to pre-pandemic levels – which is really good to hear, how successful has the Council been in encouraging that modal shift?

#### Reply – Cllr Wild

Thank you Councillor Jones as you know the Council, businesses and residents have been working really closely together to do what they can to ensure the City bounces back in a sustainable way and also to make sure we enable as many people as possible to travel in sustainable healthy ways. The popup cycle ways initiatives were examples of the kind of action we took and since March 2020 the proportion of journeys being made by each mode has varied in response to changes around the COVID-19 restrictions but nevertheless latest estimates place the current mode split to be around 56% of all journeys being made by sustainable modes and 44% by car which as you know it's steps in the right direction but in particular the most recent figures from the data we've been collecting is all forms of sustainable transport modes are gradually returning but cycling is 130% of pre-pandemic levels and pretty remarkably walking has nearly doubled in terms of that since March last year.

#### Supplementary Questions – Cllr Owen Jones

It is really good to hear that some of those modes especially walking doubling and to maybe just to reiterate what Cllr Berman said earlier though can we try and concentrate to make sure that when journeys such as cycling and walking are going up that these are being taken out of car journeys instead of possibly out of bus use and we want to make sure all sustainable transport modes go up whilst private car use goes down.

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Reply – Cllr Wild

That's the plan and of course we try to do that but we also have to manage a network with an awful lot of cars trying to get around the place and whilst you know it might seem simple to simply stop them or cut down their space we know that can cause pretty serious issues about quality of congestion or all sorts different things in and around the city centre so it's got to be done in a balanced way. We have got a good team out there keeping an eye on it and trying to keep things flowing, there are still changes to come aren't there and we have a busy period with Christmas coming up so we'll certainly keep on top of it but we will squeeze as much as possible to try to make sure people are enabled to make the sustainable choices

Question -Councillor Jones-Pritchard

In 2019 we discussed common concerns about the number of children EOTAS and the hidden hundreds of children who are not registered. There is evidence that the numbers of known, and hidden, children EOTAS has increased since March last year, with the impact of lockdowns on education. What information does the council have on the numbers and ages of children EOTAS currently, both known and suspected?

Reply – Cllr Merry

Thank you for your question, Councillor Jones-Pritchard, I will try to answer as best I can, but (EOTAS) figures actually come under a different set of characteristics, its separate to electively home educated.

Education Other than at School (EOTAS) is comprised of:

- education that is made up of non-maintained schools;
- independent schools;
- pupil referral units;
- secure estate;
- college placements; and
- tuition for health reasons.

Our systems are not evidencing “hidden hundreds” of children and young people, nor is there any intelligence of this being the case from working with all our networks.

There are currently 197 children and young people in the different EOTAS provisions. This is made up of:

- 14 primary school pupils;
- 13 in Key Stage 3;
- 148 in Key Stage 4; and
- 22 in Post-16 education.

Information relating to Elective Home Education, figures have increased from 230 in 2020 to 371 in October 2021 but some of that is made up from children from families who are concerned about bringing Covid into the home, and we are aware of the health and wellbeing of our pupils maybe increasing anxiety etc. so I hope I have answered your question but I'm happy to ask Officers for more detail if you require.

Supplementary Question – Cllr Jones-Pritchard

Yes that is more information than expected on that but yes the numbers have gone up as you confirm there and I can understand the reasons behind that. In terms of those who are being educated at home electively we did discuss the difficulty of the council to monitor the quality of that education with the legislation is there any improvement in the ability of officers to in that respect?

Reply – Cllr Merry

There was hope that there will be a change in regime I think most of this particular growth was actually come from children within the school sector so I hope in that respect that they're not at least children that the system is unaware of and I think we have particular concerns about children who basically had never been in school and the risk that they might drop out of the system completely but if you drop me an email I will see what else I can find out for you in terms of that particular category of pupils.

Question -Councillor Carter

How are sites prioritised for safe routes to school funding?

Reply – Cllr Wild

Historically, schools infrastructure schemes have been prioritised for road safety funding and delivery by an objective method, which takes account of factors including traffic flows, traffic speed, collisions, site layout and the time that a scheme has been awaiting delivery.

Our engagement with schools through the Active Travel Schools programme has highlighted that many schools are in need of both on-site and off-site measures to improve safety and facilitate active travel to school. These measures include new routes, pathways, entrances, crossings, parking restrictions and School Streets.

To address this need, we are working to develop a new way of prioritising schools' schemes. This won't be easy, as the needs and infrastructure requirements for different schools are likely to be quite similar. However, it is likely that the level of a school's commitment to promoting active travel to and from school and delivering its Active Travel Plan will be included in the new criteria.

Supplementary Question – Cllr Carter

Thank you for a very detailed response Councillor Wild in my Ward of Pentwyn and Llanederyn we have one particular school Llanederyn Primary that's been on the waiting list for safer routes to school for over five years if not eight years now. In that

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time parking has got worse, danger has increased and it is pretty crazy and chaotic there. Could you give an undertaking to have a look at this particular project when it comes to your desk and review it, it has been visited by officers twice and myself and we always welcome a site visit if you felt useful.

Reply – Cllr Wild

Yes that is interesting and I guess that maybe the clues are in my answer in that I don't know exactly where they are at with their active travel plan, what would be a suggestion from me is that we encourage schools to work through their active travel plans, I think that's going to be a much better way of us prioritising these schemes and getting frankly more money into these schemes because budgets for active travel are relatively high with Welsh Government at the moment you know schools safety schemes etc. that money doesn't go far in terms of road safety schemes so maybe let's look at that and I must say that I don't know exactly where they're at with that but I know we've got some brilliant officers that will support a proactive school in that matter.

Question -Councillor Dilwar Ali

How concerned are you by the forthcoming winter pressures and our ability to support our vulnerable older residents?

Reply- Cllr Elsmore

This is clearly a very important issue and as you heard particularly in some detail last month health and social care services across Wales are currently facing unprecedented challenges so for instance in relation to Cardiff there has been a sustained increase in demand the domiciliary care since the summer, the increase in referrals is over 35% and that's compared to pre-pandemic levels so this surge in demand combined with you know very serious challenges in the sector in relation to the workforce is meaning that we're having to mitigate by innovating and having other things in place so whilst we are confident the we will still able to meet the care needs of our vulnerable older residents that there are delays and they are slower than normal to put that care in place what is reassuring though is the partnership working that's being done with health whereby we are working together across health and social care in terms of growing our workforce together apprentices for example very happy to give you more detail about that.

Supplementary Question – Cllr Dilwar Ali

Thank you for your detailed response, what discussions are you having with the health board and Welsh Government to support the Council through the coming months?

Reply – Cllr Elsmore

In relation to the health board were having considerable discussions as I said principally to ensure we are joining forces in terms of recruiting training and building that workforce together. We have our own Cardiff carers Academy now which is part

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of the Cardiff Academy that you'll know about and we are supporting across the course of six months up to 120 people to retrain in in relation to social care and in terms of having both mentors for care homes for instance and the care agencies but also mentors for individuals who want to retrain as social care workers we are doing that and I think that is going to be a very useful method. I am meeting on a regular basis with the Deputy Minister for social Services and she's very conscious of the pressures within social care services both in Cardiff and elsewhere across Wales those will continue and they must.

Question - Councillor Hudson

What does the Council propose to do to kickstart interest in the city centre, to increase footfall and revitalise the retail sector?

Reply- Cllr Goodway

The Councillor will be aware that, as a result of the Council's work in the city centre, Cardiff has seen footfall return faster than our competitors across the UK.

The Administration recognises the importance of city centre retail and hospitality businesses and it continues to invest in marketing and promoting the city centre through the Visit Cardiff platform.

To support this work, the Council has secured additional funding to supplement from the Welsh Government to supplement via their Transforming Towns scheme. The Council is also co-investing with transport providers, including Great Western Railway to promote Cardiff across the border in England.

The city centre will, this year, benefit from an expanded Winter Wonderland, which will position Cardiff as one of the leading UK destinations this Christmas. In addition, the Council is working to support FOR Cardiff in putting in place additional attractions in the city centre this Christmas.

The Council is also working with the owners of St David's Centre in developing their plans to enhance the centre's contribution to the city centre economy and to meet the future challenges arising from the pandemic.

The Council also continues to work with city businesses to help them through the national recruitment crisis which the Councillor will be aware is having a significant impact on much of the hospitality sector.

Supplementary Question – Cllr Hudson

Would you consider free or cheaper parking and lower business rates for the City Centre to facilitate a quicker recovery?

Reply – Cllr Goodway

I would personally but the Council isn't in charge of non-domestic rates that is a Welsh government responsibility I'm not sure that we have the resources to subsidise

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public transport but I know that part of our transport strategy in getting greater bus use in the future we are looking at the cost of public transport and whether we can secure a reduction in fares so we are alert to the points that the Councillor is making and we will endeavour to explore what we can do in those areas but I'm not in a position today to commit that we will be able to guarantee an outcome but they are important points and they are in line with what we want to achieve as an administration.

Question -Councillor Naughton

Could the council reconsider its policy of not replacing litter bins once they are burned as Pentwyn has now lost a number of litter bins which could be replaced with metal bins instead?

Reply – Cllr Michael

We don't have such a policy.

Our current policy is to remove the damaged bin and ascertain whether there is an improved location for the bin within the vicinity that is more overlooked in order to help deter such anti-social behaviour.

All bins are designed to be fire retardant against waste items like cigarettes, but they will not withstand fire from determined anti-social behaviour, even if the bin was made of metal.

Supplementary Question – Cllr Naughton

I received a members enquiry saying it was Council's policy not to replace bins due to anti-social behaviour and so I am glad you said that there is no policy for that because some of these bins are on a main road location and part by a main road would the Cabinet Member send me information on locating these bins ideally with metal bins but with any bin would be a great help.

Reply – Cllr Michael

Unfortunately, seven bins have been set on fire in Pentwyn. This includes one location where a bin has been set on fire three times.

One of these bins has been replaced successfully; however, these bins are located on the highway and are overlooked.

As a result, Cleansing Services are having real difficulty in identifying suitable locations where such anti-social behaviour will not continue to take place.

I would welcome any suggestions for alternative locations for these bins from ward members.

Question - Councillor Gordon

I really welcome the publication of the Action Plan for the One Planet Cardiff Strategy this month, and the fact that there are already projects in the pipeline that will reduce the Council's emissions from heating and powering our buildings by 60%. Can you advise when you expect these major projects – such as the District Heating Scheme – to start being implemented?

Reply- Cllr Michael

We are currently implementing a host of climate responsive projects in the city as part of the One Planet Cardiff Strategy.

These include the Lamby Way Solar Farm, which is already supplying clean energy into the local grid and will soon be directly linked to the local Waste Water Treatment Works, decarbonising activities there.

Construction will commence on the Cardiff Heat Network in January next year and this will help connected buildings to reduce their carbon emissions for heat by 80%. Phase 1 of the scheme will take around three years to complete.

Cabinet will also consider a strategy in November for further decarbonisation in the Council's estate and this will target a 60% reduction in emissions in the coming decade.

All of this work will form the foundation of much more to come as we implement our One Planet Strategy and the decade long programme of longer-term actions, all of which are set out in the action plan.

Question -Councillor Driscoll

As a result of proposals to redevelop the BBC site, Llandaff will be losing a significant number of trees. In particular several blossom trees. As well as combatting air pollution, they have provided enormous visual amenity to the benefit of residents. What mitigation measures are in place to offset this loss in Llandaff?

Reply – Cllr Keith Jones

The Council's Planning Committee approved outline planning permission for residential use of the former BBC site in July 2015, subject to the signing of a Section 106 agreement.

Outline planning permission was granted subsequently in November 2015. Further information relating to the outline planning application and permission is publicly available on the Council's website.

Prior to this decision being taken, proposals for tree retention and removal were assessed, together with measures to secure appropriate compensatory planting.

The Arboricultural Assessment accompanying the outline planning application gave the cherry trees or 'blossom' trees in question that front onto Llantrisant Road a 'C' Category, which are trees of low quality that have a life expectancy under 10 years.

Advice provided by the Planning Service's Tree Officer concurred with this assessment and it was therefore concluded that the trees should not be a constraint to the proposed development.

Detailed landscaping proposals for the site include compensatory tree planting on this frontage onto Llantrisant Road, which includes a combination of native oaks and hollies.

#### Supplementary Question – Cllr Driscoll

Thank you for the comprehensive answer you and I both know the mechanics of the planning process but unfortunately some residents have contacted me who witness the trees coming down unfortunately do not, so I am aware as a strong symbol of our friendship between the two nations the good people of Japan kindly donated 100 Sakura cherry trees to Wales which we are most grateful for and I'm mindful this may be a question for Cllr Bradbury but is it possible we could expect to see some of these blossom trees planted in Llandaff which would go a long way to mitigate our losses. We know you and Peter are very fond of Royal tree planting ceremonies and we would be happy to provide a pristine spade and the warmest of welcomes in Llandaff if this was to a transpire.

#### Reply – Cllr Keith Jones

You will be aware that the Council is fully committed to increasing the tree canopy across the city through the Coed Cardiff project which aims to increase tree canopies in the city from 18.9% to 25% and initial member consultation has been undertaken which closed last month and consultation with members of the public is currently ongoing and will end on the 29th October I'm sure you make your constituents aware of that and a series of virtual consultation with all of the Ward Members is scheduled to take place in November and December and are now you'll actively engage with that.

#### Question - Councillor Lister

Can you update the Council on the implementation of the Youth Offending Strategy and, following their report last year, what is the Youth Justice Board's assessment of our progress?

#### Reply – Cllr Hinchey

After publication of the July 2020 inspection report, HMIP revisited Cardiff in December 2020 and noted significant progress against inspection actions.

Cardiff Youth Justice Service received a formal letter earlier this month from the national Youth Justice Board noting the improvements in governance and leadership and 'good progress against the key recommendations from the last inspection'.

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

Therefore, the Youth Justice Board has downgraded monitoring of Cardiff Youth Justice Service from Grade 3, which is the highest risk, to Grade 1. This is encouraging as the partnership and service prepares for the next inspection of youth justice services.

The two-year “All Our Futures” strategy that was launched by the Leader in June 2020 was the first step in recovery.

The next two-year strategy will be developed between January and March next year as a collaborative process so that we maintain the improvement of services to give better outcomes to those children in the youth justice system and the victims of the harm caused by them.

#### Supplementary Question – Cllr Lister

If possible could you share the recent correspondence from the YJB with all members and just join me in actually congratulating all the staff that I used to work with at the Youth Justice Service on the fantastic progress they are making.

#### Reply -Cllr Hinchey

I absolutely accept that you have a keen interest in this particular subject and are very supportive. The letter was actually addressed to Graham Rob the chair of the Youth Justice Service and the operational manager directly from YJB but I will check with the Chair, I am fairly sure that given the progress being made that the author and the recipient of the latter will be happy for me as the Cabinet Member to share it and I think that will be encouraging as you rightly say to all Members that good progress is being made

#### Question - Councillor Robson

Since the recent consultation by Welsh Government to put tolls on the M4 and A470, what discussions have you had with Welsh Ministers to explain the effect on Cardiff?

#### Reply – Cllr Wild

I am aware of the various consultations to look at ways of tackling serious and grave issues around climate change, decarbonisation, air pollution, congestion levels, you will have noted the work of the Burns commission and the government's report into road user charging with regard particular location referring to an air quality issues there you'll be aware that as part of the process a wide range of options need to be considered at the early stages as this is purely an outline overview of the many options. I wouldn't expect to have discussions at this stage however as the work develops and the options are clearer we would expect Welsh Government to engage directly with the council to ensure that any potential effects on Cardiff are appropriately considered.



Supplementary Question – Cllr Robson

If those tolls were to go ahead in the location outlined the moment do you not agree that it would be a tax on motorists driving to Cardiff and whilst it is important to address the climate change issue, this particular initiative could harm the economy far more than other measures which would be beneficial to the environment and will you communicate that to Welsh government at the appropriate time.

Reply – Cllr Wild

No I am going to call that out completely Councillor Robson I mean we hear in this Chamber you've brought forward a number of motions around air quality you stand up and say that we should be dealing with this in the most urgent of issues you specifically mention areas around Whitchurch complaining about air quality issues around the school. The Welsh Government brings forward some quite serious proposals to deal with air quality issue which we know kills people where they are expected to come forward with a number of different ways of dealing with it as part of a process and then you immediately scaremonger and you know it begs the question how serious are you and your group Councillor Robson about dealing with issues around the climate and air quality when as soon as something as small as this comes up you scaremonger with the kind of language you use so I just don't agree with your assessment of the situation and I'm pleased that we have a Welsh government that is prepared to take difficult decisions in dealing with some of the biggest issues of our age.

Question - Councillor McGarry

Can you advise Council what role housing has played in the One Planet Strategy?

Reply – Cllr Thorne

The Housing & Communities Service has played a key role in the development of the One Planet Strategy.

An ambitious programme has been developed to transform the energy efficiency of our existing council homes and to incorporate cutting-edge technology in all our new build projects.

We are proposing to carry out wholesale improvement to our low-rise blocks of flats. This 10-year programme will ensure that all our low-rise blocks of flats have external thermal insulation and solar photovoltaic panels to generate clean affordable energy.

We have also developed a 'Move to Net Zero' strategy, which ensures that our entire new build programme moves rapidly towards a zero carbon standard.

We design our new homes to reduce carbon through a highly efficient building fabric, integrating solar photovoltaic and battery storage and using on-site renewable heat sources such as ground source or air source. Every home is also future proofed for electric vehicle charging.

This ambitious approach will significantly reduce fuel bills for tenants and carbon emissions from council homes.

Supplementary Question – Cllr McGarry

I just wondered what the Council can do to encourage the private rented sector and homeowners to meet these standards?

Reply – Cllr Thorne

I think we can do something but we can't do this work alone. We do see a central role for us in developing a coordinated partnership's strategy to promote an upscaling housing energy efficiency retrofit across all tenures of housing targeting up to 2000 homes per year by 2024 and in particular this will look to identify potential funding sources, lobby for a more if necessary and provide sensible and useful advice for homeowners so that they can make well informed decisions about energy efficiency.

86 : URGENT BUSINESS

There was no urgent business

87 : COMMITTEE MEMBERSHIP

To receive nominations and make appointments to current committee vacancies as set out in the report and in accordance with the approved allocation of seats and political group wishes.

RESOLVED: The Council is recommended to appoint to the vacancies on Committees in accordance with the approved allocation of seats and Party Group wishes, as set out on the Amendment Sheet.

88 : WRITTEN QUESTIONS

In accordance with the Council Procedure Rule 17 (f) [Written Questions](#) received are included as a record of the meeting

**REPORT OF DIRECTOR OF GOVERNANCE AND LEGAL SERVICES  
AND MONITORING OFFICER**

**REVISED POLITICAL BALANCE - ALLOCATION OF COMMITTEE SEATS**

**Reason for this Report**

1. The Council is requested to review and determine the allocation of seats on Committees to political groups in accordance with the Political Balance Rules.

**Background**

2. At its Annual Meeting on 27 May 2021, Council determined the establishment of its Committees, together with their size and terms of reference, and the allocation of seats on committees to political groups in accordance with legislation.
3. The Local Government and Housing Act 1989 requires the Council to allocate Committee seats to political groups in proportion to the size of the groups on the Council as far as is reasonably practicable.
4. After any change in the political composition of the Council, as soon as reasonably practicable, the Council is required to review and determine the allocation of committee seats to political groups in accordance with the political balance rules.
5. Following the resignation of former independent Councillor Fenella Bowden, the Council revised its allocation of Committee seats at the September 2021 Council meeting.

**Issues**

Political Balance

6. Following a by-election held on 11 November 2021, Labour Councillor Julie Sangani was elected as Councillor for the Heath ward. The revised political composition of the Council is set out in Table A:

**TABLE A** - Composition of the Council as at 12 November 2021:

<b>Groups and Independents</b>	<b>Number of Councillors</b>	<b>Political Balance</b>
Labour	39	52.00%
Conservative	21	28.00%
Liberal Democrat	11	14.67%
Propel	3	4.00%
Independent Member (Ely)	1	1.33%
	<b>Total</b>	<b>100.00%</b>

Allocation of Seats

7. The total number of seats on the Committees which are subject to the political balance requirements is 144, as detailed in **Appendix A**. Based on the current composition of the Council (shown in Table A), the proportional allocation of seats on those Committees is as set out in Table B:

**TABLE B** – Allocation of Seats in accordance with Political Balance

Groups and Independents	Number of Committee seats
Labour	75
Conservative	40
Liberal Democrats	21
Propel	6
Independents	2
<b>Totals</b>	<b>144</b>

8. The proportional allocation of seats has changed and has been re-balanced, in consultation with party group leaders and whips, as shown in **Appendix A**, with proposed changes being as follows:
- a. The Ely Independent Member is to transfer 2 seats (one on Democratic Services Committee and the other on Council Appeals Committee) to the Labour Group.
  - b. There are no changes to the Conservative, Liberal Democrat or the Propel group allocations.
9. This revised allocation shown in **Appendix A** means that the overall political balance remains within + 0.24 and - 0.32 of a committee seat for all political groups.
10. The nominations and appointments to Committees required to reflect the revised allocation of seats recommended in this report are included in the separate Council report on 'Committee Membership', under agenda item 21.

## Legal Implications

### Political balance

11. Sections 15 to 17 of the Local Government and Housing Act 1989 (“the 1989 Act”) and the Local Government (Committees and Political Groups) Regulations 1990 (“the 1990 Regulations”) lay down requirements designed to ensure that there is political proportionality on Committees. The rules apply to all ordinary committees, advisory committees, scrutiny committees, the Democratic Services Committee, Governance and Audit Committee and joint committees where the Council appoints three or more seats. The rules do not apply to the Standards and Ethics Committee or the Licensing Committee. However, by custom and practice, the Council has elected to apply the political proportionality rules to the Licensing Committee; and has appointed one Member from each of the three largest political groups to the Standards and Ethics Committee to ensure political balance.
12. After any change in its political composition, as soon as reasonably practicable, the Council is required to review the political make up of its Committees, and determine the allocation of seats to political groups in accordance with the principles set out in Section 15 of 1989 Act, those principles being:
  - (a) not all seats on a Committee should be allocated to the same political group;
  - (b) the majority group on the Council should form the majority on the Committee;
  - (c) subject to (a) and (b), that the proportion of seats allocated to each political group on the total of all Committees should be the same as the proportion of Council Members who belong to that group; and
  - (d) subject to (a)–(c), that the proportion of seats allocated to each political group on each Committee should be the same as the proportion of Council Members who belong to that group.
13. Where not all Members of an authority belong to a political group, then any seats remaining unallocated after the proportional allocation of seats to the political groups, are allocated to those Members not belonging to a political group (Regulation 16 of the Local Government (Committees and Political Groups) Regulations 1990, ‘the 1990 Regulations’).
14. A political group is identified when two or more members of the Council who wish to be treated as a political group write to the Proper Officer to inform him of that fact and of their name and the identity of their leader. A person joins a particular political group by sending a notice signed by him/her and the leader of the group. People may cease to be members of the group by notifying the Proper Officer (the Monitoring Officer) of their resignation, joining another group, or being ousted by a notice signed by a majority of the members of the group.
15. Full Council is responsible for determining the allocation of Committee seats in accordance with the rules on political balance, as set out above.

## **Financial Implications**

16. There are no direct financial implications arising from this report. Remuneration payments are to be made in accordance with the rates applicable through the Members' Schedule of Remuneration, and contained within the allocated budget.

## **RECOMMENDATIONS**

The Council is recommended to approve the revised allocation of seats on Committees as set out in this report in paragraph 8 and **Appendix A**.

**DAVINA FIORE**

**Director of Governance and Legal Services and Monitoring Officer**

19 November 2021

Appendix A – Revised Distribution of Seats Municipal Year 2021/22

Background Papers:

[Allocation of seats and appointments to committees](#) meeting of [Council dated 30 September 2021](#)

**REVISED DISTRIBUTION OF SEATS MUNICIPAL YEAR 2021/22**

Political Balance -25 November 2021																	
	Number of Seats	Labour		Change	Cons		Change	Lib Dem		Change	Propel		Change	Ely Independent		Change	Totals
		Nº	%		Nº	%		Nº	%		Nº	%		Nº	%		
Total Number of Seats	144	75	52.08	2	40	27.78	0	21	14.58	0	6	4.17		2	1.39	-2	144
Councillors	75	39	52.00		21	28.00		11	14.67		3	4.00		1	1.33		75
Variation as a Percentage %			0.08			-0.22			-0.08			0.17			0.06		
Variation as seats	1.44		0.12			-0.32			-0.12			0.24			0.08		
Ordinary Committees																	
	Number of Seats	Labour		Change	Cons		Change	Lib Dem		Change	Propel		Change	**Non Grouped		Change	Totals
		Nº	%		Nº	%		Nº	%		Nº	%		Nº	%		
Constitution Committee	12	6	50.00		3	25.00		2	16.67		1	8.33		0	0.00		12
Corporate Parenting Advisory Committee	9	4	44.44		3	33.33		1	11.11		1	11.11		0	0.00		9
Council Appeals	9	5	55.56	1	3	33.33		1	11.11		0	0.00		0	0.00		9
Democratic Services Committee	12	6	50.00	1	3	25.00		2	16.67		1	8.33		0	0.00	-1	12
Employment Conditions	8	4	50.00		3	37.50		1	12.50		0	0.00		0	0.00	-1	8
Governance & Audit Committee	8	5	62.50		2	25.00		1	12.50		0	0.00		0	0.00		8
Licensing	12	6	50.00		3	25.00		2	16.67		1	8.33		0	0.00		12
Public Protection	12	5	41.67		3	25.00		2	16.67		1	8.33		1	8.33		12
Pension Committee	5	3	60.00		1	20.00		1	20.00		0	0.00		0	0.00		5
Planning	12	7	58.33		3	25.00		2	16.67		0	0.00		0	0.00		12
Totals	99	51	51.52		27	27.27		15	15.15		5	5.05		1	1.01		99
Councillors	75	39	52.00		21	28.00		11	14.67		3	4.00		2	2.67		
Variation as a Percentage %			-0.48			-0.73			0.48			1.05			-1.66		
Variation as seats	0.99		-0.48			-0.72			0.48			1.04			-1.64		
Scrutiny Committees																	
Allocation of Chairs		5	2		2		1		0		0		0		5		
Scrutiny Committees	Chair	Number of Seats	Labour		Cons		Lib Dem		Propel		**Non Grouped		Totals				
			Nº	%	Change	Nº	%	Change	Nº	%	Change	Nº	%	Change			
Children & Young People	Lab	9	4	44.44		3	33.33		2	22.22		0	0.00		9		
Community & Adult	Cons	9	5	55.56		2	22.22		1	11.11		0	0.00	-1	9		
Economy & Culture	Lib Dem	9	5	55.56		3	33.33		1	11.11		0	0.00		9		
Environment	Lab	9	5	55.56		3	33.33		1	11.11		0	0.00		9		
Policy Review & Performance	Cons	9	5	55.56		2	22.22		1	11.11		1	11.11		9		
Totals		45	24	53.33		13	28.89		6	13.33		1	2.22		45		
Councillors		75	39	52.00		21	28.00		11	14.67		3	4.00		75		
Variation as a Percentage %				1.33	0		0.89			-1.33			-1.78				
Variation as seats	0.45			0.60			0.40			-0.60			-0.80				

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**COUNCIL:****25 NOVEMBER 2021**

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**REPORT OF THE CORPORATE DIRECTOR RESOURCES**

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**STATEMENT OF ACCOUNTS 2020/21– CARDIFF AND VALE OF  
GLAMORGAN PENSION FUND****Reason for this Report**

1. The Statement of Accounts for 2020/21 are presented in order to meet the requirement of the Accounts and Audit (Wales) Regulations 2014 (as amended). This provides that the Statement of Accounts be approved by a relevant committee or by the Council meeting as a corporate body. Due to Covid-19, national timescales in respect to the signing of accounts continue to be extended from 31 May to 31 August and those for publication, extended from 31 July to 30 November.
2. The International Standard on Auditing (ISA) 260 requires the Appointed Auditor to report to those charged with governance, on the key matters arising from the audit examination of the Statement of Accounts for the year ending 31 March 2021. It should be noted that the Council approved the 2020/21 Statement of Accounts for Cardiff Council and Cardiff Harbour Authority at its meeting in October 2021.

**Background**

3. The draft accounts were presented electronically to the Governance and Audit Committee on 20 July 2021 in parallel with the public inspection period. Prior to this, they were presented to Audit Wales on 22 June 2021.
4. The draft accounts were available for public inspection between 8 July 2021 and 4 August 2021 as required by the Public Audit (Wales) Act 2004 and Accounts and Audit (Wales) Regulations, 2014 (as amended).
5. Following the external audit, the Governance and Audit Committee meeting on 23 November 2021 received the “Draft Audit of Accounts Reports (ISA 260)” for the Cardiff and Vale of Glamorgan Pension Fund which were presented by Audit Wales.

## **The Cardiff and Vale of Glamorgan Pension Fund Accounts**

6. The audited Statement of Accounts for Cardiff and Vale of Glamorgan Pension Fund are shown in Appendix 1.
7. The auditor's "Audit of Accounts Report (ISA 260)" for the Council is attached as Appendix 2, along with corrected and uncorrected misstatements.
8. Audit Wales intend to issue an unqualified audit report on the financial statements once they have been provided with the Letter of Representation, which is included in Appendix 2.

## **Legal Implications**

9. The report is presented to Council to meet statutory, regulatory and codified requirements to do so.

## **Financial Implications**

10. This report is presented to Council in discharge of its duty to approve the audited accounts on or before 30 November of the year relating to the end of the accounting period.

## **RECOMMENDATIONS**

Council is requested to:

1. Approve the audited Statement of Accounts 2020/21 – The Cardiff and Vale of Glamorgan Pension Fund (Appendix 1).
2. Note the Audit of Accounts Reports (ISA 260) from Audit Wales on the Statement of Accounts of Cardiff and Vale of Glamorgan Pension Fund for the year ending 31 March 2021 (Appendix 2).
3. Note the final Letter of Representation for the Cardiff and Vale of Glamorgan Pension Fund included within Appendix 2.
4. Note that the following documents will be signed following the conclusion of the meeting:
  - Statement of Accounts for Cardiff and Vale of Glamorgan Pension Fund – Lord Mayor and Corporate Director Resources
  - Audit Certificate for the Cardiff and Vale of Glamorgan Pension Fund – Appointed Auditor, Audit Wales.
  - Letter of Representation for the Cardiff and Vale of Glamorgan Pension Fund - Lord Mayor and Chief Executive.

**CHRISTOPHER LEE**  
**Corporate Director Resources**  
**19 November 2021**

The following appendices are attached:

Appendix 1 – Statement of Accounts 2020/21 – Cardiff and Vale of Glamorgan Pension Fund

Appendix 2 – Audit Wales - Audit of Accounts Report 2020/21 (ISA 260) and Letter of Representation – Cardiff and Vale of Glamorgan Pension Fund

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Cardiff & Vale of Glamorgan  
**Pension Fund**



# Statement of Accounts 2020/21

## ***Contents***

<b>Narrative Report</b>	<b>2</b>
<b>Actuarial Statement</b>	<b>3</b>
<b>Statement of Responsibilities</b>	<b>7</b>
<b>Audit Report</b>	<b>8</b>
<b>Fund Account</b>	<b>11</b>
<b>Net Assets Statement</b>	<b>12</b>
<b>Notes to the Accounts</b>	<b>13</b>
<b>Glossary</b>	<b>32</b>

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## ***Narrative Report***

County Council of the City and County of Cardiff (Cardiff Council) is the Administering Authority for the Cardiff and Vale of Glamorgan Pension Fund (the Fund) which is itself part of the national Local Government Pension Scheme (LGPS) for England & Wales. The LGPS is the statutory occupational pension scheme for all local government employees (except teachers) and the regulations are determined by the UK Government.

The Council's responsibilities as manager of the Fund are discharged through the Pensions Committee which has oversight of the Fund's strategies and policies. Operational management of the Fund has been delegated to the Corporate Director Resources. The Local Pension Board assists the Council to secure compliance with the LGPS regulations and the requirements of the Pensions Regulator and to ensure the effective and efficient administration of the scheme.

In terms of membership there are currently over 16,900 contributing employees and more than 12,100 pensioners and dependents receiving benefits from the Fund.

The Pension Fund's net assets rose by 24.2% during 2020/21, from £2.028 billion to £2.518 billion. Investment markets globally showed a strong recovery from the lows of March 2020 when the initial Covid-19 lockdowns were introduced. The extent of the increase underlines the market volatility experienced during 2020 but as a further pre-Covid-19 comparison the value of the Fund increased by 7.8% compared to the December 2019 valuation of £2.328 billion. Markets during 2020 continued to remain volatile due to the periodic re-introduction of economic lockdowns and the late agreement on the Brexit trade agreement. The return on investment for the year of 24% compared against a benchmark return of 20.3%.

The eight LGPS fund authorities in Wales continued to make progress during the year with the development of the Wales Pension Partnership (WPP). Following its establishment in 2017 three funds – the Global Growth Equity Fund, the Global Opportunities Fund and the UK Equities Opportunities Fund – had been launched prior to April 2020 with the Fund participating in the launch of the UK fund. The launch of the five WPP Fixed Income funds had been delayed by the adverse market conditions early in 2020. These Fixed income funds were launched in August 2020 with the Fund transferring c£620 million from its existing Fixed Income holding into three of the WPP fixed Income funds - Global Government Bond Fund, Global Credit Fund and the Multi-Asset Credit fund. The Pension Committee at its November 2020 meeting approved the recommendation to transfer the Fund's current Regional Equity holdings into the two WPP Global Equity sub-funds. At the end of the 2020/21 the procurement of a Transition Manager to oversee this transfer was underway with this transfer being completed in July 2021.

The February 2021 meeting of the Pension Committee approved a further investment of c10% of the Fund's value into the BlackRock Low Carbon Tracker fund as a further demonstration of the Fund's commitment to respond to the concerns of its Employers and other Stakeholders in responding to Climate Change Risks. This transfer will be completed at the same time as the WPP Global Equity transfer.

The Fund's key objective continues to be to deliver an effective and efficient service to over 42,300 contributing employees, pensioners and deferred members, and to minimise the financial burden on contributing employers over the long term.

**Christopher Lee**  
**Corporate Director Resources**

## Actuarial Statement

### Introduction

The Scheme Regulations require that a full actuarial valuation is carried out every third year. The purpose of this is to establish that the Cardiff and Vale of Glamorgan Pension Fund (the Fund) is able to meet its liabilities to past and present contributors and to review employer contribution rates. The last full actuarial investigation into the financial position of the Fund was completed as at 31 March 2019 by Aon, in accordance with Regulation 62 of the Local Government Pension Scheme Regulations 2013.

### Actuarial Position

1. The valuation as at 31 March 2019 showed that the funding level of the Fund had increased since the previous valuation with the market value of the Fund's assets as at 31 March 2019 (of £2.178 billion) covering 96% of the liabilities allowing, in the case of pre- 1 April 2014 membership for current contributors to the Fund, for future increases in pensionable pay.
2. The valuation also showed that the aggregate level of contributions required to be paid by participating employers with effect from 1 April 2020 was:
  - 18.8% of pensionable pay. This is the rate calculated as being sufficient, together with contributions paid by members, to meet the liabilities arising in respect of service after the valuation date (the primary rate),

#### Plus

- an allowance of 0.9% of pay for McCloud and cost management – see paragraph 9 below,

#### Plus

- Monetary amounts to restore the assets to 100% of the liabilities in respect of service prior to the valuation date over a recovery period of 17 years from 1 April 2020, equivalent to 1.8% of pensionable pay (or £5.7 million in 2020/21, and increasing by 3.1% p.a. thereafter), which together with the allowance above comprises the secondary rate.
3. In practice, each individual employer's or group of employers' position is assessed separately and contributions are set out in Aon's report dated 30 March 2020 (the "actuarial valuation report"). In addition to the contributions certified, payments to cover additional liabilities arising from early retirements (other than ill-health retirements) will be made to the Fund by the employers.

Total contributions payable by all employers over the three years to 31 March 2023 are estimated to be:

Year from 1 April	% of pensionable pay	Plus total contribution amount (£M)
2020	20.9%	1.6
2021	20.9%	1.8
2022	20.9%	2.0

4. The funding plan adopted in assessing the contributions for each employer is in accordance with the Funding Strategy Statement. Different approaches were adopted in relation to the calculation of the primary contribution rate, stepping of contribution increases and individual employers' recovery



periods as agreed with the Administering Authority and reflected in the Funding Strategy Statement, reflecting the employers' circumstances.

5. The valuation was carried out using the projected unit actuarial method for most employers and the main financial actuarial assumptions used for assessing the funding target and the contribution rates were as follows.

<b>Discount rate for periods in service</b>	
Scheduled body employers *	4.3% p.a.
Ongoing Orphan employers	4.3% p.a.
Low risk funding target	1.3% p.a.
<b>Discount rate for periods after leaving service</b>	
Scheduled body employers *	4.3% p.a.
Ongoing Orphan employers	1.6% p.a.
Low risk funding target	1.3% p.a.
<b>Rate of pay increases</b>	<b>3.1% p.a.</b>
<b>Rate of increase to pension accounts</b>	<b>2.1% p.a.</b>
<b>Rate of increases in pensions in payment (in excess of Guaranteed Minimum Pension)</b>	<b>2.1% p.a.</b>

\* The scheduled body discount rate was also used for employers whose liabilities will be subsumed after exit by a scheduled body.

In addition, the discount rate for already orphaned liabilities (i.e. where there is no scheme employer responsible for funding those liabilities and employer has exited the Fund) was 1.3% p.a.

The assets were valued at market value.

Further details of the assumptions adopted for the valuation, including the demographic assumptions, are set out in the actuarial valuation report.

6. The key demographic assumption was the allowance made for longevity. The post retirement mortality assumption adopted for the actuarial valuation was in line with standard self-administered pension scheme (SAPS) S2N mortality tables with appropriate scaling factors applied based on an analysis of the Fund's pensioner mortality experience and a Fund membership postcode analysis using Aon's Demographic Horizons™ longevity model, and included an allowance for improvements based on the 2018 Continuous Mortality Investigation (CMI) Projections Model (CMI2018) with  $s_k$  of 7.5 and parameter A of 0.0 assuming a long term annual rate of improvement in mortality rates of 1.5% p.a. The resulting average future life expectancies at age 65 (for normal health retirements) were:

	<b>Men</b>	<b>Women</b>
Current pensioners aged 65 at the valuation date	22.1	24.5
Current active members aged 45 at the valuation date	23.1	25.9

7. The valuation results summarised in paragraphs 1 and 2 above are based on the financial position and market levels at the valuation date, 31 March 2019. As such the results do not make allowance for changes which have occurred subsequent to the valuation date. The Administering Authority, in conjunction with the Actuary, monitors the funding position on a regular basis.

8. The formal actuarial valuation report and the Rates and Adjustments Certificate setting out the employer contribution rates for the period from 1 April 2020 to 31 March 2023 were signed on 30 March 2020. Other than as agreed or otherwise permitted or required by the Regulations and reflected in the Funding Strategy Statement as appropriate, employer contribution rates will be reviewed at the next actuarial valuation of the Fund as at 31 March 2022 in accordance with Regulation 62 of the Local Government Pension Scheme Regulations 2013.

9. There are a number of uncertainties regarding the Scheme benefits and hence liabilities:

▪ **Increases to Guaranteed Minimum Pensions (GMPs):**

The 2019 valuation allows for the extension of the 'interim solution' for public service schemes to pay full inflationary increases on GMPs for those reaching State Pension Age (SPA) between 6 April 2016 and 5 April 2021. On 23 March 2021, the Government published a response to its consultation on the longer term solution to achieve equalisation for GMPs as required by the High Court judgement in the Lloyds Bank case. The response sets out its proposed longer term solution, which is to extend the interim solution further to those reaching SPA after 5 April 2021.

The results of the 2019 valuation do not allow for the impact of this proposed longer term solution. Based on approximate calculations, at a whole of fund level, the impact of providing full pension increases on GMPs for those members reaching State Pension Age after 5 April 2021 is an increase in past service liabilities of between 0.1% to 0.2% across the Fund as a whole.

● **Cost Management Process and McCloud judgement:**

Initial results from the Scheme Advisory Board 2016 cost management process indicated that benefit improvements / member contribution reductions equivalent to 0.9% of pay would be required. However, the cost management process was paused following the Court of Appeal ruling that the transitional arrangements in both the Judges' Pension Scheme (McCloud) and Firefighters' Pension Scheme (Sargeant) constituted illegal age discrimination. Government confirmed that the judgement would be treated as applying to all public service schemes including the LGPS (where the transitional arrangements were in the form of a final salary underpin) and a consultation on changes to the LGPS was issued in July 2020.

The employer contributions certified from 1 April 2020 as part of the 2019 valuation include an allowance of 0.9% of pay in relation to the potential additional costs following the McCloud judgement / cost management process. This was a simplified approach which didn't take account of different employer membership profiles or funding targets and may be more or less than the assessed cost once the details of the LGPS changes arising from the McCloud judgement and the 2016 cost management process have been agreed.

Work on the 2020 cost management process has now been started, and it is possible that further changes to benefits and/or contributions may ultimately be required under that process, although the outcome is not expected to be known for some time.

● **Goodwin:**

An Employment Tribunal ruling relating to the Teachers' Pension Scheme concluded that provisions for survivor's benefits of a female member in an opposite sex marriage are less favourable than for a female in a same sex marriage or civil partnership, and that treatment amounts to direct discrimination on grounds of sexual orientation. The chief secretary to the Treasury announced in a written ministerial statement on 20 July 2020 that he believed that changes would be required to other public service pension schemes with similar arrangements, although these changes are yet to be reflected in LGPS regulations. We expect the average additional liability to be less than 0.1%, however the impact will vary by employer depending on their membership profile.

10. This Statement has been prepared by the Actuary to the Fund, Aon, for inclusion in the accounts of the Fund. It provides a summary of the results of the actuarial valuation which was carried out as at 31 March 2019. The valuation provides a snapshot of the funding position at the valuation date and is used to assess the future level of contributions required.

This Statement must not be considered without reference to the formal actuarial valuation report which details fully the context and limitations of the actuarial valuation.

Aon does not accept any responsibility or liability to any party other than our client, the County Council of the City and County of Cardiff, the Administering Authority of the Fund, in respect of this Statement.

11. The report on the actuarial valuation as at 31 March 2019 is available on the Fund's website at the following address:

<https://www.cardiffandvalepensionfund.org.uk/wp-content/uploads/Cardiff-2019-actuarial-valuation-report-FINAL.pdf>

**Aon Solutions UK Limited**

**May 2021**

## ***Statement of Responsibilities for the Financial Statements***

### ***The Council's responsibilities***

As administering authority of the Cardiff and Vale of Glamorgan Pension Fund, Cardiff Council is required to:

- make arrangements for the proper administration of its financial affairs and to secure that one of its officers has the responsibility for the administration of those affairs. In 2020/21 that officer was Christopher Lee, Corporate Director Resources;
- manage its affairs to secure economic, efficient and effective use of resources and safeguard its assets;
- approve the statement of accounts.

**Councillor Rod McKerlich**  
**Lord Mayor**

**Date:**

### ***The Corporate Director Resources responsibilities***

The Corporate Director Resources (who holds the statutory post of Section 151 Officer) is responsible for the preparation of the Council's financial statements in accordance with proper practices as set out in the CIPFA Code of Practice on Local Authority Accounting in the United Kingdom 2020/21 (the Code).

In preparing these financial statements, the Corporate Director Resources has:

- selected suitable accounting policies and then applied them consistently, except where policy changes have been noted in these accounts;
- made judgements and estimates that were reasonable and prudent; and
- complied with the Code.

The Corporate Director Resources has also:

- kept proper accounting records which were up to date; and
- taken reasonable steps for the prevention and detection of fraud and other irregularities.

### ***Corporate Director Resources Certificate***

The financial statements for the Cardiff and Vale of Glamorgan Pension Fund give a true and fair view of its income and expenditure for the financial year 2020/21 and financial position at 31 March 2021.

**Christopher Lee**  
**Corporate Director Resources**

**Date:**

# ***The Independent Auditor's Report of the Auditor General for Wales to the Members of the County Council of the City and County of Cardiff as administering authority for Cardiff & Vale of Glamorgan Pension Fund***

## **Opinion on financial statements**

I have audited the financial statements of Cardiff & Vale of Glamorgan Pension Fund for the year ended 31 March 2021 under the Public Audit (Wales) Act 2004. Cardiff & Vale of Glamorgan Pension Fund's financial statements comprise the fund account, the net assets statement and the related notes, including a summary of significant accounting policies. The financial reporting framework that has been applied in their preparation is applicable law and international accounting standards as interpreted and adapted by the Code of Practice on Local Authority Accounting in the United Kingdom 2020-21.

In my opinion the financial statements:

- give a true and fair view of the financial transactions of the pension fund during the year ended 31 March 2021, and of the amount and disposition at that date of its assets and liabilities;
- have been properly prepared in accordance with legislative requirements and international accounting standards as interpreted and adapted by the Code of Practice on Local Authority Accounting in the United Kingdom 2020-21.

## **Basis of opinion**

I conducted my audit in accordance with applicable law and International Standards on Auditing in the UK (ISAs (UK)) and Practice Note 10 'Audit of Financial Statements of Public Sector Entities in the United Kingdom'. My responsibilities under those standards are further described in the auditor's responsibilities for the audit of the financial statements section of my report. I am independent of the pension fund in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standard, and I have fulfilled my other ethical responsibilities in accordance with these requirements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

## **Conclusions relating to going concern**

In auditing the financial statements, I have concluded that the use of the going concern basis of accounting in the preparation of the financial statements is appropriate.

Based on the work I have performed, I have not identified any material uncertainties relating to events or conditions that, individually or collectively, may cast significant doubt on the pension fund's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from when the financial statements are authorised for issue.

My responsibilities and the responsibilities of the responsible financial officer with respect to going concern are described in the relevant sections of this report.

## **Other information**

The other information comprises the information included in the Narrative Report other than the financial statements and my auditor's report thereon. The Responsible Financial Officer is responsible for the other information contained within the Narrative report. My opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in my report, I do not express any form of assurance conclusion thereon.

My responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or knowledge obtained in the course of the audit, or otherwise appears to be materially misstated. If I identify such material inconsistencies or apparent material misstatements, I am required to determine whether this gives rise to a material misstatement in the financial statements themselves. If, based on the work I have performed, I conclude that there is a material misstatement of this other information, I am required to report that fact.

I have nothing to report in this regard.

## **Report on other requirements**

### **Opinion on other matters**

In my opinion, based on the work undertaken in the course of my audit:

- the information contained in the Narrative Report for the financial year for which the financial statements are prepared is consistent with the financial statements and has been prepared in accordance with the Local Government Pension Scheme Regulations 2013.

### **Matters on which I report by exception**

In the light of the knowledge and understanding of the pension fund and its environment obtained in the course of the audit, I have not identified material misstatements in the Narrative Report.

I have nothing to report in respect of the following matters, which I report to you, if, in my opinion:

- adequate accounting records have not been kept, or returns adequate for my audit have not been received from branches not visited by my team;
- the financial statements are not in agreement with the accounting records and returns; or
- I have not received all the information and explanations I require for my audit.

## **Responsibilities**

### **Responsibilities of the responsible financial officer for the financial statements**

As explained more fully in the Statement of Responsibilities for the financial statements set out on page 7, the responsible financial officer is responsible for the preparation of the financial statements, which give a true and fair view, and for such internal control as the responsible financial officer determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the responsible financial officer is responsible for assessing the pension fund's ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

### **Auditor's responsibilities for the audit of the financial statements**

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

Irregularities, including fraud, are instances of non-compliance with laws and regulations. I design procedures in line with my responsibilities, outlined above, to detect material misstatements in respect of irregularities, including fraud.

My procedures included the following:

- Enquiring of management and those charged with governance, including obtaining and reviewing supporting documentation relating to Cardiff & Vale of Glamorgan Pension Fund’s policies and procedures concerned with:
  - identifying, evaluating and complying with laws and regulations and whether they were aware of any instances of non-compliance;
  - detecting and responding to the risks of fraud and whether they have knowledge of any actual, suspected or alleged fraud; and
  - the internal controls established to mitigate risks related to fraud or non-compliance with laws and regulations.
- Considering as an audit team how and where fraud might occur in the financial statements and any potential indicators of fraud.
- Obtaining an understanding of Cardiff & Vale of Glamorgan Pension Fund’s framework of authority as well as other legal and regulatory frameworks that Cardiff & Vale of Glamorgan Pension Fund operates in, focusing on those laws and regulations that had a direct effect on the financial statements or that had a fundamental effect on the operations of Cardiff & Vale of Glamorgan Pension Fund.

In addition to the above, my procedures to respond to identified risks included the following:

- reviewing the financial statement disclosures and testing to supporting documentation to assess compliance with relevant laws and regulations discussed above;
- enquiring of management and the Governance and Audit Committee about actual and potential litigation and claims;
- reading minutes of meetings of those charged with governance and the administering authority; and
- in addressing the risk of fraud through management override of controls, testing the appropriateness of journal entries and other adjustments; assessing whether the judgements made in making accounting estimates are indicative of a potential bias; and evaluating the business rationale of any significant transactions that are unusual or outside the normal course of business.

I also communicated relevant identified laws and regulations and potential fraud risks to all audit team and remained alert to any indications of fraud or non-compliance with laws and regulations throughout the audit.

The extent to which my procedures are capable of detecting irregularities, including fraud, is affected by the inherent difficulty in detecting irregularities, the effectiveness of the Cardiff & Vale of Glamorgan Pension Fund’s controls, and the nature, timing and extent of the audit procedures performed.

A further description of the auditor’s responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of my auditor’s report.

**Certificate of completion of audit**

I certify that I have completed the audit of the accounts of Cardiff & Vale of Glamorgan Pension Fund in accordance with the requirements of the Public Audit (Wales) Act 2004 and the Auditor General for Wales’ Code of Audit Practice.

Adrian Crompton  
Auditor General for Wales  
[Date]

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Cardiff  
CF11 9LJ

## Fund Account

2019/20		Note	2020/21
£000			£000
	<b>Dealings with members, employers and others directly involved in the fund</b>		
	<b>Contributions</b>		
(75,323)	From employers	8	(69,615)
(19,522)	From employees	8	(21,174)
(8,864)	Individual transfers from other schemes or funds		(3,510)
(3,452)	Other income (capitalised payments and interest on deficit funding)		(269)
<b>(107,161)</b>			<b>(94,568)</b>
	<b>Benefits Payable</b>		
70,038	Pensions	9	71,463
19,166	Lump sums, grants and other payments	9	12,941
	<b>Payments to and on account of leavers</b>		
274	Refunds of contributions		86
0	Group transfers to other schemes or funds		0
6,621	Individual transfers to other schemes or funds		3,817
<b>96,099</b>			<b>88,307</b>
<b>(11,062)</b>	<b>Net (additions)/withdrawals from dealings with members of the Fund</b>		<b>(6,261)</b>
8,429	Management expenses	10	8,189
<b>(2,633)</b>	<b>Net (additions)/withdrawals including fund management expenses</b>		<b>1,928</b>
	<b>Returns on Investment</b>		
(27,397)	Investment income	11	(9,810)
180,253	Change in market value of investments	12a	(482,650)
<b>152,856</b>	<b>Net returns on investments</b>		<b>(492,460)</b>
<b>150,223</b>	<b>Net (increase)/decrease in the Fund during year</b>		<b>(490,532)</b>
(2,177,828)	Opening net assets of the scheme		(2,027,605)
<b>(2,027,605)</b>	<b>Closing net assets of the scheme</b>		<b>(2,518,137)</b>



## Net Assets Statement

2019/20		Note	2020/21
£000			£000
1,975,769	Investments at market value	12	2,464,573
38,457	Cash (including derivatives) and investment proceeds due	12	45,502
<b>2,014,226</b>	<b>Total investments</b>		<b>2,510,075</b>
71	UK & overseas tax		78
4,599	Contributions due from employers and deficit funding		4,499
839	Sundry debtors		633
1,642	Pension strain costs due within one year		1,380
<b>7,151</b>	<b>Total current assets</b>		<b>6,590</b>
4,654	Deficit funding (former employers)		2,359
3,688	Pension strain costs due after one year		2,327
<b>8,342</b>	<b>Total non-current assets</b>		<b>4,686</b>
(163)	Unpaid benefits		(267)
(1,214)	Sundry creditors		(1,893)
0	Provision – death grants	20	(320)
<b>(1,377)</b>	<b>Total current liabilities</b>		<b>(2,480)</b>
(737)	Provision - death grants	20	(734)
<b>(737)</b>	<b>Total non-current liabilities</b>		<b>(734)</b>
<b>2,027,605</b>	<b>Net assets of the scheme</b>		<b>2,518,137</b>

## **Notes to the Accounts**

### **1. Description of Fund**

The Cardiff and Vale of Glamorgan Pension Fund (the Fund) is part of the LGPS and is administered by Cardiff Council.

#### **General**

The scheme is governed by the Public Service Pensions Act 2013. The Fund is administered in accordance with the following secondary legislation:

- The Local Government Pension Scheme Regulations 2013 (as amended)
- The Local Government Pension Scheme (Transitional Provisions, Savings and Amendment) Regulations 2014 (as amended)
- The Local Government Pension Scheme (Management and Investment of Funds) Regulations 2016

It is a contributory defined benefit pension scheme administered by Cardiff Council to provide pensions and other benefits for pensionable employees of Cardiff Council and Vale of Glamorgan Council, except for teachers who have a separate scheme. Employees of a range of other scheduled and admitted bodies within the county area are also permitted to join the Fund. The Fund is overseen by the Cardiff and Vale of Glamorgan Pension Fund Committee, which is a committee of Cardiff Council.

#### **Membership**

Membership of the LGPS is automatic for all employees, who can then choose to remain in the scheme or make their own personal arrangements outside the scheme.

Organisations participating in the Cardiff and Vale of Glamorgan Pension Fund include the following:

- Scheduled bodies, which are automatically entitled to be members of the Fund
- Admitted bodies, which participate in the Fund by virtue of an admission agreement made between the Fund and the employer. Admitted bodies include, voluntary, charitable and similar not-for-profit organisations, or private contractors undertaking a local authority function following outsourcing to the private sector.

#### **Funding**

Benefits are funded by contributions and investment earnings. Contributions are made by active members of the fund in accordance with the Local Government Pension Scheme Regulations 2013 and ranged from 5.5% to 12.5% of pensionable pay for the financial year ending 31 March 2021. Employers' contributions are set based on triennial actuarial funding valuations. The last such valuation was at 31 March 2019. Currently, employer contribution rates range from 16.6% to 37.7% of pensionable pay with effect from 1<sup>st</sup> April 2020.

#### **Benefits**

Prior to 1 April 2014, pension benefits under the LGPS were based on final pensionable pay and length of pensionable service. From 1 April 2014, the scheme became a career average scheme, whereby members accrue benefits based on their pensionable pay in that year at an accrual rate of 1/49th. Accrued pension is updated annually in line with the Consumer Prices Index. A range of other benefits are also provided including early retirement, disability pensions and death benefits. For more details, please refer to the Cardiff and Vale of Glamorgan Pension Fund website <https://www.cardiffandvalepensionfund.org.uk/>

## *2. Basis of Preparation*

The Statement of Accounts summarises the funds transactions for the 2020/21 financial year and its financial position at 31 March 2021. The accounts have been prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom 2020/21, which is based upon International Financial Reporting Standards (IFRS), as amended for the UK public sector.

The accounts summarise the transactions of the Fund and report on the net assets available to pay pension benefits. They do not take account of obligations to pay pensions and benefits which fall due after the end of the financial year.

The accounts have been prepared on a going concern basis.

## *3. Significant Accounting Policies*

### ***Accounting standards that have been issued but not yet adopted***

At the balance sheet date, no accounting standards issued but not yet adopted have been identified.

### ***Income and Expenditure***

Bond and dividend income has been taken into account on the contractual payment date. Property and private equity income is credited on receipt.

The Fund does not account for any benefits payable or receivable in respect of members wishing to transfer from one scheme to another until assets (either cash investments or other form) have been received by the receiving scheme.

All other income and expenditure has been accounted for on an accruals basis, except the liability to pay pensions and benefits in the future, which has been separately disclosed within the notes to the accounts.

### ***Acquisition costs of Investments***

Acquisition costs are included with the original book cost at the time of purchase. At the year end, however, investments on the balance sheet are valued at market value. The difference is recorded in the Accounts as "Change in Market Value of Investments".

### ***Valuation of Investments***

Investments are included in the financial statements on a fair value basis as at the reporting date. The values of investments as shown in the net assets statement have been determined in accordance with the requirements of the Code and IFRS 13. Valuation methods employed by the fund are detailed within Note 14c.

### ***Cash and Cash Equivalents***

Cash is represented by cash in hand, the net balance on all of the Council's bank accounts. It includes deposits with financial institutions, including investment managers and the custodian, that are repayable on notice of not more than 24 hours without significant penalty. It also includes investments maturing and interest received on the first working day of April.

### ***Foreign Currency Transactions***

Overseas investments in foreign currencies have been converted at WM/Reuters closing spot rates of exchange at the end of the reporting period.

## Taxation

Taxation	Treatment
<b>UK Income Tax</b>	The fund is an exempt approved fund able to recover UK Income Tax.
<b>UK Capital Gains Tax</b>	No Capital Gains Tax is Chargeable.
<b>Value Added Tax</b>	Accounts are shown exclusive of VAT. As the Council is the administering Authority, VAT is recoverable on all Fund activities.
<b>Overseas Withholding Tax</b>	Foreign investment income usually suffers withholding tax in the country of origin, some of which may be recoverable. Irrecoverable tax is netted off against income.

## 4. Critical judgements in applying accounting policies

### **Unquoted private equity investments**

These are inherently based on forward looking estimates and judgements valued by the investment managers using two main sets of valuation guidelines that apply to private equity; the Private Equity Valuation Guidelines (PEVG) in the US and the International Private Equity and Venture Capital Valuation Guidelines (IPEVCG) outside the US.

### **Pension fund liability**

This is calculated in accordance with IAS19 every three years by the actuary, with an annual statement in the intervening years. This estimate is subject to significant variances based on changes to the underlying assumptions which are agreed with the actuary.

## 5. Assumptions made about the future and other major sources of estimation uncertainty

The Statement of Accounts contains estimated figures based on assumptions made taking into account historical experience, current trends and other factors. As balances cannot be determined with certainty, actual results could be materially different from the assumptions and estimates.

Item	Uncertainties	Effect if actual results differ from assumptions
<b>Actual present value of promised retirement benefits</b>	Estimations of the liability to pay pensions depends on a number of complex judgements relating to the discount rate used, the rate at which salaries increase, changes in mortality rates and expected returns on pension fund assets. The actuary provides the fund with advice regarding the assumptions to be used.	The effects on the net pension liability of changes in individual assumptions can be measured. For instance, an increase in the discount rate assumption would result in a decrease in the pension liability. An increase in assumed earnings inflation or assumed life expectancy would increase the value of the liabilities.
<b>Private Equity Valuations</b>	Private equity investments are valued at fair value in accordance with international accounting standards. These investments are not publicly listed and as such there is a degree of estimation involved in the valuation.	The total private equity investments in the financial statements are £91 million. There is a risk that this investment may be under, or overstated in the accounts. Further information is provided on the sensitivity of these assets within the accounts.
<b>Pooled Property Funds</b>	Valuation techniques are used to determine the carrying amount of pooled property funds.	The total pooled property fund investments in the financial statements are £167 million. Changes in the valuation assumptions used, together with significant changes in rental

		growth could affect (increase or decrease) the fair value of property-based investments. Further information is provided on the sensitivity of these assets within the accounts.
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## 6. Titles of Ownership

Evidences of ownership for the property unit trusts and private equity holdings are held by Cardiff Council. All other evidences of ownership were held at 31 March 2021 by The Northern Trust Company for the benefit of the Council. Statements of holdings have been provided by Northern Trust.

## 7. Membership

Fund membership at 31 March 2021 is as follows:

2019/20 *		2020/21
48	Contributing employers	43
<b>48</b>	<b>Total contributing employers</b>	<b>43</b>
16,402	Contributors	16,936
11,945	Pensioners	12,190
13,608	Deferred pensioners	13,755
<b>41,955</b>	<b>Total membership</b>	<b>42,881</b>

\* 2019/20 contributors figure has been amended to reflect the number of contributors in Note 8.

In addition to the above, there are also members who at year end were not yet categorised as to whether they would be deferring their pension, transferring it to another scheme or requesting a refund of their contributions and accordingly are not actively contributing to the Pension Fund.

## 8. Employing Bodies – Contributions

2020/21	No. of contributors at 31/03/2021	Employers	Employees	Total	Additional lump sum*
		£000	£000	£000	£000
<b>Administering Body:</b>					
Cardiff Council	10,334	(42,186)	(12,702)	(54,888)	0
<b>Scheduled Bodies:</b>					
Vale of Glamorgan Council	4,116	(14,631)	(4,644)	(19,275)	(8)
Town and Community Councils	56	(239)	(70)	(309)	0
Education Bodies	1,654	(6,831)	(2,537)	(9,368)	(16)
Other Scheduled Bodies **	6	922	(17)	905	10
<b>Admitted Bodies:</b>					
Admitted Bodies	770	(6,650)	(1,204)	(7,854)	(1,860)
<b>Total</b>	<b>16,936</b>	<b>(69,615)</b>	<b>(21,174)</b>	<b>(90,789)</b>	<b>(1,874)</b>

\*Memorandum account; totals included within Employers total.

\*\*Includes payment to Public Sector Ombudsmen for Wales calculated by actuary on exit from the fund of £974,000, actual contributions received were (£52,052).

2019/20	No. of contributors at 31/03/2020	Employers	Employees	Total	Additional lump sum*
		£000	£000	£000	£000
<b>Administering Body:</b>					
Cardiff Council	10,205	(45,650)	(12,074)	(57,724)	0
<b>Scheduled Bodies:</b>					
Vale of Glamorgan Council	3,832	(15,102)	(3,787)	(18,889)	(6)
Town and Community Councils	56	(275)	(62)	(337)	0
Education Bodies	1,473	(6,487)	(2,437)	(8,924)	(951)
Other Scheduled Bodies	10	(78)	(24)	(102)	0
<b>Admitted Bodies:</b>					
Admitted Bodies	826	(7,731)	(1,138)	(8,869)	(3,844)
<b>Total</b>	<b>16,402</b>	<b>(75,323)</b>	<b>(19,522)</b>	<b>(94,845)</b>	<b>(4,801)</b>

\*Memorandum account; totals included within Employers total.

### Additional deficit funding

There was no additional deficit funding in 2020/21 (no additional deficit funding in 2019/20).

## 9. Employing Bodies - Benefits Payable

2020/21	Retirement Pensions	Lump Sums, Grants and Other Payments		
		Lump Sums on Retirement	Death Grants	Commutation Payments
	£000	£000	£000	£000
<b>Administering Body:</b>				
Cardiff Council	45,380	6,386	1,724	340
<b>Scheduled Bodies:</b>				
Vale of Glamorgan Council	13,923	2,235	381	102
Town and Community Councils	235	10	0	0
Education Bodies	3,387	400	89	61
Other Scheduled Bodies	2,667	165	34	1
<b>Admitted Bodies:</b>				
Admitted Bodies	5,871	818	185	10
<b>Total</b>	<b>71,463</b>	<b>10,014</b>	<b>2,413</b>	<b>514</b>

2019/20	Retirement Pensions	Lump Sums, Grants and Other Payments		
		Lump Sums on Retirement	Death Grants	Commutation Payments
	£000	£000	£000	£000
<b>Administering Body:</b>				
Cardiff Council	44,584	10,289	1,755	543
<b>Scheduled Bodies:</b>				
Vale of Glamorgan Council	13,659	3,142	456	131
Town and Community Councils	222	29	169	0
Education Bodies	3,231	459	334	19
Other Scheduled Bodies	2,676	301	78	10
<b>Admitted Bodies:</b>				
Admitted Bodies	5,666	1,189	191	71
<b>Total</b>	<b>70,038</b>	<b>15,409</b>	<b>2,983</b>	<b>774</b>

## 10. Management Expenses

<b>*2019/20</b>		<b>2020/21</b>
<b>£000</b>		<b>£000</b>
1,880	Administration costs	1,485
32	Audit fees	29
<b>1,912</b>	<b>Total administration costs</b>	<b>1,514</b>
805	Fixed Interest Securities	243
664	Equities	1,062
459	WPP UK equity fund	797
0	WPP government bond fund	393
0	WPP credit fund	318
0	WPP multi asset credit fund	410
2,748	Equity pooled fund	1,929
99	Pooled property investments	113
1,376	Private equity	1,123
70	Derivatives	0
<b>6,221</b>	<b>Total Management Fees</b>	<b>6,388</b>
151	Custody fees	182
<b>6,372</b>	<b>Total investment management expenses</b>	<b>6,570</b>
145	Oversight and governance costs	105
<b>8,429</b>	<b>Total</b>	<b>8,189</b>

\*2019/20 Management fees have been restated to provide additional information in line with 2020/21 presentation.

## 11. Investment Income

<b>2019/20</b>		<b>2020/21</b>
<b>£000</b>		<b>£000</b>
(10,019)	UK fixed interest securities	(1,901)
(5,445)	Overseas equities	(3,845)
(4,830)	Overseas fixed interest securities	(1,192)
(4,209)	UK equities and private equity funds	(910)
(1,608)	Pooled investments	(1,202)
(948)	Pooled Property Unit Trust Income	(482)
(218)	Interest on UK cash	(230)
(120)	Securities lending	(48)
<b>(27,397)</b>	<b>Total</b>	<b>(9,810)</b>



## 12. Investments at Market Value

<b>*2019/20</b>		<b>2020/21</b>
<b>£000</b>		<b>£000</b>
<b>586,078</b>	<b>Total Fixed Interest Securities</b>	<b>0</b>
<b>164,067</b>	<b>Total equities</b>	<b>238,549</b>
163,824	WPP UK equity fund	230,285
0	WPP government bond fund	252,534
0	WPP credit fund	226,063
0	WPP multi asset credit fund	154,266
<b>163,824</b>	<b>Total WPP pooled funds</b>	<b>863,148</b>
807,885	Equity pooled	1,105,648
<b>971,709</b>	<b>Total pooled funds (incl WPP)</b>	<b>1,968,796</b>
165,246	Pooled property investments	166,559
88,669	Private equity	90,669
<b>1,975,769</b>	<b>Subtotal</b>	<b>2,464,573</b>
3,212	Derivatives: Forward currency contracts	0
<b>3,212</b>	<b>Total derivatives</b>	<b>0</b>
6,730	Fund manager's cash	5,372
26,051	Internal/custodian cash	39,563
2,464	Net investment proceeds due	567
<b>35,245</b>	<b>Total cash</b>	<b>45,502</b>
<b>2,014,226</b>	<b>Total investment assets</b>	<b>2,510,075</b>

\*2019/20 figures have been amended to provide additional information in line with 2020/21 presentation.

In 2019/20 the investments in UK quoted equities & convertibles were transferred to the WPP UK equity fund. During 2020/21 the investments in Fixed Interest Securities were transferred to the WPP government bond fund, WPP credit fund and WPP multi asset credit fund.

## 12a. Reconciliation in movement in investments

2020/21	Value at 31/03/20	Purchase at cost	Sale proceeds	Change in market value	Value at 31/03/21
	£000	£000	£000	£000	£000
Fixed interest securities	586,078	161,316	(720,282)	(27,112)	0
Equities	164,067	32,814	(28,340)	70,008	238,549
Pooled funds	971,709	628,700	0	368,387	1,968,796
Pooled property unit trusts	165,246	730	0	583	166,559
Private equity	88,669	8,810	(14,269)	7,459	90,669
<b>Sub-total</b>	<b>1,975,769</b>	<b>832,370</b>	<b>(762,891)</b>	<b>419,325</b>	<b>2,464,573</b>
Derivatives	3212	0	0	(3,212)	0
<b>Total derivatives</b>	<b>3212</b>	<b>0</b>	<b>0</b>	<b>(3,212)</b>	<b>0</b>
Managers' cash	6,730				5,372
Internal/custodian cash	26,051				39,563
Net investment proceeds due	2,464				567
<b>Total cash</b>	<b>35,245</b>				<b>45,502</b>
<b>Sub-total</b>	<b>2,014,226</b>			<b>416,113</b>	<b>2,510,075</b>
Net realised movement in cash				66,537	
<b>Total</b>	<b>2,014,226</b>			<b>482,650</b>	<b>2,510,075</b>

2019/20	Value at 31/03/19	Purchase at cost	Sale proceeds	Change in market value	Value at 31/03/20
	£000	£000	£000	£000	£000
Fixed interest securities	565,057	372,524	(377,841)	26,338	586,078
Equities	299,185	69,622	(203,202)	(1,538)	164,067
Pooled funds	1,009,966	478,788	(234,115)	(282,930)	971,709
Pooled property unit trusts	155,944	781	0	8,521	165,246
Private equity	82,224	8,860	(15,434)	13,019	88,669
<b>Sub-total</b>	<b>2,112,376</b>	<b>930,575</b>	<b>(830,592)</b>	<b>(236,590)</b>	<b>1,975,769</b>
Derivatives	(1,243)	2,921,655	(2,914,474)	(2,726)	3,212
<b>Total derivatives</b>	<b>(1,243)</b>	<b>2,921,655</b>	<b>(2,914,474)</b>	<b>(2,726)</b>	<b>3,212</b>
Managers' cash	15,214				6,730
Internal/custodian cash	34,355				26,051
Net investment proceeds due	2,703				2,464
<b>Total cash</b>	<b>52,272</b>				<b>35,245</b>
<b>Sub-total</b>	<b>2,163,405</b>			<b>(239,316)</b>	<b>2,014,226</b>
Net realised movement in cash				59,063	
<b>Total</b>	<b>2,163,405</b>			<b>(180,253)</b>	<b>2,014,226</b>

### Analysis of derivatives

#### Objectives and policies for holding derivatives

The holding in derivatives is to hedge liabilities or hedge exposures to reduce risk in the fund. The use of derivatives is managed in line with the investment management agreement between the fund and the various investment managers. Derivatives listed in 2019/2020 formed part of the Aberdeen investment that transferred to WPP, bringing the value to nil in the 2020/2021 accounts.

### 13. Summary of manager's portfolio values

2019/20		Fund Manager	2020/21	
£000	% of Fund		£000	% of Fund
592,189	29.4	Aberdeen Asset Management	0	0.0
80,398	4.0	Aberdeen Emerging Markets	126,759	5.0
503,671	25.0	Blackrock Investment Management	675,933	26.9
64,256	3.2	Invesco Perpetual	81,320	3.2
87,945	4.4	Nikko	119,533	4.8
82,417	4.1	Schroder Investment Managers	124,955	5.0
159,560	7.9	State Street Global Advisers (SSGA)	221,637	8.8
163,824	8.1	Wales Pension Partnership	863,148	34.4
58,499	2.9	CBRE	56,154	2.2
24,192	1.2	Blackrock - BPF - UK Property	25,282	1.0
28,671	1.4	Schroder UK Real Estate	29,357	1.2
29,702	1.5	Standard Life Property	30,784	1.2
24,182	1.2	UBS Triton Property Fund	24,982	1.0
23,415	1.2	Capital Dynamics	21,737	0.9
28,446	1.4	Harbourvest	32,022	1.3
36,808	1.8	Pantheon	36,910	1.5
2,543	0.1	Cash with custodian	2,678	0.1
23,508	1.2	Internally managed (Cash)	36,884	1.5
<b>2,014,226</b>	<b>100.0</b>	<b>Total</b>	<b>2,510,075</b>	<b>100.0</b>

#### 13a. Investments exceeding 5% of net assets

The following investments represent more than 5% of the net assets available to pay benefits (in either 2019/20, 2020/21 or both years).

2019/20		Fund Manager	2020/21	
£000	% of net assets		£000	% of net assets
176,256	8.7	Aberdeen Corporate Bond Fund	0	0.0
112,789	5.5	Aberdeen Target Return Bond Fund	0	0.0
0	0.0	Aberdeen Emerging Markets Equity Fund	126,759	5.00
123,686	6.1	Aberdeen Global Government Bond Fund	0	0.0
106,332	5.2	Aberdeen UK Fixed Interest Gilts	0	0.0
209,032	10.3	BlackRock Aquila Life UK Equities Indexed Fund	265,805	10.6
99,171	4.9	BlackRock Aquila Life US Equities Indexed Fund	141,454	5.6
195,469	9.6	BlackRock Low Carbon Tracker Fund	268,675	10.7
159,560	7.9	SSGA MPF Europe ex UK Equities Active Fund	221,637	8.8
0	0.0	Wales Pension Partnership - Credit Fund	226,063	9.0
0	0.0	Wales Pension Partnership - Government Bond Fund	252,534	10.0
0	0.0	Wales Pension Partnership - Multi Asset Credit Fund	154,266	6.1
163,824	8.1	Wales Pension Partnership - UK Opportunities	230,285	9.1

## 14. Financial Instruments

### 14a. Classification of financial instruments

Value at 31/03/20				Value at 31/03/21		
Fair value through profit and loss	Amortised Cost	Financial liabilities at amortised costs		Fair value through profit and loss	Amortised Cost	Financial liabilities at amortised costs
£000	£000	£000		£000	£000	£000
586,078	0	0	Fixed interest securities	0	0	0
164,067	0	0	Equities	238,549	0	0
971,709	0	0	Pooled funds	1,968,796	0	0
165,246	0	0	Pooled property trusts	166,559	0	0
88,669	0	0	Private equity	90,669	0	0
130,993	0	0	Derivatives	0	0	0
0	35,245	0	Cash	0	45,502	0
0	20,230	0	Debtors	0	11,276	0
<b>2,106,762</b>	<b>55,475</b>	<b>0</b>	<b>Total financial assets</b>	<b>2,464,573</b>	<b>56,778</b>	<b>0</b>
(127,781)	0	0	Derivatives	0	0	0
0	0	(1,377)	Creditors	0	0	(2,160)
<b>(127,781)</b>	<b>0</b>	<b>(1,377)</b>	<b>Total financial liabilities</b>	<b>0</b>	<b>0</b>	<b>(2,160)</b>
<b>1,978,981</b>	<b>55,475</b>	<b>(1,377)</b>	<b>Net financial assets</b>	<b>2,464,573</b>	<b>56,778</b>	<b>(2,160)</b>

### 14b. Net gains and losses on financial instruments

*31/03/20		31/03/21
£000		£000
(191,863)	Fair value through profit and loss	355,652
<b>(191,863)</b>	<b>Total financial assets</b>	<b>355,652</b>
11,203	Fair value through profit and loss	127,781
407	Amortised cost	(783)
<b>11,610</b>	<b>Total financial liabilities</b>	<b>126,998</b>
<b>(180,253)</b>	<b>Net financial assets</b>	<b>482,650</b>

\*Figures restated between financial assets and financial liabilities.

## 14c. Fair Value – Basis of Valuation

Investment	Valuation Method	Observable and unobservable inputs	Key sensitivities affecting the valuations provided
<b>Level 1</b> Quoted prices for similar instruments.			
<b>Quoted Bonds (Fixed Interest Securities)</b>	Market value based on current yields	Not required	Not required
<b>Market Quoted Investments</b>	Published bid market price at close of business on the final working day of the accounting period	Not required	Not required
<b>Cash and cash equivalents</b>	Carrying value is deemed to be fair value because of the short-term nature of these financial instruments	Not required	Not required
<b>Level 2</b> Traded in a market which is not considered to be active, or where valuation techniques are used to determine fair value which use inputs that are based significantly on observable market data.			
<b>Pooled Investments - Quoted Equity</b>	Closing bid price where bid and offer prices are published. Closing single price where single price published	Net Asset Value (NAV) based pricing set on a forward pricing basis	Not required
<b>Derivatives - Forward Currency Contracts</b>	Market forward exchange rates at the year-end date	Exchange rate risk	Not required
<b>Level 3</b> Inputs not based on observable market data			
<b>Private Equity Funds</b>	Valuations provided by the general partners to the private equity funds in accordance with International Private Equity and Venture Capital Valuation Guidelines (2012)	Earnings before interest, tax, depreciation and amortisation (EBITDA) multiple, revenue multiple, discount for lack of marketability and control premium	Valuations may be affected by material events occurring between the date of the financial statements provided and the pension fund's own reporting date (although updated to reflect calls/distributions made during this period), changes to expected cash flows and any differences between unaudited and audited accounts
<b>Pooled Investments - Property Funds</b>	Closing bid price where bid and offer prices are published. Closing single price where single price published	NAV-based pricing set on a forward pricing basis	Valuations may be affected by post balance sheet events, changes to expected cash flows and any differences between unaudited and audited accounts

### 14d. Fair Value Hierarchy

As detailed above, investments have been classified into three levels according to the quality and reliability of the information used to determine fair values. The following table provides an analysis of the assets and liabilities of the pension fund based on the level at which the fair value is observable.

Value at 31/03/21	Quoted market price	Using observable inputs	With significant unobservable inputs	Total
	Level 1	Level 2	Level 3	
	£000	£000	£000	£000
Financial assets at fair value	238,549	1,968,796	257,228	2,464,573
Amortised Cost	56,778	0	0	56,778
<b>Total financial assets</b>	<b>295,327</b>	<b>1,968,796</b>	<b>257,228</b>	<b>2,521,351</b>
Financial liabilities at fair value	0	0	0	0
Financial liabilities at amortised cost	(2,160)	0	0	(2,160)
<b>Total financial liabilities</b>	<b>(2,160)</b>	<b>0</b>	<b>0</b>	<b>(2,160)</b>
<b>Net financial assets</b>	<b>293,167</b>	<b>1,968,796</b>	<b>257,228</b>	<b>2,519,191</b>

Value at 31/03/20	Quoted market price	Using observable inputs	With significant unobservable inputs	Total
	Level 1	Level 2	Level 3	
	£000	£000	£000	£000
Financial assets at fair value	750,145	1,102,702	253,915	2,106,762
Amortised Cost	55,475	0	0	55,475
<b>Total financial assets</b>	<b>805,620</b>	<b>1,102,702</b>	<b>253,915</b>	<b>2,162,237</b>
Financial liabilities at fair value	0	(127,781)	0	(127,781)
Financial liabilities at amortised cost	(1,377)	0	0	(1,377)
<b>Total financial liabilities</b>	<b>(1,377)</b>	<b>(127,781)</b>	<b>0</b>	<b>(129,158)</b>
<b>Net financial assets</b>	<b>804,243</b>	<b>974,921</b>	<b>253,915</b>	<b>2,033,079</b>

### 14e. Reconciliation of fair value measurements within Level 3

2020/21	Market Value at 31/03/20	Transfers into level 3	Transfers out of level 3	Purchases	Sales	Unrealised gains/(losses)	Realised gains/(losses)	Market Value at 31/03/21
	£000	£000	£000	£000	£000	£000	£000	£000
Private equity	88,669	0	0	8,810	(14,269)	7,459	0	90,669
Pooled property unit trusts	165,246	0	0	730	0	583	0	166,559
<b>Total</b>	<b>253,915</b>	<b>0</b>	<b>0</b>	<b>9,540</b>	<b>(14,269)</b>	<b>8,042</b>	<b>0</b>	<b>257,228</b>

### 14f. Sensitivity of Assets Valued at Level 3

Having analysed historical data, current market trends, and consulted with independent investment advisors (Pensions and Investments Research Consultants Ltd (PIRC)), the fund has determined that the valuations methods described above for Level 3 investments are likely to be accurate to within the following ranges, and has set out the consequential impact below:

	Assessed valuation range	Value at 31/03/21	Value on increase	Value on decrease
	(%)	£000	£000	£000
Private Equity	9.4	90,669	99,192	82,146
Pooled Property Trusts	4.2	166,559	173,554	159,564
<b>Total</b>		<b>257,228</b>	<b>272,746</b>	<b>241,710</b>

### 15. Nature and extent of risks arising from financial instruments

The Fund maintains positions in a variety of instruments, as dictated by the Investment Strategy Statement (ISS), and is consequently exposed to credit and liquidity risk, as well as market risk including foreign exchange and interest rate risks.

The Fund's primary long-term risk is that the Fund's assets will fall short of its liabilities and will be unable to pay the promised benefits to members. The aim of investment risk management is to minimise the risk of an overall reduction in the value of the Fund and to maximise the opportunity for gains across the whole fund portfolio. The Fund achieves this through asset diversification to reduce exposure to market risk and credit risk to an acceptable level. In addition, the fund manages monitor its liquidity risk to ensure there is sufficient liquidity to meet the Fund's forecast cash flows.

The management of risk is a key objective of the Pension Fund. A policy of diversification of its asset classes and investment managers helps the Pension Fund to lower risk arising from financial instruments. Benchmarks for asset allocation and targets against which investment managers are expected to perform are further measures which are put in place in order to manage risk.

**Market risk** is the risk that the fair value or future cash flows of an institution will fluctuate because of a change in market price.

In order to manage risk, the Fund invests in a diversified pool of assets, split between a number of managers with different performance targets and investment strategies. In order to mitigate risk, the Fund regularly reviews the pension fund investment strategy together with regular monitoring of asset allocation and investment performance.

**Interest rate risk** is the risk to which the Pension Fund is exposed to fluctuations in interest rates and mainly relates to changes in bonds.

To mitigate the risk and diversify, the Fund holds three fixed interest sub funds managed by WPP.

Interest Rates can vary and can affect both income to the fund and the value of the net assets available to pay benefits. The analysis below shows the effect of a 100 basis point (1%) movement in interest rates on the net assets available to pay benefits:

Asset Type	Carrying Amount as at 31/03/21	Change to the net assets available to pay benefits	
		+ 100bps	- 100bps
	£000	£000	£000
Cash and cash equivalents	45,502	455	(455)
Fixed interest securities	0	0	0
<b>Total</b>	<b>45,502</b>	<b>455</b>	<b>(455)</b>

Asset Type	Carrying Amount as at 31/03/20	Change to the net assets available to pay benefits	
		+ 100bps	- 100bps
	£000	£000	£000
Cash and cash equivalents	38,457	385	(385)
Fixed interest securities	586,078	5,861	(5,861)
<b>Total</b>	<b>624,535</b>	<b>6,246</b>	<b>(6,246)</b>

**Currency risk** is the risk to which the Pension Fund is exposed to fluctuations in foreign currency exchange rates. Fund managers will also take account of currency risk in their investment decisions.

Following analysis of historical data and consulted with independent investment advisors Pensions and Investments Research Consultants Ltd (PIRC), the fund's aggregate currency change has been calculated as 8.36%. An 8.36% strengthening/weakening of the pound against the various currencies in which the fund holds investments would increase/decrease the net assets available to pay benefits as follows:

Currency exposure – asset type	Asset Value as at 31/03/21	Change to net assets available to pay benefits	
		+ 8.36%	- 8.36%
	£000	£000	£000
Overseas quoted equities	238,648	19,951	(19,951)
Overseas pooled funds	758,524	63,413	(63,413)
Overseas pooled property	56,155	4,695	(4,695)
<b>Total change in assets available</b>	<b>1,053,327</b>	<b>88,059</b>	<b>(88,059)</b>

Currency exposure – asset type	Asset Value as at 31/03/20	Change to net assets available to pay benefits	
		+ 7.35%	- 7.35%
	£000	£000	£000
Overseas quoted equities	164,067	12,059	(12,059)
Overseas pooled funds	534,597	39,293	(39,293)
Overseas pooled property	58,499	4,300	(4,300)
<b>Total change in assets available</b>	<b>757,163</b>	<b>55,652</b>	<b>(55,652)</b>

**Price risk** is the risk of losses associated with the movement in prices of the underlying assets. By diversifying investments across asset classes and managers, the Pension Fund aims to reduce the exposure to price risk. Diversification of asset classes seeks to reduce correlation of price movements, whilst employing specialist managers enables the Fund to benefit from investment expertise.



Potential price changes are determined based on the observed historical volatility of asset class returns. The potential volatilities are consistent with movement in the change in value of assets over the last three years, applied to the period end asset mix. The total volatility shown below for total assets incorporates the impact of correlation across currencies, which dampens volatility, therefore the value on increase and value on decrease figures for the currencies will not sum to the total figure.

Asset type	Value at 31/03/21	Percentage change	Value on increase	Value on Decrease
	£000	%	£000	£000
UK Equities	577,410	18.86	686,310	468,510
Overseas Equities	1,629,935	14.05	1,858,941	1,400,929
Fixed Interest (Bonds)	0	4.59	0	0
Cash and Cash Equivalents	45,502	0.20	45,593	45,411
Private Equity	90,669	9.35	99,147	82,191
Property	166,559	4.16	173,488	159,630
<b>Total Assets</b>	<b>2,510,075</b>		<b>2,863,479</b>	<b>2,156,671</b>

Asset type	Value at 31/03/20	Percentage change	Value on increase	Value on Decrease
	£000	%	£000	£000
UK Equities	437,112	16.30	508,361	365,863
Overseas Equities	698,664	12.32	784,739	612,589
Fixed Interest (Bonds)	586,078	4.28	611,162	560,994
Cash and Cash Equivalents	38,457	0.15	38,515	38,399
Private Equity	88,669	7.52	95,337	82,001
Property	165,246	4.18	172,153	158,339
<b>Total Assets</b>	<b>2,014,226</b>		<b>2,210,267</b>	<b>1,818,185</b>

\*2019/20 figures have been amended in line with 2020/21 presentation.

**Credit risk** is the risk that a counterparty to a financial instrument will fail to discharge an obligation and cause the fund to incur a financial loss. The Fund reviews its exposure to credit and counterparty risk through its external investment managers. The Fund is also exposed to credit risk through its securities lending programme run by the Fund's custodian, Northern Trust who manages and monitors the counterparty risk, collateral risk and the overall lending programme.

The Pension Fund's bank accounts are held with Lloyds Bank (closed October 2020) and NatWest. Surplus cash is not invested with these but is placed with a selection of AAA Money Market institutions. The Fund's internally managed cash holding under its treasury management arrangements is held with the following institutions:

	Fitch Rating	31/03/20	31/03/21
		£000	£000
<b>Money market funds</b>			
Aberdeen Standard Liquidity - Sterling Fund	AAA	11,750	18,800
Blackrock ICS Sterling Liquidity Fund	AAA	11,230	18,120
Deutsche Global Liquidity - Sterling Fund	AAA	0	0
<b>Bank current account</b>			
Lloyds Bank	A	479	0
NatWest	A	49	(40)
<b>Total</b>		<b>23,508</b>	<b>36,880</b>

The Pension Fund has experienced no defaults from fund managers, brokers or bank accounts over the past ten years, therefore no expected credit loss provision is required.

**Liquidity risk** represents the possibility that the Fund may not have resources available to meet its financial obligations. The current position of the Fund is that it is cash positive, which reflects the fact that contributions into the Fund exceed benefits being paid out. The Fund's cash is kept in a separate bank account and the cash position is monitored on a daily basis. Surplus funds are deposited in money market funds on a short term basis. At an investment level, the Funds' investments are substantially made up of listed securities which are considered readily realisable.

## 16. Actuarial Present Value of Promised Retirement Benefits

CIPFA's Code of Practice requires the disclosure of the actuarial present value of promised retirement benefits calculated on an IAS 19 basis, as set out in IAS 26.

Therefore, in addition to the triennial funding valuation, the Fund's actuary undertakes a valuation of the pension fund liabilities on an IAS 19 basis at the same date. The IAS 19 valuation is carried out using updated actuarial assumptions from those used for setting fund contribution rates and the Fund accounts do not take account of liabilities to pay pensions and other benefits in the future.

The most recent actuarial valuation based on IAS 19 is shown below:

31/03/2016		31/03/2019
£m		£m
2,274	Actuarial Present Value of Promised Retirement Benefits	3,168

The estimated future Pension Fund liabilities will also be subject to the consideration of the McCloud judgement and GMP equalisation. The impact was considered by the actuary within the triennial valuation, which took place in 2019/20. The actuary confirmed that no further adjustments were made to the valuation at this stage and any further adjustments will be made at the next triennial valuation (see Actuarial Statement on pages 3-6 of this document).

## 17. Additional Voluntary Contributions (AVC)

Scheme members may elect to make additional voluntary contributions to enhance their pension benefits. Contributions are made directly from scheme members to the AVC provider and are therefore not represented in these accounts in accordance with section 4(2)b of the Local Government Pension Scheme (Management and Investment of Funds) Regulations 2009 (SI 2009/3093). However, as the administering authority, we oversee the following AVC arrangements:

2019/20		2020/21
£000		£000
577	AVC paid during the year	303
3,724	Market Value of separately invested AVC's	4,670

Information received from the primary AVC provider is based on draft figures available.

## *18. Contractual Commitments*

As at 31 March 2021 the Fund had outstanding private equity commitments of a maximum of £38.683 million (£53.466 million at 31 March 2020).

## *19. Securities Lending*

At the year end the value of quoted equities on loan was £37.335 million (£311.147 million at March 2020) in exchange for which the custodian held collateral of £40.253 million (£329.301 million at March 2020), the significant reduction is due to the transfer of Aberdeen fixed interest securities to WPP in 2020/21. For the year ending 31 March 2021, the Fund received income of £48,000 from the lending of stock (£120,000 in 2019/20). In addition, the fund received income from WPP of £17,000 from the lending of stock.

## *20. Provisions and Contingent Liabilities*

A number of death grants have been identified where the Fund has been unable to trace the next of kin meaning no payment has been made to date. In all of the outstanding cases, there has been difficulty in making contact, meaning that the payments are not likely to be settled within the next financial year.

Due to the uncertainty surrounding the timing of these payments and final amounts payable, a provision for £1,054,017 has been included in the accounts (£737,078 in 2019/20), which consists of £319,601.98 short term (£0 in 2019/20), £591,279 long term and £143,135 of estimated interest (£591,279 long term and £145,799 of estimated interest in 2019/20).

The Fund has no material contingent liabilities.

## *21. Related Party Transactions*

Cardiff Council is the administering authority for Cardiff & Vale of Glamorgan Pension Fund. The Pensions Committee includes members of the Council. There are two members of the Pension Fund Committee that are active members of the Pension Fund.

Examples of related party transactions with the Council are:

- Cash invested internally by the Council (for working capital purposes) – see Note 13 Summary of manager's portfolio values
- Administration expenses charged to the Fund by the Council are shown in Note 10 Management Expenses
- Paragraph 3.9.4.4 of the Code of Practice exempts Local Authorities from the key management personnel disclosure requirements of IAS24 on the basis that requirements for officer remuneration and members' allowances is detailed in section 3.4 of the Code and can be found in the Cardiff Council Statement of Accounts.

In addition to the related parties, the Investment Panel and the Pensions Board provide advisory support to the Pensions Committee. The Pensions Board includes representatives from participating employers and members of Cardiff Council. Four members of the Pension Fund Board are active members of the Pension

Fund. One of the active members on the Pension Fund Board was also in receipt of pension fund benefits from the Cardiff and Vale of Glamorgan Pension Fund.

Contributing Employers

The active contributing employers as at 31 March 2021 are detailed below:

<b>Administering Body</b>	
Cardiff Council	
<b>Scheduled Bodies</b>	
<b>Councils</b>	<b>Town and Community Councils</b>
Vale of Glamorgan Council	Barry Town Council
<b>Education Bodies</b>	Cowbridge Town Council
Cardiff and Vale College	Lisvane Community Council
Cardiff Metropolitan University	Llantwit Major Council
St David's Sixth Form College	Penarth Town Council
Stanwell Comprehensive	Penllyn Community Council
<b>Other Scheduled Bodies</b>	Pentyrch Community Council
Cardiff Bus	Radyr & Morganstown Community Council
Public Services Ombudsman for Wales*	Wenvoe Community Council
<b>Admitted Bodies</b>	
A and R Cleaning Gabalfa *	Eisteddfod Genedlaethol Cymru
A and R Cleaning Greenway	Glen Cleaning (Barry Comprehensive)
A and R Cleaning High Street *	Glen Cleaning (Eastern High)
A and R Cleaning Lansdowne	Glen Cleaning (Gladstone Primary) *
A and R Cleaning Trowbridge	Glen Cleaning (Llandough)
A and R Cleaning Whitchurch	Greenwich Leisure Limited (GLL)
Adult Learning Wales	Grangetown Primary Cleaning (APP)
Big Fresh Cleaning	Mirus Wales
Cardiff Business Technology Centre	National Trust (Dyffryn)
Cardiff University	One Voice Wales
Careers Wales (Cardiff And Vale)	Play Wales
Children In Wales	Sports Council for Wales
Circle IT (Cowbridge Comprehensive)	St Teilo's Cleaning (APP)
Circle IT (Eastern High)	Wales & West Housing Association*
Colegau Cymru - Colleges Wales	Wales Council For Voluntary Action
Design Commission For Wales	

\* Employers contributing to the Fund in 2019/20 that were not contributing to the Fund in 2020/21.

## *22. Events after the Reporting Period*

There are no events after the reporting period to report.

## *23. Date of Authorisation of the Accounts for Issue*

This Statement of Accounts was authorised for issue on 25<sup>th</sup> November 2021 by the Corporate Director Resources. Post balance sheet events have been considered up to this date.

## ***Glossary***

Knowledge of basic accountancy terminology is assumed. However, there are certain specialist terms related to local government finance, which are described below:

### ***Accruals Basis***

The accruals principle is that income is recorded when it is earned rather than when it is received, and expenses are recorded when goods or services are received rather than when the payment is made.

### ***Active / Passive Management***

Active management is the traditional form of investment management involving a series of individual investment decisions that seek to maximise returns by exploiting price inefficiencies i.e. 'beat the market'. Passive management is a low cost alternative where managers normally hold stocks in line with a published index, such as the FTSE All-Share, not seeking to outperform but to keep pace with the index being tracked.

### ***Actuary***

An independent consultant who advises on the long-term viability of the Fund. Every three years the Fund actuaries review the assets and liabilities of the Fund and report to the Council on the financial position and recommended employer contribution rates. This is known as the actuarial valuation.

### ***Actuarial Gains and Losses***

For a defined benefit pensions scheme, the changes in actuarial deficits or surpluses that arise because events have not coincided with the actuarial assumptions made for the last valuation, or the actuarial assumptions have changed.

### ***Active Member***

Current employee who is contributing to a pension scheme.

### ***Admitted Body***

An organisation, whose staff can become members of the Fund by virtue of an admission agreement made between the Council and the organisation. It enables contractors who take on the Council's services with employees transferring, to offer those staff continued membership of the Fund.

### ***Asset Allocation***

Apportionment of investment funds among categories of assets, such as Bonds, Equities, Cash, Property, Derivatives, and Private Equity. Asset allocation affects both risk and return.

### ***Benchmark***

A measure against which the investment policy or performance of an investment manager can be compared.

### ***Bonds***

Investments, mainly in government stocks, which guarantee a fixed rate of interest. The securities represent loans which are repayable at a future date but which can be traded on a recognised stock exchange in the meantime.

### ***Cash and Cash Equivalents***

Sums of money available for immediate use and deposits with financial institutions repayable without penalty on notice of not more than 24 hours.

### ***Chartered Institute of Public Finance & Accountancy (CIPFA)***

CIPFA is the leading professional accountancy body which determines accounting standards and reporting standards to be followed by Local Government.

### ***Contingent Liabilities or Assets***

These are amounts potentially due to or from individuals or organisations which may arise in the future but which at this time cannot be determined accurately, and for which provision has not been made in the Council's accounts.

### ***Creditors***

Amounts owed by the Council for work done, goods received or services rendered, for which payment has not been made at the date of the balance sheet.

### ***Custodian***

Bank or other financial institution that keeps custody of stock certificates and other assets of a client, collects dividends and tax refunds due, and settles any purchases and sales.

### ***Debtors***

These are sums of money due to the Council that have not been received at the date of the Balance Sheet.

### ***Deferred Pensioner***

A member who has stopped paying into the scheme but is not yet retired.

### ***Defined Benefit Scheme (Pensions)***

This is a pension or other retirement benefit scheme other than a defined contribution scheme. Usually, the scheme rules define the benefits independently of the contributions payable and the benefits are not directly related to the investments of the scheme. The scheme may be funded or unfunded (including notionally funded).

### ***Defined Contribution Scheme (Pensions)***

A Defined Contribution Scheme is a pension or other retirement benefit scheme into which an employer pays regular contributions as an amount or as a percentage of pay and will have no legal or constructive obligation to pay further contributions if the scheme does not have sufficient assets to pay all employee benefits relating to employee service in the current and prior periods.

### ***Derivative***

A derivative instrument is a contract whose value is based on the performance of an underlying financial asset, index, or other investment.

### ***Emerging Markets***

Relatively new and immature stock markets for equities or bonds. Settlement and liquidity can be less reliable than in the more established 'developed' markets, and they tend to be more volatile.

### ***Employer Contribution Rates***

The percentage of the salary of employees that employers pay as a contribution towards the employees' pension.

**Equities**

Ordinary shares in UK and overseas companies traded on a recognised stock exchange. Shareholders have an interest in the profits of the company and may normally vote at shareholders' meetings.

**Fair Value**

Fair Value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date.

**Financial Assets**

Financial assets are cash, equity instruments within another entity (e.g. shares) or a contractual right to receive cash or another asset from another entity (e.g. debtors) or exchange financial assets or financial liabilities under potentially favourable conditions (e.g. derivatives).

**Financial Instruments**

A financial instrument is any contract that gives rise to a financial asset of one entity and a financial liability or equity instrument of another. The term 'financial instrument' covers both financial assets and financial liabilities and includes both the most straightforward financial assets and liabilities such as trade receivables and trade payables and the most complex ones such as derivatives and embedded derivatives.

**Financial Liabilities**

Financial liabilities are contractual obligations to deliver cash or another financial asset (e.g. creditors) or exchange financial assets or financial liabilities under potentially unfavourable conditions (e.g. derivatives).

**Fixed Interest Securities/Bonds**

Investments, especially in government stocks, with a guaranteed rate of interest. Conventional bonds have fixed rates, whilst Index Linked vary with inflation. They represent loans repayable at a stated future date, and which can be traded on a stock exchange in the meantime.

**Fund Manager**

A fund that handles investments on behalf of the pension fund according to an agreed investment mandate.

**Fund of Funds**

A pooled fund that invests in other pooled funds. They are able to move money between the best funds in the industry, and thereby aim to lower stakeholder risk with greater diversification than is offered by a single fund.

**Impairment**

A reduction in the value of assets below its value brought forward in the Balance Sheet. Examples of factors which may cause such a reduction in value include general price decreases, a significant decline in an asset's market value.

**Index**

A calculation of the average price of shares, bonds, or other assets in a specified market to provide an indication of the average performance and general trends in the market.

**ISS**

The Investment Strategy Statement which each LGPS fund is required to prepare and keep under review.

**Liabilities**

These are amounts due to individuals or organisations which will have to be paid at some time in the future. Current liabilities are usually payable within one year of the Balance Sheet date.

**LGPS**

The Local Government Pension Scheme, governed by regulations issued by the Department for Communities and Local Government.

**Materiality**

Information is material if omitting it or misstating it could influence the decisions that users make on the basis of financial information about a specific reporting authority.

**Pension Fund**

A fund built up from deductions from employees' pay, contributions from employers and investment income from which pension benefits are paid.

**Pensioner**

A scheme member who received a pension from the Fund.

**Pooled Funds**

Pooled investment vehicles issue units to a range of investors. Unit's prices move in response to changes in the value of the underlying portfolio, and investors do not own directly the assets in the fund. The main types are: unit trusts, open-ended investment companies (OEICs), insurance linked vehicles and investment trusts.

**Portfolio**

A collective term for all the investments held in a fund, market or sector. A segregated portfolio is a portfolio of investments of a specific type held directly in the name of the investor e.g. Global Bonds, or a specific market e.g. UK Equities, Far East Equities.

**Prior Period Adjustments**

These are material adjustments which are applicable to an earlier period arising from changes in accounting policies or for the correction of fundamental errors.

**Private Equity**

Investments made by specialist managers in all types of unlisted companies rather than through publicly tradable shares.

**Provisions**

Amounts set aside in respect of liabilities or losses which are likely or certain to be incurred, but in relation to which the exact amount and date of settlement may be uncertain.

**Related Parties**

Related parties are Central Government, other local authorities, precepting and levying bodies, subsidiary and associated companies, Elected Members, all senior officers from Director and above. For individuals identified as related parties, the following are also presumed to be related parties:

- members of the close family, or the same household; and
- partnerships, companies, trusts or other entities in which the individual, or member of their close family or the same household, has a controlling interest.



**Return**

The total gain from holding an investment, including both income and any increase or decrease in market value. Returns over periods longer than a year are usually expressed as an average annual return.

**Scheme Employers**

Local authorities and bodies specified in the LGPS Regulations, whose employees are entitled automatically to be members of the Fund, and Admission Bodies including voluntary, charitable and similar bodies, carrying out work of a public nature, whose staff can become members of the Fund by virtue of an admission agreement with the Council.

**Scheduled Body**

An organisation that has the right to become a member the Local Government Pension Scheme under the scheme regulations. Such an organisation does not need to be admitted, as its right to membership is automatic.

**Unit Trust**

A collective investment fund that is priced, bought and sold in units that represent a mixture of the securities underlying the fund.

**Unrealised Gains / Losses**

The increase or decrease in the market value of investments held by the fund since the date of their purchase. Note: values throughout these accounts are presented rounded to whole numbers. Totals in supporting tables and notes may not appear to cast, cross-cast, or exactly match to the core statements or other tables due to rounding differences.

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## Audit of Accounts Report – Cardiff and Vale of Glamorgan Pension Fund

Audit year: 2020-21

Date issued: November 2021

Document reference: 2708A2021-22

This document has been prepared as part of work performed in accordance with statutory functions.

In the event of receiving a request for information to which this document may be relevant, attention is drawn to the Code of Practice issued under section 45 of the Freedom of Information Act 2000. The section 45 code sets out the practice in the handling of requests that is expected of public authorities, including consultation with relevant third parties. In relation to this document, the Auditor General for Wales and the Wales Audit Office are relevant third parties. Any enquiries regarding disclosure or re-use of this document should be sent to the Wales Audit Office at [infoofficer@audit.wales](mailto:infoofficer@audit.wales).

We welcome correspondence and telephone calls in Welsh and English. Corresponding in Welsh will not lead to delay. Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg. Ni fydd gohebu yn Gymraeg yn arwain at oedi.

# Contents

We intend to issue an unqualified audit report on your Accounts. There are some issues to report to you prior to their approval.

## Audit of Accounts Report

Introduction	4
Impact of COVID-19 on this year's audit	4
Proposed audit opinion	5
Significant issues arising from the audit	6
Appendices	
Appendix 1 – Final Letter of Representation	7
Appendix 2 – Proposed Audit Report	10
Appendix 3 – Summary of Corrections Made	14

# Audit of Accounts Report

## Introduction

- 1 We summarise the main findings from our audit of your 2020-21 accounts in this report.
- 2 We have already discussed these issues with the Group Accountant and Head of Pensions.
- 3 Auditors can never give complete assurance that accounts are correctly stated. Instead, we work to a level of 'materiality'. This level of materiality is set to try to identify and correct misstatements that might otherwise cause a user of the accounts into being misled.
- 4 We set this level at £25 million for this year's audit. There are some areas of the accounts that may be of more importance to the reader and we have set a lower materiality level for these, for example related party transactions and senior officer remuneration.
- 5 At the date of this report, our audit is substantially complete, subject to completion of the following:
  - work on membership data;
  - checking all audit amendments agreed have been correctly reflected in the final draft;
  - director and manager review of audit files and clearance of any review points;
  - receipt and review of the of the signed Letter of Representation;
  - completing final checks on the signed financial statements after the Council have agreed them; and
  - a review of events after the reporting period up to signing date.
- 6 In our professional view, we have complied with the ethical standards that apply to our work; remain independent of yourselves; and, our objectivity has not been compromised in any way. There are no relationships between ourselves and yourselves that we believe could undermine our objectivity and independence.

## Impact of COVID-19 on this year's audit

- 7 The COVID-19 pandemic has had a significant impact on all aspects of our society and continues to do so. You are required by law to prepare accounts and it is of considerable testament to the commitment of your accounts team that you have succeeded in doing so this year in the face of the challenges posed by this pandemic. We are extremely grateful to the professionalism of the team in supporting us to complete our audit in such difficult circumstances.
- 8 The pandemic has unsurprisingly affected our audit and we summarise in **Exhibit 1** the main impacts. Other than where we specifically make recommendations, the detail in **Exhibit 1** is provided for information purposes only

to help you understand the impact of the COVID-19 pandemic on this year’s audit process.

**Exhibit 1 – impact of COVID-19 on this year’s audit**

<b>Timetable</b>	We received the draft accounts on 22 June 2021. In line with the other pension fund audits in Wales, we undertook the audit in October/November 2021.
<b>Electronic signatures</b>	We will continue to accept the use of electronic signatures and electronic transfer of files during the approval and signing process.
<b>Audit evidence</b>	We have been unable to conduct our audit at your premises due to the COVID-19 pandemic. As in 2019-20, we received audit evidence in electronic format. We have used various techniques to ensure its validity. Where we have been unable to obtain access to paper documents because of COVID-19 restrictions, we have devised alternative audit methodologies to obtain sufficient audit evidence.

9 We will be reviewing what we have learned for our audit process from the COVID-19 pandemic and whether there are innovative practices that we might adopt in the future to enhance that process.

**Proposed audit opinion**

- 10 We intend to issue an unqualified audit opinion on this year’s accounts once you have provided us with a Letter of Representation based on that set out in **Appendix 1**.
- 11 We issue a ‘qualified’ audit opinion where we have material concerns about some aspects of your accounts; otherwise we issue an unqualified opinion.
- 12 The Letter of Representation contains certain confirmations we are required to obtain from you under auditing standards along with confirmation of other specific information you have provided to us during our audit.
- 13 Our proposed audit report is set out in **Appendix 2**.

## Significant issues arising from the audit

### Uncorrected misstatements

14 There are no misstatements identified in the accounts which remain uncorrected.

### Corrected misstatements

15 There were initially misstatements in the accounts that have now been corrected by management. These were mainly presentational or typographical in nature and they are set out with explanations in **Appendix 3**.

### Other significant issues arising from the audit

46 In the course of the audit, we consider a number of matters relating to the accounts and report any significant issues arising to you. There were **no** issues arising in these areas this year.



# Appendix 1

## Final Letter of Representation

[Audited body's letterhead]

Auditor General for Wales  
Wales Audit Office  
24 Cathedral Road  
Cardiff  
CF11 9LJ

[Date]

### Representations regarding the 2020-21 financial statements

This letter is provided in connection with your audit of the financial statements (including that part of the Remuneration Report that is subject to audit) of Cardiff and Vale of Glamorgan Pension Fund for the year ended 31 March 2021 for the purpose of expressing an opinion on their truth and fairness and their proper preparation.

We confirm that to the best of our knowledge and belief, having made enquiries as we consider sufficient, we can make the following representations to you.

### Management representations

#### Responsibilities

We have fulfilled our responsibilities for:

- The preparation of the financial statements in accordance with legislative requirements and CIPFA Code of Practice on Local Authority Accounting; in particular the financial statements give a true and fair view in accordance therewith.
- The design, implementation, maintenance and review of internal control to prevent and detect fraud and error.

### Information provided

We have provided you with:

- Full access to:
  - all information of which we are aware that is relevant to the preparation of the financial statements such as books of account and supporting documentation, minutes of meetings and other matters;

- additional information that you have requested from us for the purpose of the audit; and
- unrestricted access to staff from whom you determined it necessary to obtain audit evidence.
- The results of our assessment of the risk that the financial statements may be materially misstated as a result of fraud.
- Our knowledge of fraud or suspected fraud that we are aware of and that affects Cardiff and Vale of Glamorgan Pension Fund and involves:
  - management;
  - employees who have significant roles in internal control; or
  - others where the fraud could have a material effect on the financial statements.
- Our knowledge of any allegations of fraud, or suspected fraud, affecting the financial statements communicated by employees, former employees, regulators or others.
- Our knowledge of all known instances of non-compliance or suspected non-compliance with laws and regulations whose effects should be considered when preparing the financial statements.
- The identity of all related parties and all the related party relationships and transactions of which we are aware.

## Financial statement representations

All transactions, assets and liabilities have been recorded in the accounting records and are reflected in the financial statements.

The methods, the data and the significant assumptions used in making accounting estimates, and their related disclosures are appropriate to achieve recognition, measurement or disclosure that is reasonable in the context of the applicable financial reporting framework.

Related party relationships and transactions have been appropriately accounted for and disclosed.

All events occurring subsequent to the reporting date which require adjustment or disclosure have been adjusted for or disclosed.

All known actual or possible litigation and claims whose effects should be considered when preparing the financial statements have been disclosed to the auditor and accounted for and disclosed in accordance with the applicable financial reporting framework.

The financial statements are free of material misstatements, including omissions.

## Representations by those charged with governance

We acknowledge that the representations made by management, above, have been discussed with us.

We acknowledge our responsibility for the preparation of true and fair financial statements in accordance with the applicable financial reporting framework. The financial statements were approved by full Council on 25 November 2021.

We confirm that we have taken all the steps that we ought to have taken in order to make ourselves aware of any relevant audit information and to establish that it has been communicated to you. We confirm that, as far as we are aware, there is no relevant audit information of which you are unaware.

Signed by:

[Officer who signs on behalf of management]

Date:

Signed by:

[Officer or Member who signs on behalf of those charged with governance]

Date:

# Appendix 2

## Proposed Audit Report

### **The independent auditor's report of the Auditor General for Wales to the members of County Council of the City and County of Cardiff as administering authority for Cardiff & Vale of Glamorgan Pension Fund**

#### **Opinion on financial statements**

I have audited the financial statements of Cardiff & Vale of Glamorgan Pension Fund for the year ended 31 March 2021 under the Public Audit (Wales) Act 2004. Cardiff & Vale of Glamorgan Pension Fund's financial statements comprise the fund account, the net assets statement and the related notes, including a summary of significant accounting policies. The financial reporting framework that has been applied in their preparation is applicable law and international accounting standards as interpreted and adapted by the Code of Practice on Local Authority Accounting in the United Kingdom 2020-21.

In my opinion the financial statements:

- give a true and fair view of the financial transactions of the pension fund during the year ended 31 March 2021, and of the amount and disposition at that date of its assets and liabilities;
- have been properly prepared in accordance with legislative requirements and international accounting standards as interpreted and adapted by the Code of Practice on Local Authority Accounting in the United Kingdom 2020-21.

#### **Basis of opinion**

I conducted my audit in accordance with applicable law and International Standards on Auditing in the UK (ISAs (UK)) and Practice Note 10 'Audit of Financial Statements of Public Sector Entities in the United Kingdom'. My responsibilities under those standards are further described in the auditor's responsibilities for the audit of the financial statements section of my report. I am independent of the pension fund in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standard, and I have fulfilled my other ethical responsibilities in accordance with these requirements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

#### **Conclusions relating to going concern**

In auditing the financial statements, I have concluded that the use of the going concern basis of accounting in the preparation of the financial statements is appropriate.

Based on the work I have performed, I have not identified any material uncertainties relating to events or conditions that, individually or collectively, may cast significant doubt on the pension fund's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from when the financial statements are authorised for issue.

My responsibilities and the responsibilities of the responsible financial officer with respect to going concern are described in the relevant sections of this report.

## Other information

The other information comprises the information included in the Narrative Report other than the financial statements and my auditor's report thereon. The Responsible Financial Officer is responsible for the other information contained within the Narrative report. My opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in my report, I do not express any form of assurance conclusion thereon.

My responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or knowledge obtained in the course of the audit, or otherwise appears to be materially misstated. If I identify such material inconsistencies or apparent material misstatements, I am required to determine whether this gives rise to a material misstatement in the financial statements themselves. If, based on the work I have performed, I conclude that there is a material misstatement of this other information, I am required to report that fact.

I have nothing to report in this regard.

## Report on other requirements

### Opinion on other matters

In my opinion, based on the work undertaken in the course of my audit:

- the information contained in the Narrative Report for the financial year for which the financial statements are prepared is consistent with the financial statements and has been prepared in accordance with the Local Government Pension Scheme Regulations 2013.

### Matters on which I report by exception

In the light of the knowledge and understanding of the pension fund and its environment obtained in the course of the audit, I have not identified material misstatements in the Narrative Report.

I have nothing to report in respect of the following matters, which I report to you, if, in my opinion:

- adequate accounting records have not been kept, or returns adequate for my audit have not been received from branches not visited by my team;
- the financial statements are not in agreement with the accounting records and returns; or
- I have not received all the information and explanations I require for my audit.

## Responsibilities

### Responsibilities of the responsible financial officer for the financial statements

As explained more fully in the Statement of Responsibilities for the financial statements set out on [page 7](#), the responsible financial officer is responsible for the preparation of the financial statements, which give a true and fair view, and for such internal control as the responsible financial officer determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the responsible financial officer is responsible for assessing the pension fund's ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

### Auditor's responsibilities for the audit of the financial statements

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

Irregularities, including fraud, are instances of non-compliance with laws and regulations. I design procedures in line with my responsibilities, outlined above, to detect material misstatements in respect of irregularities, including fraud.

My procedures included the following:

- Enquiring of management and those charged with governance, including obtaining and reviewing supporting documentation relating to Cardiff & Vale of Glamorgan Pension Fund's policies and procedures concerned with:
  - identifying, evaluating and complying with laws and regulations and whether they were aware of any instances of non-compliance;
  - detecting and responding to the risks of fraud and whether they have knowledge of any actual, suspected or alleged fraud; and
  - the internal controls established to mitigate risks related to fraud or non-compliance with laws and regulations.
- Considering as an audit team how and where fraud might occur in the financial statements and any potential indicators of fraud.
- Obtaining an understanding of Cardiff & Vale of Glamorgan Pension Fund's framework of authority as well as other legal and regulatory frameworks that Cardiff & Vale of Glamorgan Pension Fund operates in, focusing on those laws and regulations that had a direct effect on the financial statements or that had a fundamental effect on the operations of Cardiff & Vale of Glamorgan Pension Fund.

In addition to the above, my procedures to respond to identified risks included the following:

- reviewing the financial statement disclosures and testing to supporting documentation to assess compliance with relevant laws and regulations discussed above;
- enquiring of management and the Governance and Audit Committee about actual and potential litigation and claims;
- reading minutes of meetings of those charged with governance and the administering authority; and
- in addressing the risk of fraud through management override of controls, testing the appropriateness of journal entries and other adjustments; assessing whether the judgements made in making accounting estimates are indicative of a potential bias; and evaluating the business rationale of any significant transactions that are unusual or outside the normal course of business.

I also communicated relevant identified laws and regulations and potential fraud risks to all audit team and remained alert to any indications of fraud or non-compliance with laws and regulations throughout the audit.

The extent to which my procedures are capable of detecting irregularities, including fraud, is affected by the inherent difficulty in detecting irregularities, the effectiveness of the Cardiff

& Vale of Glamorgan Pension Fund's controls, and the nature, timing and extent of the audit procedures performed.

A further description of the auditor's responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of my auditor's report.

### **Certificate of completion of audit**

I certify that I have completed the audit of the accounts of Cardiff & Vale of Glamorgan Pension Fund in accordance with the requirements of the Public Audit (Wales) Act 2004 and the Auditor General for Wales' Code of Audit Practice.

Adrian Crompton  
Auditor General for Wales  
[Date]

24 Cathedral Road  
Cardiff  
CF11 9LJ

# Appendix 3

## Summary of Corrections Made

During our audit we identified the following misstatements that have been corrected by management, but which we consider should be drawn to your attention due to their relevance to your responsibilities over the financial reporting process.

### Exhibit 3: summary of corrections made

Value of correction	Nature of correction	Reason for correction
Disclosure note only: 2 compensating adjustments of £127m, net impact £0.	<ul style="list-style-type: none"> <li><b>Note 14b Net gains and losses on financial statements:</b> incorrect signage used on the £127m fair value through profit and loss (financial liabilities). A compensating correction was required to the corresponding financial asset figure. The prior year figures have been similarly corrected.</li> </ul>	Correction required to ensure the note is consistent with supporting evidence.
n/a	<p>Various presentational and arithmetical amendments including:</p> <ul style="list-style-type: none"> <li>Net Asset statement: splitting the provisions between short and long term;</li> <li>Note 8 Contributors: amendments required to ensure figures agreed to the correct supporting system schedule;</li> <li>Notes 12a and 15: casting errors;</li> <li>Note 11 Investment income: Income relating to securities lending omitted;</li> <li>Note 13a Investments exceeding 5% of net assets: inclusion of a fund manager with &gt;5% net assets omitted initially; and</li> <li>Note 20 Provisions and Contingent Liabilities: inclusion of prior year comparator.</li> </ul>	To provide enhanced understanding to the reader of the financial statements.







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We welcome correspondence and telephone calls in Welsh and English.  
Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg.



**COUNCIL:**

**25 NOVEMBER 2021**

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**REPORT OF THE CORPORATE DIRECTOR RESOURCES**

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**TREASURY MANAGEMENT MID-YEAR REPORT 2021-22**

***Annexes B & C to Appendix 1 to this report are not for publication as they contain exempt information of the description in Paragraphs 14 and 21 of Schedule 12A of the Local Government Act 1972.***

**Reason for this Report**

1. To inform members of the Council's treasury management activities since 1 April 2021 and the position as at 30 September 2021.

**Background**

2. The Council's treasury management activities are governed by legislation and a Code of Practice developed by the Chartered Institute of Public Finance and Accountancy (CIPFA) updated in 2017, with consultation on further updates currently in progress.

**Issues**

3. In the budget report of February 2010, Council adopted CIPFA's Treasury Management Code by formal acceptance of the Four Clauses of Treasury Management and Treasury Management Policy Statement as Council policy.
4. In accordance with these policies, this report provides members with a mid-year update of Treasury Management activities as at 30 September 2021. This includes its borrowing and investments at a point in time.
5. Council requires the scrutiny of the accounting, audit and commercial issues of its Treasury Management Strategy and Practices to be undertaken by the Council's Governance and Audit Committee. The Governance and Audit Committee has received, this mid-year report in relation to 2021/22 treasury management activities.
6. The mid-year report and supporting Annexes are attached at Appendix 1

## **Reasons for Recommendations**

7. Council policy requires the Treasury Management Mid-Year Report 2021-22 update to be submitted to Council.

## **Legal Implications**

8. No direct legal implications arise from this report.

## **Financial Implications**

9. The Council's treasury management activities are undertaken in accordance with the policies adopted by Council and under professional codes of conduct established by CIPFA, the Welsh Government and the Corporate Director Resources as part of Treasury Management Practices. This report is part of a suite of reports that members receive on the Council's treasury management activities during the course of a year. Whilst there are no direct financial implications arising from this report, the risks involved with treasury management are continuously reviewed in conjunction with the Council's treasury management advisors and forms part of the Council's Medium term Financial Plan.

## **RECOMMENDATION**

Council is recommended to note the Treasury Management Mid-Year Report 2021-22 (Appendix 1).

## **CHRISTOPHER LEE**

Corporate Director Resources

19 November 2021

The following Appendix is attached:-

Appendix 1: Treasury Management Mid-Year Report 2021-22

Annexe A – Treasury Management Policy Extract

Annexe B – Investments at 30 September 2021 (Confidential)

Annexe C – Investment Charts at 30 September 2021 (Confidential)

Annexe D – Maturity Analysis of borrowing as at 30 September 2021

Annexe E – Glossary of Treasury Management terms

# Treasury Management Mid-Year Report

2021-22



## Introduction

- 1.1 Treasury management activities are the management of an organisation's borrowing, investments and 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.
- 1.2 The Council carries out its treasury management activities in accordance with a Treasury Management Code of Practice for public services, updated by CIPFA in 2017. This requires the Council to set out the policies and objectives of its treasury management activities and adopt four Clauses of Treasury Management (replicated in **Annexe A**). The code is currently the subject of a consultation, with an update expected in late 2021.
- 1.3 Council received a report in March 2021 on the Council's Treasury Management and Capital Strategy for 2021/22. Governance and Audit Committee has received periodic updates on the position and performance of treasury management and the issues included in the report below. In addition, Council received in October 2021 the Annual Outturn Report for Treasury Management for 2020/21.
- 1.4 In accordance with Council policy, this report provides members with a 2021/22 mid-year update as at 30 September 2021 and covers:-
  - the economic background to treasury activities
  - investments
  - borrowing
  - debt rescheduling
  - compliance with treasury limits and prudential indicators
  - Treasury Strategy update for remainder of the year.
- 1.5 Annexe E includes a glossary which defines key terms used in this report.

## Economic Background

- 2.1 The coronavirus outbreak has resulted in huge economic damage to the UK and economies around the world. COVID-19 vaccines enormously boosted confidence that the UK could largely return to normal during the summer after a third wave of the virus threatened to overwhelm hospitals in the spring. From a previous view that price increases were a temporary spike in inflation, the Monetary Policy Committee (MPC) highlighted a marked concern that such pressures could prove more persistent. Recent increases in prices, particularly increases as a result of supply shortages and utility prices are likely to lead to faster and higher inflation expectations and underlying wage growth, which would in turn increase the risk that price pressures would prove more persistent next year than previously expected. This suggests that the MPC may now be willing to look through any flagging economic recovery to prioritise bringing inflation down next year to ensure that underlying price pressures in the economy do not get embedded and elevate future inflation to stay significantly above its 2% target and for longer.

2.2 With these factors in mind, the table below shows the Council’s treasury management advisors November forecast for bank rate and Public Works Loan Board (PWLB) certainty borrowing rates, based on their current lending policy. This shows a gradual increase in bank rate over the forecast horizon ending on 31st March 2025. Economic recovery is expected to be only gradual and, therefore, prolonged, with geopolitical events, impact of the ending of the furlough scheme and residual risks from Covid and its variants having downside risks to the forecasts.

	Actual 30/09/2021	March 2022	March 2023	March 2024	March 2025
Bank Rate	0.10%	0.25%	0.75%	1.00%	1.25%
5yr PWLB rate	1.38%	1.50%	1.70%	1.80%	2.00%
10yr PWLB rate	1.77%	1.90%	2.10%	2.20%	2.40%
25yr PWLB rate	2.14%	2.20%	2.40%	2.60%	2.70%
50yr PWLB rate	1.91%	2.00%	2.20%	2.40%	2.50%

2.3 PWLB rates are based on gilt (UK Government bonds) yields, however HM Treasury determine a specified margin to add to gilt yields for any local authority borrowing. As the interest forecast table for PWLB certainty rates above shows, there is likely to be a steady rise over the forecast period, however there is exceptional volatility and unpredictability in respect of gilt yields and PWLB rates. Gilt yields and PWLB rates were on a falling trend between May and August. However, they rose sharply towards the end of September. The 50-year PWLB target certainty rate for new long-term borrowing started 2021/22 at 1.90%, rose to 2.00% in May, fell to 1.70% in August and returned to 2.00% at the end of September after the MPC meeting of 23rd September 2021.

**Investment**

- 3.1 The management of the Council’s cash flows may involve temporary lending of surplus funds to low-risk counterparties or temporary borrowing pending receipt of income.
- 3.2 The Council’s investment priorities remain the security and then liquidity of its Treasury investments. The Council also aims to achieve the optimum return appropriate to these priorities.
- 3.3 The Council invests with financial institutions in accordance with criteria approved in its Treasury Strategy. The categories, names, periods and size limits on this list can be extended, varied or restricted at any time by the Corporate Director Resources under delegated powers. Based primarily on Fitch credit criteria and a number of other factors which the Council takes into account, lending to these institutions is subject to time and size limits and credit worthiness continues to be carefully monitored.

- 3.4 There have been no changes made or required to be made to the list of eligible counterparties included as part of the 2021/22 Treasury Management Strategy approved by Council, but these will continue to be reviewed using data from Treasury advisors and will be updated in the 2022/23 Strategy.
- 3.5 Following the introduction of The Markets in Financial Instruments Directive (MiFID) in January 2018, the Council opts to be classified as a professional client rather than a retail client by financial institutions.
- 3.6 Investments returns are likely to remain negligible during 2021 and in many cases market rates on deposits are currently negative for shorter periods. It is now impossible to earn the level of interest rates on deposits commonly seen in previous decades as all investment rates are barely above zero now that Bank Rate is at 0.10%. Whilst there is discussion about increases in base rate to mitigate against inflation risks, investment returns are expected to remain low. The approach of deferring external borrowing by using temporary cash balances will continue to be used as part of the borrowing strategy.
- 3.7 At the 30 September 2021, investments stood at £147.8 million. These temporary funds fluctuate daily and arise for a number of reasons, including the timing differences between the receipt of grant and other income and the utilisation of these funds on salaries and other operating costs. They also include the level of reserves, provisions, and balances held on behalf of Joint Committees such as City Deal. It is also affected by the timing of borrowing and capital expenditure transactions. **Annexe B** shows with whom these investments were held as at 30 September 2021. All investments are deemed recoverable.
- 3.8 A selection of performance indicators and benchmarking charts, is included in **Annexe C** as follows:-
- **Counterparty exposure** displays actual investment against the maximum permitted directly with an organisation. This demonstrates that we are not exceeding any exposure limits. As a response to the Covid crises, the Council activated use of the HM Treasury's Debt Management Office account in order to support the treasury team to manage funds held.
  - **Remaining maturity profile of investments.** This shows the duration of investments over time. The Council will take advantage of longer-term rates where reasonable to do so.
  - **Investments by institution.** This expresses the investments held with different institutions as a percentage of the total and shows diversification is sought where possible.
  - **Geographic spread of investments** as determined by the country of origin of relevant organisations. All countries are rated AA and above as per our approved criteria and are licensed to take UK deposits. Investments are in Sterling only.
  - **Investments by Financial Sector.** The majority of investments continue to be with banks.



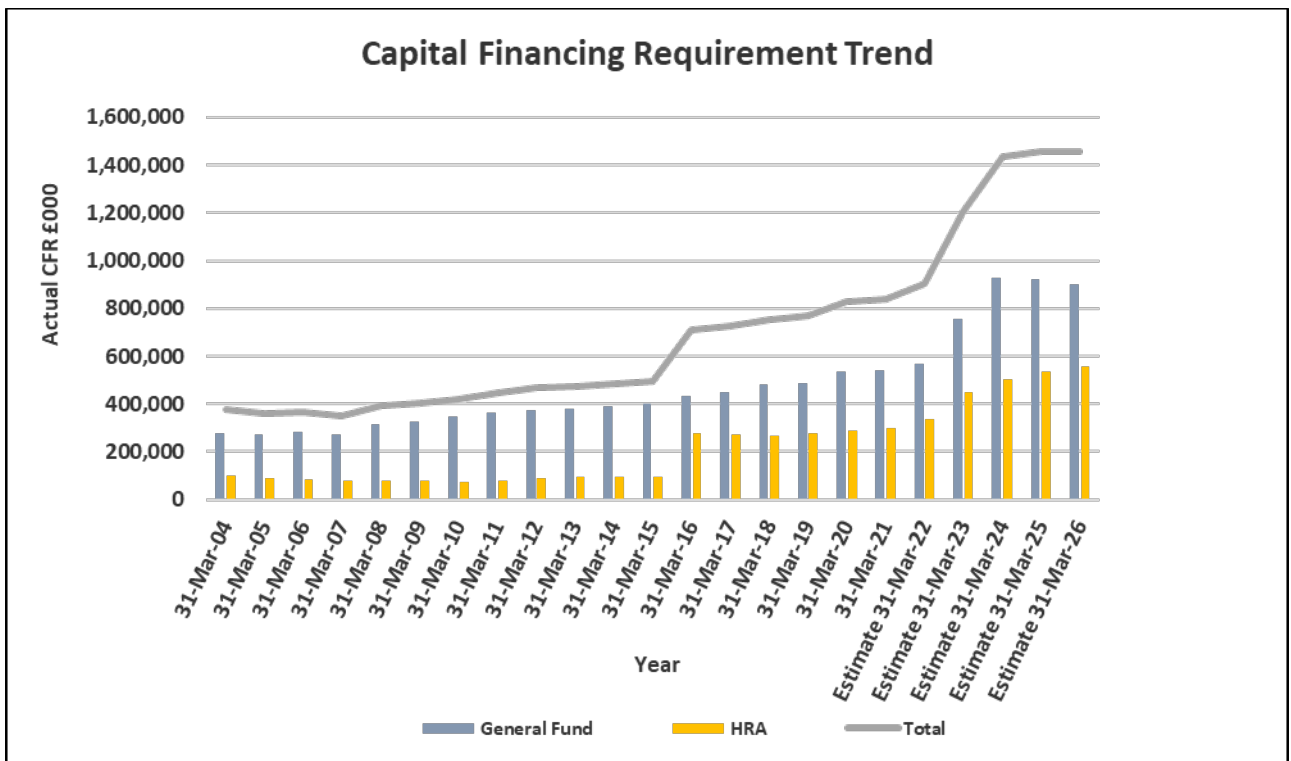
- 3.9 Whilst a difficult figure to forecast due to the uncertainty of the markets, cash flows and the number of variables that impact on the figure, the forecast level of interest receivable from treasury investments for 2021/22 is £130,000. The return achieved since the start of the year is 0.10% compared to the average of the benchmark rate since the 1 April 2021 for the 7-day London Interbank Bid Rate (LIBID) of -0.08% and 3 month LIBID -0.05%. This positive performance is primarily as a result of deposits placed for longer and use of notice accounts where deemed prudent to do so.

## **Borrowing**

- 4.1 Long term borrowing is undertaken to finance the Council's Capital Programme. The administration's 'Capital Ambition' identifies the opportunities facing the city and sets out the response to challenges. This is not just a consideration of how challenges are responded to, but it is also about investing in future economic growth and development, prioritising investment in schools, affordable housing, tackling homelessness, and protecting the city's most vulnerable people. It sets out the approach for tackling congestion and air pollution, improving recycling rates and keeping our streets clean, along with a series of commitments to respond to the climate emergency, to create opportunities for local people and addressing inequality. All these capital projects play an important role in supporting and accelerating the Council's work in responding to Covid-19 and leading the recovery. The budget report and its capital strategy considered by Council in March 2021 provided an update on the Indoor Arena, and subject to due diligence, direct funding of the arena construction by the Council as an alternative for third party funding, fully funded by annual lease income from the Arena Operator. The Council is also continuing to develop a number of strategic projects, which, subject to approval of business cases, due diligence and affordability may be considered for approval as part of future iterations of the detailed investment programme. These include projects arising from the Transport White Paper including Metro; Atlantic Wharf Masterplan; Core Office Strategy; 21st Century Schools and responding to the climate emergency.
- 4.2 The main sources of borrowing currently are the PWLB and the Money Markets. The Council does not separate General Fund and Housing Revenue Account borrowing as all borrowing is the liability of the Council i.e. borrowing is 'pooled'.
- 4.3 Where capital expenditure has been incurred without a resource to pay for it i.e. when proposed to be paid for by supported or unsupported borrowing, this will increase what is termed the Council's Capital Financing Requirement (CFR) which is the Council's underlying need to borrow. The Council is required to make a prudent provision for the repayment of historic capital expenditure from its revenue budget in line with its agreed policy which reduces the CFR. Calculation of the CFR is summarised in the table below and results in the need to borrow money.

Movement	Opening Capital Financing Requirement (CFR)
+	Capital expenditure incurred in year
-	Grants, contributions, reserves and receipts used for capital expenditure
-	Prudent Minimum Revenue Provision and Voluntary Repayment
=	<b>Closing Capital Financing Requirement (CFR)</b>

- 4.4 The CFR forecast is subject to the timing of capital expenditure, capital receipts and new schemes that may be considered for approval in future years. It can be seen that the Council's underlying need to borrow is increasing and will need to be repaid from future revenue budgets either from savings, revenue income or Council Tax and Housing Rents.
- 4.5 The chart below shows the trend in the CFR including the Housing Revenue Account. The latter includes the £187 million payment made from the HRA to HM Treasury to exit the subsidy system in 2015/16 and also future expenditure to create new Council owned affordable housing in accordance with the Housing 30 Year Business Plan, which will be updated in March 2022. The increase for the General Fund relates to previous commitments and new expenditure commitments primarily those assumed to pay for themselves from future income or savings such as the indoor arena, City Deal and the 21<sup>st</sup> century school's financial model. Future projections of the CFR are based on the timing of the Capital investment programme and resources deemed available to fund it as set out in the budget in March 2021. These projections will be updated in the Capital Strategy for 2022/23 in March 2022.



- 4.6 At 30 September 2021, the Council had £824.8 million of external borrowing predominantly made up of fixed interest rate borrowing payable on maturity.

31 March 2021			30 September 2021	
£m	Rate (%)		£m	Rate (%)
698.9		Public Works Loan Board	713.1	
51.0		Market (Lender Option Borrower Option)	51.0	
22.5		Welsh Government	22.4	
38.3		Local Authorities and other	38.3	
<b>810.7</b>	<b>4.17</b>	<b>Total External Debt</b>	<b>824.8</b>	<b>4.09</b>

The estimated total interest payable on borrowing for 2021/22 is £34.1 million which includes interest payable by the Housing Revenue Account of circa £13.1 million.

#### New borrowing undertaken during the first half of the year

- 4.7 During the first half of the year an Interest free loan of £0.441 million was received from Welsh Government in respect of energy efficiency schemes in school's buildings and £20 million of the Council's borrowing requirement has been taken from the PWLB at an average rate of 1.67%. It should be noted that since the 30 September 2021, a further £50 million of PWLB Loans have been taken at an average rate of 1.87% to mitigate against the risk of rising interest rates and to lock in some of the Council's planned borrowing requirement. Opportunities for additional borrowing will continue to be considered during the remainder of the year, with further details will be provided in the Treasury Management Strategy to be received by Council in March 2022.

#### Maturing Loans in year to date

- 4.8 **Annexe D** shows the maturity profile of the Council's borrowing as at 30 September 2021. Maturing loans of £6.3 million have been repaid in the first half of this year with a further £20.7 million due to be repaid by 31 March 2022.
- 4.9 (LOBO) products are loans to the Council where the lender can request a change in the rate of interest payable by the Council on pre-determined dates. The Council at this point has the option to repay the loan without penalty.
- 4.10 The Council has six such loans totalling £51 million. Apart from the option to increase rates, these loans are comparable to PWLB and have no other complications such as variation in interest rates or complex terms.
- 4.11 Interest rates on these loans range between 3.81% and 4.35% which are not unreasonable and are below the Council's average rate of interest payable. Details of the loans are shown in the table below.

£m	Rate	Potential Repayment Date	Option Frequency	Full Term Maturity
6	4.28%	21/11/2021	6 months	21/11/2041
6	4.35%	21/11/2021	6 months	21/11/2041
6	4.06%	21/11/2021	6 months	23/05/2067
6	4.08%	02/03/2022	6 months	23/05/2067
5	4.10%	16/01/2023	5 years	17/01/2078
22	3.81%	21/11/2025	5 years	23/11/2065

- 4.12 LOBO's to the value of £24 million are subject to the lender potentially requesting a change in the rate of interest payable every six months. This is deemed unlikely, and any risk is a manageable refinancing risk as LOBOs in total, form a relatively low proportion of the Council's overall borrowing at 6.18%.

#### Borrowing Strategy

- 4.13 As shown in the interest rate forecasts set out earlier in this report, borrowing rates are higher than investment rates which means that the cost of undertaking new borrowing would have a negative impact on the revenue budget. External borrowing may be deferred in order to minimise short term costs by using temporary cash balances to meet the Capital Financing Requirement rather than placing in an investment. This is termed 'internal borrowing'. However deferring borrowing is only a short-term measure and could expose the Council to higher borrowing rates and costs in the future. The Council has taken an approach of regularly undertaking external borrowing towards its borrowing requirement to provide certainty and mitigate any such risk.
- 4.14 If no further borrowing is undertaken, the value of external loans at 31 March 2022 will be £856 million. At the same point, the Council's need to borrow for capital expenditure purposes, its Capital Financing Requirement (CFR), is currently forecast to be circa £905 million (General Fund £570 million and HRA £335 million). Without any further borrowing this financial year internal borrowing would be £49 million. The Council will consider further options in respect to borrowing in the last quarter of the financial year.
- 4.15 The Council is also considering a number of projects that involve the Welsh Government providing interest free loans to the Council or an income stream to undertake specified projects such as town centre loans and energy projects. Welsh Government take no risk in such projects and expect all loans to be repaid. Where the Council is taking on specific loans for the delivery of specified projects, robust business case processes and legal charges if appropriate should be in place to ensure any loans can be repaid following implementation of projects.

## Debt Rescheduling

- 5.1 No debt rescheduling or early repayment of debt has been undertaken to date in 2020/21. The main obstacle remains the level of premium (penalty) that would be chargeable on early repayment by the PWLB. Of the existing PWLB loans of £713 million, £690 million are eligible for early repayment. However, this would incur a premium of £475 million as at 30 September 2021. This premium is payable primarily because:
- Interest rates on loans of equivalent maturities compared to those held are currently lower
  - A penalty rate or lower early repayment rate was introduced by HM Treasury in November 2007, which increased the cost of premiums and reduced the flexibility of Local Authorities to make savings. This remains an obstacle in the ability of local authorities to manage debt more effectively.
- 5.2 Whilst the cost of Premiums can be spread over future years, options for restructuring that have been considered result in an adverse Net Present Value (NPV). Whilst there may have been short terms savings, these were outweighed by potentially longer-term costs and not deemed cost effective.

## Compliance with treasury limits and prudential indicators

- 6.1 During the financial year to date, the Council has operated within the treasury limits and prudential indicators set out in the annual Treasury Management Strategy in March 2021. The treasury and capital prudential indicators will be updated as part of the 2022/23 Capital and Treasury Strategies in the Budget Report to Council in March 2022. Affordability of additional investment will need to be monitored closely as part of the Medium-Term Financial Plan and HRA Business Planning process.

## Treasury strategy for the remainder of 2021/22

- 7.1 The Treasury Strategy approved in March 2021 remains valid despite the impact of Covid-19 and continued uncertainty in financial markets. The use of temporary cash balances instead of borrowing to pay for capital expenditure continues will continue to result in short term savings. However, with a significant overall borrowing requirement, now that the outcome of the consultation on PWLB lending policy being known, further opportunities to take additional borrowing from PWLB in the remainder of the year will be considered including other future options to diversify the Council's borrowing requirement for the capital programme and major projects.
- 7.2 The Council will continue to look for good quality investment counterparties, where the focus remains security, liquidity and risk in that order, whilst trying to avoid negative interest rates where possible. In addition, LIBOR which is used to derive LIBID will be phased out in 2021, so options will need to be considered to change the Investment Benchmark. This impact of these issues will be

considered in the Treasury Management Strategy report to Council in March 2022 as well as setting in place approaches to implement agreed changes to the CIPFA Treasury Management Code, which are likely to include, changes in indicators for borrowing and investments, strengthened requirements for skills and training and for investments which are not specifically held for treasury management purposes.

## **Annexes**

Annexe A – Treasury Management Policy and Four Clauses of Treasury Management

Annexe B – Investments at 30 September 2021

Annexe C – Investment Charts at 30 September 2021

Annexe D – Maturity Analysis of Borrowing as at 30 September 2021

Annexe E – Glossary of Treasury Management terms

**Treasury Management Policy and Four Clauses of Treasury Management adopted by Council 25/02/2010**

**Council's treasury management Policy / Activities**

1. This Council defines its treasury management activities as: the management of its investments and 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. This Council regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications.
3. This Council acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable comprehensive performance measurement techniques, within the context of effective risk management.

**Four Clauses of Treasury Management**

4. In compliance with the First Clause, this Council will create and maintain, as the cornerstones for effective treasury management:-
  - A treasury management policy statement, stating the policies, objectives and approach to risk management of its treasury management activities
  - Suitable Treasury Management Practices (TMPs), setting out the manner in which the Council will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities
5. In compliance with the Second Clause, this Council will receive reports on its treasury management policies, practices and activities, including, as a minimum, an annual strategy in advance of the year, a mid-year review and an annual report after the year's close, in the form prescribed in its TMPs.
6. In compliance with the Third Clause, this Council delegates responsibility for the implementation and regular monitoring of its treasury management policies and practices to the Executive, and for the execution and administration of treasury management decisions to the Corporate Director Resources in accordance with existing delegations, who will act in accordance with the Policy Statement, TMPs and CIPFA's Standard of Professional Practice on Treasury Management.
7. In compliance with the Fourth Clause, this Council requires the scrutiny of the accounting, audit and commercial issues of its Treasury Management Strategy and Practices to be undertaken by the Council's Audit Panel due to the technical nature of the documents.

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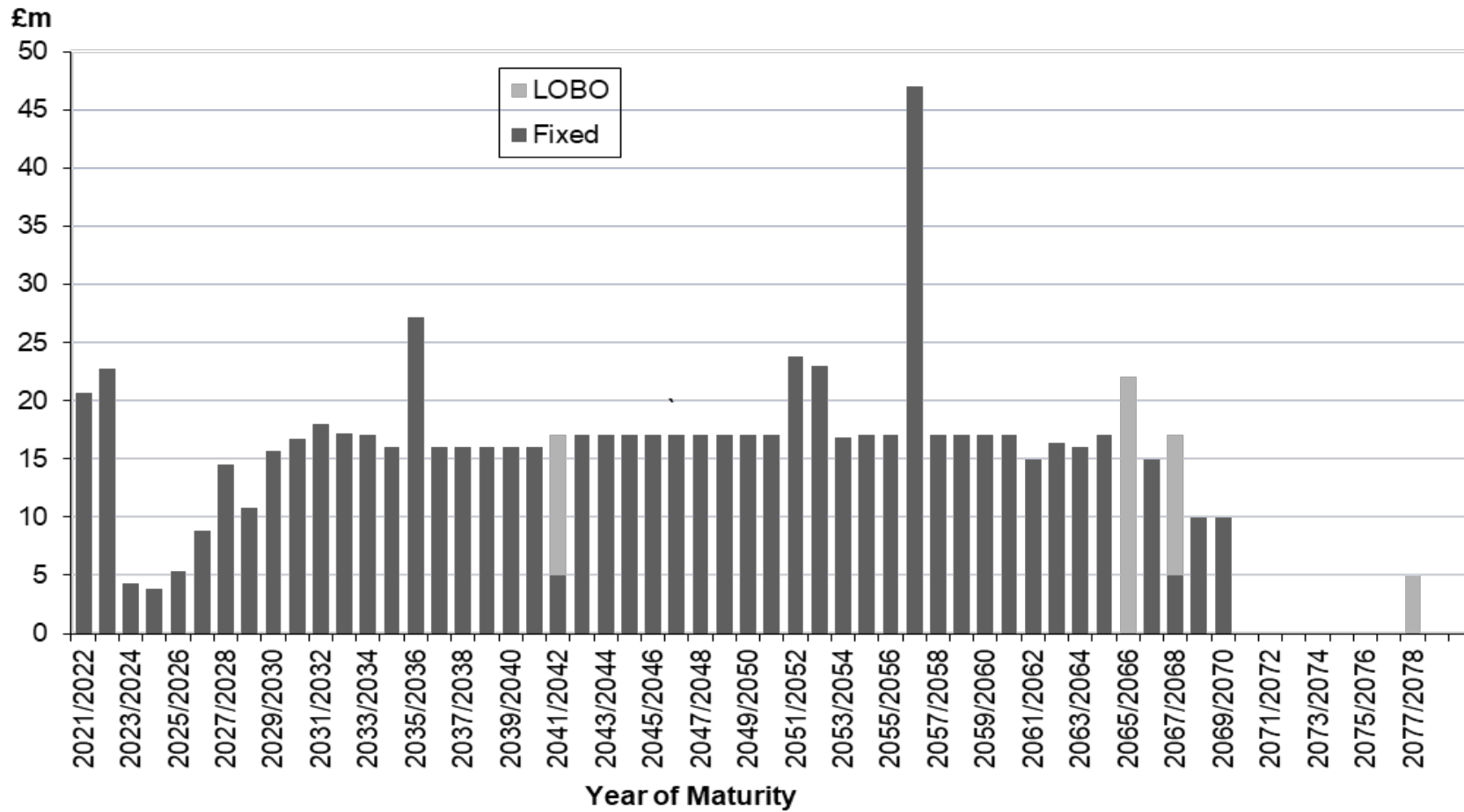


By virtue of paragraph(s) 14, 21 of Part(s) 4 and 5 of Schedule 12A of the Local Government Act 1972.

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Maturity Profile of Debt at 30 September 2021



## **Glossary of Terms - Treasury**

### **Bank Rate**

The rate of interest set by the Bank of England as a benchmark rate for British banks.

### **Bonds**

A long-term debt security issued by a company, a financial institution, a local authority, national government or its affiliated agencies. It represents an undertaking to repay the holder the fixed amount of the principal on the maturity date plus a specified rate of interest payable either on a regular basis during the bond's life (coupon) or at maturity.

### **Borrowing**

Loans taken out by the authority to pay for capital expenditure or for the prudent management of the Council's financial affairs, which are repayable with interest.

### **Capital Expenditure**

Capital expenditure pays for improvements to existing and new assets used in the delivery of Council services as well as other items determined by Regulation. Capital resources are scarce, costly and also have long term revenue implications over many years and even generations where capital expenditure is funded by borrowing. Hence the requirement of the Prudential Code to ensure what is charged as Capital Expenditure is Prudent, Sustainable and Affordable.

The statutory definition of capital expenditure is given in the Local Government Act 2003, the Local Authorities (Capital Finance) Regulations 2003 and 2004 as amended. Statute relies on the accounting measurement of cost in International Accounting Standard (IAS) 16 to determine whether expenditure is eligible to be capitalised or whether it should be treated as revenue expenditure. Key to what is eligible as capital spend are the following words in IAS 16 - 'Costs directly attributable to bringing the specific asset into working condition for its intended use'.

### **Capital Financing Requirement (CFR)**

An authority's underlying need to borrow for a capital purpose. It measures capital expenditure incurred but not yet financed by the receipt of grants, contributions and charges to the revenue account.

### **Capital Market**

A market for securities (debt or equity), where companies and governments can raise long-term funds (periods greater than one year). The raising of short-term funds takes place on other markets (e.g. the money market).

### **Capital Programme**

The Capital Programme sets out the Council's capital expenditure plans for the forthcoming financial year as well as for the medium term. It is approved annually at Council and identifies the estimated cost of those schemes, their

projected phasing over financial years as well as the method of funding such expenditure.

### **Certificates of Deposits (CDs)**

A certificate issued for deposits made at a deposit-taking institution (generally a bank). The bank agrees to pay a fixed interest rate for the specified period of time and repays the principal at maturity. CDs can be purchased directly from the banking institution or through a securities broker. An active interbank secondary market exists to buy and sell CDs.

### **Chartered Institute of Public Finance & Accountancy (CIPFA)**

CIPFA is the professional body for accountants in public finance. As a specialised public services body, it provides information, guidance, and determines accounting standards and reporting standards to be followed by Local Government.

### **Collective Investment Scheme Structures**

Schemes whereby monies from a number of investors are pooled and invested as one portfolio in accordance with pre-determined objectives.

### **Corporate Bonds**

Bonds that are issued by a company or other non-government issuers. They represent a form of corporate debt finance and are an alternative means of raising new capital other than equity finance or bank lending.

### **Counterparty**

One of the parties involved in a financial transaction with whom the Council may place investments.

### **Counterparty / Credit Risk**

Risk that a counterparty fails to meet its contractual obligations to the Council to repay sums invested.

### **Credit Criteria**

The parameters used as a starting point in considering with whom the Council may place investments, aimed at ensuring the security of the sums invested.

### **Credit Default Swaps**

A financial transaction which the buyer transfers the credit risk related to a debt security to the seller, who receives a series of fees for assuming this risk. The levels of fees reflect the perceived level of risk.

### **Credit Rating**

A credit rating assesses the credit worthiness of an individual, corporation, or even a country. Credit ratings are calculated from financial history and current assets and liabilities. Typically, a credit rating tells a lender or investor the probability of the subject being able to pay back a loan. Ratings usually consist of a long-term, short term, viability and support indicators. The Fitch credit rating

of F1 used by the Council is designated as “Highest Credit Quality” and indicates the strongest capacity for timely payment of financial commitments.

### **Debt Management Account Deposit Facility (DMADF)**

The Debt Management Office provides this service as part of its cash management operations and of a wider series of measures designed to improve local and central government’s investment framework and cash management. The key objective of the DMADF is to provide users with a flexible and secure facility to supplement their existing range of investment options while saving interest costs for central government.

### **Debt Restructuring**

Debt restructuring is a process that allows an organisation to reduce, renegotiate and undertake replacement debt.

### **Diversification of Investments**

The process of creating a portfolio of different types of financial instruments with regard to type, price, risk issuer, location, maturity, etc. in order to reduce the overall risk of the portfolio as a whole.

### **Duration (Maturity)**

The length of time between the issue of a security and the date on which it becomes payable.

### **External Borrowing**

Money borrowed from outside of the Council.

### **Financial Instrument**

Any contract that gives rise to a financial asset of one entity and a financial liability or equity instrument of another. Typical financial liabilities are borrowing and financial guarantees. Typical financial assets include bank deposits, amounts owed by customers, loans receivable and investments.

### **Fitch Credit Ratings**

A commercial organisation providing an opinion on the relative ability of an entity to meet financial commitments, such as interest, preferred dividends, repayment of principal, insurance claims or counterparty obligations. The opinion is usually provided in the form of a credit rating.

### **Fixed Rate**

An interest rate that does not change over the life of a loan or other form of credit.

### **Floating Rate Notes**

A money market security paying a floating or variable interest rate, which may incorporate a minimum or floor.

### **Fraud / Error Risk**

Risk of losses being incurred as a result of fraud, error or corruption in treasury management and failure to institute adequate systems, procedures and other arrangements to prevent irregularities.

### **Housing Revenue Account (HRA)**

The HRA is an account of expenditure and income that every local authority housing department must keep in accordance with the Local Government & Housing Act 1989. The account is kept separate or ring fenced from other Council activities. Income is primarily generated by the rents and service charges paid by tenants, while expenditure is on the management and maintenance of the housing stock, and capital financing charges on the HRA's outstanding loan debt.

### **Interest Rate Risk**

Risk that fluctuations in interest rates could impose extra costs against which the Council has failed to protect itself adequately.

### **Internal Borrowing**

Money borrowed from within the Council, sourced from temporary internal cash balances.

### **Investments**

The purchase of financial assets in order to receive income and/or make capital gain at a future time, however with the prime concern being security of the initial sum invested.

### **Lender Option Borrower Option Loans (LOBOs)**

Loans to the Council where the lender can request a change in the rate of interest payable by the Council at pre-defined dates and intervals. The council at this point has the option to repay the loan.

### **Liquidity**

The ability of the Council to meet its financial obligations as they fall due.

### **Market Loans**

Borrowing that is sourced from the market i.e. organisations other than the Public Works Loan Board or a Public Body.

### **Medium Term Financial Plan**

Plan outlining the financial strategies and actions that are envisaged by the Council in the medium term regarding the budget.

### **Markets in Financial Instruments Directive (MiFID)**

EU legislation that regulates firms who provide financial instrument services. MiFID was applied in the UK from November 2007 but was revised with changes taking effect from 3 January 2018 (MiFID II).

The aim is to ensure financial institutions undertake more extensive checks on their client's suitability for investment products. Organisations undertaking investments will be either classified as 'retail' or 'professional'.

MiFID II requires all Local Authorities to be initially treated as "retail clients" unless they "opt up" to a "professional client". The assumption being that retail clients require a greater level of due diligence and support for investment decision making. Financial institutions will owe a greater duty of care to retail clients, however, they will have no greater financial protection than professional clients.

### **Minimum Revenue Provision (MRP)**

This is the amount which must be charged to the authority's revenue account each year and set aside as provision for repaying external loans and meeting other credit liabilities. The prudent amount is determined having regard to guidance issued by WG. This has the effect of reducing the Capital Financing Requirement (CFR).

### **Money Market**

The market for short-term securities or investments, such as certificates of deposit, commercial paper or treasury bills, with maturities of up to one year.

### **Money Market Funds**

An investment fund which pools the investments of numerous depositors, spreading those investments over a number of different financial instruments and counterparties. Funds with a Constant Net Asset Value (CNAV) are those where the sum invested is the same on maturity, Low Volatility Net Asset Value (LVNAV) are those where any sum invested is likely to be the same on maturity. Funds with a Variable Net Asset Value (VNAV) are those where the sum on maturity could be higher or lower due to movements in the value of the underlying investments.

### **Net Asset Value (NAV)**

The market value of an investment fund's portfolio of securities as measured by the price at which an investor will sell a fund's shares or units.

### **Pooling**

The process whereby investments or loans are held corporately rather than for specific projects or parts of the Council, with recharges to those areas for their share of the relevant income and expenditure using an agreed methodology, where such a recharge is required to be made.

### **Prudential Code for Capital Finance**

The system introduced on 1 April 2004 by Part 1 of the Local Government Act 2003 which allows local authorities to borrow without Government consent, provided that they can afford to service the debt from their own resources and that any such borrowing is prudent and sustainable. This requires the preparation and approval of various indicators.



### **Public Works Loans Board (PWLB)**

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

### **Refinancing Risk**

Risk that maturing borrowing or other financing of capital projects cannot be renewed on terms that reflect existing assumptions and that the Council will suffer extra costs as a result.

### **Regulatory Risk**

Risk that actions by the Council or by any person outside of it are in breach of legal powers or regulatory requirements resulting in losses to the Council, or the imposition of extra costs.

### **Security**

Protecting investments from the risk of significant loss, either from a fall in value or from default of a counterparty.

### **Sovereign Credit Ratings**

The credit rating of a country. It indicates the risk level of the investing environment of a country, taking into account political risk and other factors.

### **Sterling**

The monetary unit of the United Kingdom (the British pound).

### **Term Deposits**

A term deposit is a money deposit at a banking institution that cannot be withdrawn for a certain "term" or period of time.

### **Treasury Management**

The management of the organisation's borrowing, investments and 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.

### **Treasury Bills**

Debt securities issued by a government with a short-term maturity of up to 6 months.

### **UK Government Gilts**

Fixed-interest debt securities issued or secured by the British Government. Gilts are always denominated in sterling though the Government occasionally also issues instruments in other currencies in the Eurobond market or elsewhere.

### **Variable Rate**

An interest rate that changes in line with market rates.

### **Yield**

The annual rate of return paid out on an investment, expressed as a percentage of the current market price of the relevant investment.

## **REPORT OF THE HEAD OF DEMOCRATIC SERVICES**

### **ELECTED MEMBER DEVELOPMENT**

#### **Reason for this Report**

1. The purpose of this report is to inform the Council of some of the key documents which will form the framework for the development of the Elected Member Induction Programme following the Local Government Elections in 2022.
2. The Democratic Services Committee has recommended these documents for approval and adoption.

#### **Background**

##### Role of the Democratic Services Committee

3. The Local Government (Wales) Measure 2011, Part 1, Chapter 2, <https://www.legislation.gov.uk/mwa/2011/4/part/1/chapter/2> requires local authorities to appoint a Democratic Services Committee to oversee the Democratic Services functions of the Council, ensure that the work is adequately resourced and report to the full Council accordingly. The Democratic Services functions include Members' Services, Committee Services and Scrutiny Services, but not Cabinet Support Services.

#### **Issues**

##### Elected Member Learning and Development Strategy.

4. In March 2019, Council approved the Elected Member Learning and Development Strategy as recommended by the Democratic Services Committee.
5. In January 2020 the Democratic Services Committee considered a proposal for the categorisation and prioritisation of learning activities until the full review of the Elected Member Learning and Development Strategy was undertaken.
6. The recommended changes in the categorisation were as follows:

To assist in the prioritisation of learning opportunities, the Democratic Services Committee has developed the following matrix to reflect the:

- requirement to undertake a learning activity
- likely knowledge and experience of some Elected Members
- importance and relevance of the learning activity.

<i>Requirement</i>	<i>Newly Elected Members</i>	<i>Experienced Members</i>	<i>Committee Members</i>	<i>Executive Members / Chairpersons/ Group Spokesperson</i>
<i>Legislative/Constitutional</i>	<i>Mandatory</i>	<i>Mandatory</i>	<i>Mandatory</i>	<i>Mandatory</i>
<i>Auditors, Inspectors &amp; Regulators, Corporate Policy</i>	<i>Recommended</i>	<i>Recommended</i>	<i>Recommended</i>	<i>Recommended</i>
<i>Committee Specific</i>	<i>Beneficial</i>	<i>Useful</i>	<i>Recommended</i>	<i>Useful</i>
<i>Service Area/provision</i>	<i>Beneficial</i>	<i>Beneficial</i>	<i>Beneficial</i>	<i>Beneficial</i>
<i>Personal</i>	<i>Beneficial</i>	<i>Useful</i>	<i>Useful</i>	<i>Beneficial</i>
<i>Regional/National</i>	<i>Beneficial</i>	<i>Useful</i>	<i>Useful</i>	<i>Beneficial</i>

*This matrix will be applied by the Head of Democratic Services who will assess if topics should be delivered to all Elected Members or targeted for specific groups of Elected Members i.e. all scrutiny members or all of the Corporate Parenting Advisory Committee etc. The Head of Democratic Services will liaise with the Chairperson of the Democratic Services Committee regarding the categorisation and delivery of development topics as necessary.*

7. It should be noted that the Legislative/Constitutional requirements identified in the table above includes the need for a Committee Member to complete a committee induction prior to them participating in committee business for those committees where the need to carry out an induction is identified in the Constitution or the committee's terms of reference.
8. No further changes have been identified for the Elected Member Learning and Development Strategy. The revised Elected Member Learning and Development Strategy is attached at **Appendix A** for consideration for approval and adoption by Council.

#### Elected Member Role Descriptions

9. Elected Member Role descriptions have been developed by the WLGA which reflect the latest legislation and can be used by an authority to set out the generic responsibilities and functions of the roles of the Elected Members. These roles descriptions can be used to inform the public and potential candidates of the various roles that elected members undertake. It should be noted that these documents do not reflect any roles that elected members may undertake in respect of their political groups or party.
10. At its meeting on 01 October 2018, the Democratic Services Committee initially considered the WLGA role descriptions and determined that these generic ones should be adapted to better reflect the specific requirements of Cardiff Council. The changing priorities due to the corona virus and the development of remote meetings have only enabled the following role descriptions to be adapted and these are attached at Appendix B:

- |  |                 |
|--|-----------------|
| a. Elected Member.                       | Appendix B(i)   |
| b. Democratic Services Committee Member. | Appendix B(ii)  |
| c. Democratic Services Chair.            | Appendix B(iii) |
| d. Scrutiny Committee Member.            | Appendix B(iv)  |
| e. Scrutiny Committee Chair.             | Appendix B(v)   |

11. These adapted role descriptions will be used as the basis for the development of Cardiff based role descriptions that will be developed during the 2022-27 administration to better reflect the roles of Elected Members in Cardiff.

12. In June 2021 the WLGA produced a revised set of role descriptions to reflect changes required by the Local Government & Election (Wales) Act 2021. To ensure that a comprehensive range of role descriptions is available for reference, the Democratic Services Committee recommended at its meeting on 19 July 2021 that in addition to the 5 adapted role descriptions (listed in paragraph 9 above) that the remainder of the 2021 WLGA Role Descriptions be adopted by Council. These include the following documents which are attached at Appendix B as shown:

- |   |                   |
|---|-------------------|
| f. Leader (and Deputy)                      | Appendix B(vi)    |
| g. Cabinet Member                           | Appendix B(vii)   |
| h. Chair of the Council                     | Appendix B(viii)  |
| i. Chair of a Regulatory Committee          | Appendix B(ix)    |
| j. Member of a Regulatory Committee         | Appendix B(x)     |
| k. Chair of Standards Committee             | Appendix B(xi)    |
| l. Member of Standards Committee            | Appendix B(xii)   |
| m. Chair of Governance and Audit Committee  | Appendix B(xiii)  |
| n. Member of Governance and Audit Committee | Appendix B(xiv)   |
| o. Leader of the Opposition                 | Appendix B(xv)    |
| p. Political Group Leader                   | Appendix B(xvi)   |
| q. Member Champion                          | Appendix B(xviii) |

#### Member Mentoring Scheme

13. Elected Members in Cardiff are provided with a range of essential support and development activities, but these cannot always cater for some of their individual and immediate needs. Mentoring is an approach to development which can meet these needs with the support of experienced Elected Members.

14. In 2012, the Chair of the Democratic Services Committee wrote to all Elected Members to seek support from experienced Members from all political parties to act as mentors,

and to seek interest from mentees. The Democratic Services Committee supported a cross party Mentoring Scheme, and this was to be reflected in a matching process. Elected Members were to be asked to state whether they would wish to be a mentor or a mentee and if they had a preferred partner.

15. It is understood that the Elected Members currently undertake informal mentoring arrangements where newly elected or other members discuss issues with each other, member to member or have informal discussions with appropriate officers who provide suitable advice. It is anticipated that with a suitably trained number of Member Mentors this may then become a more formalised arrangement.
16. The role of the trained Member Mentors will provide opportunities to assist the newly Elected Members to “grow” quickly into their role and will assist in developing their skills, knowledge, understanding and behaviours. The newly Elected Members could be for those:
  - a. Members elected for the first time as a Councillor in 2022.
  - b. Members re-elected as a Councillor in 2022 with a break in their service.
  - c. Members elected as a Councillor between the 2022 and 2027 elections.
  - d. Members elected following the 2027 Elections if the mentor retains their seat on the Council.
17. Political Groups will be requested to identify experienced Elected Members who would be willing to undertake the role of Member Mentor following the 2022 Local Government Elections for the newly elected members in their group. Training can be provided by the WLGA in early in 2022 to ensure that there are sufficient mentors available immediately after the election when they will be able to provide the greatest benefit. The training will follow the WLGA Guidance for Member Mentors as attached at **Appendix C**.
18. It has been previously identified that initial meetings between mentors and mentees were held frequently but as time progressed the meetings became less frequent until it was mutually determined that after approximately one year no further meetings were required. However, mentors and mentees may continue their relationship and provide a familiar source of advice and guidance even after the formal mentoring has ceased.
19. The Head of Democratic Services will also train as Member Mentor to enable those Independent Members who may not have a suitable Elected Member Mentor. This is not an ideal situation but is considered as a fall-back position if necessary.
20. Therefore it is recommended that the WLGA guidance for Member Mentoring be adopted as the basis to provide member mentors following the Local Government Elections in 2022.

### **Financial Implications**

21. Any expenditure for the providing of Member Development activities will be met from the Member Development Budget.

### **Legal Implications**

22. Under the Local Government (Wales) Measure 2011, Part 1, the Democratic Services Committee is responsible for overseeing the democratic services functions of the Council, ensuring this work is adequately resourced; and reporting to full Council accordingly.
23. The Democratic Services functions (which must be discharged by the Head of Democratic Services) are defined as follows:
- (a) to provide support and advice: to the authority in relation to its meetings; to committees of the authority and the members of those committees; to any joint committee which a local authority is responsible for organising and the members of that committee; in relation to the functions of the authority's scrutiny committees, to members of the authority, members of the executive and officers; to each member of the authority in carrying out the role of member of the authority (but excluding a member's role as an Executive member);
  - (b) to promote the role of the authority's Scrutiny Committees;
  - (c) to make reports and recommendations to Council in respect of the number and grades of staff required to discharge democratic services functions and the appointment, organisation and proper management of those staff; and
  - (d) any other functions prescribed by the Welsh Ministers.
24. The Local Government (Wales) Measure 2011, section 7, requires local authorities to secure the provision of reasonable training and development opportunities for its members. In determining how to exercise its functions, the Council must have regard to the statutory guidance issued by the Welsh Ministers: In [the Statutory Guidance from the Local Government Measure 2011](#) Chap. 2 recommends that the Democratic Services Committee has overall responsibility for deciding what should be regarded as reasonable training and development opportunities, as part of the Committee's function of providing support to Members to carry out their functions.
25. The information set out in the body of this report and its appendices provides the framework for the development of the Member Induction Programme 2022, intended to ensure Members receive the support and advice required to effectively discharge their roles.

## RECOMMENDATION

26. Council is requested to:
- a. Approve and adopt the revised Elected Member Learning and Development Strategy at **Appendix A**.
  - b. Approve and adopt the Role Descriptions in **Appendix B** for use in the 2022 induction programme.
  - c. Note that the role descriptions may be adapted following the 2022 Local Government Elections to better reflect the roles undertaken by Councillors in Cardiff

- d. Adopt the WLGA Guidance for Member Mentoring at **Appendix C** as the basis to provide member mentors following the Local Government Elections in 2022.

**GARY JONES**  
**HEAD of DEMOCRATIC SERVICES**  
**19 November 2021**

Appendix A - Elected Member Learning & Development Strategy 2019-22 (Revised)

Appendix B - Role Descriptions

Appendix B(i)	Elected Member.
Appendix B(ii)	Democratic Services Committee Member.
Appendix B(iii)	Democratic Services Chair.
Appendix B(iv)	Scrutiny Committee Member.
Appendix B(v)	Scrutiny Committee Chair.
Appendix B(vi)	Leader (and Deputy)
Appendix B(vii)	Cabinet Member
Appendix B(viii)	Chair of the Council
Appendix B(ix)	Chair of a Regulatory Committee
Appendix B(x)	Member of a Regulatory Committee
Appendix B(xi)	Chair of Standards Committee
Appendix B(xii)	Member of Standards Committee
Appendix B(xiii)	Chair of Governance and Audit Committee
Appendix B(xiv)	Member of Governance and Audit Committee
Appendix B(xv)	Leader of the Opposition
Appendix B(xvi)	Political Group Leader
Appendix B (xvii)	Member Champion Role Description

Appendix C – WLGA Guidance for Member Mentors

Background Papers:

[Review of Key Documents](#) - Democratic Services Committee dated [19 July 2021](#)



Elected Member

# Learning & Development Strategy

2019-2022



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

WORKING FOR CARDIFF,  
WORKING TOGETHER





## Contents

Foreword .....	5
Expectations of the Elected Member Learning and Development Strategy .....	6
Roles and Responsibilities for Elected Member Learning and Development .....	7
Democratic Services Committee.....	7
The Head of Democratic Services .....	7
Political Leaders (supported by Party/Group Whips) .....	8
Directorates and Departments .....	8
Individual Members.....	8
Co-ordination .....	8
A Phased Approach .....	8
Phase 1 – Administration .....	8
Phase 2 – The Essentials .....	9
Phase 3 – The Core Functions .....	9
Phase 4 – Identifying the Needs of Individual Councillors .....	10
Phase 5 – Individual & Continuing Development.....	11
Member Development Activity Survey.....	14
Prioritisation of Member Development activities.....	14
Methods of learning and development .....	14
Face-To-Face Activities .....	14
E-Learning .....	14
WLGA Workbooks .....	15
Member Development Programme .....	15
Access to learning and development opportunities .....	16
Attendance at Member Development Activities .....	16
Learning and development records .....	16
Resources .....	16
Evaluation .....	17
Evaluation of Individual Activities .....	17
Evaluation of Facilitators.....	17
Review of the Elected Member Learning and Development Strategy .....	17
Enhancing the current arrangements for Elected Member Learning and Development .	17
Role Descriptions.....	17
Mentoring:.....	18
Personal Review Process.....	18
Potential Candidate Briefings .....	18
Learning and Development Support for Community Councils .....	19



## Foreword

The role of a Councillor can be complex and challenging and is getting more so. The responsibilities and duties placed upon us by the Welsh Government, the Council, through the provision of its services and Councillor duties, and the communities we represent, grow and change with each election. Councillors are expected to carry out many roles ranging from community leader to taking on additional responsibilities within the council structure. Councillors have to balance the needs and interests of their community, their political party or group, and the council as a whole as well as, of course, their personal, family and employment commitments.

Constantly changing priorities, needs and legislation require difficult decisions for which Councillors need to be well informed. The provision of services, as well as the search for new and collaborative ways of working, for both front line and back office operations, can, in many cases, require difficult choices and a need for more information. Just as challenging can be the task of explaining these decisions, and dealing with the impact of these choices in our own communities. For many Councillors, this is something they may not have had to do before and might involve dealing with residents who are opposed to the outcome.

It is essential that the Council meets the needs of Councillors and provides excellent development opportunities to assist them in serving the citizens of this city. In fact, the Local Government (Wales) Measure 2011 directs Councils to place more emphasis on Member Development. The Democratic Services Committee will be working to ensure that Cardiff offers all its Councillors the best personal development opportunities to enable them to gain the knowledge and learning they may need, to properly serve the city and its citizens. The council also recognises that looking after the Wellbeing of Councillors is equally important and seeks to set the standard of excellence in both these areas.

The council sees the needs of Councillors in Cardiff as of paramount importance. This Elected Member Learning and Development Strategy sets out what are seen as the development priorities for the induction of newly Elected Members as well as the identification of each Councillors ongoing development, learning and wellbeing needs. As Councillors knowledge and experience grows, sometimes over many electoral cycles, the opportunities for them to undertake wider roles increases, bringing greater responsibilities and pressures. These new roles and responsibilities may require further learning and development. This strategy is intended to assist in equipping all members with the necessary skills, knowledge and help to meet the challenges that they may face during their term of office.

Councillor Michael Jones-Pritchard  
Chair of Democratic Services Committee

## **Expectations of the Elected Member Learning and Development Strategy**

Elected Members are an integral part of setting the strategic aims and objectives of the Council. They also ensure that these objectives are met and that high quality cost effective services are delivered to the residents of Cardiff.

This Council is working to support the development of all of its Elected Members and to ensure that they are able to meet the demands of their roles. Cardiff Council is committed to ensuring that:

- There is a planned and structured approach to Elected Member Learning and Development;
- Elected Members have access to appropriate means to assist them to acquire relevant knowledge and develop the skills necessary for their roles;
- Learning and development, wherever possible, is linked to the roles of Elected Members;
- Access to learning and development activities is equitable;
- Elected Members are encouraged to identify their own development needs and participate fully in learning and development activities;
- Elected Member learning and development activity is adequately resourced within available budgets;
- The Member Development Programme will be produced and updated on a regular basis, to support the Council's strategic plans, the roles and functions of Elected Members and key challenges affecting the Council's priorities.

## Roles and Responsibilities for Elected Member Learning and Development

### Democratic Services Committee

The Democratic Services Committee will provide direction to the Head of Democratic Services when reviewing the development and support requirements of Elected Members. This will include identifying learning and development priorities and the adequacy of the Member Development budget.

To assist in the prioritisation of learning opportunities, the Democratic Services Committee has developed the following matrix to reflect the:

- requirement to undertake a learning activity
- likely knowledge and experience of some Elected Members
- importance and relevance of the learning activity.

Requirement	Newly Elected Members	Experienced Members	Committee Members	Executive Members / Chairpersons/ Group Spokesperson
Legislative/Constitutional	Mandatory	Mandatory	Mandatory	Mandatory
Auditors, Inspectors & Regulators, Corporate Policy	Recommended	Recommended	Recommended	Recommended
Committee Specific	Beneficial	Useful	Recommended	Useful
Service Area/provision	Beneficial	Beneficial	Beneficial	Beneficial
Personal	Beneficial	Useful	Useful	Beneficial
Regional/National	Beneficial	Useful	Useful	Beneficial

This matrix will be applied by the Head of Democratic Services who will then assess if topics should be delivered to all Elected Members or targeted for specific groups of Elected Members i.e. all scrutiny members or all of the Corporate Parenting Advisory Committee etc. The Head of Democratic Services will liaise with the Chairperson of the Democratic Services Committee regarding the categorisation and delivery of development topics as necessary.

The Democratic Services Committee will also consider any benefits which could be achieved by providing a tiered level of development. This would enable one level for those elected members with existing skills, knowledge or abilities and for a more detailed introduction for those members who are new to the topic.

### The Head of Democratic Services

The role of the Head of Democratic Services is to:

- produce and monitor the Member Development Programme,
- collate any identified learning and development needs, and
- inform and plan the on-going Member Development Programme,
- Identify opportunities which support the wellbeing of Elected Members and enhance their personal resilience.

### **Political Leaders (supported by Party/Group Whips)**

The responsibility of political leaders (Party/Groups Whips) is to:

- endorse the aims and intentions of the Elected Member Learning and Development Strategy;
- Promote participation in the Member Development Programme to enhance the knowledge and skills of individual members;
- Raise awareness of the support mechanisms available to improve the wellbeing and personal resilience of all of their Party/Group Members;
- Encourage all of their Party/Group Members to achieve their potential.

### **Directorates and Departments**

Directorates and Departments are responsible for identifying and delivering service specific learning and development in co-ordination with the Head of Democratic Services and the Democratic Services Committee

### **Individual Members**

Individual Members are responsible for:

- identifying their own development needs;
- seeking opportunities to improve their effectiveness and increase their potential;
- attending arranged learning and development activities;
- sharing their knowledge and skills with their peers;
- reviewing their learning and development activities;
- applying the knowledge and skills developed through the activities;

### **Co-ordination**

The day-to-day co-ordination of learning and development activities will be the responsibility of the Head of Democratic Services and the Democratic Services Team in liaison with representatives from the Council as necessary

### **A Phased Approach**

A systematic induction programme will be provided for all newly Elected Members. The initial induction and subsequent Member Development Programme will be delivered as part of a phased approach as shown in **Figure 1**.

Details of each phase of the strategy are as follows:

#### **Phase 1 – Administration**

To establish the newly Elected Members within the Council and will include:

- Fulfilling their statutory requirements regarding their Acceptance of Office and completing their Declaration of Personal Interests,
- Creation of ICT accounts and provision of ICT equipment.
- Authority for the use of personal information to set up remuneration payments, web pages and enable officers to carry out other necessary administrative functions.
- A briefing of the facilities available to Elected Members within the Authority
- The taking of official photographs for use on the Cardiff Council website and ID cards

#### **Expected outcomes**

The following are the expected outcomes from this phase:



- All Acceptances of Office completed
- Elected Member induction administration completed
- Cardiff Undertaking signed by all Elected Members

## **Phase 2 – The Essentials**

To provide Elected Members with sufficient knowledge to prepare them to undertake their initial role in the support of Council business. This phase may include briefings on the following topics from key officers:

### **The Chief Executive:**

- Overview of the Council its services and structures

### **Corporate Directors/Directors:**

- An overview of the Directorate Policy and Service Provision – policy context, challenges and achievements

### **The Monitoring Officer:**

- Introduction to Local Government
- Constitution and decision making
- Members Code of Conduct

### **Head of Democratic Services**

- Roles of and appointment to committees
- Introduction to role descriptions
- The electronic meeting systems used at Council and Committee meetings

### **Expected outcomes**

The following are the expected outcomes from this phase:

- a. All Members have a basic knowledge of the Council, its structure and role
- b. Code of Conduct completed by all Elected Members
- c. Elected Members are able to effectively undertake their governance and decision making role at Council meetings

## **Phase 3 – The Core Functions**

To provide Elected Members with the knowledge and skills to enable them to undertake their core functions as Elected Members. It is intended to provide a sound basis for decision making which is required by councillors to carry out their role effectively.

- Ward and Casework (including the Member Enquiry System)
- Personal Resilience
- Corporate Parenting
- Safeguarding
- Equalities and Diversity
- Decision Making for Cabinet Members
- Developing effective decision making for those appointed to the following:
  - Audit Committee
  - Constitution Committee
  - Corporate Parenting Advisory Committee

- Council Appeals Committee
- Democratic Services Committee
- Employment Conditions Committee
- Local Authority Governor Panel
- Pensions Committee
- Standards & Ethics Committee
- Licensing Committee
- Planning Committee
- Public Protection Committee
- Overview and Scrutiny Committees
- Representing constituents at meetings ie Licensing and Planning Committees
- Chairing Skills
- Questioning Skills
- Using Social media and Handling online Abuse
- Managing difficult discussions

### **Expected outcomes**

The following are the expected outcomes from this phase:

- a. Elected Members understand the roles to which they have been appointed.
- b. Elected Members are more able to carry their role in their wards and for the City.
- c. Elected Members are aware of their responsibilities when representing the Authority

### **Phase 4 – Identifying the Needs of Individual Councillors**

With the possibility of a large number of new Elected Members after an election, it will be necessary to undertake a Personal Review process<sup>1</sup> as soon as possible. Learning, support and development needs will be identified at a number of levels which may include:

#### Personal Resilience and Wellbeing

All Elected Members will be informed of the personal support available to develop their personal resilience and ensure that their wellbeing is maintained throughout their time in office.

#### As an individual:

All Elected Members and in particular those who have been newly elected will have an opportunity to discuss their learning and development needs:

- with a suitable mentor<sup>1</sup> as part of their induction;
- as part of a peer review process where learning and development requirements can be identified.

#### Role Specific:

- Role descriptions will be used as an aid to identify development needs particularly during a review process.
- Members whose roles change will be supported to review their learning and development needs.
- The identification of learning and development needs at political group level be achieved in consultation with the Head of Democratic Services and through the feedback from the Democratic Services Committee.

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<sup>1</sup> See Enhancing the current arrangements for Elected Member Learning and Development (Page 16-18-20) Version 2.0

### Corporate and Constitutional:

Member Development will be linked to corporate and constitutional priorities by the Head of Democratic Services in liaison with the Chief Officers, Heads of Service and the Democratic Services Committee.

### Regional and National Initiatives:

Requests are often received from regional bodies or national organisations to provide development opportunities on key issues. These events will be integrated into the Member Development Programme by the Head of Democratic Services but may be in addition to the usual learning and development activities.

### **Expected outcomes**

The following are the expected outcomes from this phase.

- a. Elected Members have been offered a Member Mentor to assist in their development
- b. Elected Members regularly identify their support and development needs.

### **Phase 5 – Individual & Continuing Development**

To provide Elected Members with knowledge and skills related to:

- leading their community,
- developing those individual and specialist requirements identified within the personal review process,
- learning and development identified by the Democratic Services Committee.
- working with external partners.

### **Regional and National Development Opportunities**

Opportunities may arise for regional development activities to be undertaken. This may include topics of common interest on a regional or national basis. These events may reduce costs and enhance outcomes due to the diversity of knowledge and experience of attendees, whilst also providing an opportunity for cross-council communication and collaboration.

### **The Leadership Programme**

As part of the Academi Wales, the Welsh Government and the Welsh Local Government Association (WLGA) work in partnership with the Local Government Association (LGA) to deliver a Leadership Programme for Elected Members.

The Leadership Programme is a place where Elected Members, can explore the latest thinking in political leadership, and equip themselves with the knowledge and skills needed to meet the challenges that they face as councillors.

Initially authorities are offered 2 places. However, if every council does not take up its entitlement any unfilled places are made available for Authorities who have identified reserves. Attendance is capped at 3 – 4 councillors per authority per programme to ensure that confidentiality in action learning sets is maintained and that the benefits of having representatives from a variety of Councils are not diminished.

Elected Members can request via their political group to attend the Leadership Programme as long as they have sufficient experience to actively participate. A process for the allocation of available spaces to the Leadership Programme for the current term of office has been agreed by political groups as follows:

Year	Places	Allocation
2017-18	2	Labour x 2
2018-19	2	Labour x 2
2019-20	2	Conservative x 1 Liberal Democrat x 1
2020-21	2	Conservative x 1 Labour x 1
2021-22	2	Conservative x 1 Liberal Democrat x 1

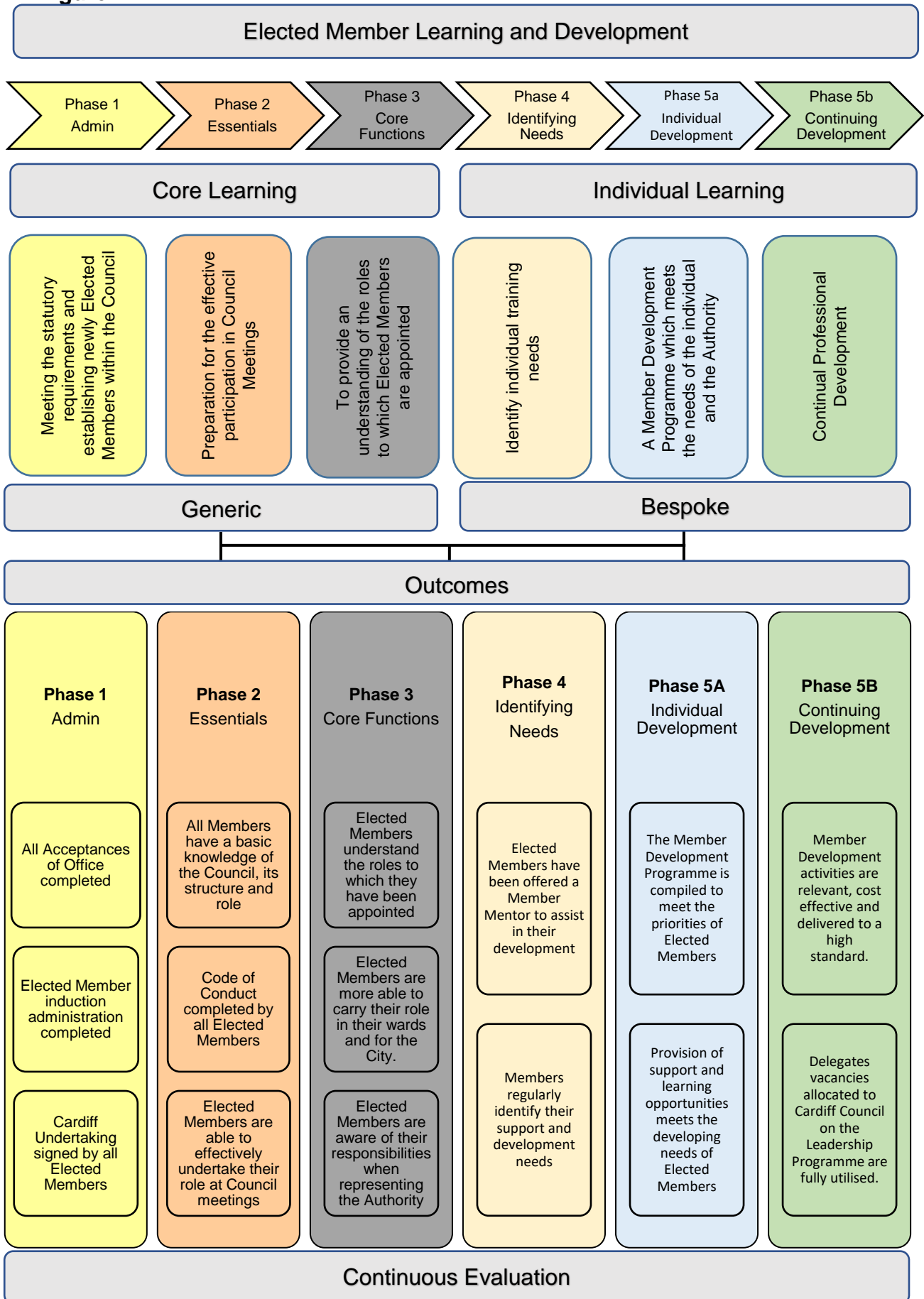
Should there be sufficient interest a bespoke Leadership Programme could be provided by the WLGA specifically for Cardiff councillors. It should be acknowledged that this option does have financial implications and does not provide the networking opportunities with other Local Authority Members which is regarded as a beneficial element of the Leadership programme.

### **Expected outcomes**

The following are the expected outcomes from this phase.

- a. The Member Development Programme is compiled to meet the priorities of Elected Members;
- b. Provision of support and learning opportunities meets the developing needs of Elected Members;
- c. Member Development activities are relevant, cost effective and delivered to a high standard;
- d. Delegate vacancies allocated to Cardiff Council on the Leadership Programme are fully utilised.

**Figure 1**



## **Member Development Activity Survey**

Elected Members will be surveyed within the first 12 months following the Local Government Elections to help inform the number of topics, frequency and timings of development events that will be held. The survey will identify the most appropriate time to provide learning and development events to maximise participation. This survey will be repeated at the mid-point of a term of office or when requested to do so by the Democratic Services Committee.

## **Prioritisation of Member Development activities**

All requests to provide learning and development opportunities for Elected Members should include the following key information to assist when prioritising the delivery of Member Development activities:

- The subject of the learning activity.
- A brief outline description of the subject.
- The requirement/justification to undertake this learning, i.e. is there a statutory requirement, is it part of an on-going initiative?
- Who forms the target audience, i.e. All Members, Scrutiny Members etc.?
- What are the expected/desired learning outcome/objectives?
- Which officers/organisations will be delivering/facilitating this event?
- What is the anticipated duration of the session?
- What type of training activity is suggested i.e. 1 hour presentation with questions, 30 minute briefing, 2 hour interactive workshop etc.?
- How will this activity be evaluated to show that the anticipated benefits have been achieved?

The Head of Democratic Services will assess all requests and recommend to the Democratic Services Committee how these requests should be prioritised, categorised and if necessary tiered for inclusion in the Member Development Programme.

## **Methods of learning and development**

A flexible approach to the delivery of learning and development opportunities will be adopted to meet the identified needs of individuals and groups.

### **Face-To-Face Activities**

A variety of methods may be used to deliver these opportunities which could include: seminars, workshops, e-learning and briefing sessions. Where appropriate, shared Member and officer development activities will be encouraged.

### **E-Learning**

The Cardiff Academy Website is an online portal where suitable development opportunities are provided for Officers and Elected members.

Greater use of the e-learning facilities will be incorporated into the Member Development Programme and this will enable:

- Essential E-learning modules to be identified by the Democratic Services Committee and included as part of an Elected Member Induction. Elected Members will be expected to be complete the identified induction e-learning modules.

- Key topics to be identified for inclusion in the Member Development programme and categorised by the Democratic Services Committee accordingly. Elected Members may be requested to complete the specific e-learning modules by a particular date. A subsequent report will be provided by Cardiff Academy to confirm that the e-learning modules have been completed as requested by the Democratic Services Committee.
- Those returning councillors or those who have previously attended face to face training on topics such as Corporate Parenting will be able to undertake the e-learning module rather than attending an annual repeat of any face to face refresher sessions.
- Elected Members to undertake other e-learning activities for their own development which will be shown on their training records.

Assistance can be provided by the Democratic Services Team to enable Elected Members to engage with these learning activities and ensure that development records are maintained.

### **WLGA Workbooks**

The WLGA have designed a series of Elected Members workbooks which can be used as an introduction or a refresher for key knowledge. They cover a broad range of generic skills as well as specific issues and service and or policy areas and their impact at ward level. The workbooks currently available are:

- The Effective 'Ward' Councillor
- Handling Casework
- Influencing Skills
- Facilitation and Conflict Resolution
- Stress Management and Personal Resilience
- Safeguarding Adults
- Child Sexual Exploitation
- Scrutiny of Finance
- Corporate Parenting
- Health and Safety in the Council
- Making Sustainable Decisions
- Presentations from regional training sessions for Elected Members on their responsibilities towards Gypsies and Travellers

### **Member Development Programme**

It will be the responsibility of the Head of Democratic Services to prepare the Member Development Programme in line with the priorities determined by the Democratic Services Committee. This will be a rolling programme that will confirm the Member Development activities for the following three months with topics for the subsequent 3 months being identified but not confirmed. This will allow the programme to be flexible and adapt to the changing needs and priorities of Elected Members and the Council.

If time dependant learning opportunities arise and there is no meeting of the Democratic Services Committee planned before the delivery of the event the

Chairperson of the Democratic Services Committee in liaison with the Head of Democratic Services will update the Member Development Programme as necessary.

### **Access to learning and development opportunities**

All Elected Members will have equal access and opportunity to:

- information relating to learning and development opportunities.
- participate in learning and development opportunities, taking into account the needs of their roles and responsibilities and their personal learning needs.
- benefit from learning and development activities, regardless of ability, race, colour, national ethnic or social origin, gender, sexuality, sexual orientation, religion, age, disability, political or other personal beliefs.

### **Attendance at Member Development Activities**

The Member Development Programme will be approved by the Democratic Services Committee and included in the Member Information and Diary of Meetings email circulated by Democratic Services.

Electronic invitations for Member Development activities will be placed in individual Elected Members electronic calendars. Elected Members will be requested to respond electronically if they are unable to attend the activity. It is vital that these responses are accurate as the facilitators of the events are provided with the anticipated attendance numbers to tailor their delivery of the session. The attendance of Elected Members at these Member Development Activities will be displayed on the Elected Members profile page on the Cardiff Council website.

At each session the attendance will be recorded and passed to Democratic Services. A summary of attendance at training events will be compiled and circulated to Group Whips on a regular basis to promote and encourage attendance of their Members.

### **Learning and development records**

Democratic Services will collate and record information relating to Elected Member learning and development including attendance and the evaluation of activities which have been completed. The evaluation will also enable Elected Members to identify and record any additional learning needs which arise from a completed learning activity.

### **Resources**

Elected Member learning and development, will be resourced from the allocated Member Development budget. Reasonable allocation will be made as part of the annual budget round and applied with regard to the corporate needs of the Authority. The Democratic Services Committee will monitor appropriate spend on the budget.

In house training will be provided by Directorates if the topic relates to their service areas. The costs for this type of event will be met from Directorate budgets and not from the Member Development budget.

The Democratic Services Team will be responsible for the co-ordination and support for Elected Members attending relevant conferences and events within its allocated resources. The Team will also coordinate the reimbursement of travel and out of county subsistence allowances.



## **Evaluation**

It is the responsibility of the Head of Democratic Services to ensure that the evaluation of learning and development activities is carried out.

### **Evaluation of Individual Activities**

All training providers will be required to incorporate an evaluation of the event into their learning session and Elected Members will be asked to complete a learning and development evaluation form. Elected Members are recommended to compile learning logs to support any self-assessment or review of their development requirements..

Evaluation forms will be analysed and the feedback collated into a report which will be presented to the Democratic Services Committee on a regular basis. This will enable the Democratic Services Committee to evaluate the effectiveness of the Member Development Programme and ensure that the identified outcomes are achieved.

### **Evaluation of Facilitators**

To ensure that any learning and development activity provided to Elected Members is delivered to the highest standards and that the aims and objectives of the event are met, it is intended that an internal subject matter expert or the Head of Democratic Services attend each learning event and evaluate the provider/facilitator. This will be essential for events delivered by external providers to ensure that value for money has been achieved and that an effective learning opportunity has been provided and achieves the planned outcomes.

### **Review of the Elected Member Learning and Development Strategy**

To ensure that the Elected Member Learning and Development Strategy remains an effective tool for Elected Members increase their knowledge. It will be necessary to plan a review the strategy. It is anticipated that the strategy will be reviewed in the Autumn of 2020, at the request of the Democratic Services Committee and in response to relevant changes to legislation or to the Authority.

### **Enhancing the current arrangements for Elected Member Learning and Development**

The following topics are planned to be developed during the duration of this strategy:

#### **Role Descriptions**

The WLGA provides a suite of generic role descriptions which are being reviewed with the intention of adapting them to better reflect the roles that Elected Members undertake in Cardiff.

Role descriptions set out the responsibilities and functions of the role of an Elected Member. The person specifications describe the qualities and skills desirable to fulfil the role and can help when considering personal development.

Where Elected Members undertake more than one role it is anticipated that role descriptions would be combined. For example: Overview and Scrutiny committee chairs would be expected to undertake the role of Elected Member, Overview and Scrutiny Member Overview and Scrutiny Chair.

### **Mentoring:**

The formal mentoring of Elected Members by experienced Members is strongly recommended and it is planned to be offered to all newly Elected Members. This will enable the mentee to develop the skills, knowledge, understanding and behaviours required for the Elected Member role. This is not a prescriptive or directive relationship but one which allows the mentee to find their own way, guided by the mentor.

Guidance for Member Mentors has been developed by the Welsh Local Government Association (WLGA). It is anticipated that experienced Elected Members identified by Political Groups will participate in a workshop facilitated by the WLGA to those undertaking a mentoring role. This will provide the appropriate level of support for newly elected to rapidly develop the necessary skills to become an effective Elected .

Returning Members who do not require mentoring will be provided with the opportunity to discuss their development needs as part of the Personal Review process. This process is to be developed but it is anticipated that it will enable Senior Elected Member Peers to be able to assist other Elected Members to identify their learning needs.

### **Personal Review Process**

The key requirements of a Personal Review process are identified in the Local Government (Wales) Measure 2011:

- A local authority must make available to each member of the authority an annual review of the member's training and development needs.
- The review must include an opportunity “to discuss” with a person who is, in the opinion of the authority, suitably qualified to provide advice regarding the training and development needs of a member of a local authority.

Establishment and effective use of the Personal Review process will enable this Authority to meet its requirement in accordance with the Measure and secure the provision of reasonable learning and development opportunities for its Elected Members.

The use of learning logs to record any development activities that have been attended will provide an opportunity to reflect on the event at a later date. These will also assist in the production of an Annual Report and support Personal Review discussions.

### **Potential Candidate Briefings**

In order to promote local democracy and the understanding of the role of a councillor briefings for potential candidates will be held prior to Local Government elections. This event will inform those members of the public planning to stand for election of the:

- The criteria to stand for election,
- election process
- roles and responsibilities they will be expected to undertake as a councillor
- skills, knowledge and commitment necessary to become an effective councillor
- structure and remit of the Council

### **Learning and Development Support for Community Councils**

With the introduction of a Community Councils Charter opportunities to identify appropriate common learning and development activities will be investigated although Community Councils may be asked to contribute to the cost.

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## ELECTED MEMBER LEARNING AND DEVELOPMENT

### APPENDIX B INDEX

Appendix B(i)	Elected Member.
Appendix B(ii)	Democratic Services Committee Member.
Appendix B(iii)	Democratic Services Chair.
Appendix B(iv)	Scrutiny Committee Member.
Appendix B(v)	Scrutiny Committee Chair.
Appendix B(vi)	Leader (and Deputy)
Appendix B(vii)	Cabinet Member
Appendix B(viii)	Chair of the Council
Appendix B(ix)	Chair of a Regulatory Committee
Appendix B(x)	Member of a Regulatory Committee
Appendix B(xi)	Chair of Standards Committee
Appendix B(xii)	Member of Standards Committee
Appendix B(xiii)	Chair of Governance and Audit Committee
Appendix B(xiv)	Member of Governance and Audit Committee
Appendix B(xv)	Leader of the Opposition
Appendix B(xvi)	Political Group Leader
Appendix B (xvii)	Member Champion Role Description

**Councillor «Inits» «Surname»**

**Elected Member - «Ward»**

**Role Description**

**1. Accountabilities**

- To Full Council
- To the residents of Cardiff
- To the electorate of their ward

**2. Role Purpose and Activity**

**a. Representing and supporting communities to:**

- represent ward interests ,
- be an advocate in their ward for the communities they serve
- be a channel of communication to the community on council strategies, policies, services and procedures,
- represent individual constituents and local organisations, undertaking casework on their behalf and serving all fairly and equally,
- liaise with executive members, other council members, council officers and partner organisations to ensure that the needs of the local communities are identified, understood and supported,
- be vigilant and do everything possible to protect adults and children at risk from abuse, harm or neglect,
- promote tolerance and cohesion in local communities.

**b. Making decisions and overseeing council performance to:**

- participate in Full Council meetings, reaching and making informed and balanced decisions, and overseeing performance,
- participate in informed and balanced decision making on committees and panels to which they might be appointed,
- adhere to the principles of democracy and collective responsibility in decision making,
- take corporate responsibility for the protection of vulnerable children and adults
- promote and ensure efficiency and effectiveness in the provision of council and other public services

**c. Representing the Authority:**

- Have an understanding of the terms of reference and your role for the committees to which you have been appointed;
  - «Committee 1»

- «Committee 2»
- «Committee 3»
- to represent the Council / Cabinet on local outside bodies to which you have been appointed, ensuring that you have an understanding of its the terms of reference and your role in promoting common interest and co-operation for mutual gain;
  - «Outside bodies 1»
  - «Outside bodies 2»
  - «Outside bodies 3»
- to represent and be an advocate for the Council / Cabinet on the following Regional and National Bodies and at associated events;
  - «Outside bodies 1»
  - «Outside bodies 2»
  - «Outside bodies 3»

**d. Internal governance, ethical standards and relationships**

- To promote and support good governance of the Council and its affairs
- To provide community leadership and promote active citizenship
- To promote and support open and transparent government
- To support, and adhere to respectful, appropriate and effective relationships with staff of the Council, its contractors and partners
- To adhere to the Member's Code of Conduct, the Member/Officer Protocol and the highest standards of behaviour in public office

**e. Being a Corporate Parent**

- To have an understanding of the legal responsibilities of elected members under the Children Act 2004 and the Social Services and Wellbeing (Wales) Act 2014 as a corporate parent to the children in the care of Cardiff Council.
- To ensure that as corporate parents, you are satisfied that there is a joined up, effective and holistic approach to meeting the needs of looked after children through policy and planning.

**f. Safeguarding Duty**

- To be familiar with Cardiff Council's Corporate Safeguarding Policy
- To help keep safe children, young people and adults at risk by:
  - Ensuring that everyone understands their safeguarding accountabilities and responsibilities;
  - Contributing to the creation and maintenance of a safe environment;
  - Promoting safe practice and challenging poor or unsafe practice;
  - Identifying where there are concerns and taking appropriate action to address them.

### g. Personal and role development

- Identify opportunities to assist in the active involvement with matters relating to your role and remit.
- To actively participate in Member Development to support your role
- To comply with the Members Code of conduct and maintain the highest standards of conduct and ethics in the way in which you carry out your duties.
- To attend all training which has been identified as essential in the Member Induction Programme/Member Development Programme, to equip me to carry out my duties as a Councillor

### 3. Values

To be committed to the values of the council and the following values in public office:



- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural difference
- Sustainability



**Elected Member**  
**Personal Attributes**

To fulfil their role as set out in the role description, an effective elected member may benefit from having the following personal attributes:

**1. Representing and supporting communities**

- Good advocacy skills
- Interpersonal skills
- Integrity and the ability to set aside own views and act impartially
- The ability to present relevant and well-reasoned arguments
- Good communication skills

**2. Making decisions and overseeing council performance**

- Knowledge and understanding of meetings law, rules and conventions
- An understanding of strategic, policy and service contexts for decisions
- The ability to challenge ideas and contribute positively to policy development

**3. Representing the Council (subject to appointment)**

- Good public speaking skills
- Good presentation skills
- The ability to persuade others and act with integrity

**4. Internal governance, ethical standards and relationships**

- An understanding of the roles of officers, members and different agencies
- Respect for, and desire to work with, different groups and individuals
- Have knowledge and understanding of the Code of Conduct and Member/Officer Protocol
- A knowledge and commitment to the values of the Council

**5. Personal and role development**

- An ability to assess personal and role development needs
- Desire and skills to participate in development

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Member of the Democratic Services Committee  
Role Description**

**1. Accountabilities**

- To Full Council
- To the Chair of the Democratic Services Committee

**2. Role purpose and activity**

**a. Understanding the nature of the Democratic Services Committee:**

- To be aware of and effectively undertake the role of the committee in:
  - Designating the head of Democratic Services
  - Keeping under review the provision of staff, accommodation and other resources made available to the Head of Democratic Services, ensuring that these are adequate
  - Make annual reports to the full council in relation to the above
  - Appointing sub committees and chairs of subcommittees to undertake functions delegated by the committee
  - Considering reports prepared by the Head of Democratic Service
  - Developing the Authority's member support and development strategy
  - Ensuring that members have access to a reasonable level of training and development as described in the member development strategy and the Wales Charter for Member Support and Development
  - Champion the provision of Member Development during the development of the budget proposals.
  - Ensuring that members have access to personal development planning and annual personal development reviews
  - To have sufficient technical, legal and procedural knowledge to contribute fairly and correctly to the function of the committee.
  - To be thorough and objective in receiving and responding to professional advice in the conduct of meetings and issues before the committee.

**b. Participating in meetings and making decisions**

- To participate effectively in meetings of the Democratic Services Committee,
- To make informed and balanced decisions, within the terms of reference of the committee, which accord with legal, constitutional and policy requirements

### c. Internal governance, ethical standards and relationships

- To ensure the integrity of the committee's decision making and of their own role by adhering to the Code of Conduct(s) and other constitutional and legal requirements
- To promote and support good governance by the Council
- To understand the respective roles of members, officers and external parties operating within the Democratic Services committee's area of responsibility

### 3. Values

To be committed to the values of the Council and the following values in public office:

#### We are Cardiff



- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural difference
- Sustainability

**Chair of the Democratic Services Committee  
Role Description**

**1. Accountabilities**

- To Full Council
- To the public

**2. Role Purpose and Activity\***

**a. Providing leadership and direction**

- To provide confident and effective chairing and management of meetings to facilitate inclusivity, participation and clear decision making.
- To lead the committee in its role in:
  - Designating the head of Democratic Services
  - Keeping under review the provision of staff, accommodation and other resources made available to the Head of Democratic services, ensuring that these are adequate
  - Make annual reports to the full council in relation to the above
  - Appointing sub committees and chairs of subcommittees to undertake functions delegated by the committee
  - Considering reports prepared by the Head of Democratic Services
  - Developing the Authority's member support and development strategy
  - Ensuring that members have access to a reasonable level of training and development as described in the Authority's member development strategy and the Wales Charter for Member Support and Development
  - Ensuring that the budget for member development is sufficient
  - Ensuring that members have access to personal development planning and annual personal development reviews
  - To promote the role of Elected Members and necessary support and development.
- To demonstrate integrity and impartiality in decision making which accord with legal, constitutional and policy requirements

**b. Promoting the role of the Democratic Services Committee**

- To act as an ambassador for the Democratic Services Committee, facilitating understanding of the role
- To act within technical, legal and procedural requirements to oversee the functions of the committee fairly and correctly
- To ensure thoroughness and objectivity in the committee, receiving and responding to professional advice in the conduct of meetings.

### c. Internal governance, ethical standards and relationships

- To develop the standing and integrity of the committee and its decision making
- To understand the respective roles of members, officers and external parties operating within the Democratic services committee's area of responsibility
- To promote and support good governance by the Council.

### 3. Values

To be committed to the values of the council and the following values in public office:



- Openness and transparency
- Honesty and Integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural differences
- Sustainability

**Member of an Overview and Scrutiny Committee  
(Including Registered Representatives)**

**Role Description (within the Terms of Reference of the Committee)**

**1. Accountabilities**

- Chair of the appropriate scrutiny committee
- Full Council
- The public

**2. Role purpose & activity**

To participate fully in the activities of the Overview and Scrutiny Committee, the development and delivery of its work programme and any associated task and finish groups

**a. Scrutinising and developing policy**

- To assist in the development of council policy through scrutinising of draft policies, and improvement and refinement of existing policy
- To challenge policies on a sound basis of evidence for example against legislation or local political priority
- To assess the impact of existing policy and identify areas for improvement
- To identify where new policies might be required to address forthcoming legislation

**b. Holding the Executive to account, monitoring performance and service delivery**

- To monitor the performance of internal and external providers against standards and targets including questioning of executive and senior officers on the delivery of targets
- To contribute to the identification and mitigation of risk
- To investigate and make recommendations to address the causes of underperformance or poor performance
- To monitor action plans or recommendations following external audit, inspection or regulatory reports
- To evaluate the validity of executive decisions and challenge decisions through call in where appropriate
- To build trust with the executive so that appropriate matters could be sent to scrutiny for a pre-decision review prior to the executive taking a final decision

**c. Promoting the work of Overview and Scrutiny**

- To promote the role of overview and scrutiny within and outside the council, developing effective internal relationships with officers and other members and external relationships with community representatives.
- To demonstrate an objective non-political and evidence based approach to overview and scrutiny, by utilising a wide range of research in any work undertaken including sources of information outside the Council.
- To add value to the decision making and service provision of the authority through effective scrutiny
- To be able to demonstrate where scrutiny is making a difference by its involvement

**d. Community engagement**

- To use scrutiny as a means to address community issues and engage the public in forward work programmes
- To encourage stakeholders to participate in the work of the authority
- To assist in developing locally viable and acceptable policy solutions
- To build a dialogue around priorities, objectives and performance, among communities and stakeholders
- To take a county wide perspective in dealing with issues

**e. Participating in joint scrutiny**

- To work within the appropriate terms of reference and protocols governing joint working in scrutiny
- To apply the appropriate tests and criteria when deciding whether or not to undertake joint scrutiny
- To contribute to the scrutiny of regional bodies and partnerships
- To encourage public engagement in joint scrutiny
- To work effectively with partner scrutineers from other authorities and organisations.

**f. Meeting participation**

- To make adequate and appropriate preparation for meetings through research and briefings and planning meeting strategies
- To participate in a proactive objective, informed and effective manner taking account of the Code of Conduct, Standing Orders and other constitutional requirements.
- To demonstrate effective scrutiny inquiry skills in questioning, listening and information handling
- To be non-political
- To focus on outcomes / making a difference by participation

### 3. Values

To be committed to the values of the Council and the following values in public office:

#### We are Cardiff



- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural difference
- Sustainability

DRAFT



## **Member of an Overview and Scrutiny Committee**

### **Person Attributes**

To fulfil their role as described in the role description, an effective member of a Scrutiny Committee may benefit from having the following personal attributes:

#### **1. Understanding of the role and functions of the council**

- Understanding of the key strategies, priorities and direction of travel of the Council
- Understanding of the purpose and a commitment to the scrutiny function
- Full understanding of the scrutiny remit and role, to deliver an approach to scrutiny which is (a) member led, (b) seeks to provide an evidence based challenge of decision makers and service providers and (c) is an important mechanism for community engagement and service improvements
- Understanding of the terms of reference for their own committee and how they relate to others.
- Ability to operate apolitically, objectively and with an understanding of equalities and diversity
- Understanding of member support functions
- Willingness to work within the guidance of the chair
- Willingness to undertake personal development as necessary and understand the skills they need to undertake the role
- Understanding of the legal requirement to take the views of the public into account
- Ability to negotiate and build consensus
- Understanding of the purposes and processes associated with the Councillor Call for Action and the Call In procedure
- Understanding of council service, improvement and financial priorities and risks
- Understanding of community issues
- Engage fully in scrutiny including asking questions

#### **2. Scrutinising and developing policy**

- Knowledge of and ability to evaluate existing policy
- Understanding of best practice
- Understanding of national and local legislative and policy context

#### **3. Monitoring performance and service delivery and holding the executive to account**

- Understanding of the councils improvement programme and associated risk assessment arrangements
- Understanding of the principles and practice of performance management
- Understanding of council's performance management arrangements
- Ability to analyse data and challenge performance
- Understanding of the arrangements for call in

- Ability to act as a critical friend and in a non-political way
- Undertake an overview rather than detailed monitoring
- Ability to hold Cabinet members / Statutory and Senior officers to account for the achievement of targets / objectives
- Monitoring action plans arising from internal or external regulator reviews

#### **4. Participating in Joint Scrutiny**

- A commitment to working jointly with scrutiny members of other authorities and representatives of partner organisations
- An understanding of the role and functions of the partnership/regional organisation
- An understanding of the key strategies, priorities and direction of travel of the partnership/regional organization
- A commitment to an approach to joint scrutiny which is member-led, provides an evidence-based challenge and is an important mechanism for community engagement and service improvement
- An ability to operate apolitically, objectively, collectively and inclusively
- Willingness to work within the guidance of the chair
- Willingness to undertake personal development as necessary and understand the skills they need to undertake the role
- An ability to negotiate and build consensus
- Full engagement in scrutiny, including asking questions

#### **5. Community engagement**

- Understanding of the role of scrutiny in enabling local people and communities to contribute to the decision and policy making process
- Knowledge of local issues and expectations
- Ability to work effectively with all members of the community and to build an understanding of the role of scrutiny with the public and stakeholders
- ability to engage with individuals and organisations in the community especially those traditionally excluded

#### **6. Meeting participation**

- Ability to interpret information and data from a range of sources
- Understanding and application of meeting protocols, code of conduct, standing orders and other constitutional requirements
- Ability to participate in meetings including effective listening, questioning and speaking
- Preparation work including considering lines of questioning
- Ability to present information to the committee

**Chair of an Overview and Scrutiny Committee**

**Role Description**

**(within the Terms of Reference of the Committee)**

**1. Accountabilities**

- The Committee
- Full Council
- The Public

**2. Role purpose & activity**

• **Providing leadership and direction**

- To provide confident and effective management of the committee.
- Ensure that the Cabinet are held to account including the monitoring of performance and service delivery.
- To promote the role of overview and scrutiny within the council, liaising effectively with officers, executive members and colleague chairs.
- To promote the integral role and contribution of scrutiny within the authority's wider improvement planning and reporting arrangements.
- To lead joint scrutiny activities with other scrutiny committees, authorities or organisations when required.
- To champion and promote the role of Overview and Scrutiny to the public, helping the public better understand and, crucially, contribute to and engage with the scrutiny process.
- To promote the role of Overview and Scrutiny to partner bodies, helping them to understand and engage with the Scrutiny function.
- To demonstrate an objective and non-political approach to overview and scrutiny
- To demonstrate an objective and evidence based approach to overview and scrutiny ensuring that scrutiny inquiries are methodologically sound and incorporate a wide range of evidence and perspectives.
- To follow-up scrutiny recommendations, evaluate the impact and added value of overview and scrutiny activity and identify areas for improvement.
- Work closely with scrutiny support staff to drive continual improvements in scrutiny.
- Assist in publicising the work of the scrutiny committee.
- To report annually to the Council on the outcomes of the Scrutiny Committee
- Support the Call-in procedure as outlined in the Council's Constitution and ensure that the Committee undertakes its Call-in role effectively.

- **Additional**

- Chair Person of Chairperson of Community & Adult Services Scrutiny Committee (CASSC)

- To lead the Council's Crime and Disorder Committee as required by the Police and Justice Act 2006 and facilitate the powers and functions permitted under that Act when necessary.

- Chairperson of Policy Review and Performance (PRAP) Scrutiny Committee

- To lead the scrutiny of the Public Services Board within the provisions of the Well-being of Future Generations (Wales) Act 2015, to review the PSB's governance arrangements as well as any decisions made or actions taken by the PSB.

- **Managing the work programme**

- To ensure the programme takes account of relevant factors such as: the work programmes of the executive and other committees, strategic priorities and risks, audit and regulatory reports and recommendations, Cardiff's Council's Wellbeing Plan, partners strategic priorities and relevant community issues
  - To ensure that the public are engaged in scrutiny activities by informing them about the work programme and encouraging participation To ensure that the work programme is delivered
  - To ensure that the work programme is manageable and the workload delegated and prioritised to focus on the areas of most benefit or greatest risk to the organisation.
  - To ensure that task and finish/working/sub groups have clear terms of reference and deliver the required outcomes.

- **Leading Joint Scrutiny**

- To apply the appropriate tests and criteria when deciding whether or not to undertake joint scrutiny
  - To ensure that regional bodies and partnerships are held to account and that their plans are subject to scrutiny
  - To develop protocols and terms of reference for joint working
  - To ensure public engagement in joint scrutiny activities
  - To enable the pooling of scrutiny resources for effective working and outcomes
  - To promote equal participation and contribution from all partners as appropriate

- **Effective meeting management**

- To plan and set agendas containing clear objectives and outcomes for the meeting
  - To ensure that necessary preparation is done beforehand, if necessary, through pre-meetings.
  - To ensure that the approach to overview and scrutiny is impartial and that the committee meeting is conducted without political whipping (as per the Local Government (Wales) Measure 2011)

- To manage the progress of business at meetings, ensuring that meeting objectives are met, and the code of conduct, standing orders and other constitutional requirements are adhered to
- To ensure that all participants have an opportunity to make an appropriate contribution
- To encourage members of the public to contribute to meetings in accordance with the protocols for public speaking.
- **Involvement and development of committee members**
  - To encourage effective contributions from all committee members in both committee and task and finish groups
  - To assess individual and collective performance within the committee and work to improve scrutiny outcomes
  - Encourage lead members and officers to secure appropriate development opportunities which enable committee members to develop their knowledge and skills to undertake their scrutiny roles.

### 3. Values

To be committed to the values of the Council and the following values in public office:



- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural difference
- Sustainability

## **Chair of an Overview and Scrutiny Committee**

### **Person Attributes**

To fulfil their role as described in the role description an effective Chair of a Scrutiny Committee may benefit from having the following personal attributes:

#### **1. Providing leadership and direction**

- Ability to see the 'big picture'
- Understanding of the role and functions of the council
- Understanding of the key strategies, priorities and direction of travel of the Council
- Understanding of the purpose of the scrutiny function and its role in the council's wider improvement planning and reporting arrangements
- Ability to promote an approach to scrutiny which is (a) member led, (b) seeks to provide an evidence based challenge of decision makers and service providers and (c) is an important mechanism for community engagement and service improvements
- Understanding of the legal requirements around scrutiny, including prohibition of political whipping and taking the views of the public into account
- Understanding of the purposes and processes associated with the Councillor Call for Action (CCfA) and the Call In procedure
- Understanding of the terms of reference for the committee and the role of the chair.
- Understanding of member support functions
- Understanding of council service, improvement and financial priorities and risks
- Ability to develop work programmes
- Understanding of community issues

#### **2. Objectivity and understanding of equalities and diversity**

- Negotiation and consensus building
- Ability to build constructive and 'critical friend' relationships with the Executive
- A commitment to personal development in the role
- Commitment to develop other members by mentoring and guidance
- Working closely with scrutiny support officers to ensure the continual development of scrutiny
- Making sure that scrutiny is making a difference

#### **3. Managing the work programme**

- Ability to manage projects and resources
- Ability to manage people
- Ability to prioritise
- Ability to report progress to different groups in different styles – verbally and in writing

- Ability to monitor and constantly review work programmes

#### **4. Leading Joint Scrutiny**

- An ability to create an effective, supportive and welcoming environment for Scrutiny members and partner representatives from different organizations
- An ability to see the big picture at the regional level
- A clear understanding of the role and functions of the partnership/regional organization
- An understanding of the key strategies, priorities and direction of travel of the partnership/regional organisation
- A commitment to enabling an approach to joint scrutiny which is member-led, provides an evidence-based challenge and is an important mechanism for community engagement and service improvement
- An ability to work constructively with partnerships/regional organisations under scrutiny
- A commitment to develop and embed an apolitical, objective, collective and inclusive scrutiny process
- A commitment to offer guidance and mentorship to scrutiny members
- A willingness to ensure that joint scrutiny makes a difference
- An ability to negotiate and build consensus
- An ability to manage people, projects and resources
- A commitment to raising the profile of joint scrutiny and an ability to champion it within the authority and beyond

#### **5. Effective meeting management**

- Understanding and application of meeting protocols, code of conduct, standing orders and other constitutional requirements including protocols for public speaking and webcasting
- Ability to chair meetings effectively, managing members contributions and the agenda and progressing business to achieve the desired outcomes
- Ability to facilitate effective discussions focussing on the agreed questioning strategy.
- Ability to listen and question effectively
- Ability to prepare and introduce speakers and make them feel at ease when presenting to the committee
- Ability to be impartial and ensure that the committee is acting in a non-political way

#### **6. Community engagement**

- Understanding of the role of scrutiny in enabling local people and communities to contribute to the decision and policy making process
- Knowledge of local issues and expectations

- Ability to work effectively with all members of the community and to build an understanding of the role of scrutiny with the public and stakeholders
- Ability to engage with individuals and organisations in the community especially those traditionally excluded
- To promote an understanding that scrutiny is a last resort for matters such as CCfA
- Ability to manage expectations of the public in asking scrutiny to consider issues

## **7. Involving and developing of committee members**

- Understanding of the role and skills of the scrutiny committee and its individuals
- Ability to support members and the committee in assessing their performance
- Ability to identify any training and development needs and champion participation in appropriate learning and development.
- Provide mentoring, guidance and support to members in their roles such as members leading task and finish group



## Leader (and Deputy) Role Description

### 1. Accountabilities

- To Full Council
- To the Public

### 2. Role Purpose and Activity

#### **Providing political leadership to the Council**

- To be a political figurehead for the Council; to be the principal political spokesperson for the Council.
- To provide leadership in building a political consensus around council policies
- To form a vision for the Council and community
- To provide strong, clear leadership in the co-ordination of policies, strategies, and service delivery

#### **Appointing the Cabinet\***

- To designate the appropriate portfolios
- To appoint appropriate elected members to each portfolio
- To allocate cabinet members to roles with regards to their abilities. [?](#)
- To designate the Deputy Leader.

#### **Representing and acting as ambassador for the Authority**

- To represent the Authority to a high standard. Provide a strong, competent, and eloquent figure to represent the Authority both within the County and at external bodies.
- To represent the Authority on the WLGA coordinating committee and the WLGA regional partnership board.
- To provide leadership and support local partnerships and organisations.
- To represent the Authority in regional and national bodies as appropriate.

#### **Providing leadership within the portfolio**

- To fulfil the role of a portfolio holder, having regard to the role purpose and activities, and role specification of an executive member
- **Managing and leading the work of the Cabinet and chairing meetings**
  - To ensure the effective running of the Cabinet by managing the forward work programme and ensuring its continuing development.
  - To ensure the work of the Cabinet meets national policy objectives.
  - To agree objectives with Cabinet Members and monitor progress.
  - To advise and mentor other cabinet members in their work.
  - To chair meetings of the Cabinet in line with the Constitution.
  - In the Leader's absence the Deputy Leader should fulfil this role.

- **Participating in the collective decision making of the Cabinet**
- To work closely with other cabinet members to ensure the development of effective council policies and the budgetary framework for the Council, and the delivery of high-quality services to local people.
- To accept collective responsibility and support decisions made by the Cabinet once they have been made.
- **Working with officers to lead the organisation.**
- To liaise with the Chief Executive, and other appropriate officers, on a regular basis
- To work with employees of the Council in relation to the strategic vision and direction of the Council, the management roles of officers and the development of policy issues.
- **Leading partnerships and community leadership**
- To give leadership to local strategic partnerships and local partners in the pursuit of common aims and priorities
- To negotiate and broker in cases of differing priorities and disagreement.
- To act as a leader of the local community by showing vision and foresight
- **Internal governance, ethical standards, and relationships**
- To promote and support good governance of the Council and its affairs.
- To provide community leadership and promote active citizenship.
- To promote and support open and transparent government.
- To support, and adhere to respectful, appropriate, and effective relationships with employees of the Council.
- To adhere to the Member's Code of Conduct, Member/Officer Protocol, and the highest standards of behaviour in public office

### **3. Values**

- To be committed to and demonstrate the following values in public office:
  - Openness and transparency
  - Honesty and integrity
  - Tolerance and respect
  - Equality and fairness
  - Appreciation of cultural difference
  - Sustainability
  - Inclusive leadership
  - Consensus building

#### **Deputy Leader**

- **To fulfil the duties of the Leader in his or her absence**
- **To assist the Leader in specific duties as required**

\* Under constitutional arrangements for a cabinet model, either the Full Council or the Leader may appoint the Cabinet. In Wales it is common practice for the Leader to appoint the Cabinet

under this model. This Role Description has been written accordingly, noting that councils may vary this arrangement.

## **Cabinet Member Role Description**

### **1. Accountabilities**

- To the Leader
- To the Cabinet (through collective responsibility)
- To Full Council

### **2. Role Purpose and Activities**

#### **Providing portfolio leadership**

- To give political direction to officers working within the portfolio
- To gain the respect of officers within the portfolio; provide support to officers in the implementation of portfolio programmes.
- To provide leadership in the portfolio
- To liaise with the appropriate scrutiny chair and receive scrutiny reports as required.
- To be accountable for choices and performance in the portfolio
- To have an overview of the performance management, efficiency, and effectiveness of the portfolio
- To make executive decisions within the Portfolio\*

#### **Contributing to the setting of the strategic agenda and work programme for the portfolio**

- To work with officers to formulate policy documents both strategic and statutory.
- Ensure that the political will of the majority is carried to and through the Cabinet.
- To provide assistance in working up and carrying through a strategic work programme both political and statutory
- Carry out consultations with stakeholders as required.
- Make sure that the portfolio's forward work programme is kept up to date and accurate.

#### **Providing representation for the portfolio**

- To provide a strong, competent, and persuasive figure to represent the portfolio.
- Be a figurehead in meetings with stakeholders.

#### **Reporting and accounting**

- To report as appropriate to the Leader, Full Council, Cabinet, appropriate chair of scrutiny, regulatory bodies, and the media.
- To agree objectives with the Leader and report progress.
- To be the principal political spokesperson for the portfolio.
- To appear before scrutiny committees in respect of matters within the portfolio.

#### **Taking an active part in cabinet meetings and decision making**

- To show an interest in and support for the portfolios of others
- To recognise and contribute to issues which cut across portfolios or are issues of collective responsibility.

#### **Leading partnerships and community leadership**

- To give leadership to local strategic partnerships and local partners in the pursuit of common aims and priorities
- To negotiate and broker in cases of differing priorities and disagreement.
- To act as a leader of the local community by showing vision and foresight

#### **Internal governance, ethical standards, and relationships**

- To promote and support good governance of the Council and its affairs.
- To provide community leadership and promote active citizenship.
- To promote and support open and transparent government.
- To support, and adhere to respectful, appropriate, and effective relationships with employees of the Council.
- To adhere to the Members' Code of Conduct, Member/Officer Protocol, and the highest standards of behaviour in public office

### **3. Values**

#### **To be committed to the values of the Council and the following values in public office:**

- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural difference
- Sustainability
- Inclusive leadership

\* This only applies under constitutional arrangements where individual cabinet members or combinations of cabinet members are given individual responsibility for making decisions on behalf of the Executive.

**Chair of the Council Role Description**  
**Also suitable for Mayor\* and Presiding Officer**

**1.Accountabilities**

- To Full Council

**2.Role Purpose and Activity**

**Acting as a symbol of the Council's democratic authority**

- As the ceremonial head of the Council, to be non-political and uphold the democratic values of the Council.
- To represent the Council at civic and ceremonial functions

**Chairing Council meetings**

- To preside over meetings of the Council, so that its business can be carried out efficiently.
- To ensure the Council conducts its meetings in line with the Council's Standing Orders

**Upholding and promoting the Council's Constitution**

- To ensure the Constitution is adhered to and, if necessary, to rule on the interpretation of the Constitution

**Internal governance, ethical standards, and relationships**

- To promote and support good governance of the Council and its affairs.
- To provide community leadership and promote active citizenship.
- To promote and support open and transparent government.
- To support, and adhere to respectful, appropriate, and effective relationships with employees of the Council.
- To adhere to the Members' Code of Conduct, Member/Officer Protocol, and the highest standards of behaviour in public office

**Work programming**

- To prepare and manage an annual work programme for the Council to meet its legal obligations (e.g. setting the budget and the Council Tax and making appointments)

**3.Values**

**To be committed to the values of the Council and the following values in public office:**

- Openness and transparency
- Honesty and integrity
- Tolerance and respect

- Equality and fairness
- Appreciation of cultural difference
- Sustainability

#### **Vice Chair**

- **To fulfil the duties of the Chair in his or her absence**
- **To assist the Chair in specific duties as required**

\* This Role Description describes the duties of the Chair or Presiding Officer of the Full Council or the Mayor in presiding over Council Meetings.  
It does not provide the detail of the wider ambassadorial or ceremonial responsibilities required of the Mayor.

## Chair of a Regulatory Committee Role Description

### 1. Accountabilities

- To Full Council
- To the members of the regulatory committee

### 2. Role Purpose and Activity

#### Providing leadership and direction

- To provide confident and effective management of meetings to facilitate inclusivity, participation and clear decision making
- To ensure that applicants and other interested parties are satisfied as to the transparency of the regulatory process
- To demonstrate integrity and impartiality in decision making which accord with legal, constitutional and policy requirements ☐ To delegate actions to sub committees as appropriate

#### Promoting the role of the regulatory committee and quasi-judicial decision making

- To act as an ambassador for the regulatory committee, facilitating understanding of the role
- To act within technical, legal and procedural requirements to oversee the functions of the committee fairly and correctly
- To ensure thoroughness and objectivity in the committee, receiving and responding to professional advice in the conduct of meetings and in individual cases/applications before formal committee meetings

#### Internal governance, ethical standards and relationships

- To develop the standing and integrity of the committee and its decision making
- To understand the respective roles of members, officers and external parties operating within the regulatory committee's area of responsibility ☐ To promote and support good governance by the Council.

### 3. Values

- To be committed to the values of the council and the following values in public office:
  - Openness and transparency
  - Honesty and integrity
  - Tolerance and respect
  - Equality and fairness
  - Appreciation of cultural differences
  - Sustainability



## **Member of a Regulatory Committee Role Description**

### **1. Accountabilities**

- To Full Council
- To the Chair of the regulatory committee

### **2. Role purpose and activity**

#### **Understanding the nature of the regulatory committee and quasi-judicial decision making**

- To be aware of the quasi-judicial nature of regulatory committee decision making
- To have sufficient technical, legal and procedural knowledge to contribute fairly and correctly to the function of the committee
- To be thorough and objective in receiving and responding to professional advice in the conduct of meetings and individual cases/applications before the committee

#### **Participating in meetings and making decisions**

- To participate effectively in meetings of the regulatory committee, ensuring that both local considerations and policy recommendations are balanced to contribute to effective decision making
- To make informed and balanced decisions, within the terms of reference of the committee, which accord with legal, constitutional and policy requirements

#### **Internal governance, ethical standards and relationships**

- To ensure the integrity of the committee's decision making and of his/ her own role by adhering to the Code of Conduct(s) and other constitutional and legal requirements
- To promote and support good governance by the Council
- To understand the respective roles of members, officers and external parties operating within the regulatory committee's area of responsibility

### **3. Values**

#### **To be committed to the values of the Council and the following values in public office:**

- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural difference
- Sustainability

## Chair of Standards Committee Role Description

### 1. Accountabilities

- To Full Council

### 2. Role Purpose and Activity

#### Providing leadership and direction to the committee

- To act within technical, legal and procedural requirements to oversee the functions of the committee fairly and correctly
- To ensure thoroughness and objectivity in the committee, when receiving and responding to professional advice on the Code of Conduct
- To demonstrate independence, integrity and impartiality in decision making which accords with legal, constitutional and policy requirements
- To provide confident and effective management of meetings to facilitate inclusivity, participation and clear decision making

#### To lead the committee in its role in:

- Promoting and maintaining high standards of conduct by Councillors, lay members and co-opted members
  - Assisting all members in their observance of the Members' Code of Conduct
  - Advising the Council on the adoption or revision of the Members' Code of Conduct
  - Monitoring the operation of the Members' Code of Conduct;
  - Advising, training or arranging to train Councillors and co-opted members on matters relating to the Members' Code of Conduct;
  - Granting dispensations to Councillors and co-opted members
  - Dealing with any reports from a case tribunal or interim case tribunal, and any report from the Monitoring Officer on any matter referred to that officer by the Public Services Ombudsman for Wales.
  - Developing and applying any local resolution protocols
  - The exercise of these functions (above) in relation to community councils and the members of those community councils
  - Working with Political Group Leaders to promote and maintain high standards of conduct by the Group members
  - Monitoring compliance by Leaders of Political Groups with their duty to take reasonable steps to promote and maintain high standards of conduct by members of the Group and advising, training or arranging to train the Leaders of Political Groups about these duties.
- (From May 2022)**
- Making an annual report to the Authority **(first report due in respect of the 2022/23 financial year, as soon as possible after year end)** describing how the committee's functions have been discharged during the financial year. The report may include any matter within the functions of the committee. The report must include:
    - How the committee has discharged its legal duties, particularly, how the committee has monitored the compliance of Group Leaders with their duties to take reasonable steps to promote and maintain high standards of conduct by members of the Group and the work of

the Committee in advising, training or arranging to train the Leaders of Political Groups about these duties.

- The degree of compliance of Group Leaders with their duty to take reasonable steps to promote and maintain high standards of conduct by members of the Group

### **3. Values**

**To be committed to the values of the council and the following values in public office:**

- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural differences
- Sustainability

## Member of a Standards Committee Role Description

### 1. Accountabilities

- To Full Council
- To the Chair of the Standards Committee

### 2. Role purpose and activity

#### Participating in meetings and making decisions

- To participate effectively in meetings of the Standards committee
- To make informed and balanced decisions, within the terms of reference of the committee, which accord with legal, constitutional and policy requirements, internal governance, ethical standards and relationships
- To ensure the integrity of the committee's decision making and of her/his own role by adhering to the Code of Conduct and other constitutional and legal requirements
- To promote and support good governance by the Council

#### To contribute to the role of the Standards Committee in effectively fulfilling its functions and to support the Committee Chair by:

- Promoting and maintaining high standards of conduct by Councillors, lay members and co-opted members
  - Assisting Councillors, lay members and co-opted members in their observance of the Members' Code of Conduct
  - Advising the Council on the adoption or revision of the Members' Code of Conduct.
  - Monitoring the operation of the Members' Code of Conduct
  - Advising, training or arranging to train Councillors, lay members and co-opted members on matters relating to the Members' Code of Conduct
  - Granting dispensations to Councillors and co-opted members
  - Dealing with any reports from a case tribunal or interim case tribunal, and any report from the Monitoring Officer on any matter referred to that officer by the Public Services Ombudsman for Wales
  - Contributing to the development and application of any local resolution protocol
  - The exercise of these functions (above) in relation to community councils and the members of those community councils
  - Working with Political Group Leaders to promote and maintain high standards of conduct by the Group members
  - Monitoring compliance by Leaders of Political Groups with their duty to take reasonable steps to promote and maintain high standards of conduct by members of the Group and advising, training or arranging to train the Leaders of Political Groups about these duties.
- (From May 2022)**
- Making an annual report to the Authority **(first report due in respect of the 2022/23 financial year, as soon as possible after year end)** describing how the committee's functions have been discharged during the financial year. The report may include any matter within the functions of the committee. The report must include:
    - How the committee has discharged its legal duties, particularly, how the committee has monitored the compliance of Group Leaders with their duties to take reasonable steps to promote and maintain high standards of conduct by members of the Group and the work of

the Committee in advising, training or arranging to train the Leaders of Political Groups about these duties

- The degree of compliance of Group Leaders with their duty to take reasonable steps to promote and maintain high standards of conduct by members of the Group

### **3. Values**

**To be committed to the values of the Council and the following values in public office:**

- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural difference
- Sustainability

## **Member of Governance and Audit Committee Role Description**

### **1. Accountabilities**

- To Full Council
- To the Chair of the Committee

### **2. Role purpose and activity**

#### **Participating in meetings of the committee and making decisions**

- To demonstrate independence, integrity, and impartiality in decision making according to legal, constitutional and policy requirements.
- To have regard to the requirements of the Chair of the Committee and the professional advice of senior officers of the authority including the Chief Financial Officer and Head of Internal Audit (or equivalent)
- To Comply with the authority's Code of Conduct
- To work according to the Terms of Reference for the Committee
- To contribute to the development of the forward work programme for the Committee.
- To promote the role of the committee within the authority
- To report as required to Council
- To respond to any recommendations made by the Auditor General for Wales
- To participate in any training and development required for the role

#### **Contributing to the work of the Committee in its role in:**

##### **Reviewing and scrutinising the authority's financial affairs**

- Make reports and recommendations in relation to the authority's financial affairs
- Oversee the authority's internal and external audit arrangements
- Work with internal and external auditors
- Review the financial statements prepared by the authority and approve them when powers are delegated including making relevant reports and recommendations.

##### **Contributing to the effective performance of the authority**

- Review the draft report of the authority's annual self-assessment and make recommendations for changes to the conclusions or actions that the authority intends to take
- Make recommendations in response to the draft report of the authority's Panel Assessment (commissioned once per term **from May 2022**)
- Review and assess the authority's ability to handle complaints effectively.
- Make reports and recommendations in relation to the authority's ability to handle complaints effectively.

#### **Reviewing and assessing the Governance, Risk Management and Control of the authority**

- Review and assess the risk management, internal control, and corporate governance arrangements of the authority
- Make reports and recommendations to the authority on the adequacy and effectiveness of those arrangements
- Review and Assess the financial risks associated with corporate governance, and be satisfied that the authority's assurance statements, including the annual governance statement, reflects the risk environment and any activities required to improve it

### **3. Values**

- To be committed to the values of the council and the following values in public office:
- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural differences
- Sustainability

## Chair of Governance and Audit Committee Role Description

### 1. Accountabilities

- To Full Council

### 2. Role Purpose and Activity

#### Providing leadership and direction

- To demonstrate independence, integrity, and impartiality in decision making according to legal, constitutional and policy requirements
- To provide confident and effective management of meetings to facilitate inclusivity, participation and clear decision making
- To comply with the authority's Code of Conduct
- To work according to the Terms of Reference for the Committee
- To work with senior officers of the authority including the Chief Financial Officer and Head of Internal Audit (or equivalent), to agree the forward work programme and to set agendas for the Committee.
- To work with other members of the authority to ensure that the work of the Committee is communicated to and aligns with that of the Cabinet, Standards and Scrutiny functions whilst maintaining appropriate independence.
- To promote the role of the committee within the authority.
- To report as required to Council
- To participate in and contribute to training and development required for the role
- To support committee members to develop the skills required for the role.
- To lead the committee in responding to any recommendations made by the Auditor General for Wales

#### Leading the Committee in its role in reviewing and scrutinising the authority's financial affairs

- Make reports and recommendations in relation to the authority's financial affairs
- Oversee the authority's internal and external audit arrangements
- Work with internal and external auditors
- Review the financial statements prepared by the authority and approve them when powers are delegated including making relevant reports and recommendations

#### Leading the Committee in its role in contributing to the effective performance of the authority

- Review the draft report of the authority's annual self-assessment. Make recommendations for changes to the conclusions or actions that the authority intends to take
- Make recommendations in response to the draft report of the authority's Panel Assessment (commissioned once per term **from May 2022**)
- Review and assess the authority's ability to handle complaints effectively.
- Make reports and recommendations to the authority about the authority's ability to handle complaints effectively.



## **Leading the Committee in its role in Reviewing and assessing the Governance, Risk Management and Control of the authority**

- Review and assess the risk management, internal control, and corporate governance arrangements of the authority
- Make reports and recommendations to the authority on the adequacy and effectiveness of those arrangements
- Review and assess the financial risks associated with corporate governance, and be satisfied that the authority's assurance statements including the annual governance statement reflect the risk environment and any activities required to improve it

### **3. Values**

- To be committed to the values of the council and the following values in public office:
- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural differences
- Sustainability

## **Leader of the Opposition Role Description**

### **1. Accountabilities**

- To the nominating group within the constitution

### **2. Role Purpose and Activity**

#### **Providing political leadership for an opposition group**

- To be a political figurehead for the opposition group; to be the principal political spokesperson for the Council's opposition.
- To provide leadership in the constructive challenge of the Council's policies
- To constructively challenge the vision for the Council and community where appropriate
- To provide strong, clear leadership in the co-ordination of alternative policies, strategies and service delivery

#### **Representing the Authority's opposition**

- To represent the Opposition Group to a high standard; providing a strong, competent and eloquent figure to represent the opposition within the Authority.
- To represent the Council on external bodies

#### **Internal governance, ethical standards and relationships**

- To promote and support good governance of the Council and its affairs
- To provide community leadership and promote active citizenship
- To promote and support open and transparent government
- To promote, support, and adhere to respectful, appropriate and effective relationships with employees of the Council
- To promote, support and adhere to the Member's Code of Conduct, Member/Officer Protocol and the highest standards of behaviour in public office

### **3. Values**

#### **To be committed to and demonstrate the following values in public office:**

- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural difference
- Sustainability
- Inclusive leadership
- Consensus building

### **Role of the Deputy Leader of the Opposition**

- To fulfil the duties of the Leader in his or her absence
- To assist the Leader in specific duties as required

## **Political Group Leader Role Description**

### **1. Accountabilities**

- To the nominating Group

### **2. Role Purpose and Activity**

#### **Providing political leadership to the Group**

- To be a political figurehead and role model for the Group
- To be the principal political spokesperson for the Group
- If in power, to provide Party Political leadership in the development of the Council's vision or policies and, if in opposition to provide constructive challenge and alternatives to the ruling Political Group's vision and policies.
- To canvass a range of views within the Political Group in the formulation of policy.
- To integrate and represent Political Group policy at a local level.
- To co-operate with other Political Groups where appropriate, particularly in matters of a non-Party Political nature.
- To chair and/or attend meetings where appointed to a representative role within the Council.
- To liaise with other local and regional representatives of the party.
- To be the representative voice of the Group for example and where applicable, in its dealings with outside organisations such as the Welsh Government or Senedd

#### **Internal governance, ethical standards and relationships:**

- To promote and support good governance of the Council and its affairs
- To provide community leadership and promote active citizenship
- To promote and support open and transparent government
- To promote, support, and adhere to respectful, appropriate and effective relationships with employees and other members of the Council
- To promote, support and adhere to the Member's Code of Conduct, Member/Officer Protocol and the highest standards of behaviour in public office
- Encourage due regard to the Seven Principles of Public life and to civility in public life
- To participate in and encourage Group members to take part in relevant development opportunities.
- To set clear expectations of the behaviour of group members and challenge any inappropriate behaviour
- To promote diversity among Group members
- To encourage Group members to claim salaries and reimbursements due to them in accordance with the determinations of the IRPW

**Duty to promote and maintain high standards of conduct by Group Members in accordance with the Local Government and Elections (Wales) Act 2021**

- Take reasonable steps to promote and maintain high standards of conduct by the members of the Group.
- Co-operate with the council's standards committee (and any sub-committee of the committee) in the exercise of the standards committee's functions. Specifically, to co-operate with the Standards Committee in its duty to monitor compliance of Group Leaders with their duty under the act and in providing information for the Standards Committee's annual report.
- To work constructively with the Monitoring Officer and other Group Leaders in relation to this duty
- To work within the local resolution protocol where this applies
- To participate in any training relating specifically to this duty.

### 3. Values

**To be committed to and demonstrate the following values in public office:**

- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural difference
- Sustainability
- Inclusive leadership
- Consensus building

#### **Political Group Leader supplementary guidance**

**The Local Government and Elections (Wales) Act places a duty on Group Leaders to take "Reasonable Steps" to promote and maintain high standards of conduct by the members of their group. The following note provides further interpretation of the Act in support of the Group Leaders' role description.**

- Group Leaders have a duty to promote and maintain high standards of behaviour by members of their group in a Unitary Authority. This applies to those group members whenever they are acting or giving the impression of acting in their capacity as a member.
- This duty has been introduced by the Welsh Government to encourage high standards of behaviour from members, including civility and respect in all situations and towards all people. The duty is not intended to be onerous and will not cover everyone (clearly those members who do not belong to a group), but rather to be proportionate and helpful and encourage the prevention of inappropriate behaviour before it becomes a breach of the Code.
- All councillors already have a responsibility to report breaches of the Code of Conduct
- The Duty applies to Group Leaders for their group members whenever these members are for example acting on the Council, in political group meetings, in the community and on outside bodies such as Fire and Rescue Authorities, National Fire Authorities, Police Authorities, Community and Town Councils, Corporate Joint Committees and school governing bodies.
- In the case of outside bodies, the standards of conduct which apply are those set out by the body on which the group member is serving. If these are not available, the Council Code of Conduct applies.

- The Duty does not make Group Leaders **accountable** for the behaviour of their members as Conduct must be a matter of **individual responsibility**. However, Group Leaders **must** take “Reasonable steps” to promote and maintain high standards of conduct by the members of the group. And **must** cooperate with the standards committee and any subgroup of the committee in the exercise of the standards committee’s functions. And **must** have regard to guidance issued by Welsh Ministers on these matters.
- “Reasonable steps” might include Group Leaders:
  - Having informal discussions with and/or requesting training for members who may be showing early signs of inappropriate behaviour to ‘nip this in the bud’ before it becomes problematic or in danger of breaching the Code.
  - Working constructively with Standards committees to report compliance with their duty, any serious concerns about members’ behaviour which have not been remedied by informal actions, and training requirements for themselves and for their group members.
  - Working constructively with and supporting the Monitoring Officer in these matters
  - Acting as a positive role model for members, demonstrating the highest possible standards of behaviour, civility, and respect.
  - Maintaining an awareness of what constitutes very high standards of behaviour, civility, and respect, particularly with regard to equalities and diversity.
  - Working constructively with other group members on the council and on other councils to ensure the highest possible standards of behaviour both in the Council and throughout Wales.
  - Welcoming and responding to concerns raised by Group members about behaviour in the group.
- Standards committees have a duty to monitor compliance by Political Group Leaders with their duties and advising, training or arranging to train leaders of political groups on the council about matters relating to their duties.
- Standards committees must give an annual report to council about their work including compliance of group Leaders with this duty.
- The sanctions which may be applied to group members acting inappropriately on an outside body are those set out by those bodies. Where sanctions are not set out, the Council rules apply.
- If a member has breached the Code of Conduct and is suspended, they are only suspended in the capacity as a member of one relevant authority. They would have to be disqualified for it to apply to their capacity as a member of more than one relevant authority. (Local Government Investigations (Functions of Monitoring Officers and Standards Committees (Wales) regs 2001)
- “A group leader who fails to comply with the new duty in a meaningful way may potentially be regarded as bringing their office into disrepute, in breach of paragraph 6(1)(a) of the Code”  
The Public Services Ombudsman for Wales, [The Code of Conduct for members of local authorities in Wales May 2021.](#)

## **Member Champion Purpose and Role**

### **What are Member Champions?**

Member Champions exist to provide a voice for traditionally underrepresented groups, or issues which need to be kept at the forefront of council business although they may not be the responsibility of any individual or committee.

Member Champions, (sometimes called lead members) are elected members who in addition to their other council responsibilities make sure that the issue or group that they are championing are taken into account when council policy is being developed and decisions are made. Members act as champions in areas such as children, homelessness, equalities, older people, young people, scrutiny, member support and development, health improvement and anti-poverty. There is a statutory role for a lead member of children's and young people's services with a responsibility for over-seeing the arrangements made under sections 25 and 26 of the 2004 Children Act.

Guidance on undertaking the role with regard to the subject knowledge that members need is sometimes available from the outside bodies associated with the issue being championed for example the toolkit for older peoples' champions from the LGA. Otherwise they will be reliant on their authority for guidance in the subject they lead on and also their role as lead member in this area.

### **What do they do?**

Typically, the lead member will:

- Make sure that their area of interest is taken into account when developing policy or making decisions
- Ask questions about performance and resourcing for the area
- Raise the profile of the area and make the authority aware of good practice.
- Engage with external bodies who work in the area
- Engage with other officers and members in relation to the role.
- Engage with community groups with an interest/stake in the area ☐ Report action to the council

### **How does their role fit within the corporate structure?**

This will vary according to the area/issue that is being championed and how the authority functions. There is potential for confusion and overlap between the role of the member champion and those of the relevant executive member or overview and scrutiny members. The champion role itself could be undertaken by either the relevant executive member or a non executive member.

It is therefore important that members and officers work together to agree roles and action for the area being championed and that there are mechanisms for lead members to report on their activities. It is helpful for the authority to draft a protocol which sets out what powers champions have and do not have, such as whether or not they are able to make decisions on behalf of the

authority. Similarly, the appointment of champions varies between authorities, and includes appointments being made by full council meetings or by the leader.

### **The Role Description**

It is difficult to create a role description that fits with the different roles expected of champions and how they operate in the different authorities' structures. The following is a generic model which will require local adaptation, particularly to reflect the difference that may exist between a statutory role, one undertaken by an executive member and a non- executive lead.



## **Member Champion Role Description**

### **1. Accountabilities**

- To Full Council

### **2. Role Purpose and Activities**

#### **Within the Council**

- To promote the interest being championed within the Council's corporate and service priorities
- To promote the needs of the client group represented in the interest to the decision makers within the council
- To work with the decision makers in the Council to establish strategies/ policies/work plans connected with the interest
- To maintain an awareness of all matters connected with the interest
- To contribute to good practice and the continuous improvement of services and functions related to the interest
- To engage with members in matters related to the interest such as attending Overview and Scrutiny/Cabinet /Full Council meetings etc.
- Raising awareness of and taking a lead role in the development of all members and officers in relation to the interest

#### **In the Community**

- To raise the profile of the interest in the community
- To engage with citizens and community groups in matters related to the interest
- To lead and support local initiatives related to the interest

### **3. Values**

**To be committed to the values of the Council and the following values in public office:**

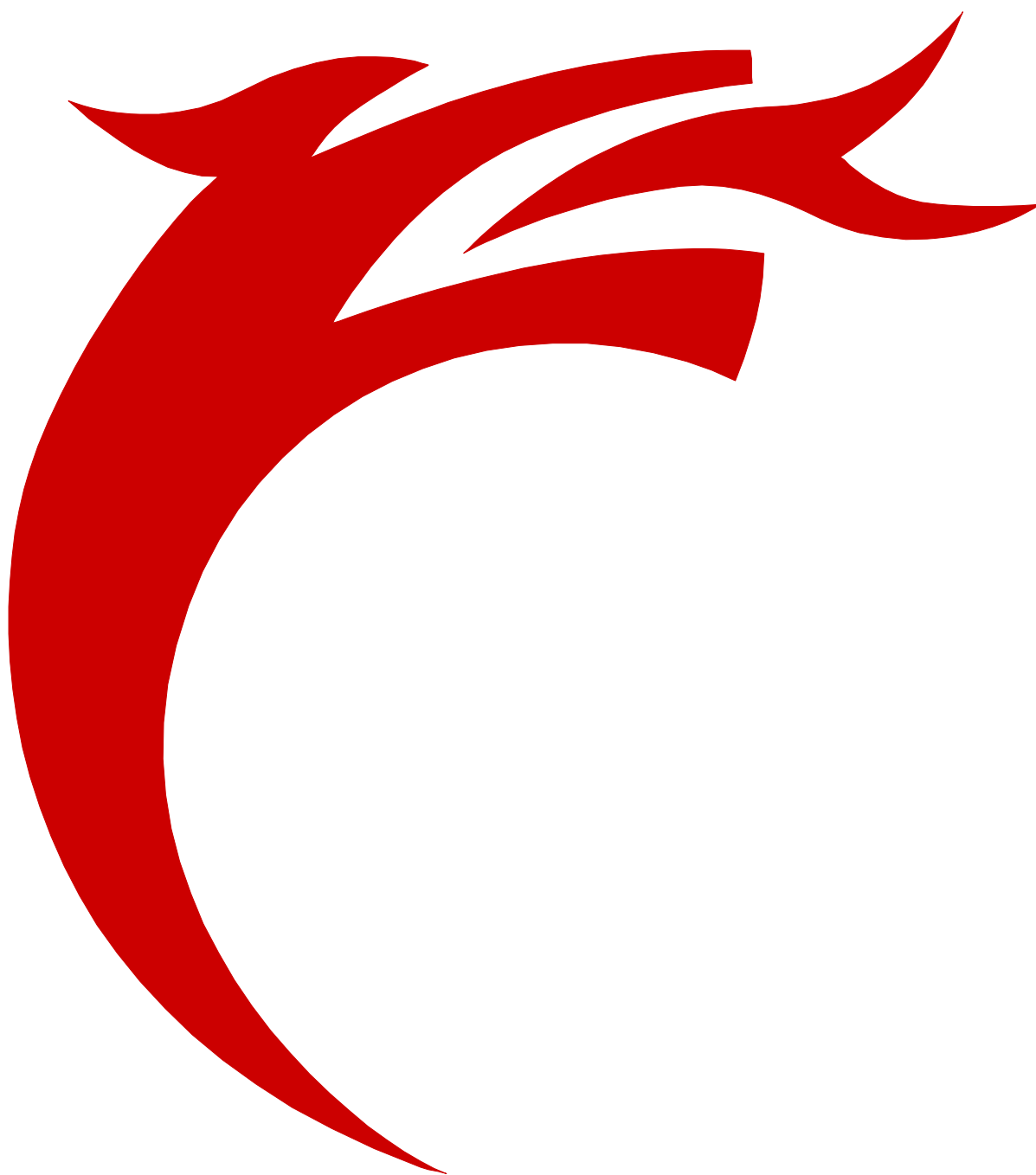
- Openness and transparency
- Honesty and integrity
- Tolerance and respect
- Equality and fairness
- Appreciation of cultural difference
- Sustainability
- Inclusive leadership

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# Guidance for Member Mentors



WLGA • CLILC



This guidance has been prepared for members intending to act as mentors for newly elected or less experienced member colleagues.

It is intended to be a short, informal, practical tool to support members who have received training, in their mentoring practice.

It is part of the support and guidance offered by the Welsh Local Government Association to authorities who are developing local strategies for member mentoring. It has been created within the context of the Welsh Strategy for Member mentoring and alongside the Model Local Authority Mentoring Strategy.

Development workshops based on this guidance are available from the Association for members on request.

We would like to thank members for their observations which have informed the guidance, and for "road testing" it. We are also grateful to officers from the Member Support Officer Network who have contributed examples from their own guidance, Carol O'Donnel from the LGIU, and the LGIU, IDeA and APSE for the tools provided from their Mentoring Handbook.

For further information contact

Sarah Titcombe, Organisational and Personal Development Advisor, WLGA tel 02920 468638  
sarah.titcombe@wlga.gov.uk

## Guidance for Member Mentors

### 1. What is mentoring?

Mentoring is a voluntary, confidential, one to one relationship in which an individual uses a more experienced or more senior person as a sounding board for guidance. It enables the mentee to “grow” in their role in skills, knowledge, understanding and behaviour. It can be a medium, long term or ongoing relationship. It is not a prescriptive or directive relationship but rather one which allows the mentee to find their own way, assisted by the mentor.

### 2. What does a mentor do?

As a mentor you will form a voluntary, confidential, one to one relationship with someone who is less experienced than yourself. This person will seek to use you, your skills, knowledge and experience as a guide and support for their personal and professional development and a sounding board for their ideas and approaches.

The agenda for your discussions will be primarily set by your mentee although you may need to guide them in clarifying their goals for what they hope to achieve from the relationship. Typically you might discuss:

- Working within the organisation: I'm new to the authority how does it all work here?
- A new role: I'm a new Scrutiny Chair, can you help me understand the role?
- Career development: Where do I go from here? How do I get there?
- Political challenges: How do I get my voice heard in the group?

The role of mentor brings with it significant responsibilities. you have a responsibility to:

- Work within a code of practice (Appendix C)
- Use a mentoring contract (Appendix B)
- Develop your mentoring skills through training

### 3. How do I do it?

Before working with a mentee, it is helpful to get into the appropriate frame of mind, this requires some self awareness and the ability to see how you might be perceived. Some of the attitudes you would want to have and demonstrate are:

- Respect for the mentee. Although their values or style may be different from yours you should always attempt to maintain unconditional respect for them and be non judgemental.

- Empathy. The ability to regard a situation as if you were in it, from your mentee,s point of view, this helps you to help your mentee come to their own solutions rather than yours.
- Commitment to supporting the mentee to set their own agenda and come to their own decisions/solutions. i.e. an outcome that is right for them.
- Commitment to confidentiality. To be able to guarantee that the information that you discuss goes no further than you have agreed.
- Awareness of your position as role model. You can demonstrate many of the qualities that your mentee would aspire to.

The relationship can last for as long as both parties agree that it is helpful. Either party has the ability to dissolve the relationship when it has run its natural course or if the pairs are not compatible or productive. We encourage you to arrange to review the usefulness of the relationship with your mentee regularly.

#### **4. A framework that can help**

Your mentoring sessions will be a conversation where the mentee sets the agenda and you act as a sounding board. Through actively listening to what they have to say and the skilful use of questioning and challenge you will help them to learn and develop. Mentors are also able to provide some guidance about how the local government and political context works, how to find out further information and, when appropriate, share their own experience.

To provide some structure to the sessions and make sure that the outcomes set by the mentee are reached it is helpful to have a framework to work through. You might like to use a popular widely used model - GROW.

**Goals:** The mentee sets out their goal/goals for the session or programme which might start out by being quite nebulous. With the help of the mentor these can be clarified so that they become clearer. You can ask:

- What do you want to achieve?
- What do you want from this meeting?
- What do you need to know about?

**Reality:** The current situation, including any barriers to the goals that might exist, including a reality check to see if the mentee perceives the true situation. You can ask:

- What is happening?
- Why is it a problem?
- What do you mean by that – can you give me an example?
- What have you tried - What happened?
- How do you feel about that?

**Options:** The mentee is encouraged to look at a variety of alternatives and evaluate them. You can ask

- What options do you think there are?
- What have you tried?
- What are the pros and cons of this?
- Is there anything else you could do?

**Way forward:** The mentee chooses a course of action. You can ask:

- Can you summarise what you are going to do by when?
- What obstacles and objections do you expect?
- How will you overcome them?
- Who will you get support from?
- What resources do you need?
- When should we review progress?

## 5. Some skills you can use

### Active listening

Active listening is about immersing yourself in what someone is saying truly seeking to understand their position. It's also about giving signs that you are listening, remembering what they have said and encouraging the mentee to say more. It's not about thinking about what you can say next. Use body language to show that you are genuinely interested and paraphrase to check understanding.

### Questioning

Use different questioning techniques:

- Open e.g. How do you feel about what happened?
- Closed e.g. Do you think that's true?
- Leading e.g. So were you thinking about setting up a meeting with x?
- Hypothetical e.g. What might happen if you were to do that?
- Analytical/ challenging e.g. What caused you act in that way? What do you think the effect on x was as a result of your actions?

Bear in mind that "why" is a fairly challenging question. 'What caused you to' is less threatening than 'why did you do that'

### Giving feedback

Give feedback when invited but always be supportive and constructive and wherever possible positive. Helpful feedback is:

- Clear - everyone knows what the message is

- Owned – it's your own perception and not objective truth
- Balanced – contains both positive and negative
- Evidence based – can be backed up

You should encourage your mentee to give feedback to you in this style on the mentoring relationship.

## **6. Some Tools you can use**

The following are a set of widely used tools or models that you can *offer* to your mentee to help them examine an issue or situation in a structured way. Remember that some people like to use tools and others don't!

The tools are sourced from the LGIU, IDeA and APSE Mentors Handbook by Carol O'Donnell at the LGIU.



## Learning from Mistakes - Analysis

<b>What happened: a description of the issue or problem</b>
<b>When did it happen?</b>
<b>What/who was involved?</b>
<b>Why did it go wrong?</b>
<b>What have I learnt from this?</b>

**Learning from mistakes – changes**

<b>What changes do I need to make?</b>
<b>How will I make the changes?</b>
<b>When will I make these changes?</b>
<b>When will I review progress?</b>

*LGIU, IDeA, APSE.*

## Visioning

**Visioning exercises are used as a means of defining and achieving a desirable future action. Studies have shown that we are more likely to reach an objective if we can see it and imagine the steps to reach it.**

**What would/could the end result look like?** (Try to describe it as clearly and specifically as possible)

**How would/could you get there?**

**Would/could it carry credibility?** (Try to consider all the people likely to be involved. How credible is this to them?)

**What would/could happen if this course of action were not pursued?** (Try to think in terms of the 'worst case scenario' as well as any others)

By assessing the risk in this way not only do you build up a picture of the possible outcomes; you can also develop contingency plans to protect yourself against the 'worst case scenario'

*LGIU, IDeA, APSE*



## Cost Benefit Analysis

This process can be used with an individual to examine the advantages and disadvantages that might accumulate from taking various courses of action. It encourages the individual to step back and assess them against the cost or investment required to achieve the benefits. It can also help clarify the disadvantages of taking a particular course of action and highlight the risk factors.

Action	Benefits	Disadvantages	Cost (Money, people, time, etc.)
1.			
2.			
3.			
4.			

LGIU, IDeA, APSE.

## **7. What happens if I need help?**

Inevitably as a mentor you will find yourself in need of some support. If the relationship is deteriorating you might need to talk to someone about why this might be and what you could do about it. You might find yourself being asked questions which you are unsure how to answer or are unclear where to signpost your mentee.

For this reason it's helpful to have someone with whom you can "check out" the more challenging aspects of the mentoring relationship. You might find it helpful to identify for yourself a "mentors mentor" who is prepared to be bound by the same confidentiality contract as yourself and can offer you support when you need it.

## **8. Guidance for Mentees**

Mentors will find it helpful to provide a copy of the guidance attached at Appendix A to their mentee.

## **9. The Mentoring Contract between Mentor and Mentee**

These issues (Appendix B) should be discussed at the beginning of the relationship and both parties should agree to abide by the resulting decisions.

## **10. Code of Practice for Member Mentors**

Before undertaking work with a mentee, the mentor will agree to act within a code of practice (attached at Appendix C)

It is essential that mentors abide by this code. This guarantees a high quality of support for the mentee provided by a mentor who works within an appropriate professional framework guaranteeing confidentiality and engendering the trust necessary for the relationship to work.

## **Appendix A**

### **Guidance for Mentees**

Mentors will find it helpful to provide a copy of the following guidance to their mentee

#### **What can a mentee expect?**

As a mentee, you will form a voluntary, confidential, one to one relationship with a person who is more senior/experienced than yourself. You can use this person, their skills, knowledge and experience as a guide and support for your own personal and professional development and as a sounding board for your own ideas and approaches.

You will set the agenda for your discussions. Typically you might discuss:

- Working within the organisation: I'm new to the authority how does it all work here?
- A new role: I'm a new Scrutiny Chair can you help me understand the role?
- Career development: Where do I go from here? How do I get there?
- Political challenges: How do I get my voice heard in the group?

The relationship can last for as long as both parties agree that it is helpful. Either party has the ability to dissolve the relationship when it has run its natural course or if the pairs are not compatible or productive. We encourage you to arrange to review the usefulness of the relationship with your mentor regularly

#### **How to be a good mentee**

As a mentee you have a responsibility to:

- Agree to maintain appropriate confidentiality
- Take responsibility for your own learning
- Work within the mentoring contract agreed with your mentor

#### **Your relationship with your mentor will be most productive if you are**

- Proactive in identifying your aims for the relationship
- Prepared to take responsibility for yourself and the outcomes you want
- Receptive to what the mentor has to say
- Prepared to be honest, open and trust what the mentor shares with you
- Able to feedback to your mentor regularly on how you think the relationship is working out
- Willing to end the relationship if its is not working or you no longer need the support

If you have a problem with the arrangement that cannot be resolved with your mentor, you might want to approach the people who have helped broker the relationship for support.

## **Appendix B**

### **The Mentoring Contract between Mentor and Mentee**

These issues should be discussed at the beginning of the relationship and both parties should agree to abide by the resulting decisions.

#### **1. Time and place**

- Both parties agree how much time they are able to give including work between meetings if necessary
- Frequency of meetings
- Duration of relationship (how long before a review)
- Venues - away from the usual working environment, private, out of reach of phones and colleagues

#### **2. Scope/context**

- What will be covered?
- What might some of the learning goals, short and long term be?
- The mentee sets the agenda

#### **3. Relationships and Responsibilities**

- The Mentor has a responsibility to act within a code of practice (see appendix c)
- The meetings are a priority - once set shouldn't be altered if avoidable
- The mentee is responsible for their learning and actions
- There is a responsibility on both sides for honesty and trust
- Both parties need to take responsibility for suggesting the ending of the relationship when appropriate

#### **4. Confidentiality**

- Agreement on confidentiality or where any information goes
- Should notes be made? What happens to any notes during and after the arrangement?
- Will there be any discussions with the mentors mentor/sponsors/ peers?



## Appendix C

### Code of Practice for Member Mentors

Before undertaking work with a mentee the mentor will agree to act within this code of practice.

Throughout the relationship and after it has been concluded, the mentor will:

#### 1. Competence

- undertake training in mentoring
- agree to work only within their level of competence
- understand and agree to work within this code
- seek personal support when necessary from an appropriate mentors mentor

#### 2. Context

- agree to understand and operate within the political/organisational context where the relationship is taking place
- seek to meet the learning and development needs of the mentee

#### 3. Boundaries

- agree to work within the boundaries of the mentoring relationship, i.e work/professional development/performance, not straying into areas where they are not qualified/experienced such as counselling or psychotherapy or into an inappropriate personal relationship
- be prepared to refer the mentee to other sources of information/expertise or professional assistance as appropriate

#### 4. Confidentiality

- maintain a level of confidentiality agreed with the mentee both during and after the relationship has ended
- disclose information only when agreed with the mentee unless the mentor believes that there is convincing evidence of serious danger to the mentee or others if the information is withheld

#### 5. Integrity and professionalism

- act within appropriate law/policy/values of the authority e.g. equal opportunities and HR policies
- consider the learning and development needs of the mentee as brought to the relationship as paramount
- seek to understand the needs and point of view of the mentee maintaining respect for the mentee throughout the relationship
- not exploit the mentee in any way or put their own interests before that of the mentee

*I the undersigned agree to work with my mentee in accordance with the above Code of Practice*

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# Audit Committee Annual Report 2020/21

Cardiff Council



Gweithio dros Gaerdydd, gweithio gyda'n gilydd  
Working for Cardiff, working together

# Contents

	<b>Page</b>
<b>1.</b> Foreword by David Hugh Thomas, Chairperson of the Committee	1
<b>2.</b> The Role of the Audit Committee	4
<b>3.</b> Our Work in 2020/21	5
• Standard Items	5
• One-off Items	10
<b>4.</b> Audit Committee Self-Assessment	15
<b>5.</b> Key Observations 2020/21	17
<b>6.</b> Opinion of the Committee for 2020/21	17
<b>7.</b> Looking Ahead to 2021/22	20
<b>8.</b> Committee Membership 2020/21	21
<b>9.</b> Attendance in 2020/21	21
<b>10.</b> Contacts	22
<b>Annex Information</b>	
<b>Annex 1</b> - Audit Committee Terms of Reference 2020/21	23
<b>Annex 2</b> - Self-Assessment Action Plan	26
<b>Annex 3</b> – Committee Attendee Feedback	27
<b>Annex 4</b> - Member Profiles	28

## 1. Foreword by David Hugh Thomas (Chairperson of the Audit Committee)

There can be no doubt that 2020/21 has been a very challenging year for Cardiff Council, both as elected Members and Officers, not forgetting the people of the communities whom they seek to serve. In delivering our Work Programme during the municipal year, the Audit Committee has been mindful of the wide range of financial, economic, and social risks associated with the pandemic, and the importance of seeking assurance on all items that come before us.

Over the course of the year, Senior Officers have reported to us on the co-ordinated approach employed by them in tackling the important challenges associated with the pandemic; these have included

- The Chief Executive on the incident management arrangements invoked since the onset of the pandemic
- The Corporate Director Resources (Section 151 Officer) has kept us fully informed on financial resilience and management challenges, and
- The Audit Manager has briefed the Committee on the design of effective systems and counter-fraud checks in the Council's administration of Welsh Government relief funding
- Internal Audit Reports have provided assurance that overall adequate arrangements were in place to deliver good governance, risk management and control.

It would be remiss of me if I did not record at this point my thanks to all Elected Members of the Committee, and the Independent Lay Members (whose detailed profiles are set out in Annex 4 of this Report) for serving on this Committee. I believe that a strong sense of teamwork has been engendered, and the meetings have generally been well attended, having regard to the demands on Elected Members' time fulfilling their other roles and responsibilities. To support any new Member, induction training has been provided prior to their attending their first meeting.

Currently, the Committee has one vacancy, for an Independent Lay Member, arising from the decision taken in March 2021 by former Chairperson, Ian Arundale, to tender his resignation with regret, and immediate effect. Since November 2019, he had been on Council approved leave of absence, but having been asked by the Home Office to extend his short term contract to the end of 2022, Ian considered that resigning was the honourable thing to do from the view of clarity, resilience, and leadership of the Committee, at a time when it was assuming new Statutory responsibilities. An appropriate letter of appreciation, on behalf of the Committee, has been sent to Ian, expressing thanks for his years of valued service. All Elected Member seats are filled at this time. Annex 4 also sets out details of members of the Committee "Who Left in-Year", whose contribution to the Committee was also much appreciated and valued.

Throughout the year, the Audit Committee has benefited from the highly professional support of

- Accountancy
- External Audit (Audit Wales)
- Risk Management, and
- Treasury Management

Concerns raised by Committee members, or identified through various Committee Reports (such as those from Internal and External Audit) have often resulted in the accountable Officers being invited to attend a Committee Meeting.

The Committee has also continued to receive reports from members of the Senior Management Team (SMT) on the Council's Directorate Control Environments, encompassing governance, risk Management, and internal control/assurance arrangements. This has given the Audit Committee a good opportunity to engage with members of SMT individually, and to seek relevant assurance in their respective areas of responsibility.

The All Wales Audit Committees' Chairs' Forum has proven to be a very useful forum to discuss issues of common interest, receive updates, and share experiences and best practice in the presence of expert advice. The event in November 2020 was held by video link, and sponsored by the Welsh Local Government Association (WLGA); their support resulted in items from CIPFA and Audit Wales on a range of relevant topics. A similar event is planned for the year ahead.

The Audit Committee Work Programme is received at each Committee meeting, facilitating changing risks and priorities to be given due consideration, whether they are put forward by Elected Members, Officers, External Stakeholders, or other Committees of the Council. The importance of our role to a range of stakeholders is recognised. We have reflected on the effectiveness of governance, risk management and control in providing overall assurance opinion and informing the Council's Annual Governance Statement 2020/21.

We continue to promote awareness of our work through the publication of a Committee Newsletter, twice a year, and have done so since October 2018, supporting the Council's culture of accountability and assurance.

We have also taken the time to review our performance, so as to give confidence to those relying on our work. In January 2021, we held a self-assessment workshop against the best practice CIPFA Framework. This involved reflection on the feedback we receive from those attending Committee meetings.

Looking forward, the implications of The Local Government & Elections (Wales) Act, 2021, has been a particularly important area of focus, not least because of the re-designation of the Audit Committee as the Council's "Governance and Audit Committee", widening its role to include additional responsibilities commencing on dates in 2021/22. The present Committee has taken a number of preparatory steps in readiness for its new role, including:-

- (i) Considering the provisions of the Original Bill
- (ii) Reviewing the Welsh Local Government Association's co-ordinated response to the Bill.
- (iii) Participation in a discussion at the All Wales Audit Chairs' Network Forum, where we were supported by the expert advice described earlier
- (iv) Participation in the consultation on the statutory guidance for the Bill which received Royal Assent in January 2021.

Cardiff Council have updated and aligned the Terms of Reference and the Work Programme of the re-designated Committee to meet all new responsibilities, details of which are outlined within the body of this Annual Report.

Looking forward to 2021/22, in my opinion, the financial, economic and social challenges facing the Council, public services, and the community will still be significant. In the context of an ongoing COVID-19 pandemic, a challenging financial environment is inevitable, coupled with increasing demand for public services and ever improving performance.

I am in no doubt whatsoever that our widened role as a Governance and Audit Committee in the year ahead will bring with it expectations, but the importance of assurance and oversight will remain critical ingredients in discharging our responsibilities.

**D. H. Thomas. Chairperson**



## 2. The Role of the Audit Committee

The Audit Committee has delivered an important role to increase public confidence in the objectivity and fairness of financial and other reporting and provide independent assurance over governance, risk management and control processes.

The Local Government (Wales) Measure 2011 has required the Council to have a Committee to:

- review and scrutinise the authority's financial affairs
- make reports and recommendations in relation to the authority's financial affairs
- review and assess the risk management, internal control and corporate governance arrangements of the authority
- make reports and recommendations to the authority on the adequacy and effectiveness of those arrangements
- oversee the authority's internal and external audit arrangements, and
- review the financial statements prepared by the authority.

The Measure has required Independent Lay Member representation on the Audit Committee. The Council determined that the membership of its Audit Committee would be twelve Members (eight Elected Members and four Independent Lay Members), which meets the requirement of the Measure and the recently introduced Local Government and Elections (Wales) Act 2021.

The Terms of Reference of the Audit Committee for 2020/21 is included within Annex 1 from which an overview of its role is summarised in the following statement of purpose:

### Statement of Purpose

- Our Audit Committee is a key component of Cardiff Council's corporate governance. It provides an independent and high-level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards.
- The purpose of our Audit Committee is to provide independent assurance to the members of Cardiff Council, and its wider citizens and stakeholders, on the adequacy of the risk management framework and the internal control environment. It provides an independent review of Cardiff Council's governance, risk management and control frameworks and oversees the financial reporting and annual governance processes. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place.



### 3. Our Work in 2020/21

The Audit Committee received regular reports in relation to standard agenda themes and received reports of interest based on risk, governance and internal control matters during 2020/21. Details are provided below.

#### Standard Items

##### 3.1 Finance

Chris Lee (Corporate Director Resources (Section 151 Officer)) has provided financial updates at every meeting to provide Committee Members with an overview of the financial standing of the Council during a period of ongoing unprecedented financial pressure.

The Committee has noted the challenges facing the Council in respect to its budget strategy for both the year hence and the medium term.

The Committee has received, reviewed and had the opportunity to comment on key finance reports in 2020/21, including:

- Draft Statement of Accounts 2019/20 and Audit Report
- Draft Annual Governance Statement 2019/20
- Cardiff & Vale of Glamorgan Pension Fund Statement of Accounts 2019/20 and Audit Report
- Treasury Management reports, independent review, and updates
- Financial Resilience updates

The Audit Committee considered the unaudited draft Statement of Accounts 2019/20 of Cardiff Council including Cardiff Harbour Authority, and the Cardiff and the Vale of Glamorgan Pension Fund in September 2020. This followed our participation in a 4-week consultation process, which enabled questions to be raised with, and received from, lead finance officers. At the time of the September meeting, the external Audit was ongoing whilst the statutory deadline for the Accounts to be audited and published had been extended from 15 September 2020 to 30 November 2020.

A special subsequent Audit Committee meeting was arranged to consider and discuss the audit reports for the annual accounts in October 2020 with external audit (Audit Wales). The Cardiff Harbour Authority audit report provided a qualified audit opinion, and were advised by Audit Wales that this was a technical requirement as due to the pandemic there had not been a year-end stock check. Audit Wales stressed that this was not uncommon in local authorities in that year. Following further discussion with management, we received a briefing to provide further details, which provided an assurance that there were no issues with regards to stock figures upon stock count.

The pandemic has provided substantial financial challenges, and the Committee has taken particular interest in the information and updates provided by the (Corporate Director Resources (Section 151 Officer)) in each Committee meeting. Through these updates, we have been kept informed about matters of budget strategy and performance, Welsh Government relief claims and funding received and overall financial resilience. We will continue to closely monitor arrangements in place during the period of recovery from the pandemic.

## 3.2 Governance and Risk Management

The Committee has formed a view on the Council's governance, risk management and internal control arrangements taking into account the information presented by the Corporate Director Resources (Section 151 Officer), Audit Wales, the Audit Manager, Risk Management Team and other officers of the Council.

The Committee plays a key role in contributing to and challenging the contents to be included in the Annual Governance Statement (AGS). The AGS is an important governance disclosure document and accompanies the Statement of Accounts.

The Audit Committee reviewed the AGS 2019/20 in July 2020. The Audit Committee will review the AGS 2020/21 following the financial year-end, in which the 'Opinion of the Committee for 2020/21' (section 8) will be disclosed.

The Committee has received and had the opportunity to comment on the following governance and risk management disclosures:

Committee Meeting Date	Item Reviewed
July 2020	<ul style="list-style-type: none"><li>▪ Draft Annual Governance Statement 2019/20</li><li>▪ Corporate Risk Management (Q4 Update) 2019/20</li></ul>
November 2020	<ul style="list-style-type: none"><li>▪ Corporate Risk Management (Q2 Update) 2020/21</li></ul>
January 2021	<ul style="list-style-type: none"><li>▪ Senior Management Assurance Statement Mid-Year 2020/21</li></ul>
March 2021	<ul style="list-style-type: none"><li>▪ Corporate Risk Management (Q3 Update) 2020/21</li></ul>

Within the Council's Code of Corporate Governance, the Senior Management Assurance Statement (SMAS) process is a core mechanism for senior management self-review and provides an open disclosure of the application of good governance. The Committee welcomes ongoing development of the SMAS process in line with the Code to provide a wider level of independent challenge from various Council disciplines, and strengthen the assurance provided.

We have noted that there was a deviation from the normal senior management assurance process following the 2019/20 year end, as outlined in the Annual Governance Statement for that year due to the onset of the pandemic, following which the normal process resumed. We have continued to review the Senior Management Assurance Statements and we have also probed members of SMT and sought further assurance through the reports we have received from them individually on their directorate control environments throughout the year.

There have been changes to operational governance arrangements during the year, as incident management arrangements were invoked. Governance arrangements were subject to a review by Internal Audit this year and received an effective assurance opinion, and the Chief Executive provided an overview of the incident management arrangement applied this year, when he attended a Committee meeting in March 2021.

We have received regular risk management updates from lead officers throughout the year, and have discussed risk management at corporate and directorate levels with the senior officers who have attended Committee meetings during the year. Further information is provided in sections '3.6 - Control environment Reviews', and '3.7 - Areas of Particular Focus' of this report.

### 3.3 Treasury Management

The Audit Committee seeks assurance that the Council has complied with the Treasury Management Strategy and Practices, and has demonstrated effective risk and performance management.

Over the past twelve months, the Committee has received reports on the Treasury Management Annual Report 2019/20, Mid-Year Report 2020/21 and the Treasury Management Strategy 2021/22.

Through the treasury management reports and updates in Committee meetings, Members have taken the opportunity to scrutinise and challenge the approach adopted and decisions taken. This is a complex area, through which the Committee has delivered its role through probing and scrutinising strategies, reports and data provided.

Members have continued to focus attention on the use of reserves, the levels of borrowing and investment, and the management of risk. To support the Audit Committee in its role, Members of the Audit Committee were provided with treasury management training in January 2020 from the Council's external treasury advisors.

Treasury Management is subject to regular Internal Audit, and during 2019, it was subject to a review commissioned with the Council's treasury management advisors. This review considered the corporate team's skills, compliance with best practice, required regulations and professional guidance. The report was complimentary, and we received a management response with target dates for the small number of actions raised.

### 3.4 External Audit (Audit Wales)

The Committee places reliance on the work of Audit Wales as the Council's external auditors. The Committee has received key documents throughout the year:

- Audit Activity / Progress Updates
- External Audit Recommendation Tracker
- National and Council Reports
- Annual Audit Summary 2020
- Audit of Accounts Reports 2019/20

The Audit Committee has received regular updates from Audit Wales, led by Ann-Marie Harkin with responsibilities now transferred to Derwyn Owen (Engagement / Financial Audit Director), Phil Pugh (Financial Audit Manager) and Sara-Jane Byrne (Performance Audit Manager). In addition to Cardiff specific studies, Audit Committee Members received a number of other national and regional study updates from Audit Wales, with the key findings and messages communicated.

#### Recommendations

The Committee considered an External Audit Recommendation Tracker item, which had been collated as a corporate document and reported for the first time to a Committee meeting in January 2021. The item provided an opportunity to comment on and consider the progress the Council is making in addressing recommendations made by Audit Wales. There is a commitment to using the tracker to reinforce accountability for addressing recommendations. The tracker will be considered

by the Committee twice a year, extended to include wider regulatory, inspectorate and external assurance reports, and supplemented with details of which Committees of the Council or Boards the various reports have been reported to for information and assurance.

## Reports

In the September 2020 Audit Committee meeting, we considered the latest counter-fraud report of the Auditor General for Wales, 'Raising Our Game' Tackling Fraud in Wales. The audit was designed to answer the question: 'Are the arrangements for preventing and detecting fraud in the Welsh public sector effective?' The report considered that all public bodies in Wales should focus on raising their game to tackle fraud more effectively through considering fifteen recommendations across seven themes. Members received a presentation from Audit Wales, and the Audit Manager presented Cardiff Council's management response to the national recommendations. Through discussion with Audit Wales and the Audit Manager, we were advised that many of the national recommendations either were in place, or were being actively worked upon, in Cardiff Council. Members recognised that the Council has a small counter-fraud specialist team, and although capacity is limited, a number of Welsh local Authorities do not have this provision. We receive regular updates on counter-fraud activities and outcomes in Committee meetings, through which we will continue to monitor and discuss the Council's important work in this area.

In the November 2020 Audit Committee meeting, we considered:

- A national report on financial sustainability in local government as a result of the COVID-19 Pandemic for information, and a Financial Sustainability Assessment of Cardiff Council accompanied by a management response in November 2020. Whilst Audit Wales reported no major concerns about the Council's financial resilience, significant challenges were noted over the medium term given the savings required. We have been advised that further work is being undertaken, and we await further reports with keen interest.
- A national Audit Wales report on commercialisation in Local Government. The report had recently been received and it was recognised that any actions taken in respect of the report would need to be in accordance with the policy direction of the current administration. Audit Wales advised that the report was not prescriptive in its definition of 'commercialisation' for which there was a broad spectrum of approaches that could be applied. Officers agreed to consider the forum and approach for considering the report.

## Wider Reports

We received the Annual Audit Summary 2020 from Audit Wales in January 2021, which reported an outline of the work undertaken in 2019/20 and the findings, an overview of reports published by other regulatory bodies, and an overview of planned work for 2020/21.

The Audit Committee's review of the Audit of Accounts Reports and Audit Certificates 2019/20 is outlined in 'Section 3.1 – Finance'.

### 3.5 Internal Audit & Investigation Teams

The Committee continues to place reliance on the work of the Council's in-house Internal Audit Team. It receives a progress report from the Audit Manager on a quarterly basis, which includes audit opinions, critical findings and progress against the audit plan, together with wider performance measures and audit recommendation tracking information.

The Audit Manager has had a functional reporting role to the Audit Committee and reports managerially to the Head of Finance (Deputy Section 151 Officer). The Committee has been assured that throughout the year that there have been no impairments to Internal Audit independence or objectivity in accordance with the Public Sector Internal Audit Standards (PSIAS).

After a period of consultation, the Internal Audit Charter and the Internal Audit Plan 2020/21 were accepted by the Audit Committee, and formal approval was provided in the first Committee meeting of the municipal year, on 28 July 2020. At this time, the Audit Committee also considered the Audit Strategy.

The Committee has been kept informed of the impact of the pandemic on the capacity of audit staff and clients this year. The approach followed by the Team was to provide advice and support to management as the Council adapted services and established new systems in response to the pandemic at the start of the year, followed by focussed delivery of the assurance audit plan from quarter two, when services commenced a formal and managed restart.

A substantial provision was included in the Audit Plan for COVID-19 related audit consultancy work, and a prioritised approach was followed for substantial coverage audit coverage of fundamental systems and corporate governance, and a targeted spread of wider assurance work across directorates. The Internal audit Team achieved 55% of Audit Plan this year against a target of 60% (the previous year's achievement was 70%). During the year, we received a technical advisory note from CIPFA, which had informed the approach to prioritising the audits to be delivered in order to sufficiently cover the full control environment of the Council with the resources available.

The Committee received the following key documents during the year:

- Internal Audit and Investigation Team Progress Reports
- Internal Audit Recommendation Tracker
- Internal Audit and Investigation Team Annual Reports
- Changes to key documents and Internal Audit and Investigation Team action plan updates.

The Audit Plan 2020/21 included audits of a thematic nature to gain assurance in each directorate across the Council. The thematic work substantially concluded within the year related to 'Commissioning and Procurement' and 'Income and Debtors', whilst a number thematic 'Asset Management' audits from the previous year were also concluded.

An overview of all issued audit reports has been provided to the Audit Committee, with emphasis given to recommendations allocated a priority rating of Red or Red / Amber. The Audit Committee has received and had an opportunity to monitor all audit recommendations and the associated management responses and updates until the point of implementation.

The number of audit recommendations implemented within agreed timescales is improving, but requires further management attention, with performance at 69% against a target of 80%. It is essential that audit clients prioritise delivering audit recommendations within the timescales they

agree to, and to support this sentiment, we wrote to a small number of directors who had particularly overdue recommendations in their portfolio during the year.

Internal Audit is subject to an external review every five years in order to report conformance with the Public Sector Internal Audit Standards (PSIAS). The Audit Manager of Rhondda Cynon Taf Council carried out this review during 2017/18, and provided assurance that the Internal Audit function conformed to the standards. The Audit Committee has received ongoing internal assurance through performance reports in each Committee meeting this year from the Audit Manager that the Internal Audit Service is operating in conformance with the PSIAS.

The Committee will receive a full year overview of audit work completed, and key messages, when the Internal Audit Annual Report 2020/21 is presented in our first Committee Meeting of 2021/22. This report will provide the Audit Manager's opinion on the Council's overall position in relation to risk, governance and control and an annual review and assurance statement on conformance with the PSIAS.

On a quarterly basis, the Audit Committee received an overview of the activities and outcomes of the work of the corporate Investigation Team. Committee also received details of wider counter-fraud work, initiatives, and counter-fraud training developed and attended across the Council. The Audit Committee has considered the Council's 'Anti-Money Laundering Policy', and the 'Authorisation and Protocol Requirements for Review of Work Activities' ahead of Cabinet approval in December 2020 and March 2021 respectively. Committee also received information this year on the Council's participation in International Fraud Awareness week in November 2020 and its participation in, and the outcomes of, the CIPFA Fraud and Corruption Tracker 2020 exercise.

The Committee has been advised of the risk of fraud and error associated with administering a range of emergency and relief payments on behalf of Welsh Governments at pace this year. Over the year, the Council distributed more than £100 million to local businesses, and the Internal Audit and Investigation Teams advised management on the design of systems and counter-fraud checks in accordance with scheme requirements as part of a multidisciplinary team. We have been advised of the data matching and manual checks completed, the outcomes, and the planned participation in a further National Fraud Initiative data matching exercise in 2021/22 for further post award assurance.

## **One-off Items**

The Audit Committee has engaged with senior officers through its programme of work this year for assurance on the control environment for their respective areas of oversight. We have also considered certain legislation and matters of good governance, risk management and control this year with particular focus and details are provided below.

### **3.6 Control Environment Reviews**

#### **a. Council Control Environment**

In March 2021, we welcomed Paul Orders, Chief Executive to attend our Committee and provide an overview of the Council's control environment comprising an outline of, and assurance on, the Council's overall arrangements for governance, risk management and internal control. The

Committee recognises the challenging financial environment facing the authority, and the Chief Executive continues to emphasise the important role of the Section 151 Officer, and SMT in making the interventions necessary to effectively to manage Council finances.

The Committee was provided with:

- An outline of the incident management arrangements invoked during the pandemic and the mechanisms which have been used for briefings, decision-making, reporting and risk management.
- Details of the preparations that were put in place in November 2020, for both the UK's departure from the EU and anticipated winter pressures.
- The recovery priorities for the year ahead from the Council's new Corporate Plan, and the programme of city renewal to be published in May 2021.
- An update and insight on the framework and activities relating to corporate risk management, senior management assurance, internal audit and wider assurance.

We raised questions and had discussions on elements of risk management, partnership arrangements and UK funding.

## **b. Directorate Control Environment Reviews**

One Corporate Directors and three further Directors attended Audit Committee meetings in 2020/21 to provide an overview of their directorate control environments. We were provided with details of directorate governance, risk management and internal control, and the prominent matters discussed and actions agreed were as follows:

### **Social Services**

Sarah McGill, the Corporate Director responsible for Social Services attended a Committee meeting in January 2021 to provide a control environment update. We received an overview of the Directorate structure and were asked to note the services and significant budgets being managed, for which the Corporate Director recognised that robust monitoring arrangements are crucial. An outline was provided of key risks, the results of a senior management assurance self-assessment exercise, and the arrangements for oversight and review of directorate risks and Internal Audit actions.

The Committee received details of progress in responding to Internal Audit reports, at which point in time there were no overdue actions, but a number of actions still needed to be completed. We commented on the relatively high number of 'insufficient' Internal Audit opinion reports and were advised that these reports covered a wide range of issues and were being responded to via the design of processes, compliance, considering skills and accountability, and through addressing any structural issues.

We noted the high number of senior management assurance statement responses for which aspects of good governance application were self-assessed as 'mixed' and needed improvement. We also received the position against recently received inspection reports, including an inspection of the Youth Offending Service that provided an adverse assurance opinion. We were advised that steps

have been taken to learn from the experience and to ensure demonstrable improvements that can be reported on.

## **Education and Lifelong Learning**

Melanie Godfrey, Director of Education of Lifelong Learning attended a Committee meeting in March 2021, four months after appointment, to provide an overview of the directorate control environment. The Committee received a report covering risk management, the response to Internal Audit actions, the results of a senior management assurance self-assessment, governance details in respect of the Schools Organisational Programme, an update on the work of Estyn and value for money information.

Over a number of years, we have sought regular reports from senior management in the Education and Lifelong Learning directorate, following concerns raised through Internal Audit reports on good financial management in school-traded services and on school governance. We have also sought ongoing assurance on the arrangements to manage school balances, and to address audit recommendations. In advance of the meeting, the Director received a letter from the Audit Committee Chairperson requesting an update on the position in respect of addressing Internal Audit recommendations both in schools and within the wider directorate. A written response was provided and messages were reinforced through the Director's report and presentation to Committee.

During the March meeting, we were advised of the arrangements that the new Director is putting in place to enhance existing arrangements, including assigning new staff resources and responsibilities to support coordination and oversight of improvements.

## **Economic Development**

Neil Hanratty, Director of Economic Development attended a Committee meeting in March 2021 to provide an update on the directorate control environment and to address how management are responding to a recent Audit Wales 'Review of Leisure Services' report. In advance of the meeting, the Director received a letter from the Audit Committee Chairperson requesting an update on the position in respect of addressing Internal Audit recommendations, and a detailed response was received.

During the meeting, we received a presentation, which contained the outturn budget position, information on the management structure and background details on the Leisure contract to supplement the Committee papers we had received. Audit Committee papers provided details of the approach to engaging with and responding to Internal Audit, and analysis of the position in respect of audit actions. We also received information on the wider control environment, including risk management arrangements, the results of a senior management assurance self-assessment, a summary of major project governance, external assurance details, and certain examples of value for money.

We discussed the general matters of directorate governance, risk management and control, and we gave particular focus to the Audit Wales review of Leisure Services. Details of the discussion on the Audit Wales review are provided in the following section (3.7).



### 3.7 Areas of Particular Focus

In addition to our standard areas of work, the Audit Committee considered certain legislation, and matters of good governance, risk management and control this year with particular focus. A brief account of our reviews of these areas is included below.

#### Local Government and Elections (Wales) Act 2021

The Local Government and Elections (Wales) Act has been a particularly important area of focus, as it changes the name of the Audit Committee to a Governance and Audit Committee, and it widens its role to include additional responsibilities commencing in 2021/22, requiring us to:

- Review the Council's draft Self-Assessment Report 2021/22 and each year thereafter, and make appropriate recommendations for changes.
- Consider and make recommendations in response to the Council's Panel Assessment Report when received.
- Review and assess the Council's ability to handle complaints effectively.
- Review the Council's draft response to any Auditor General recommendations arising from a 'special inspection' in respect of the Council's performance requirements, and make any appropriate recommendations for changes.

The Act also requires a third of Committee Members to be Independent Lay Members, and for one of whom to be Chairperson. This requirement was already met by the existing composition of the Council's Audit Committee (eight Elected Councillors and four Independent Lay Members (with one Independent Lay Member being the Chairperson)).

The Committee has taken a number of steps to understand and prepare for its new role as a Governance and Audit Committee. Further information is provided below.

In January 2020, we received an overview of the full Bill in a Committee meeting and we raised a range of comments. We subsequently received details of the WLGA's coordinated response to the Bill, which reinforced a number of the points we felt required further clarity.

In November 2020, through our All Wales Audit Committee Chairs' Network, Audit Wales provided a guidance and information session to the Chairs of the Audit Committees across Welsh Local Authorities on the Bill. As part of the day, which was sponsored by the WLGA and delivered via a remote video session, we also received expert guidance and contributions to discussion from Diana Melville, the Governance Advisor for CIPFA. The discussion was very useful at a time when we were starting to consider how to deliver our responsibilities in practice for the year ahead.

During December 2020 and early January 2021, we considered a consultation on the Statutory Guidance for the Bill. The Bill received Royal Assent in January 2021.

In March 2021, we agreed our Terms of Reference for the year ahead includes our new responsibilities and was developed through a technical review by lead Council officers, informed by peer group discussions with the Welsh Chief Auditors Group and in consultation with the WLGA. Our Terms of Reference was approved by Council in May 2021.

We have added a performance section to our work programme through which we will cover items related to our new areas of responsibility.

## **Education and Lifelong Learning Assurance**

As referred to in section 3.6, the Audit Committee has continued to raise concerns about governance and compliance matters in schools and school-traded services, which are regularly responsible for a greater proportion of audit reports giving concern. We were keen to have early engagement with the new Director of Education, to discuss this position and the arrangements for oversight and assurance going forward. The Director promptly attended an Audit Committee meeting in March 2021.

We are encouraged by the coordinated response the Director provided to both a letter that we wrote requesting an account and assurance of the Directorate response to Internal Audit Recommendations, and to the report we received on the Directorate control environment for the March 2021 Committee meeting. We were advised that actions had been taken with new staff resources and responsibilities assigned to support coordination and improvements. We will monitor the position through the information and assurance we receive from Internal Audit, and we look forward to ongoing engagement with the new Director.

We note that the Internal Audit Team has completed fewer individual school audits this year, but it has engaged all schools in a Control Risk Self-Assessment (CRSA) exercise. Through this exercise, schools responded to a detailed set of questions on governance, risk, compliance and control and submitted a portfolio of evidence to support the assertions made. Given the operational adjustments that schools have needed to make throughout 2020/21 the approach to auditing schools has been pragmatic, whilst we welcome the outcomes of a range of school audits that are arranged for 2021/22.

## **Waste Management Assurance**

There have been ongoing concerns about the robustness of controls in relation to the Waste Management function. Notably, in recent years, a wide-scale investigation into allegations of fraud was completed and disciplinary proceedings have concluded, whilst Police liaison is ongoing. In relation to this investigation, Committee has:

- Received a confidential briefing following the financial year-end (as at 31 May 2021) containing summary information on the disciplinary cases and outcomes, and details of the targeted work of Internal Audit in areas of the Waste Management Service where there have been allegations or concerns.
- Requested an opportunity to consider the terms of reference for a post investigation review to be completed at the appropriate time, to ensure lessons are learned.

Targeted work has been completed by Internal Audit to verify the operation of key controls, the management of risk and the overall control environment in areas where there have been concerns or allegations of fraud and financial impropriety. There has been a gradual improvement in the assurance opinions received from Internal Audit, although ongoing assurance is required.

In March 2021, Audit Committee met with the Director of Economic Development, who has taken responsibility for Waste Management. In advance of the meeting, a letter was written to the Director requesting by the Committee's Chairperson requesting an update and assurance on the position in addressing audit recommendations, and a detailed response was received. We will continue to maintain a close eye on the delivery of improvements required.

## Review of Leisure Services

As part of the update from the Director of Economic Development to Audit Committee in March 2021, we received information on the response to a recent Audit Wales 'Review of Leisure Services' report. We had reviewed the initial management response to the report's recommendations when we considered the External Audit Recommendation tracker in January 2021, and we invited the Director to provide a more detailed update to Committee in March.

Matters of contract specification and governance that were raised in the Audit Wales report for which the Committee has requested further information and assurance. In considering the report and its recommendations, we raised comments on:

- The importance of contingency arrangements to mitigate any current or future contract issues.
- The proposal for the social value tool to be reviewed to ensure it is effective and that there is assurance in its measurement and use.
- Our interest in a follow up report planned by Audit Wales, and an audit of Governance in Leisure Contracts planned by Internal Audit.

Management acknowledged our comments and advised that there will be a comprehensive review, following the decisions to date on the contract and provision, encompassing affordability and long-term sustainability.

The Committee recognises the challenging environment that leisure services are operating within, which has been exacerbated by the ongoing pandemic, and in this setting will keep a keen eye on the respective assurance received from the reports of Audit Wales and Internal Audit in the year ahead.

## 4. Audit Committee Self-Assessment

### Context and approach

In January 2021, the Audit Committee held a Self-Assessment Workshop, to review its performance against a best practice CIPFA framework. Following the process introduced in previous years' assessments, Audit Committee Members were asked to undertake an Individual Assessment against the CIPFA core knowledge and skills areas in advance of the collective workshop. This enabled the results to be reflected upon when considering the overall assessment.

To further inform and supplement the self-assessment workshop the Committee also reflected on the feedback from those attending Audit Committee meetings on the performance and the value they gained from their attendance.

### Self-Assessment

Individual Assessments were completed by five of the ten Audit Committee Members in active service at the time.

From the Individual Assessments completed, whilst there was strong self-assessed performance in each core area, Counter-Fraud and Treasury Management represented the lowest self-assessed areas overall. The areas involving disciplines of a more technical continue to be scored comparatively lower

for the Committee as a whole, although a proportion of individual Committee Members have self-assessed as at least strong for knowledge and application in each of the ten core areas.

In respect of the collective Self-Assessment Workshop held in January 2021, the results were as follows.

Through our review of good practice, Audit Committee self-assessed:

- Twenty three areas were assessed as ‘fully in place’
- Two areas were assessed as ‘partly in place’
- No areas, were assessed as ‘not in place’

For the areas reported as ‘partly in place’, the Committee considered:

- When reflecting on our assessment against the CIPFA Core Knowledge and Skills Framework - We have reasonable awareness of our training needs, through Individual Assessments against the Framework, but we acknowledge that with a partial completion rate (50%) the action should not be considered complete;
- When reflecting on the recommendations we raise and the extent to which they are acted on - Whilst actions / recommendations are raised as part of Committee meetings, and subsequently monitored, we considered the Committee could more proactively review their status and consider follow on actions within Committee meetings. A mechanism has been agreed as an action to support this.

For our review of Audit Committee effectiveness, we used a 5-point rating scale, ranging from ‘no evidence’ (point 1), to ‘clear evidence’ (point 5) of the work and support of Audit Committee to delivering improvement in a range of areas.

Of the nine areas reviewed:

- Three were assessed at point 5, with clear evidence from a number of sources that the Committee is actively supporting improvements;
- Three areas were assessed at point 4, with clear evidence from some sources of the effective support for improvements;
- Two areas were assessed at point 3, as having mixed experience and evidence of Audit Committee support.
- One area was assessed as 3.5 (midway between point 3 and 4).

The three areas scored as ‘mixed’:

- In respect of ‘helping to ensure appropriate governance, risk and control arrangements’, the Committee considered it was discharging an effective role through the items it receives and its engagement with senior officers. However, it considered there was a need to review major projects and programmes to provide clear evidence of effective support for improvements. Accordingly, the Committee arranged to receive reports governance arrangements in the Schools Organisational Programme and Major Project Governance from the respective Directors in its March 2021 meeting.
- In respect of ‘supporting the development of robust arrangements for ensuring value for money’, the Committee considered that, there was a carry forward action from last year to

receive measures of value for money in reports from senior officers. This requirement and expectation was communicated to the senior officers who attended the March 2021 Committee meeting, and greater detail was provided to assist Committee in its value for money considerations.

- In respect of 'promoting effective public reporting to the authority's stakeholders and local community and measures to improve transparency and accountability', Members considered that good engagement and communications were in place, whilst further Committee attention will be targeted in respect of partnership arrangements.

The Action Plan and feedback information from those attending Audit Committee are included in Annex 2 and Annex 3 of this report respectively.

## **5. Key Observations 2020/21**

The Audit Committee Work Programme has been developed and discharged with the support of Audit Wales, Internal Audit and other Council Officers, to deliver the Audit Committee terms of reference with a focus on the significant risks and challenges facing the Council.

The Committee has achieved an overview of the Council's priorities, risks and controls through the many items received through its Work Programme. The Committee has focussed on achieving assurance on the effective arrangement across directorates to respond to the challenges of maintaining controls, displaying good governance and managing risks. Through engagement with senior officers, and receiving a range of management and independent assurances, the Committee has gained a good understanding of the services provided and the challenges faced. We have responded proportionately with assurance and challenge, as appropriate, and documented within section 3 of this report, 'Our Work'.

In addition, the Committee has had the opportunity to challenge and discuss actions taken in response to External and Internal Audit Reports, and we have undertaken reviews of particular matters of good governance, risk management and control, through inviting senior officers to Committee meetings to provide information and assurance. Through this information and engagement, we have identified the assurance and coverage required to deliver our role, from which our Annual Opinion for 2020/21 and areas of particular interest going forward are documented in the following section.

## **6. Opinion of the Committee for 2020/21**

Based on the evidence presented to the Audit Committee during 2020/21, it is the considered view of the Audit Committee (subsequently renamed Governance and Audit Committee) that the Council does have, for the most part, sound internal controls and governance arrangements in place. Strategic risks representing the true challenges facing the Council are captured and reviewed on a regular basis. Examples of where the Committee continues to have concerns, which will be incorporated into the Committee's Work Programme for 2021/22, include:

## **6.1 Budget Management**

The Committee recognises the sustained financial pressure that the Council is under and notes that whilst the overall financial position was balanced, some particular directorates had significant overspends for which control improvements are needed, and management attention and actions are required in directorates to achieve budget savings proposals put forward. Budget management is particularly pertinent at this time given the pressures facing local authorities as they respond to the ongoing pandemic. This unprecedented environment follows a number of years in which the financial parameters within which the Council operates have been constrained.

Welsh Government support has been received this year to mitigate the impact of the pandemic on budgets, and there has been considerable officer attention and effort to record, verify and submit claims to recover eligible expenditure that has increased, and eligible income that has been lost during the crisis. The Committee is keen to observe effective arrangements for budget management and control once this funding ends. The Committee will carefully scrutinise budget management arrangements over the year to come, through observing the use of appropriate management controls and interventions, and continuing to reinforce expectations for delivery.

## **6.2 Internal Control**

Assurance on compliance and control is essential. For a number of years there have been continued constraints on resources, together with a growing population and greater demand for public services. As the Council faces significant challenges in how it delivers services, it remains essential that internal controls are not neglected or impaired, and that strong controls operate throughout reformed processes and systems. Additionally, the pandemic has necessitated the adaptation of systems, and in some cases the design of new systems, in order to respond to new priorities. We have been advised of the substantial level of consultation, advice and guidance provided by the Internal Audit and Investigation Teams to support management to design and uphold robust controls as they navigated new priorities and responsibilities. The Committee has noted the inherent risks associated with the Council's requirement to administer and distribute a significant amount of Welsh Government emergency funding at pace this year. It has been important for the Committee to receive relevant assurances during the year, and we have received briefings on the arrangements for up-front controls, post award assurance checks and the progression and outcomes of cases identified for investigation.

The Committee has invited senior officers to attend its meetings this year, to account for their delivery of good governance, risk management and control. In addition, the Committee has continued to receive the details of all Internal Audits completed, and the respective assurance ratings. This year we have observed isolated internal control gaps, and unsatisfactory audit opinions, but whilst the number of unsatisfactory Internal Audit opinions remain low, management must maintain sound systems of internal control and promptly address identified weaknesses.

There have been ongoing concerns about the robustness of controls in relation to the Waste Management function. In recent years, a wide-scale investigation into allegations of fraud was completed and disciplinary proceedings have concluded, whilst Police liaison is ongoing. We have received a confidential briefing following the financial year-end (as at 31 May 2021) referring to the disciplinary cases and outcomes, which links to the targeted work completed by Internal Audit to verify the operation of key controls, the management of risk and the overall control environment.

There has been a gradual and generally sustained improvement in the assurance opinions of Internal Audit in Waste Management over the financial year, although continued management attention and assurance are required. To support the importance of addressing audit reports we wrote to the Director of Economic Development who provided an account for the delivery of audit recommendations. We will consider the terms of reference for a post investigation review in the year ahead, to ensure lessons are learned.

The Committee receives a list of all Internal Audit recommendations raised and agreed, and visibility of updated management comments until the point of implementation. Whilst the Committee has an overall assurance of internal control, we continue to require officers to account for services or functions where internal control weaknesses have been identified. We continue to challenge any impairment in stewardship and control of public funds and assets, seeking prompt and proportionate management actions. The Committee has considered the Internal Audit Plan for 2021/22, and will closely monitor its progress and findings over the year ahead.

### **6.3 Financial Resilience (including Treasury Management)**

In a position of constrained finances, the Committee will continue its consideration of the framework for financial decisions. The Committee has received updates on financial resilience as part of the finance updates and, in recent years has welcomed the independent assurance of the Council Treasury Management activities, by the Council's Treasury Management advisors.

The Governance and Audit Committee will continue to look to gain assurance of sound treasury management practices and strategy. This is vital work, which will both safeguard and deliver best value from the Council's borrowing and investments. The Committee has and will continue to seek assurance that the levels and profiles of investments and borrowing are appropriate and in line with the Treasury Management Practices, Strategy and Reports presented.

### **6.4 Schools Governance & Compliance**

The Committee has raised concerns about governance and compliance matters in schools and school-traded services for some time, which are regularly responsible for a greater proportion of audit reports giving concern. Through overseeing the work of internal audit, we have observed that certain schools have not achieved a satisfactory level of stewardship and internal control.

In view of an ongoing need for regular school governance assurance, we arranged early engagement with the incoming Director of Education and Lifelong Learning after their appointment this year, and we discussed the arrangements for monitoring controls and progress of governance improvements in schools. We were advised that actions had been taken with new staff resources and responsibilities assigned to support coordination and improvements. We will monitor the position through the information and assurance we receive from Internal Audit, and we look forward to ongoing engagement with the new Director. This is with the understanding that the Governance and Audit Committee can request the attendance of those directly responsible for governance at an individual school level, to a Committee meeting, in the event that assurances are not considered as sufficient.

The Internal Audit Team adapted its approach to school audits this year. Fewer individual school audits were completed than usual, but all schools were engaged with through a Control Risk Self-Assessment (CRSA) exercise. Through this exercise, schools responded to a detailed set of questions on governance, risk, compliance and control and submitted a portfolio of evidence to support their

assertions. We are advised that the Internal Audit team sampled 25% of Cardiff schools, through a desktop review, to provide a broad level of baseline assurance. Given the operational adjustments that schools needed to make throughout 2020/21, the approach to auditing schools has been pragmatic, and we welcome the outcomes of a range of individual school audits arranged for 2021/22.

The Committee acknowledges that the Council is not able to set rules for schools to adhere to regarding contracting matters, albeit advice can be offered on good practice. This area of interest remains a priority of the Committee and we continue to support the production and use of best practice guidance in schools to strengthen financial stewardship and control.

## **7. Looking ahead to 2021/22**

During the forthcoming municipal year, we will continue to be guided by the professional advice of our Corporate Director Resources, Audit Manager and the Internal and External Audit teams.

Our work programme has been expanded and agenda items are being arranged to cover our full range of responsibilities in accordance with the Local Government and Elections (Wales) Act 2021, of our renamed Governance and Audit Committee. Our programme of work will include monitoring the management of the existing matters highlighted in section 6 of this report (the 'Opinion of the Committee for 2020/21') as well any new issues, which require our attention.

We will continue to deliver our responsibilities with the necessary level of flexibility to deliver our role comprehensively, through relevant engagement and consultation with relevant officers and stakeholders both within and outside of formal Committee meetings.



## 8. Committee Membership 2020/21

The Committee consists of four Independent Lay Members and eight Councillors, elected by Council (detailed in Annex 4). Independent members are appointed for no more than two administrative terms with Council Members reappointed annually. Prior to the municipal year-end, one Independent Lay Member had resigned and arrangements were being put in place for a new recruitment exercise.

The Committee has been serviced by Council Officers, principally the Corporate Director Resources (Section 151 Officer), and the Audit Manager. Representatives from Audit Wales have also attended Committee meetings.

The Audit Committee met on 6 occasions throughout the municipal period 2020/21 on the following dates: 28 July 2020; 8 September 2020; 20 October 2020; 17 November 2020; 26 January 2021 and 23 March 2021. Due to COVID-19 restrictions, the meeting planned for 23 June 2020 was cancelled.

## 9. Attendance in 2020/21

### Committee Meeting Attendance

Attendance 2020/21	Possible	Actual
<b>Independent Lay Members</b>		
Hugh Thomas (Chairperson)	6	6
Gavin McArthur (Deputy Chairperson)	6	5
David Price	6	6
Ian Arundale (stood down on 23.03.21) (period of agreed leave of absence 28.11.19 – 23.03.21)	0	0
<b>Non-Executive Councillors</b>		
Councillor Jayne Cowan (appointed 26.11.20)	2	2
Councillor Stephen Cunnah	6	5
Councillor Russell Goodway (appointed 23.07.20)	6	3
Councillor Nigel Howells	6	6
Councillor Keith Jones (appointed 18.03.21)	1	0
Councillor Ashley Lister (stood down on 14.12.20)	4	2
Councillor McKerlich (stood down 08.10.20)	2	2
Councillor Elaine Simmons	6	0
Councillor Kanaya Singh	6	1
Councillor Joel Williams	6	6

All Committee Members received induction training prior to attending Audit Committee meetings.

## 10. Contacts

<b>David Hugh Thomas</b> Chairperson of the Governance and Audit Committee	<i>Please contact via the Audit Manager</i>
<b>Christopher Lee</b> Corporate Director Resources	029 2087 2300 <a href="mailto:Christopher.lee@cardiff.gov.uk">Christopher.lee@cardiff.gov.uk</a>
<b>Chris Pyke</b> Audit Manager	029 2087 3455 <a href="mailto:cpyke@cardiff.gov.uk">cpyke@cardiff.gov.uk</a>
<b>Derwyn Owen</b> Engagement Director (Financial Audit), Audit Wales	07909 882609 <a href="mailto:Derwyn.Owen@audit.wales">Derwyn.Owen@audit.wales</a>
<b>Phil Pugh</b> Audit Manager (Financial Audit), Audit Wales	07964 118615 <a href="mailto:phil.pugh@audit.wales">phil.pugh@audit.wales</a>
<b>Sara-Jane Byrne</b> Audit Manager (Performance Audit), Audit Wales	07786 111385 <a href="mailto:sara-jane.byrne@audit.wales">sara-jane.byrne@audit.wales</a>

## **Audit Committee Terms of Reference 2020/21**

### Statement of Purpose

- Our Audit Committee is a key component of Cardiff Council's corporate governance. It provides an independent and high-level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards.
- The purpose of our Audit Committee is to provide independent assurance to the members of Cardiff Council, and its wider citizens and stakeholders, on the adequacy of the risk management framework and the internal control environment. It provides an independent review of Cardiff Council's governance, risk management and control frameworks and oversees the financial reporting and annual governance processes. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place.

### Governance, Risk & Control

- To review the Council's corporate governance arrangements against the good governance framework, including the ethical framework and consider annual governance reports and assurances.
- To review the Annual Governance Statement prior to approval and consider whether it properly reflects the risk environment and supporting assurances, taking into account the internal audit opinion on the overall adequacy and effectiveness of the Council's framework of governance, risk management and internal control.
- To consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.
- To consider the Council's framework of assurance and ensure that it adequately addresses the risk and priorities of the Council.
- To monitor the effective development and operation of risk management in the Council.
- To monitor progress in addressing risk-related issues reported to the Committee.
- To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions.
- To review the assessment of fraud risks and potential harm to the Council from fraud and corruption.
- To monitor the Counter-fraud strategy, actions and resources.
- To review the governance and assurance arrangements for significant partnerships or collaborations.

### Internal Audit

- To approve the Internal Audit Charter.
- To review proposals in relation to the appointment of external providers of internal audit services and to make recommendations.

- To approve the risk-based internal audit plan, containing internal audit's resource requirements, the approach to using other sources of assurances and any work required to place reliance upon those other sources.
- To approve significant interim changes to the risk based internal audit plan and resource requirements.
- To make appropriate enquiries of both management and the audit manager to determine if there are any inappropriate scope or resource limitations.
- To consider any impairments to independence or objectivity arising from additional roles or responsibilities outside of internal auditing of the Audit Manager. To approve and periodically review safeguards to limit such impairments.
- To consider reports from the Audit Manager on Internal Audit's performance during the year including the performance of external providers of internal audit services. These will include:
  - Updates on the work of internal audit including key findings, issues of concern and action in hand as a result of internal audit work
  - Regular reports on the results of the Quality Assurance and Improvement Programme (QAIP)
  - Reports on instances where the internal audit function does not conform to the PSIAS and Local Government Application Note (LGAN) considering whether the non- conformance is significant enough that it must be included in the Annual Governance Statement.
- To consider the Audit Manager's annual report:
  - The statement of the level of conformance with the PSIAS and LGAN and the results of the QAIP that support the statement – these will indicate the reliability of the conclusions of internal audit
  - The opinion on the adequacy and effectiveness of the Council's framework of governance, risk management and control together with a summary of the work supporting the opinion – these will assist the Committee in reviewing the Annual Governance Statement.
- To consider summaries of specific internal audit reports as requested.
- To receive reports outlining the action taken where the Audit Manager has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions.
- To contribute to the Quality Assurance and Improvement Programme and in particular the external quality assessment of internal audit that takes place at least once every five years.
- To consider a report on the effectiveness of internal audit to support the Annual Governance Statement, where required to do so by the Accounts and Audit Regulations.
- To provide free and unfettered access to the Audit Committee Chair for the Audit Manager, including the opportunity for a private meeting with the Committee.

#### External Audit

- To consider the external auditor's annual letter, relevant reports, and the report to those charged with governance.
- To consider specific reports as agreed with the external auditors.

- To comment on the scope and depth of external audit work and to ensure it gives value for money.
- To commission work from internal and external audit.
- To advise and recommend on the effectiveness of relationships between external and internal audit and other inspector agencies or relevant bodies.

#### Financial Reporting

- To review the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.
- To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.
- To seek assurances that the Council has complied with the Treasury Management Strategy and Practices by demonstrating effective control of the associated risks and pursuing optimum performance consistent with those risks.

#### Accountability Arrangements

- To report to Council on the Committee's findings, conclusions and recommendations concerning the adequacy and effectiveness of the governance, risk management and internal control frameworks, financial reporting arrangements and internal and external audit functions.
- To report to Council on an annual basis and to publish an annual report on the Committee's work, its performance in relation to the Terms of Reference, and its effectiveness in meeting its purpose.
- To raise the profile of probity generally within the Council and to report on matters of concern to the individual Cabinet Member, relevant Scrutiny Committee, Cabinet or to Council as necessary and appropriate.
- To work in synergy with the five Scrutiny Committees of the Council and liaise with other Council Committees as and when appropriate to avoid duplication in work programmes.

#### Training & Development

- To attend relevant training sessions in accordance with the Member Development Programme including specialist training tailored for Members of the Audit Committee e.g. Treasury Management.

**Self-Assessment Action Plan**

**January 2021**

	<b>Action</b>	<b>Status / Target</b>
1.	All Committee Members to ensure they have completed an Individual Assessment (against the CIPFA knowledge and skills framework).	Ongoing Activity Targeted completion 31 March 2021
2.	For tracking and reporting purposes, in any cases where the Committee raises recommendations, these will be recorded on a recommendation tracker, to be monitored separately from the actions log and reported to each Committee meeting.	Ongoing Activity Commencing March 2021
3.	Audit Committee to communicate via the Audit Manager, the requirement for Directors to address the following areas in their internal control environment reports, whilst providing any specific further information, as requested: <ul style="list-style-type: none"> <li>• A greater focus on directorate-level risks and governance</li> <li>• Evidence or further detail of external assurance reports and findings</li> <li>• Measures of directorate value for money</li> </ul>	To be in place as appropriate for any future senior officer Committee attendance.
4.	Relevant Senior Officers to be asked to provide information to future Committee meetings on the governance and control arrangements in place for major projects e.g. Leisure Services and the Schools Organisational Programme.	

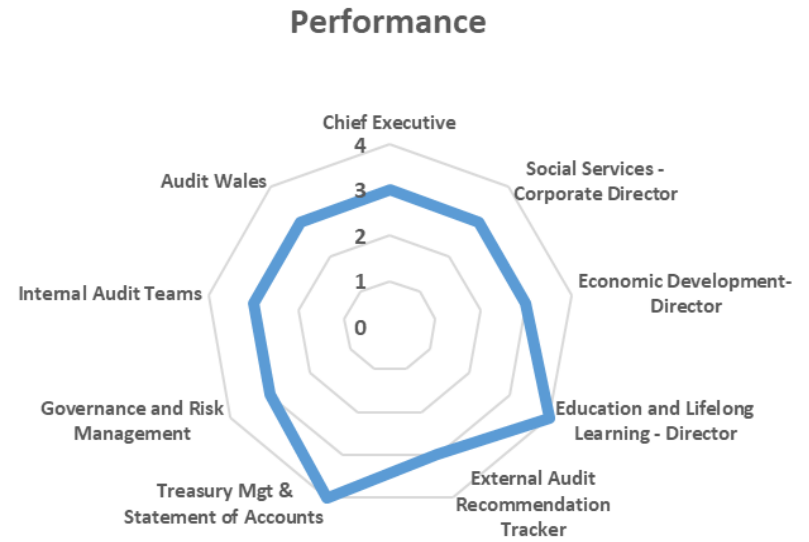
## Committee Attendee Feedback

## Annex 3

The Committee requested feedback from those it engaged with in Committee meetings in respect of 'performance', 'assurance and influence' and 'discussion and engagement'.

The results for 2020/21 were as follows

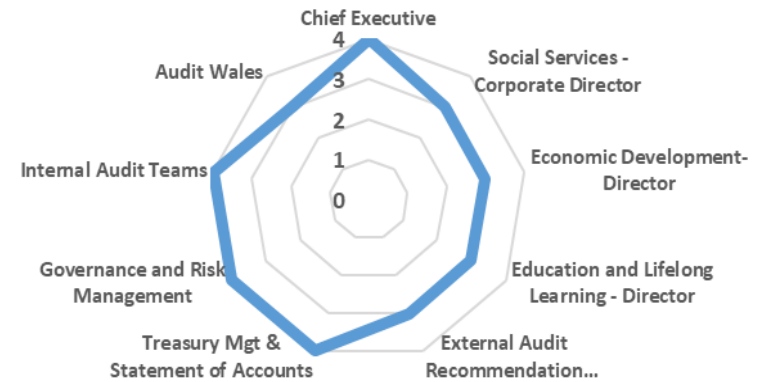
Key	Score
1	Poor
2	Satisfactory
3	Good
4	Excellent






### Discussion and Engagement






### Assurance and Influence (value)







Current Membership

 <p><b>Hugh Thomas</b> <b>(Chairperson)</b> (Independent Lay Member)</p>	<p>Hugh Thomas, a retired Solicitor, pursued a Local Government career for forty years culminating in his being Chief Executive of Mid Glamorgan County Council (the largest local authority in Wales) for fifteen years. During this time, he served as Clerk to the South Wales Police Authority and Honorary Secretary of the Assembly of Welsh Counties. He retired in 1995.</p> <p>He has since chaired a number of public bodies and national voluntary organisations including those in the health and higher education sectors. He was Vice Chairman and Chair of the Audit Committee of the Wales Centre for Health.</p> <p>He was also a non-Executive Director of Welsh Water. He served as Chairman of The Regulatory Board for Wales 2010 – 2016.</p> <p>He has served a term of fifteen years as a Trustee of The National Library of Wales. For more than 5 year’s he occupied the position of the Deputy Chairperson of the Audit Committee of Cardiff Council, and was appointed as Chairperson in January 2020.</p>
 <p><b>Gavin McArthur</b> <b>(Deputy Chair)</b> (Independent Lay Member)</p>	<p>Gavin McArthur is an experienced internal audit and governance professional and qualified accountant. He was Head of Governance and Assurance for the Ministry of Justice Estates Directorate. He has also held senior management roles in internal audit functions in the private sector, local and central government. He has also worked in internal audit for a FTSE 250 company.</p> <p>His professional experience and expertise lie in the fields of internal control, risk management, governance, internal audit, business case review, and performance management. He was appointed as Vice Chair of the Governance and Audit Committee of Cardiff Council in January 2020, and is Vice Chair of the Warwickshire Police Joint Audit and Standards Committee.</p> <p>Following a degree in Geological Sciences from Birmingham University, Gavin qualified as a CIPFA accountant with Coventry City Council where he undertook a range of financial management and accounting roles, including audit.</p> <p>A keen sportsman, who played semi-professional football, Gavin has coaching qualifications in rugby, goalkeeping and strength &amp; conditioning. He currently coaches goalkeeping for a university football team and for many years coached at a local rugby club, he is also an experienced Tai chi practitioner.</p>
 <p><b>David Price</b> (Independent Lay Member)</p>	<p>David Price is a self-employed Higher Education Consultant who provides bespoke services for UK, EU and North African clients. He formerly spent 25 years working for a number of UK universities and non-governmental departmental bodies in strategic planning and policy roles and served as a Pro Vice-Chancellor for a prominent Welsh university.</p> <p>Educated at the universities of Sheffield and Newcastle-Upon-Tyne and at schools in the UK and abroad, David is a graduate of the Leadership Foundation for Higher Education’s Top Management Programme.</p> <p>David’s professional interests focus on the development and application of performance systems, business intelligence, risk management, regulation and governance.</p>




 <p><b>Cllr Jayne Cowan</b> (Welsh Conservatives)</p> <p><i>(joined Audit Committee 26.11.20)</i></p>	<p>Serving the <b>Rhiwbina</b> Ward</p> <p><b>Terms of Office:</b> 06/05/1999 - 10/06/2004 10/06/2004 - 01/05/2008 01/05/2008 - 03/05/2012 03/05/2012 - 04/05/2017 04/05/2017 -</p> <p><b>Serving on the following Committees:</b> <a href="#">Appointments Committee - Recruitment of Glamorgan Archivist</a> Cardiff Council <a href="#">Council</a> <a href="#">Glamorgan Archives Joint Committee</a> Cardiff Council <a href="#">Governance and Audit Committee</a> <a href="#">Policy Review and Performance Scrutiny Committee</a></p> <p><b>Outside Bodies:</b> <a href="#">South Wales Police and Crime Panel</a></p>
 <p><b>Cllr Stephen Cunnah</b> (Welsh Labour)</p>	<p>Serving the <b>Canton</b> Ward</p> <p><b>Terms of Office:</b> 04/05/2017 -</p> <p><b>Serving on the following Committees:</b> <a href="#">Children and Young People Scrutiny Committee</a> <a href="#">Council</a> <a href="#">Glamorgan Archives Joint Committee</a> Cardiff Council <a href="#">Governance and Audit Committee</a> <a href="#">Standards &amp; Ethics Committee</a></p> <p><b>Outside Bodies:</b> <a href="#">Chapter (Cardiff) Limited</a></p>
 <p><b>Cllr Russell Goodway</b> (Welsh Labour)</p> <p><i>(joined Audit Committee 23.07.20)</i></p>	<p>Serving the <b>Ely</b> Ward</p> <p><b>Terms of Office:</b> 04/05/1995 - 06/05/1999 06/05/1999 - 10/06/2004 10/06/2004 - 01/05/2008 01/05/2008 - 03/05/2012 03/05/2012 - 04/05/2017 04/05/2017 -</p> <p><b>Serving on the following Committees:</b> <a href="#">Appointments Committee - Assistant Director, County Estates</a> <a href="#">Appointments Committee - Programme Director, School Organisation Programme</a> <a href="#">Cabinet</a> Cabinet Member for Investment &amp; Development <a href="#">Constitution Committee</a> (Chair) <a href="#">Council</a> <a href="#">Democratic Services Committee</a> <a href="#">Governance and Audit Committee</a></p> <p><b>Outside Bodies:</b> <a href="#">Cardiff Airport Consultative Committee</a> <a href="#">Cardiff Business Technology Centre (CBTC)</a> <a href="#">Consortium of Local Authorities in Wales (CLAW)</a> <a href="#">WLGA</a></p>

 <p><b>Cllr Nigel Howells</b> (Welsh Liberal Democrats)</p>	<p>Serving the <b>Adamsdown</b> Ward</p> <p><b>Terms of Office:</b> 06/05/1999 - 10/06/2004 10/06/2004 - 01/05/2008 01/05/2008 - 03/05/2012 03/05/2012 - 04/05/2017 04/05/2017 -</p> <p><b>Serving on the following Committees:</b> <a href="#">Council</a> <a href="#">COVID-19 Scrutiny Panel</a> <a href="#">Economy &amp; Culture Scrutiny Committee</a> (Chair) <a href="#">Governance and Audit Committee</a> <a href="#">Pensions Committee</a></p>
 <p><b>Cllr Keith Jones</b> (Welsh Labour)</p> <p><i>(joined Audit Committee 18.03.21)</i></p>	<p>Serving the <b>Llanrumney</b> Ward</p> <p><b>Terms of Office:</b> 03/05/2012 - 04/05/2017 04/05/2017 -</p> <p><b>Serving on the following Committees:</b> <a href="#">Appointment Committee - Head of Planning</a> <a href="#">Constitution Committee</a> <a href="#">Council</a> <a href="#">Glamorgan Archives Joint Committee</a> Cardiff Council <a href="#">Governance and Audit Committee</a> <a href="#">Planning Committee</a> (Chair)</p> <p><b>Outside Bodies:</b> <a href="#">Cymric Building Preservation Trust</a> <a href="#">Flat Holm Consultative Group</a></p>
 <p><b>Cllr Elaine Simmons</b> (Welsh Labour)</p>	<p>Serving the <b>Caerau</b> Ward</p> <p><b>Terms of Office:</b> 03/05/2012 - 04/05/2017 04/05/2017 -</p> <p><b>Serving on the following Committees:</b> <a href="#">Council</a> <a href="#">Governance and Audit Committee</a></p>
 <p><b>Cllr Kanaya Singh</b> (Welsh Labour)</p>	<p>Serving the <b>Riverside</b> Ward</p> <p><b>Terms of Office:</b> 04/05/2017 -</p> <p><b>Serving on the following Committees:</b> <a href="#">Children and Young People Scrutiny Committee</a> <a href="#">Council</a> <a href="#">Governance and Audit Committee</a></p> <p><b>Outside Bodies:</b> <a href="#">Cardiff Bus</a></p>

 <p><b>Cllr Joel Williams</b> (Welsh Conservatives)</p>	<p>Serving the <b>Pontprenau &amp; Old St Mellons</b> Ward</p> <p><b>Terms of Office:</b> 04/05/2017 -</p> <p><b>Serving on the following Committees:</b>  <a href="#">Appointments Committee - Assistant Director, Adult Services</a>  <a href="#">Appointments Committee - Assistant Director, Children's Services</a>  <a href="#">Appointments Committee - Assistant Director, Education &amp; Lifelong Learning</a>  <a href="#">Appointments Committee - Chief Human Resources Officer</a>  <a href="#">Appointments Committee - Director Education &amp; Lifelong Learning</a>  <a href="#">Appointments Committee - Principal Lawyer Litigation</a>  <a href="#">Appointments Committee - Programme Director, Schools Organisational Planning Council</a>  <a href="#">Council Appeals Committee</a>  <a href="#">Governance and Audit Committee</a>  <a href="#">Standards &amp; Ethics Committee</a></p> <p><b>Outside Bodies:</b>  <a href="#">Cardiff University Court</a>  <a href="#">South Wales Fire &amp; Rescue Authority</a></p>

## Members who left In-Year

 <p><b>Ian Arundale</b> (Chair) (Independent Lay Member)</p> <p><i>Approved leave of absence commencing 28/11/19</i></p> <p><i>(stood down 23.03.21)</i></p>	<p>Ian Arundale is a self-employed Law Enforcement and Security Consultant. He is currently working for Cleveland Police on a short-term contract addressing a range of development areas. He was a police officer for 32 years serving in South Wales, West Mercia and Dyfed-Powys Police Forces rising to the rank of Chief Constable at Dyfed Powys.</p> <p>Ian was the UK lead on behalf of the Association of Chief Police Officers (ACPO) for 'Armed Policing' policy and practice and chaired the UK 'Conflict Management' portfolio. He acts as an advisor and expert witness in high profile cases such as fatal police shootings, inquests and public inquiries.</p> <p>He works internationally and has recently assisted police forces and organisations in the far east, USA and New Zealand.</p> <p>Ian holds a diploma in Applied Criminology from Cambridge University, an MSc (Econ) degree in Criminology and Criminal Justice from Cardiff University and a BA (Hons) degree in Police Studies. He is a Fulbright Fellow and a graduate of the Prime Ministers 'Top Management' programme.</p> <p>In addition to his role with work with Cardiff Council, he is also the Chairman of the Discipline Committee of the Royal College of Veterinary Surgeons and a board member of the International Law Enforcement Forum (ILEF). He was awarded the Queens Police Medal (QPM) in 2011.</p>



**Cllr Ashley Lister**  
(Welsh Labour)

*(stood down 14.12.20)*

Serving the **Grangetown** Ward

Terms of Office: 04/05/2017 –

**Serving on the following Committees:**

[Appointments Committee - Assistant Director, Children's Services](#)  
[Appointments Committee - Assistant Director, Education & Lifelong Learning](#)  
[Community & Adult Services Scrutiny Committee](#)  
[Constitution Committee](#)  
[Corporate Parenting Advisory Committee](#)  
[Council](#)  
[Local Authority Governor Panel](#)  
[Policy Review and Performance Scrutiny Committee](#)

**Outside Bodies:**

[South Wales Fire & Rescue Authority](#)



**Cllr Rod McKerlich**  
(Welsh Conservatives)

*(stood down 08.10.20)*  
*appointed Lord Mayor*

Serving the **Radyr & Morganstown** Ward

Terms of Office: 01/05/2008 - 03/05/2012  
03/05/2012 - 04/05/2017  
04/05/2017 -

**Serving on the following Committees:**

[Appointments Committee - Assistant Director, Adult Services](#)  
[Council](#) (Lord Mayor)

**Council:**

**25 November 2021**

## **REPORT OF THE HEAD OF DEMOCRATIC SERVICES**

### **RE-APPOINTMENT OF TWO INDEPENDENT MEMBERS OF THE GOVERNANCE & AUDIT COMMITTEE**

#### **Reason for this Report**

1. To seek approval for the re-appointment of two Independent Members of the Governance and Audit Committee.

#### **Background**

2. This Council's Audit Committee was established in May 2012 with four Independent Members. These Independent Members were duly appointed at Annual Council on 17 May 2012. The Independent Members were appointed for two administrative terms unless they indicated that they wished to stand down for any reason.
3. At its meeting on 21 May 2021 Council approved amendments of the terms of reference of the Audit Committee to reflect the requirements of Part 6 of the Local Government and Elections (Wales) Act 2021. The Act introduced a new performance and governance regime which included the renaming of the Audit Committee to the 'Governance and Audit Committee' to reflect its new statutory functions.
4. The Governance and Audit Committee, is comprised of eight Councillors and four Independent Members. The proportion of Independent Members is one third of the Committee Members. The appointment of Independent Members of the Governance and Audit Committee is the responsibility of Council.

#### **Issues**

5. On 24 November 2016, in order to fill vacancies, two new independent Members were appointed by Council, for a 5 year term of office, as follows:
  - a. Mr David Price with effect from 25 November 2016.
  - b. Mr Gavin McArthur with effect from 1 December 2016.
6. The appointments were made following a public recruitment exercise, which was carried out in accordance with the statutory guidance issued by the Welsh Government. The guidance recommends that Independent (lay) members should not

be appointed 'for more than two full terms of a local authority' (paragraph 9.27 of the Guidance).

7. Mr Price and McArthur have effectively supported the Governance and Audit Committee throughout their first term of office and have confirmed their willingness to remain for a further 5-year term.
8. Council is recommended to approve their reappointments accordingly.

### **Legal Implications**

9. Part 6, Chapter 2 of the Local Government (Wales) Measure 2011 ('the Measure', as amended by the Local Government (Wales) Act 2021) sets out the statutory requirements for the Governance and Audit Committee, including provisions regarding its statutory functions, membership and proceedings. Section 82 of the Measure requires that one third of the members of the Committee must be 'lay persons' (independent members) as defined.
10. A local authority and its Governance and Audit Committee must have regard to statutory guidance given by the Welsh Ministers under section 85 of the Measure: [The Local Government Measure 2011](#) (Chapter 9). Relevant guidance is referred to in the body of the report (please see paragraph 6 of this report).

### **Financial Implications**

11. There are no direct financial implications arising from this report. Independent Members are entitled to claim allowances and expenses which will be met from existing budgets.

### **RECOMMENDATIONS**

12. Council is recommended to re-appoint, as Independent members of the Governance and Audit Committee:
  - (i) Mr David Price, with effect from 25<sup>th</sup> November 2021; and
  - (ii) Mr Gavin McArthur, with effect from 1<sup>st</sup> December 2021,for a further 5 year term of office.

**GP JONES**  
**HEAD OF DEMOCRATIC SERVICES**  
**19 November 2021**

### **Background Papers:**

[Establishment Of Committees, Their Size, Terms Of Reference And Allocation Of Seats](#)  
Annual meeting of Council dated [17 May 2012](#)

[Establishment of Standing of Council 2021-22](#) Annual Meeting of Council dated [27 May 2021](#)

[Audit Committee – Independent Member Appointments](#) Meeting of Council dated [24 November 2016](#)

**CARDIFF COUNCIL  
CYNGOR CAERDYDD****COUNCIL: 25 NOVEMBER 2021**

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**STATEMENT OF THE LEADER**

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**Covid-19 Update**

Covid-19 cases in Cardiff have stabilised and begun to decrease moderately over recent weeks; however, transmission remains high. As of 17 November 2021, the rate of new cases in Cardiff currently stands at 567.7 per 100,000 population over the 7-day period to 13 November 2021, which is above the Welsh average of 504.9 per 100,000. While life in the city has taken major steps towards normality in recent months, ongoing high case rates remind us that we must continue to act responsibly and follow the remaining public health guidance.

As of 15 November 2021, the Welsh Government has introduced a new requirement to present an NHS Covid Pass – proving either fully vaccinated status or a recent negative lateral flow test – to gain entry to cinemas, theatres and concert halls, in effect expanding the measure that was introduced last month for entry to nightclubs and large events. On 17 November 2021, the First Minister confirmed that there will be no changes to the current Covid regulations following the latest 21-day review period and Wales will remain at Alert Level Zero for the time being. The outcome of the next review of the regulations is expected to be announced on 10 December 2021.

**Mass Vaccination Programme**

The rollout of the mass vaccination programme has continued to progress at pace. As of 18 November 2021, Cardiff & Vale University Health Board (UHB) has administered 841,898 vaccination doses – 386,503 first doses, 348,187 second doses, 101,436 boosters and 5,731 third doses. First dose vaccinations have been extended to those aged 12 to 15 years old, with nearly 50% having now received one dose, which has been deemed sufficient for granting fully vaccinated status to those in this age group.

As we approach the challenging winter months, the roll-out of the booster vaccination programme for over 50s and those in priority groups, aligned to the flu vaccination, will be critical in protecting our residents and health services. The vaccination programme is making good progress, with the Welsh Government's commitments to offer a first vaccine dose to all 12-15 year olds and a booster vaccine to all eligible care home residents achieved by 1 November 2021. Those eligible for a booster vaccination will receive an invitation from Cardiff & Vale UHB and I would strongly encourage everyone to attend their allocated appointment. Over the coming weeks, we will continue working in close partnership with our UHB colleagues to ensure that all those who require it will receive their vaccinations in a safe and timely manner.

## **Cardiff Public Services Board**

On 10 November 2021, the Cardiff Public Services Board (PSB) received a presentation on the Director of Public Health's Annual Report 2020, entitled '*Let's leave no one behind*'. The presentation outlined the report's recommendations, which included specific recommendations for the PSB, and these were approved. The report highlights the impact that the Covid-19 pandemic has had on different communities, with poorer health outcomes associated with levels of deprivation, housing conditions and being from an ethnic minority group.

As Cardiff recovers from the pandemic, we must prioritise creating a healthier, more active and more resilient city, which will involve working together to address widening health inequities. As set out in the Annual Report, we must double our efforts in four priority areas: childhood immunisation, screening, tackling obesity and improving air quality. Working with our communities will be crucial, particularly around health literacy, building trust around immunisation and addressing barriers to behavioural change. Furthermore, the Council's work across housing, safeguarding, mental health and substance misuse will ensure that we are taking the necessary steps to deliver improved health outcomes for future generations.

## **Living Wage Week 2021**

On 15 November 2021, I was pleased to attend the launch event for this year's Living Wage Week, which promotes and celebrates the 'real' Living Wage movement. The real Living Wage is the independently set hourly pay rate, which is updated annually and calculated according to the basic cost of living in the UK. The rate aims to ensure that no one should have to work for less than they can live on. At the event, I spoke about Cardiff's approach to supporting the Living Wage movement locally and the real impact that we have delivered in recent years. The First Minister also announced the new real Living Wage rate in Wales, which has been increased to £9.90 per hour, up from £9.50 per hour last year.

The Council started paying all its staff the Living Wage in 2012, before becoming an accredited Living Wage employer in 2015. Ever since, we have been at the forefront of the movement in Cardiff and Wales, championing the Living Wage and providing support to other organisations, big and small, in the city to become accredited employers.

More recently, the Council has played an active role in lobbying Welsh Government Ministers and officials to expand the real Living Wage into the social care sector in Wales, participating in a number of events with the First Minister and officials. The Welsh Government has set out its commitment to paying social care workers the real Living Wage as part of its five-year Programme for Government and this is a key priority that is expected to be implemented early in the current Senedd term.

## **COP26 and Wales Climate Week 2021**

In the run up to COP26 in Glasgow, which took place earlier this month, the Council signed up to both the UK100 Net Zero Pledge and the Edinburgh Declaration following the decision of Cabinet on 14 October 2021.



UK100 is a network that brings together local authorities to share knowledge, collaborate and petition the UK Government on climate, clean energy and clean air policy matters. It also provides support to decision-makers in UK towns, cities and counties in their transition to Net Zero. In advance of COP26, UK100 called on local authorities to sign and adopt its Net Zero Pledge, which includes commitments to set ambitious Net Zero targets for greenhouse emissions for council operations by 2030 and for area-wide emissions by 2045 at the latest; to report carbon emissions annually, and to limit the use of offsets and, if used, for them to be as local as possible. As has been made clear in our One Planet Cardiff strategy, the Council is committed to achieving Net Zero by 2030 and is already positioned to meet these commitments.

The Edinburgh Declaration is a statement of intent on the post-2020 global biodiversity framework, which has been agreed between subnational, regional and local governments across the world calling on the UN Convention on Biological Diversity to take bold action to halt global biodiversity loss. It also calls for greater prominence to be given to the role that subnational governments, cities and local authorities can play as key enablers in delivering a new global framework of targets. By signing the Edinburgh Declaration, the Council has not only signalled its commitment to delivering transformative actions in order to achieve the aims and ambitions set out in the post-2020 global biodiversity framework, but has also taken a positive step towards achieving our One Planet Cardiff vision by recognising the importance of our natural environment and the contribution of green infrastructure to mitigating and minimising the potential impacts of climate change.

On 24 November 2021, as part of Wales Climate Week, I will be participating in a panel discussion at an online climate change conference organised by Cardiff University, which is entitled '*From declarations to action: partnership working on the climate emergency*'. The Welsh Government Minister for Climate Change, Julie James MS, is also scheduled to be a panel member and speak as part of this event, which will explore the progress made by the Welsh Government, Cardiff Council and Cardiff University since our respective declarations of a Climate Emergency in 2019. I look forward to highlighting the work that the Council is doing in response to the Climate Emergency and, in particular, our projects in collaboration with the other organisations and sectors. As such, I will set out our ambitions from the One Planet Cardiff strategy and the key projects that we will deliver on the journey towards carbon neutrality.

**Councillor Huw Thomas**  
**Leader of the Council**  
**18 November 2021**

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## **CLEAN STREETS, RECYCLING & ENVIRONMENT STATEMENT**

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### **One Planet Cardiff**

Cardiff was recently named as the UK's third greenest city in a study compiled by NatWest and Southampton University, with only Sheffield and Edinburgh ahead. This is reflective of the significant work that the Council and partners have done to date on the decarbonisation agenda and underlines the value of the One Planet Cardiff strategy. Work on this area continues to progress well with officers having conducted two major engagement events with Council staff in the last few weeks to promote the strategy corporately. As well as delivering on major decarbonisation projects around the corporate estate, green infrastructure, and renewables, the Council is now commencing work on new projects identified on the One Planet Cardiff action plan. These include a major review of procurement strategies to identify and reduce the caused emissions from the items purchased; a far-reaching public engagement strategy to help citizens, staff and partners to make better environmental choices; and a holistic review of staff and business travel arrangements to drive down the associated carbon emissions.

### **Electric Vehicle Charging Infrastructure**

In collaboration with local authority colleagues in the Cardiff Capital Region, we will shortly be commencing the roll-out of further public Electric Vehicle (EV) charging infrastructure in Cardiff, with a primary focus on installing fast chargers in strategic car parks across the city. This work will see 10 car parks benefit from the installation of 22kw chargers, with the work being funded via the Welsh Government's Ultra Low Emission Vehicle (ULEV) funding. It is hoped that these charging locations will be installed early in the New Year, subject to programme confirmation with the appointed EV charging point installer.

### **Local Air Quality**

The Council's annual progress report for 2021 was approved by Cabinet on 18 November 2021. The report provides the results of data captured in 2020, and the report demonstrates full compliance of air quality standards at all monitoring locations. However, these results were heavily impacted by the Covid-19 pandemic owing to the noticeable effect of the various lockdowns on reducing road traffic in line with the prohibition of non-essential travel. As a result, the concentrations recorded in 2020 are not representative of a true 'business as usual' scenario. The Cabinet has also committed to undertaking a two-year pilot project to enhance the Council's real-time

air quality monitoring network. The project will look at providing improved monitoring more widely across the city, building on the existing air quality management areas and strengthening our understanding of air quality issues across the whole of Cardiff.

### **Remembrance Services**

Two Remembrance Services were held at Cathays and Western Cemeteries' War Graves Sections earlier this month, which were attended by the Lord Mayor and Councillors representing their wards. The services followed the traditional format of the remembrance service with wreaths being laid by the Lord Mayor, The Royal Welsh, The Friends of Cathays and the Walking for Health group, as well as local schools (Allensbank Primary School and Ysgol Mynydd Bychan at Cathays Cemetery and Hywel Dda Primary School and Ysgol Coed y Gof at Western Cemetery). A wreath was also placed at the Blitz Memorial in Cathays Cemetery to commemorate the 80<sup>th</sup> year since the Blitz in Cardiff. It is truly fitting that, in this 100<sup>th</sup> year of the Royal British Legion and the use of the red poppy as the symbol of remembrance, all generations were able to come together to remember and reflect at these two services.

### **Christmas Memorial Service and Memorial Trees at Thornhill Crematorium**

Due to the ongoing Covid-19 pandemic, it has been decided, once again, to not hold a Christmas Memorial Service at Thornhill Crematorium; however, a service will be live streamed from the crematorium on 5 December 2021 at 2pm for all those who wish to remember their loved ones from their own homes. Further details of the live stream will be released closer to the date.

The ever-popular Christmas memorial trees, which are placed outside of the Wenallt Chapel, will be available again this year and anyone wishing to place a memorial tag on the trees for a donation of £2.00 can contact Bereavement Services to have a tag prepared for them. Bereavement Services' chosen charity for this year is Believe Organ Donor Support.

### **Registration Services Update**

Cardiff Register Office has returned to pre-Covid numbers of 50 guests in the St David's Room at City Hall. Marriages have been exceptionally busy right through 2021, which has extended our annual busy six-month ceremony period to nine months this year. Birth registrations have also returned to a pre-Covid 'business as usual' position with no delays for the public to get an appointment.

The General Register Officer (GRO) is leading on work to allow continued digitalisation of registration services. From 1 December 2021, registrars will be able to transmit and receive all documentation electronically when registering births, still births and deaths, removing the requirement to send paper documentation by post.

### **Cardiff Dogs Home**

Cardiff Dogs Home and The Rescue Hotel have agreed to provide emergency boarding to people who have to move into temporary accommodation because of an emergency, but can't take their dogs with them. Staff receive a lot of calls asking them

to take dogs in temporarily during a crisis and many of these requests come from women who are fleeing domestic violence or abuse. The Dogs Home will provide the care and safe management of the dogs for 4-6 weeks of temporary boarding to enable owners to get their personal situation stabilised and have their dog returned to them. The Rescue Hotel will pay for health checks, vaccinations, flea and worm treatments, and a small contribution to the kennelling fees.

The Rescue Hotel is currently funding a canine behaviourist one day per week, a receptionist for the health centre two days per week and the vet for two days per week. As the Health Centre expands, the receptionist and vet will be funded for extra days building up to five days per week. This is a fantastic achievement by the charity after only 18 months in existence. Funding for the subsidised neutering scheme and free microchipping scheme that had been in place for many years was cut by The Dogs Trust in early 2020. However, I am pleased to confirm that the Rescue Hotel and Cardiff Dogs Home are now providing an affordable neutering service via the Vet Service, with microchipping available for only £10.

The Stray Dog Contract with South Wales Police has been extended to 31 December 2022. This contract may also be widened to include the Gwent Police area, which will increase the income for Cardiff Dogs Home.

### **Flood and Coastal Risk Management**

The Flood and Coastal Risk Management Team is working with both the University of Bath and University of South Wales to assist undergraduates and postgraduates' dissertation projects and professorial research projects. This provides opportunities for improved avenues of study, whilst also providing the Council with essential research information for improved flood risk management.

The team is also working with Atlantic Crest – a water safety company who have experience of working with schools and also provide safety qualifications – to develop a water safety talk/activity session for both primary and secondary school-aged children in Cardiff. As soon as this work is completed, officers will make appropriate contacts to advise of this free service and availability.

**Councillor Michael Michael**  
**Cabinet Member for Clean Streets, Recycling & Environment**  
**18 November 2021**

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**COUNCIL: 25 NOVEMBER 2021**

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## **CHILDREN & FAMILIES STATEMENT**

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### **Demand Pressures in Children's Services**

Children's Services are continuing to experience high levels of demand and complexity, with the Multi Agency Safeguarding Hub (MASH) receiving an average of almost 100 contacts a day over the last year. This is also an all-Wales issue and work is ongoing with partners nationally and across the whole system, including the judiciary, as it is recognised that this is not a problem that Children's Services can fix alone. The demand and the complexity of issues are being experienced across the whole of the service, including demands on foster and residential placements.

### **Welsh Government Funding**

In recognition of the challenges posed by the demand and complexity being experienced, the Welsh Government has provided a temporary Covid-19 Recovery Fund to assist with addressing immediate issues. We welcome this additional financial support from Welsh Government and our plan for how this funding will be used in Cardiff demonstrates our commitment to prioritising the needs of children and young people and their families, as well as those that care for them.

There are challenges around the use of this money over the next five months – for example, recruitment pressures mean that the Council cannot simply appoint more social workers to meet the rising demands in the short term. Instead, innovative solutions need to be found quickly to meet the demands. I firmly believe that the solution to addressing the wider Covid-19 impacts which are putting additional longer-term pressures on families and the social care system is to deliver our Children's Services Strategy with renewed impetus and on a larger scale, and this is what this additional money will be used to support. I welcome further dialogue and look forward to continuing to work on future budget settlements. Future funding at appropriate levels would enable us to implement sustainable services post-April 2022.

### **Social Worker Recruitment Update**

Work to recruit social workers continues and considerable progress has been made in recent months, with the percentage of vacancies falling from 29% in June 2021 to 22% in September 2021. In Quarter 2 of 2021/22, 20 new social workers took up their posts, of whom 14 were newly qualified students.

The recruitment of experienced social workers is a national issue and the Council is working with local authorities across Wales to identify and implement national solutions. Key members of staff have been identified to take part in a workforce recruitment fayre, which is linked to the Community Care recruitment campaign that sets out what it is like to deliver social work services in Cardiff. The work to support prudent social work (i.e. social workers only do what only social workers can do) is a key element of the Cardiff offer to social workers.

### **Cardiff Family Advice and Support (CFAS)**

The Family Gateway, Family Help and Family Help Disability Teams all continued to see increases in both the volume and the complexity of calls and referrals last month. The Family Gateway alone saw an 11% increase in calls. There continues to be a particular focus on supporting children and young people's mental and emotional well-being. This is being achieved through partnership working with our Primary Mental Health Workers to identify emerging wellbeing concerns and provide appropriate means of support and intervention.

In recognition of the importance of youth participation, the team is collaborating with ProMo Cymru and a group of young people to develop a promotional campaign, which aims to promote the support available to other young people via a series of articles, blogs and artwork that will be published on the Sprout website. The campaign will go live at the end of November 2021.

### **Cardiff Parenting**

Using the Child Development Fund from Welsh Government, new psychology-led parenting practitioners and a new psychologist have joined the Cardiff Parenting Team. The induction and training of these new staff is underway so that they can begin casework as soon as possible.

Covid-safe group parenting programmes are now being offered across Cardiff for parents of children of all ages – number are restricted, but parents are offered a choice of face-to-face or virtual engagement. The team has also been able to restart some crèche provision while parents attend groups. Small baby groups are also running in Flying Start areas for parents and babies to attend together.

### **The Childcare Offer**

Almost £3.5million has been spent during 2021 on childcare places and 'additional support' costs, and 410 childcare providers are now signed up to provide the Childcare Offer. The Council's Childcare Offer Team continues to work closely with Welsh Government officials on the development of the digital service and the piloting of the new system is due to commence in early 2022. Additional capital funding has also been secured from Welsh Government to ensure that all Childcare Offer providers have suitable ICT equipment to utilise the online digital service. A grant application process for this purpose is being launched this month.



## **Cardiff Youth Justice Service**

The Youth Justice Board (YJB) for England & Wales wrote last month to both the Independent Chair of Cardiff Youth Justice Board and the Operational Manager for Cardiff Youth Justice Service. Following a review of progress made in Cardiff, the YJB has agreed that Cardiff Youth Justice Service should be de-escalated from a stage 3 to a stage 1 priority Youth Offending Team (YOT) in recognition of the progress that has been made in our improvement journey and the senior leadership provided to support the operational management of the service.

The YJB recognised the positive developments that have been made to governance arrangements in Cardiff through the work of the new Independent Chair and management board and the performance sub-group. These arrangements have allowed effective oversight of the HM Inspectorate of Probation (HMIP) improvement plan, providing both operational support from partners when needed and escalation to the management board when appropriate. Good progress has also been made against the key recommendations arising from the previous HMIP inspection report.

The YJB will continue to engage with Cardiff Youth Justice Service through attendance at meetings of the management board and performance sub-group, and review what level of support is appropriate. The YJB commended Cardiff's progress to date and the way in which we have approached our improvement journey and focused on the needs of children, families and our communities.

## **National Care Leavers Week**

National Care Leavers Week took place on 25-31 October this year. The week aims to raise awareness of care leavers and to celebrate and recognise their achievements. As part of the week, the Personal Adviser Team organised a range of activities for young care leavers to get involved in, including bowling, indoor rock climbing, Ninja Warrior and a tour of the Principality Stadium. Snippets of the activities have been promoted across social media channels using the hashtag #NCLW2021, including quotes from the young people who attended.

This year's theme was #WhatLeavingCareShouldBe, which encourages the care-experienced community, young care leavers, and individuals who work with children looked after to give their view on what leaving care should look like. The team consulted informally with young people during the week to gather their thoughts and feedback on leaving care. During the week, requests were also made to partners, businesses, third sector organisations and the local community to help support children looked after and care leavers. Feedback obtained during the week will be used to help improve and develop services for children looked after and care leavers in Cardiff.

## **Corporate Parenting Engagement Session**

The Bright Sparks group, which is comprised of children looked after and care leavers, has recently held an engagement session with the Chair of the Council's Corporate Parenting Advisory Committee. I am pleased that Bright Sparks group members also played an integral role in the planning of the event.

The engagement session helped to give our young people a voice and will assist in strengthening the work of the Committee. It provided an opportunity for young people to take part in a range of activities, helping the Chair gain more of an understanding of the issues impacting children looked after and care leavers in Cardiff, and helping our young people to gain more of an understanding of the Committee's role. The session also provided an opportunity to help understand how young people would like to engage with the Committee in the future.

**Councillor Graham Hinchey**  
**Cabinet Member for Children & Families**  
**18 November 2021**

## **SOCIAL CARE, HEALTH & WELL-BEING STATEMENT**

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### **Service Pressures**

As reported previously, the pressures on our health and social care systems remain extremely high which reflects the position nationally. Officers are working hard to balance the demands being made on services and to ensure that the needs of the most vulnerable are met. However, this is increasingly challenging.

Funding is being made available to care agencies to help them address the issues of recruitment and retention of care workers. Also, ahead of what is likely to be a most difficult winter, a communication plan is being developed which will call on the people of Cardiff in terms of how they can help; this will include a relaunch of Together for Cardiff that was so successful during the height of the Covid-19 pandemic in galvanising the city into action to support others.

The continuing pressure on services is having a major impact on our already overstretched hospitals. Officers are working with care home providers to identify convalescent beds to support discharge for people from hospital. A video has been created, which will be used by Hospital Social Work teams and shared with patients in hospital, highlighting the benefits of the convalescent beds. A short stay in a care home would provide the opportunity for patients to recuperate in a more restful environment outside of hospital, while their home care is being arranged. The impact of this approach will be monitored to identify and highlight further benefits to recovering individuals.

### **Joint Working to Support Reablement**

The Council's social workers and community occupational therapists are working more closely than ever together to support reablement. A recent workshop for team managers was really productive in identifying different ways to support people to remain independent at home or to return home from hospital. Occupational Therapists have been reviewing clients waiting for care, either at home or to support discharge, and because of their particular skills have been able to find alternative solutions, such as equipment, aids or adaptations, to reduce or remove the need for care.

To build on this success, and support the unprecedented demands on services, a further five Occupational Therapist posts have been created, two of which will be placed in hospital to work hand-in-hand with social care and health colleagues to support timely discharge.

## **Expansion of Work with GP Clusters**

The Council has received the excellent news that the Accelerated Cluster Project is to be expanded. The current project is based in the Cardiff Southwest cluster. Our Independent Living Service is involved as part of the Multi-Disciplinary Team, discussing individual cases and identifying support for people staying well at home and within their communities.

As part of the @home locality project, two new clusters are to build upon this successful approach, and work is starting with Cardiff North and Cardiff East. Workshops will take place over coming weeks to capture the important learning from the initial project in the Southwest:

- Successful key elements of the current project
- Quick wins
- Interventions with the biggest impact
- What didn't work so well, and why
- New ways of working – taking into consideration the different demographics and community needs, and current resources available in other areas
- Investment requirements and availability

The workshop outputs will be used to create a menu of options for the new clusters to select from and tailor to their needs.

This provides another opportunity for the Regional Partnership Board Integrated Health and Social Care Partnership to work together for the benefit of local communities with support from our newly-formed Older People Services Programme Team.

## **Older Persons Day Centres**

Fairwater Day Centre re-opened on 2<sup>nd</sup> November. It was extremely pleasing to see how well service users have settled into the centre, especially as some were new to the service. Individuals have been busy making new friends, and participating in quizzes, reminiscing about holidays and shops in the city centre, plus sharing cake recipes inspired by the Channel 4 TV programme, Great British Bake Off. They also enjoyed an outing to Victoria Park in the sunshine, with some commenting that they hardly ever get a chance to feel fresh air on their faces. Excellent feedback has been received from individuals and their families about the re-opening, and many more activities are planned for delivery by our own Hub staff or external partners.

## **Community Engagement**

During November the Community Engagement Team has supported the setting up of two new lunch clubs: on Wednesdays, the Over-50s Lunch Club at the Ty Nant Inn, Morganstown; and on Tuesdays, at the Church Inn, Llanishen. Both groups will help local people get together over coffee or lunch every week. At a recent lunch club meeting at the Church Inn, the group were joined by researchers from the University of Birmingham to talk about their ACTIF Project. This helped them gain insights into what physical activity means for older people, and how they can be supported to stay mobile and active.

## **Ethnic Minority Engagement Co-ordinator**

A new Ethnic Minority Engagement (EME) Co-ordinator, funded by Public Health Wales, has joined the Health and Wellbeing Team within the Hub & Library Service. The EME Co-ordinator will help deliver Age Friendly City workstreams and improve health outcomes for people from ethnic minority communities. Following initial discussions with Public Health Wales and Cardiff & Vale University Health Board, this work will initially focus on childhood immunisations and bowel cancer screening. An action plan has been developed for the next seven months, which includes developing a toolkit of information resources and promotional materials; identifying and overcoming barriers for participation by the community in taking up immunisations; and screening opportunities.

Contact has already been made with a range of organisations including Cardiff & Vale College, South Riverside Community Development Centre, Friends and Neighbours (FAN), The Mentor Ring, Women Connect First, Race Equality First, Oasis, Kiran Cymru, Hindu Council, Sikh Council, the Chinese Community and Faith centres, Cardiff Third Sector Council and Glamorgan Voluntary Services. Next steps will include the development of a new survey to investigate and identify potential barriers to engagement in bowel cancer screening programmes among ethnic minority communities. Visits to activities attended by young parents from ethnic minority communities will take place shortly, together with a survey designed to find out more about barriers to childhood immunisation.

## **BAFTA Cymru Awards 2021**

The BBC One Wales factual series, 'Rhod Gilbert's Work Experience', recently won two British Academy of Film and Television Arts (BAFTA) Cymru Awards: Rhod Gilbert received the Presenter award; and the programme won for Factual Series. In accepting the awards, Rhod Gilbert made specific reference to the episode on care work, thanking "*Cardiff Council and the care community who allowed us in and made it happen*", as well as "*the wonderful carers, Ceri-Ann, Lizzie, Emma and the rest of the crew who allowed us to highlight the wonderful job that they do*".

When the idea for the episode was first put forward, the Adult Services Contracts Team was keen to help and made all the arrangements with the agency All Care who were filmed as part of the programme. The episode was extremely well received, both within and outside of the care sector, and reflected the wonderful work that care workers undertake in supporting vulnerable people in our society. This is a timely reminder of the importance of our care workers and agencies, who having worked tirelessly thorough the Covid-19 pandemic are now struggling to meet the increases in demand.

In this regard, Cardiff Cares Academy, a new branch of our Into Work Service, is leading on the recruitment and training of new care workers. A campaign including social media, radio and bus adverts has commenced, and the Academy has already signed up and trained 25 new carers.

**Councillor Susan Elsmore**  
**Cabinet Member for Social Care, Health & Well-being**  
**18 November 2021**

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**COUNCIL: 25 NOVEMBER 2021**

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## **EDUCATION, EMPLOYMENT & SKILLS STATEMENT**

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### **Covid-19 Update for Schools**

Positive case numbers of both pupils and staff have been increasing since the start of the autumn term. However, due to changes in the guidance, schools have seen fewer pupils having to isolate than in the previous academic year. With the increased cases, continuity of learning is still a factor and overall attendance rates in schools have been lower at this time of year than in a normal year.

To reflect the increasing numbers of cases, all Cardiff schools have been moved to a risk level of high. In line with this, all schools have consistently applied the twice-weekly use of Lateral Flow Device testing to identify asymptomatic positive cases. The use of face coverings for all staff and visitors, and secondary age pupils, has also been in place across schools where social distancing is difficult to achieve. All schools continue to communicate messages to parents regarding staying at home where symptoms are seen as well as reinforcing hygiene messages in school.

With schools at a high risk level, the Council tracks positive cases in each school and offers additional Health & Safety support where localised case numbers rise or where they reach more than ten cases in an individual setting. This allows localised decisions on additional mitigations for each setting to be made.

Whilst we are not seeing the large numbers of pupils having to isolate as previously, there is still significant pressure on the school system, particularly around staff sustainability. With increasing staff absence, linked to several issues including Covid-19, and the lack of supply staff to backfill absences, some schools can get to a stage where a class or year group may have to receive distance learning over a specified time in response. Where this happens, schools liaise with the Council to ensure that appropriate risk assessments have been undertaken and communication with all partners has taken place.

Schools are updated of any guidance changes, as well as wider issues, through a weekly newsletter that is sent to head teachers. A member briefing to provide an update on the Covid-19 position in Cardiff schools was also held on 15 November 2021.

## **Qualifications Arrangements 2021/22**

Last month, Qualifications Wales provided an update on the arrangements for exams and assessments in 2021/22:

### **Winter Series 2021/22 – GCSEs**

As confirmed in May and July 2021, the November 2021 series for GCSEs in English Language, Mathematics, Mathematics-Numeracy and Welsh Language will go ahead using the adapted assessment requirements put in place by the WJEC. The adaptations will also apply to GCSE units available in January 2022 (English Literature and Welsh Literature) and to Skills Challenge Certificate components submitted in January 2022.

### **Summer 2022 – GCSEs, AS and A Levels**

As previously announced, in summer 2022, GCSEs, AS and A level qualifications will be assessed via exams and, where applicable, non-examination assessment (NEA). In recognition of the disruption to teaching and learning for learners sitting GCSEs, AS and A levels and the Skills Challenge Certificate Qualifications in summer 2022, the assessment requirements have been adapted. These adaptations have been put in place for summer 2022 to support learners and make the exams fairer for them. The WJEC has published adaptations booklets, which can be accessed via their website.

If the disruption continues to have a significant impact on schools and colleges, appropriate steps will be taken as further adaptations may need to be made. If despite these steps, the exam series must be cancelled, then a contingency approach will be applied. This contingency will be based on the Centre Determined Grade approach from summer 2021, where centres will again be asked to award learners' grades based on evidence of attainment across the qualification. Some aspects of the approach will be improved, including measures to avoid over-assessment and reducing the reliance upon whole past papers where learners have had access to known mark schemes. A contingency approach will also be adopted for vocational qualifications.

### **Grading GCSEs, AS and A levels in summer 2022 and beyond**

With the return to exams, the WJEC will award grades to learners in summer 2022. The WJEC wants the grading process to be as fair as possible to learners and reflect the disruption to teaching and learning that they have experienced. For summer 2022, the WJEC has decided to align the approach to one being taken in England to ensure that learners in Wales are not disadvantaged relative to other learners. The approach is to treat 2022 as a transition year to reflect the pandemic recovery period and disruption to learners' education. As in summer 2021, the WJEC acknowledges that it is a priority that the grades that learners achieve support their progress onto the next stage of their learning and/or employment. In 2023, the aim is to return to results that are in line with those in pre-pandemic years.



## **Afghan Relocations and Assistance Policy (ARAP) – Education Provision**

The Welsh Government has confirmed that the Council will receive funding for the continued provision of primary and secondary education to Afghan children and young people whilst they are based temporarily at the bridging accommodation within Cardiff. This is being delivered with the support of council staff and local primary and secondary schools. The Cardiff Parenting Team is also offering a weekly family play session to Afghan families.

I want to thank all those involved in supporting the provision of education to the Afghan children and young people, particularly for their creativity and flexibility in making this unexpected additional provision possible in challenging circumstances. Local schools have also played an important part in the warm local welcome that has been extended to these Afghan families and the support provided to the children and young people will not only help them prepare them for school, but will also enable them to have a better future here in Wales.

This is an outstanding example of our city's continued and significant work to support young people seeking sanctuary. This is an area of practice that we will continue to strengthen with the extension of our Schools of Sanctuary programme, actioning the recommendation of Cardiff's Race Equality Taskforce to widen participation in this work, as well as showcasing the fantastic efforts of flagship schools, such as St Mary the Virgin Primary School, in raising awareness of the stories and experiences of refugee and asylum-seeking communities in the UK.

## **Welsh Government 'Winter of Well-being' Grant Funding**

Covid-19 has had a major impact on the emotional, social and physical well-being of children and young people over the last 20 months and I welcome the announcement last month by the Welsh Government Deputy Minister for Social Services, Julie Morgan MS, of a significant funding package to help provide well-being support for children and young people aged 0–25 years in Wales. Building on the successful Summer of Smiles Festival, Cardiff's approach to utilising what is being referred to as the 'Winter of Well-being' funding will be made up of the following three elements:

- Well-being grant programme for children and young people;
- Child Friendly City pop-up hosted by St David's Shopping Centre; and
- City-wide arts and cultural programme.

Further detailed information will be publicised in the coming weeks on the Child Friendly Cardiff website.

## **Anti-Bullying Week 2021**

It has been good to see so many schools in Cardiff taking part in Anti-Bullying Week on 15-19 November 2021, as well as promoting and raising awareness of anti-bullying initiatives via social media. This week also saw the launch of [The Voice of Young People on Safeguarding](#) plan, which is accompanied by a video on YouTube at: [https://youtu.be/-Q7Qdno\\_Uyc](https://youtu.be/-Q7Qdno_Uyc) The Education Service, Children's Services and the

Youth Service are working together to build this approach and to include young people at the core of this work. The Cardiff Youth Service Young Creators Group has also been involved in the conception of the goals and aims, design, creation and promotion of this initiative. The plan represents a wide range of views, experiences and expertise expressed by internal and external stakeholder professionals and young people. The information that has been gathered to form the plan will support stakeholders to progressively configure their services to help young people feel safe and be safe. It focuses on risks and behaviours outside of the family home, also known as contextual safeguarding. Peer-on-peer abuse is part of the harm experienced by young people and a reason for not feeling safe and sometimes being exploited. Bullying is a part of contextual safeguarding and is not limited to extreme behaviour and can be damaging without the threat or delivery of physical harm.

To get a clear picture of the incidents and types of alleged bullying, the Council is working with neighbouring local authorities, schools, young people and a national group to get a consistent reporting system. The Council funds this system in all its schools and wider education provision, as well as the Youth Service. This provides all organisations with the means to log concerns and, where appropriate, to escalate them for further action. In future, cross-city reports will enable training, targeted resources and wider understanding of the causes and effects of bullying for both victims and perpetrators.

### **UNICEF Rights Respecting Schools Awards**

Our approach to embedding Child Rights across our school communities is producing extremely positive outcomes. In Cardiff, 75 schools, representing 59% of all school pupils, have submitted their Rights Respecting Schools action plan to UNICEF UK. Engagement with training and support is increasing and, this term, it has reached its highest levels yet.

I am pleased to announce that UNICEF UK has confirmed that both Stacey Primary School and Ninian Park Primary School have achieved their Gold Award, with another 12 schools waiting for their assessment in the coming weeks. Adamsdown Primary School has also achieved their Silver Award this month and I want to say “well done” to all those involved in this important work in Cardiff.

### **Open Your Eyes Week**

On 15 November 2021, the Cardiff Commitment Team launched their second virtual Open Your Eyes Week for pupils in Years 5 and 6 from primary schools across Cardiff, following on from the first virtual Open Your Eyes Week that was held in June 2021. Over 150 classes from 67 primary schools registered to take part throughout the week. Open Your Eyes Week is designed to ignite and inspire interest in a wide range of occupations among Years 5 and 6 pupils. All class teachers taking part are provided with a profile of the organisations (including information such as jobs, pathways, qualifications needed to work for the company, links to teaching resources associated with the company etc.), as well as a recording of each of the sessions. Employers taking part and speaking to pupils included Principality Building Society, The National Digital Exploitation Centre (cyber security), Cardiff Metropolitan University, Willmott Dixon, Welsh Water, Renishaw, Screen Alliance Wales and NHS Wales.

## **Estyn Inspection**

As I confirmed in my statement last month, I would like to remind members that the Council will be subject to a full Estyn inspection during the week commencing 29 November 2021, in accordance with the framework and guidance for the inspection of Local Government Education Services. The final inspection report will be published on 9 February 2022.

**Councillor Sarah Merry**  
**Cabinet Member for Education, Employment & Skills**  
**18 November 2021**

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## **STRATEGIC PLANNING & TRANSPORT STATEMENT**

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### **Travel Trends**

Currently traffic in Cardiff is around 90% of levels pre-pandemic with traffic in the city centre around 80% of the levels prior to Covid-19. Commuter journeys (by all transport modes) are at 56% of trips pre-pandemic. However, peak time congestion has increased, and journey times are typically taking 7% longer than they did in 2019.

Nevertheless, air quality remains improved, and the proportion of journeys made sustainably is higher than in 2019. Notably, walking has seen substantial increases at around 50% higher than prior to the pandemic. Cycling is estimated to be more than 10% higher than in 2019; and public transport patronage (bus and rail combined) is beginning to recover at over 80% pre-pandemic levels, with rail patronage at Cardiff Central specifically now around 70%, and both bus and rail use rising to pre-Covid levels during the weekends.

### **City Centre Developments**

Castle Street re-opened to general traffic on 31 October 2021 in conjunction with the provision of a new bus gate on Westgate Street. In line with the decision taken by Cabinet in June 2021 to re-admit traffic to Castle Street, the effects of this measure will be closely monitored and assessed through modelling and analysis of its impacts of on clean air, congestion and the wider city recovery and renewal.

### **Bike Sharing Scheme**

A temporary suspension of the OVO Bikes (Nextbike) scheme has taken effect from 15 November 2021. Regrettably, this has become necessary due to the very significant levels of vandalism on the system. The Council is working closely with Nextbike, South Wales Police and other key partners to try to understand what is prompting this senseless activity by a small number of people.

This pause will allow the operator to repair the damaged bikes and put in place additional measures to protect the scheme going forward. It is anticipated that the scheme will relaunch early in the New Year. Nextbike has made a commitment to getting the scheme back on the street, and work to complete the installation of the e-bike rental stations is continuing in the interim period.

## **COP26 Cymru Roadshow**

I was pleased to join the panel on decarbonisation of transport at the Welsh Government's COP26 Cymru regional roadshow. The event which focused on the transport sector was aimed at involving people in some of the big challenges faced by the transport sector in helping nations to meet their net zero targets.

Members of the Active Travel Schools Team also joined the roadshow on 10 November 2021 to give a live presentation as part of the session on Clean Transport. Presenting jointly with Living Streets Cymru, the team showcased the integrated approach being taken to promoting active travel journeys to school by combining infrastructure improvements with support to enable travel behaviour change.

The session highlighted the impressive results of the Living Streets 'WOW Tracker' scheme since its introduction in 42 Cardiff primary schools at the beginning of the autumn term. From a baseline of 57% of pupils in WOW schools travelling actively at the beginning of term, percentages have increased over the last three months, from 76% during September, to 79% in October, and 80% this month.

## **Traffic and Tunnel Control Centre**

The Traffic and Tunnel Control Centre located in County Hall is dedicated to ensuring the safe, expeditious and efficient travel experience for the people of Cardiff and the surrounding districts. It constantly monitors the flow of traffic and where necessary, takes steps to improve and rectify any network problems as they occur using traffic signals and electronic signs.

The months in the run-up to Christmas are always busy; however, the additional challenges of multiple roadworks and the dynamic of changed road layouts have made this year particularly challenging. The Control Centre is committed to meeting these challenges and doing all that it can to assist the travelling public. This is particularly relevant to public transport, where both permanent and temporary adjustments are being made to systems to ensure that the public of Cardiff have a reliable, timely and safe bus service.

Extra resources have been committed on Saturdays when traffic is particularly heavy to better manage the network when there are many competing demands including events, concerts and sports matches in addition to increased shopping and leisure. The Control Centre is mitigating the negative effects of high traffic flows to support public transport in particular.

## **Replacement Local Development Plan – Consultation on Strategic Options**

Work continues on preparing the Replacement Local Development Plan (LDP) for the city with the next stage of consultation due to be launched on 30 November 2021. The consultation will run for 10 weeks from 30 November to 8 February 2022 and will seek feedback on options for housing and jobs growth over the next 15 years and possible ways this growth can be provided for.

A virtual launch event will take place on 30 November and the consultation will be widely publicised on social media. The consultation documents will be available to view on the Council's website and residents will be encouraged to fill out an online survey to give their views. In order to engage with a wide range of interest groups, targeted workshops will be held to gather feedback and officers will be available to discuss the consultation with residents and ask any questions. The feedback from the consultation will inform the preparation of the Preferred Strategy, which is due to be considered by Cabinet and Council in September 2022.

### **Millennium Walkway**

The replacement of the timber decking and structural members at the city centre Millennium Walkway with a recycled composite material product is now substantially complete. The walkway has re-opened to public use and thanks to the improvement in skid/slip resistance from the introduction of the new material, will now be open to cyclists for the first time. This route will give a useful daytime link between Castle Street Bridge and the new developments at Central Square, giving an alternative to busy Fitzhamon Embankment and the pinch point by Nos Da. There are minor works to be undertaken to renew the signage; this work will be undertaken in the coming weeks.

### **Highway Operations**

The Highway Maintenance Operations Team is now in full swing with the delivery of the winter service. The Council has re-stocked its salt pile and currently holds approximately 2,500 tonnes of rock salt at the Brindley Road depot. Highway engineers are continuously monitoring weather conditions and a workforce is on standby 24 hours a day, to deliver the service as and when the conditions dictate that salt treatment is required. On a local community level, a programme of grit bin filling has been carried out and will continue throughout the season. Reports of empty bins can be made directly to the Highways Team through the CardiffGov app and arrangements will then be made for them to be replenished.

**Councillor Caro Wild**  
**Cabinet Member for Strategic Planning & Transport**  
**18 November 2021**

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## **INVESTMENT & DEVELOPMENT STATEMENT**

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### **Economic Update**

Members will note that in previous statements I have noted the continued increase in footfall in the city centre. I am pleased to highlight that this has continued and, as of October 2021, we have seen monthly footfall in the city centre exceed the same period in pre-pandemic times. This is testament to the work we have been doing to animate our city centre and to promote Cardiff as a visitor destination. Similarly, the latest data we have for August shows that our hotels have the occupancy rates of any major UK city.

This has meant, however, that there is now pressure on recruitment for many businesses in our city, especially in foundational economy sectors. In response the Into Work team from our Communities Directorate are working directly with those sectors to offer support and training to help alleviate staff shortages and help our residents access the new opportunities that are emerging.

### **Supporting Businesses**

Our Economic Development team has continued to deliver grants to local businesses, and, to date, has provided over 11,500 grants across the city. These grants have supported those businesses who have fallen through the gaps of UK Government support. Officers are now working closely with colleagues in Welsh Government to look at support packages for business as they recover from the pandemic and we establish a Greener, Fairer, Stronger economy.

### **Investment**

The city continues to attract interest as an investment location, from retail and hospitality to commercial development. The city's competitiveness was most recently underlined in INSEAD's Global Cities Talent Competitiveness Index, which ranked Cardiff as the third best UK city for talent, and the highest-ranking Core City.

### **Old Library and Norwegian Church Update**

Members will be aware of our commitment to supporting our city's heritage buildings. At this month's Cabinet meeting, we agreed proposals to support the transfer of two of these assets, the Old Library and Norwegian Church, to help invest in and secure the future of the buildings.

The Old Library will see the Royal Welsh College of Music and Drama invest in the building as a place for education, community use, and to promote music and the arts in the city. The Norwegian Church will see a new charity, established by the Welsh Norwegian Society, take on the current lease and establish the building as a centre for Norwegian culture, whilst also remaining open for the residents of Cardiff and visitors alike.

**Councillor Russell Goodway**  
**Cabinet Member for Investment & Development**  
**18 November 2021**

**COUNCIL: 25 NOVEMBER 2021**

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## **CULTURE & LEISURE STATEMENT**

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### **Christmas 2021 Programme of Events**

There is no mistaking that Cardiff is very much open for Christmas this year. I am grateful to all our partners, venues and staff in the city who have worked so hard to ensure that we are able to offer a safe and magical opportunity for residents and visitors to enjoy. Full details can be found at [www.visitcardiff.com/christmas](http://www.visitcardiff.com/christmas)

### **Norwegian Church**

I am pleased to confirm that, following consideration by Cabinet on 18 November 2021, the Council, as the current Sole Trustee, will transfer the Norwegian Church, including the current lease, to a new charitable body led by the Welsh Norwegian Society. This will see the new body investing in the building and taking control of the day-to-day running of the church, securing the future of one of the city's much-loved heritage buildings.

### **Old Library**

The Museum of Cardiff will soon be welcoming a new and very welcome neighbour to the Old Library in the city centre following the Cabinet's decision on 18 November 2021 to transfer the building to the Royal Welsh College of Music and Drama, which will be responsible for the full running and maintenance cost of the building going forward.

I have been very impressed with the College's plans to return the Old Library to its original educational function, whilst also continuing to restore the listed building and showcase its original features. The College plans to introduce a series of performance, exhibition and rehearsal spaces into the existing rooms and develop public access to a 'city living room' with café/creative workspace.

This will be a huge boost for the performing arts in the city and perfectly complements the existing Museum of Cardiff, which is such an integral part of the building. These new proposals also reflect the extensive work that the Council has been undertaking on the city's Music Strategy, as it will create a key cultural quarter within the city centre, along with Cardiff Castle, the College's campus at Bute Park and the Museum of Cardiff.

## **Wheelchair Rugby**

Cardiff looks forward to welcoming world-class wheelchair rugby to the Principality Stadium in 2023. The eight-team event, which will be held on 3-7 May 2023, will act as a qualifier for the 2024 Paralympic Games in Paris, with the top two teams qualifying automatically. We are really looking forward to working with our local communities and partners to develop greater understanding of this exciting sport and to inspire the next generation of athletes in Wales. This is just one of the events that the Council is working closely with the Welsh Government's Major Events Unit on, as we seek to re-develop our event portfolio that has been so extensively impacted by the Covid-19 pandemic.

## **The Queen's Green Canopy**

The Queen's Green Canopy is a unique tree planting initiative that has been created to mark Her Majesty The Queen's Platinum Jubilee in 2022 and invites people from across the UK to 'Plant a Tree for the Jubilee'. I am pleased to confirm that Cardiff has been successful in achieving Champion City status as part of The Queen's Green Canopy initiative, along with the other UK cities of Belfast, Manchester, Bradford, Leicester, Newcastle, Edinburgh, Southampton, Preston, York, Glasgow, Swansea and Chester. The Champion Cities initiative aims to highlight the leadership, dynamism and influence of some of the UK's outstanding cities, which have trees and woodland as a central part of their plans for green spaces. The award of Champion City status to Cardiff also recognises the quality of the Council's tree stock, its importance to our city and supports our ambitious plan for tree canopy expansion as part of the Coed Caerdydd project.

## **Refurbishment of Playground Facilities**

The Council has recently opened refurbished playground facilities across the city, including at Peppermint Park and Lascelles Drive open space in the Pontprennau & Old St Mellons ward; Glenmount Way in the Llanishen ward, and Adamscroft and Tharsis Close in the Adamsdown ward. The investment programme, which supports the Child Friendly City agenda, will provide enhanced opportunities for children and young people, and I anticipate that a further tranche of schemes will be completed early in the New Year.

**Councillor Peter Bradbury**  
**Cabinet Member for Culture & Leisure**  
**18 November 2021**

**COUNCIL: 25 NOVEMBER 2021**

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**FINANCE, MODERNISATION & PERFORMANCE STATEMENT**

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**Living Wage Week 2021**

This year marks the 20<sup>th</sup> anniversary of the Living Wage movement and, during this year's annual Living Wage Week (15-21 November 2021), Cardiff has celebrated one of our most successful years supporting organisations in the city to become Living Wage employers. In 2019, Cardiff's Living Wage City Steering Group set out a three-year plan, which included three key targets: to increase the number of accredited Living Wage employers; to increase the total number of workers employed by Living Wage employers; and to increase the number of workers receiving a pay rise to the real Living Wage. I am pleased to confirm that all three of these targets have been met ahead of schedule, with two of them having been substantially exceeded, which is a remarkable accomplishment considering the difficulties and impact of Covid-19.

Cardiff has reached its target of 150 accredited Living Wage employers and the capital city now has over half of the total number of accredited Living Wage employers in Wales as a whole. We have surpassed our target of increasing the total number of workers employed by Cardiff-based accredited Living Wage employers to 48,000, with more than 61,000 people now working for a Living Wage employer. In addition, a total of 7,894 workers in Cardiff have received a pay rise to the real Living Wage, exceeding the target of 6,500 that was achieved last year.

In what has been a challenging year for many sectors due to the Covid-19 pandemic, a total of 32 new organisations have become accredited as Living Wage employers in 2021, including the Wales Millennium Centre. While previous years have seen public sector organisations making up the majority of new accreditations, it is important to highlight that 2021 has seen a crucial and timely growth in accreditations from the hospitality and care sectors. Our success in supporting more local businesses and organisations to become accredited has also put an extra £39m in people's wage packets and the local economy. We are keen to achieve more though and we will continue flying the Living Wage flag here in Cardiff and supporting organisations across the city on their own Living Wage journey so that even more people in the city get a fair day's pay for a fair day's work.

The Council's Living Wage accreditation scheme supports small local businesses to commit to pay their own employees the Living Wage by offering financial support to those who become accredited Living Wage employers. Further information about the accreditation scheme and the real Living Wage can be found at:

<https://www.cardiff.gov.uk/ENG/Your-Council/Strategies-plans-and-policies/Living-Wage/Pages/default.aspx>

### **Into Work Service**

With the easing of Covid restrictions and the end of the furlough scheme, the Into Work Service has been busy organising local recruitment and partnership events across the city. In partnership with the Communities for Work employment project, the Employer Liaison Team organised a Jobs Fair at Llanrumney Hall to showcase local employers in the hospitality, security and care sectors, including Euroclad, Rubicon, Tesco, McDonalds and Revised Recruitment. Over 60 jobseekers attended the event and were supported by employment and training providers including Careers Wales, Cardiff & Vale College, Cardiff Works and the Adult Learning Team. Many people signed up with the Into Work Service at the event and were supported to create their CVs and apply for work.

### **Website**

The Council's website ([www.cardiff.gov.uk](http://www.cardiff.gov.uk)) had 194,367 visitors in October 2021 who viewed 655,248 pages of information, with the most visited pages relating to waste & recycling and schools information. Nearly two-thirds of visitors chose to visit the website using a mobile device. A total of 5,845 online forms were completed via the website, with 48% of these being forwarded on to C2C and 30% to the Council Tax Team. In addition, 97.6% of recycling centre bookings and 90% of requests for waste bags were made online. To further demonstrate the increasing channel shift, last month also saw the highest percentage (84.1%) of fly-tipping reports being made online, which coincided with the lowest number of reports made via C2C (Connect 2 Cardiff) since the online reporting service was implemented in 2018.

In October, the Council improved the accessibility of its website, with increased compliance of webpage content against the Web Content Accessibility Guidelines (WCAG) 2.1 Accessibility AA and AAA standards to 99.2%. Cardiff is currently third in Wales on the Silktide Index.

### **CardiffGov Mobile App**

The total number of downloads of the CardiffGov mobile app has now passed 50,000. A small app update was released in mid-October 2021 that delivered improved accessibility, drug-litter reporting and added useful information about recycling centre bookings. A further release this month will include the new service for checking parking permit types available by property. The app project manager is currently engaging with council services that are not currently represented within the app, including Planning, Social Care, and Housing Benefits. All of these will feed into a phase of activity to broaden the app's capabilities.

## **BOBi Chatbot**

At the end of October 2021, the Council's online chatbot, BOBi, hit 90,000 conversations since being launched. Comparisons with similar digital offerings indicates that uptake in Cardiff is significantly higher than in other local authorities around the UK. Nevertheless, we continue to undertake communications activity to broaden the public's awareness of BOBi and to promote the channel's accessibility, efficiency and simplicity for a broadening range of tasks. Feedback scores remain strong, with 85.37% of scores recorded as Very Good, Good or OK. The corporate trainees continue to use constructive feedback from customers to modify content and drive continuous improvement through AI training.

Throughout October, the Development Team has been designing and creating a chat-based service for reporting missed waste collections. This re-uses the technical infrastructure developed for the app and web reporting service, and will be deployed this month to provide another, simple and accessible route for this common enquiry type. Parking permit type look-ups and a graffiti reporting service are now in the design and development phase and are expected to be released towards the end of the month.

**Councillor Chris Weaver**  
**Cabinet Member for Finance, Modernisation & Performance**  
**18 November 2021**

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## **HOUSING & COMMUNITIES STATEMENT**

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### **Community Safety Update**

I want to take this opportunity to update the Council specifically on the considerable work being undertaken by the Cardiff Community Safety Partnership over the last few months.

### **General Crime/Anti-Social Behaviour (ASB)**

#### **Problem Solving Group/Complex ASB Issues**

The multi-agency Problem Solving Group has been successful in bringing together over 30 organisations to identify and address issues that require a co-ordinated partnership response to their solution. We have already seen the impact of issues in Splott and Llanrumney, where I have held briefings with some members. This group has, in quick time, addressed issues including anti-social behaviour, vandalism and criminal behaviour by introducing diversionary and community safety measures, and improving community engagement. The potential for this pilot approach is exciting as we look to build our multi-agency approach to tackling community issues and making a real difference.

The Council is also responding to the most difficult and persistent anti-social behaviour hotspots in the city in partnership with South Wales Police. Young people engaged in anti-social behaviour have been re-directed into education and training, which provided resolution for neighbouring residents. This includes a dedicated group responding to anti-social behaviour concerning off-road bikes and the continuation of Operation Red Mana by South Wales Police, which sees bikes confiscated from offenders. A new area-based officer will also provide additional resource in Cathays and Plasnewydd, which have the highest crime rates, and deliver renewed focus on addressing complex and repeat anti-social behaviour in these parts of Cardiff.

#### **Crime Prevention Infrastructure**

£432,000 in funding has been secured from the Home Office's Safer Streets fund, providing CCTV and other crime reduction infrastructure for Butetown and Grangetown. The installation has already begun and will be completed during the term of the current administration.

## Public Safety Awareness Raising

The Community Safety Partnership recognises the key role residents have in tackling crime by providing reports and intelligence to the authorities. The partnership is working with Crimestoppers to encourage increased reporting in communities that may face barriers to engaging, such as a fear of retribution. Reports can be made safely, anonymously and in over 140 languages, providing valuable intelligence to South Wales Police that might not otherwise be captured.

## Shoplifting

The Community Safety Partnership is supporting the ShopWatch programme to help small local businesses affected by crime and anti-social behaviour support crime prevention efforts and make shoplifting more difficult for perpetrators.

Cardiff Against Business Crime (CABC) is an accredited Business Crime Reduction Partnership that is dedicated to protecting business premises in Cardiff and making the city a safer place for customers, clients and employees. CABC is hosted by FOR Cardiff, in partnership with South Wales Police, British Transport Police, Cardiff Council, South Wales Fire & Rescue Service, Cardiff Licensees Forum, St David's Shopping Centre and other stakeholders. It supports businesses by providing its members with the tools and intelligence to prevent, detect and reduce business crime, and has just renewed its National Standards Accreditation. All CABC members are connected to partners through subscription to the CityNet public safety radio network. An exclusion scheme is also being introduced, which aims to enable and support retailers and licensees across the city centre to effectively self-manage the low-level business crime such as shoplifting and anti-social behaviour in the retail and night-time economies.

In respect of young offenders, these processes provide safeguarding intelligence to the local Multi-Agency Safeguarding Hub (MASH) to help identify prolific offenders and support intervention.

## Burglary

South Wales Police have identified a marked increase in commercial burglaries since the lifting of lockdown. In response, a targeted approach has been implemented in Roath and Cathays, where the local police team has initiated Operation Henbane, which is a combination of overnight overt and covert patrols including:

- Neighbourhood police teams pro-actively visiting shops providing reassurance and crime prevention advice.
- A centralised team from the neighbourhood police team who have collated information from all the burglaries including sharing images from CCTV etc. to aid identification.
- Information has been shared with operational support teams (specialists such as Roads Policing, Dogs Teams etc.) who have increased patrols in the evenings.
- #OpHenbane is circulated on social media, with advice on how to report any suspicious activity as well as positive results.

- The police have made several arrests for burglaries and are continuing to share public messaging regarding patterns of crime and crime prevention advice. Specialist crime reduction tactical officer visits are available and have been offered at identified at risk locations.

### Graffiti

The Council's Community Safety Team is leading work to map out graffiti reports, which will, in future, allow partners to identify and proactively address hot spots and link in with Probation Services so that perpetrators will help to clear up graffiti across the city.

### Drink Spiking

South Wales Police have launched a proactive response following these concerning national reports. This has included proactive engagement with our licensed venues forums and partners to ensure there are clear lines for reporting incidents and the city is active in preventing this shocking crime. New processes will shortly be trialled which include testing kits for licensed premises to give out to customers to test their drinks, along with safe drink lids. City centre premises have been responsive and engaged in introducing these measures and it is anticipated that there will be a comprehensive roll-out of these protections to many establishments in the night-time economy, particularly those popular with the student community.

South Wales Police are also taking action to address the evidential gap which can prevent police from taking action against offenders of spiking. This will improve the availability of testing to identify spiking victims and will utilise the CityNet radio network, which is used widely by businesses in the city centre, to issue warning alerts to premises and stop predators in their tracks.

One of the most concerning aspects of these reports is the move to using needles to administer drugs. South Wales Police are already exploring the application of metal detector arches to support effective searching and further support will be provided through the Community Safety Partnership Night-Time Economy sub-group. This will include more training with licensed premises, awareness raising with students through their unions, and working with hospital Emergency Units to identify spiking victims on admission.

### Victim Support

All victims of crime are guaranteed the right to support – this includes helping them to understand the criminal justice process and ensuring that they are treated with respect, fairness and dignity. Victim Support provide free and confidential support 24 hours a day, 365 days a year for people affected by crime and traumatic events, regardless of whether the crime has been reported to the police. Their support is tailored to each individual and can include both immediate and longer term emotional and practical help, restorative justice and personal safety services.

In Wales, enhanced services are available for victims of hate crime, with a dedicated support service funded by the Welsh Government. The Victim Code of Practice also sets what victims can expect from the criminal court proceedings. It is widely recognised that the more support a victim has at the start of a court process, the less likely they are to withdraw from the process, which can result in better crime conviction rates. The Community Safety Partnership will continue to work with victim support organisations to ensure that the best advice and services is being provided to all communities.

### **Youth Violence/Knife Crime/Serious Violence**

An Immediate Response Group (IRG) Protocol has been established to ensure an immediate and effective response across public services in the wake of a serious violent incident, which also ensures support for victims and immediate assurance on the safety of the wider public. A new approach to protecting vulnerable young people from criminal exploitation through SAFE (Safeguarding Adolescents from Exploitation) has also been launched. This is based on a partnership approach between Community Safety and Children's Services, which supports young people at risk away from crime and assists them in accessing appropriate support and diversionary provision, including targeted youth work.

### **Women's Safety**

Cardiff is renewing its White Ribbon accreditation for the eighth year – the global movement working to end male violence against women and girls, promoting gender equality and a new version of masculinity. Key areas of work include awareness raising days of action and the continued roll-out of the Ask & Act programme, which trains staff across the public sector to identify and support people who are survivors of domestic abuse. A revised regional Violence Against Women, Domestic Abuse and Sexual Violence Strategy for Cardiff and Vale of Glamorgan is also being developed, which will have an increased focus on tackling perpetrators and education.

### **Student Safety**

A partnership group with the city's universities is leading on a targeted plan of action to ensure students' safety both on and off campus. This has included proactive partnership work during Freshers' Week, such as intensive targeted engagement with students on how they can stay safe, including the provision of safety helpline numbers and the launch of FOR Cardiff's Safer Spaces App. In addition, the student safety bus is based in the city centre on weekend nights, supported by South Wales Police officers and volunteers, with many students being taken home safely and some to the city's alcohol treatment centre!

### **Street-Based Lifestyles & Complex Needs**

The Community Safety Partnership's Street-Based Lifestyles & Complex Needs Group was established in July 2021 and is driving a clear focus on addressing the

needs of the homeless and some of the most vulnerable people on our streets. Street-based lifestyles describes vulnerable people that spend all or a significant amount of their time on the streets. This can include issues such as rough sleeping, begging, substance abuse and sex work.

The Street-Based Lifestyles & Complex Needs Group is taking forward a public health approach to the impact of street-based lifestyles and is fully engaged with key partners including the Council, South Wales Police, Cardiff & Vale University Health Board and the Third Sector. Task and Finish groups have been set up to roll out key areas of work, including operational; data & intelligence; resident engagement; and volunteer engagement. It has also established an operational drug litter heat map, which co-ordinates a range of partner data sets, enabling services to address issues proactively as they emerge.

The Targeted Outreach Team is also a hugely successful example of partnership working between Cardiff Council, the Wallich and the Salvation Army, supported by a multi-disciplinary team of experts for rapidly moving individuals away from rough sleeping and street-based lifestyles. This was a crucial development in helping people off the streets during the Covid-19 pandemic and a key tactical approach to reducing the number of rough sleepers as lockdown restrictions have been eased in the city. The success of the team's outreach work has been significant in reducing levels of homelessness, but for some, the complexity of their needs keeps them on the streets. The team will continue to work with them, as they explore the long-term solutions needed to address the root causes. The continued support from Health partners and the Area Planning Board to this group is key to ensuring that we take a trauma-informed and public health approach to delivering sustainable solutions.

Citizens can help make services aware of people needing help via the Real Change text initiative. Reports can be made by texting REALCHANGE to 80800 with a description and location details. The Targeted Outreach Team will typically respond to reports within two hours. This initiative marks an innovative approach and is the only example of a text-based reporting system in the UK.

Cardiff Council, South Wales Police and other key partners are also instigating a refreshed begging protocol, embedding effective practice across the Neighbourhood Policing teams so that begging can be addressed sustainably. This will use a traffic light system to engage with beggars and move them away from their cycle of behaviour before enforcement is taken.

### **Community Safety Team**

Additional resources have been secured to support the work of the Council's Community Safety Team following a number of successful funding applications and investment from the Community Safety Partnership. This has significantly increased the capacity of the Council's team over the last 18 months, which has increased from a single officer to seven full-time members of staff, together with additional operational manager support.

The new team of dedicated officers is leading on the response to complex issues such as violence prevention, women's safety, street-based lifestyles and complex anti-social behaviour. The team is delivering for the city on the key community safety

priorities set by the Community Safety Partnership and the community through improved service co-ordination and strategy development. This has also included an improved interface with elected members regarding community safety concerns within their ward, who are able to raise issues directly via the dedicated mailbox and receive a prompt and comprehensive response from the team.

The Community Safety Team is pioneering a comprehensive evidence-led approach to public service delivery, having commissioned a new interactive data and intelligence dashboard for the Community Safety Partnership that enhances the evidence-led approach to community safety in Cardiff and provides live intelligence on key crime and vulnerability data that supports responsive service delivery. This tool is already being used across the partnership's various fora to support the use of data in decision making and evaluation in order to improve the efficiency of services and optimise resources.

I am excited and enthused by the considerable efforts of the Community Safety Partnership over recent months. As we move into the New Year, the Council and partners are keen to reflect on our journey and the challenges we have faced to help strengthen future work to keep our city and communities safe.

**Councillor Lynda Thorne**  
**Cabinet Member for Housing & Communities**  
**18 November 2021**

**COUNCIL MEETING:****25 NOVEMBER 2021**

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**REPORT OF CORPORATE DIRECTOR RESOURCES**

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**AMENDMENTS TO THE INTER AUTHORITY AGREEMENT OF  
THE WALES PENSION PARTNERSHIP****Reason for this Report**

1. To ask Council to approve the proposed amendments to the Inter Authority Agreement (IAA) of the Wales Pension Partnership (WPP). .

**Background**

2. Cardiff Council is the administering authority for the Cardiff & Vale of Glamorgan Pension Fund ('the Fund') which is part of the Local Government Pension Scheme (LGPS) for England and Wales. Following a report to Full Council on the 30<sup>th</sup> June 2016, the Council established a Pensions Committee and strategic functions relating to Pensions were delegated to the Committee. Operational and administrative functions are delegated to the Corporate Director Resources.
3. In February 2017 the Corporate Director Resources presented a report to Council which outlined how the eight LGPS funds in Wales had responded to the MHCLG recommendations for LGPS investment pooling. The report recommendations included that the Council approve the establishment of a Joint Committee, which is known as the Joint Governance Committee (JGC), to become the decision making body of the Wales Pension Partnership (WPP) and oversee its activities.
4. The February 2017 report also asked Council to note the draft Inter Authority Agreement (IAA) between the eight Constituent Authorities in the WPP with delegated authority to sign the final version of the IAA being passed to the Corporate Director Resources. The IAA sets out the governance arrangements for the WPP, the rights and obligations of the eight participating authorities and the powers and responsibilities delegated to the JGC. The IAA can only be amended or terminated with the agreement of all eight constituent authorities.

## **Amendments to the Inter Authority Agreement (IAA)**

5. The WPP is now well established and has made good progress with the establishment of eight investment sub-funds in listed assets covering both Equity (4 sub-funds) and Fixed Income (5 sub-funds). The WPP's attention will now turn to providing investment opportunities for the WPP Constituent Authorities Funds to cover the less liquid, "Private Market" assets. In addition, the JGC is seeking to enhance its governance arrangements in accordance with developing best practice. Both these developments require changes to the IAA with the proposed amendments to the IAA included as Appendix 1 and these are summarised below.
  - Private Markets Assets include Property, Infrastructure, Private Equity and Private Credit which have different characteristics to listed assets. As a consequence, the route to market to establish Funds in which the Constituent Authorities can invest for these assets is more bespoke and specialist than those that the WPP has successfully adopted for listed equity and fixed income. The JGC, after taking appropriate professional advice, has agreed that specialist "Allocator(s)" with extensive experience and specialist knowledge of Private Markets are appointed to develop these sub-funds for the WPP. The proposed amendment to the IAA will pass the responsibility for future appointments and terminations of the Allocator role to the JGC.
  - The JGC has for some time been considering how a Scheme Member representative could be appointed to the JGC. It is proposed that a Scheme member representative would be able to join the JGC but only as a non-voting member. They would however be able to receive JGC papers as well as attending and speaking at meetings, including exempt items. The IAA as currently drafted does not make provision for the inclusion of Scheme Member representatives which is now included in the revised version.
6. In addition to the two amendments outlined above the opportunity has also been taken to undertake a full review of the IAA and as a consequence a number of minor changes will also be made. These changes reflect the practical experience gained since the WPP has been operational and refer to more clearly defining the role of the Officer Working Group (OWG) and the terms of reference of sub-groups that report to it.
7. The Pension Committee at its meeting on the 2<sup>nd</sup> November 2021 considered the proposed amendments to the IAA and agreed to recommend to Council that the IAA amendments are approved

## **Equalities Impact Assessment**

8. No Equalities Impact Assessment has been undertaken. No equalities impact issues are anticipated to arise directly from the proposed amendments to the WPP IAA. .



## Legal Implications

10. The body of the report notes that the IAA adopted in 2017 requires amendment. The proposed amendments as identified in the body of this report were considered by the Pension Committee where it was agreed to recommend to Council that the IAA amendments are approved
11. It should be noted that if the amendments are approved by the eight Constituent Authorities in the WPP the content and form of the IAA as amended is intended to create a legally binding agreement between the authorities.
12. In considering this matter Council should have regard to the general legal advice set out below:

### General Legal Advice

Any decision must (a) be within the legal powers of the Council; (b) comply with any procedural requirement imposed by law; (c) be within the powers of the body or person exercising powers on behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. standing orders and financial regulations; (e) be fully and properly informed; (f) be properly motivated; (g) be taken having regard to the Council's fiduciary duty to its tax payers; and (h) be reasonable and proper in all the circumstances and comply with any equalities legislation.

The Council also has to satisfy its public sector duties under the Equality Act 2010 (including specific Welsh public sector duties). Pursuant to these legal duties, Councils must in making decisions have due regard to the need to (1) eliminate unlawful discrimination, (2) advance equality of opportunity and (3) foster good relations on the basis of protected characteristics. The Protected characteristics are: age, gender reassignment, sex, race – including ethnic or national origin, colour or nationality, disability, pregnancy and maternity, marriage and civil partnership, sexual orientation, religion or belief – including lack of belief.

The Well-Being of Future Generations (Wales) Act 2015 ("the Act") places a 'well-being duty' on public bodies aimed at achieving 7 national well-being goals for Wales – a Wales that is prosperous, resilient, healthier, more equal, has cohesive communities, a vibrant culture and thriving Welsh language, and is globally responsible.

In discharging its duties under the Act, the Council has set and published well-being objectives designed to maximise its contribution to achieving the national well-being goals. The well-being objectives are set out in Cardiff's Corporate Plan 2021-24.

The well-being duty also requires the Council to act in accordance with 'sustainable development principle'. This principle requires the Council to act in a way, which seeks to ensure that the needs of the present are met without comprising the ability of future generations to meet their own needs. Put simply, this means that Council decision makers must take account of the impact of their decisions on people living their lives in Wales in the future. In doing so, the Council must:

- Look to the long term
- Focus on prevention by understanding the root causes of problems
- Deliver an integrates approach to achieving the 7 national well-being goals
- Work in collaboration with others to find shared sustainable solutions
- Involve people from all sections of the community in the decisions which affect them

The decision maker must be satisfied that the proposed decision accords with the principles above; and due regard must be given to the Statutory Guidance issued by the Welsh Ministers, which is accessible using the link below: <http://gov.wales/topics/people-and-communities/people/future-generations-act/statutory-guidance/?lang=en>

The Council has to be mindful of the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards when making any policy decisions and consider the impact upon the Welsh language, the report and Equality Impact Assessment deals with all these obligations. The Council has to consider the Well-being of Future Guidance (Wales) Act 2015 and how this strategy may improve the social, economic, environmental and cultural well-being of Wales.

## **Financial Implications**

13. All costs associated with the management and administration of an LGPS pension fund are chargeable to the fund's accounts. No change is proposed to the current principle included in the IAA that the running costs of the Joint Governance Committee will be divided equally between the eight participating authorities. Expenditure incurred in the management of specific WPP pooled investments funds will be charged to the relevant Pension Funds in proportion to the amounts they have invested in those funds.

## **RECOMENDATIONS**

It is recommended that Council

Approve the proposed amendments to the Inter Authority Agreement (IAA)  
as outlined in this report and attached at Appendix 1.

## **CHRISTOPHER LEE CORPORATE DIRECTOR RESOURCES**

### **Appendices:**

Appendix 1 – Proposed amendments to Inter Authority Agreement

*The following background papers have been taken into account*

Pension Committee Report 2 November 2021 – Item 4: IAA Amendments

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**Amendment to the Inter-Authority Agreement between**

Carmarthenshire County Council	(1)
City & County of Swansea Council	(2)
City of Cardiff Council	(3)
Flintshire County Council	(4)
Gwynedd Council	(5)
Powys County Council	(6)
Rhondda Cynon Taff County Borough Council	(7)
Torfaen County Borough Council	(8)

Made on

2021

By

- (1) **CARMARTHENSHIRE COUNTY COUNCIL** of County Hall, Carmarthen, Carmarthenshire, SA31 1JP
- (2) **CITY & COUNTY OF SWANSEA COUNCIL** of The Guildhall, Swansea, SA1 4PE
- (3) **THE COUNTY COUNCIL OF THE CITY AND COUNTY OF CARDIFF** of County Hall, Atlantic Wharf, Cardiff, CF10 4UW
- (4) **FLINTSHIRE COUNTY COUNCIL** of County Hall, Mold, Flintshire, CH7 6NA.
- (5) **GWYNEDD COUNCIL** of Shirehall Street, Caernarfon, Gwynedd LL55 1SH
- (6) **POWYS COUNTY COUNCIL** of County Hall, Llandrindod Wells, Powys, LD1 5LG
- (7) **RHONDDA CYNON TAFF COUNTY BOROUGH COUNCIL** of The Pavilions, Clydach Vale, Tonypany, CF40 2XX
- (8) **TORFAEN COUNTY BOROUGH COUNCIL** of Civic Centre Pontypool Torfaen NP46YB

(together referred to as the “**Constituent Authorities**” and individually as a “**Constituent Authority**”)

## **1 BACKGROUND**

- 1.1 The Constituent Authorities are all councils responsible for the administration of local government within their areas as set out in the Local Government Act 1972. The Department for Communities and Local Government in its letter dated 23 November 2016 confirmed that the Constituent Authorities have been granted permission for each Constituent Authority to continue to collaborate with every other Constituent Authority to form a pool of assets in respect of each of their respective funds under the LGPS.
- 1.2 The Constituent Authorities entered into the Agreement to create a formal joint committee pursuant to section 101 and section 102 of the Local Government Act 1972 by Deed dated 26 June 2017. The Agreement in clause 34 allows for amendment of its terms provided that the amendment is made in writing and is signed on behalf of all the Constituent Authorities by duly authorised representatives.
- 1.3 This Amendment is made under clause 34 in order to amend the Agreement to:
  - (a) allow the participation of a co-opted member in the Joint Governance Committee; and
  - (b) allow for a number of changes which support the development and effectiveness of the pooling collaboration.

## **AGREED TERMS**

### **2 INTERPRETATION**

- 2.1 In this Amendment terms shall have the same meaning as set out in the Agreement where:
  - (a) **Agreement** means the deed titled Inter-Authority Agreement made between the Constituent Authorities on 26 June 2017.
  - (b) **Amendment** means this document amending the terms of the Agreement.

**3 COMMENCEMENT**

This Amendment shall take effect on [ ] 2021. For the avoidance of doubt, this Amendment is only effective when each Constituent Authority has signed it in accordance with clause 34 of the Agreement.

**4 AMENDMENT OF THE AGREEMENT**

The Agreement is amended as set out in Schedule 1 to this Amendment.

**5 SEVERANCE**

5.1 If any provision or part-provision of the Agreement or this Amendment is or becomes invalid, illegal or unenforceable, it shall be modified to the minimum extent necessary to make it valid, legal and enforceable. If such modification is not possible, the relevant provision or part-provision shall be deemed deleted. Any modification to or deletion of a provision or part-provision under this clause shall not affect the validity and enforceability of the rest of this Agreement.

5.2 If one Constituent Authority gives notice to the other Constituent Authorities of the possibility that any provision or part-provision of this Agreement is invalid, illegal or unenforceable, the Constituent Authorities shall negotiate in good faith to amend such provision so that, as amended, it is legal, valid and enforceable, and, to the greatest extent possible, achieves the intended result of the original provision.

**6 COUNTERPARTS**

This Amendment may be executed in any number of counterparts by the Constituent Authorities, all of which taken together, shall constitute one and the same agreement, and any Constituent Authority (including any duly authorised representative of a Constituent Authority) may execute this Amendment by executing a counterpart.

## Schedule 1

### Amendments to the Agreement

The following amendments are made to the Agreement:

#### **1 CLAUSE 1 INTERPRETATION**

1.1 In clause 1, the following definition is inserted at the start of the list of definitions:

**Allocator** means the, one or more, allocator for [private market] asset classes who will facilitate the preferred investment structure and select sub-managers, underlying funds and/or direct investments for the purposes of the Pooling Collaboration appointed by the Joint Governance Committee.

1.2 In clause 1, following the definition of “Constituent Authorities”, the following definitions are inserted:

**Contact List** means the document circulated periodically by the Host Authority setting out relevant contact details for each of the Constituent Authorities.

**Co-opted Member** means a person, nominated by a Constituent Authority or the Pension Board of a Constituent Authority, and appointed as a Co-opted Member of the Joint Governance Committee by the Members; who is not an elected member of a Constituent Authority but is a Pension Member Representative of a Constituent Authority.

1.3 In clause 1 (and throughout the document thereafter, but including the contents pages), the definition “Host Council” is changed to “**Host Authority**” but retains its meaning throughout the document, being:

**Host Authority** means the Constituent Authority appointed in accordance with clause 7 and whose duties are described within that clause.

1.4 In clause 1, the definition of Member is delete and replaced by the following definition:

**Member** means each of the elected members of the Constituent Authorities nominated to be Members of the Joint Governance Committee in accordance with clause 3.3(a).

1.5 In clause 1, following the definition of “Pension Board”, the following definition is inserted:

**Pension Member Representative** means a person appointed to a Pension Board as a member representative further to regulation 107(2)(b) of the Local Government Pension Scheme Regulations 2013.

#### **2 CLAUSE 3**

2.1 Clause 3.3 is delete and replaced by the following:

3.3 The membership of the Joint Governance Committee shall be:

(a) one elected member nominated by each of the Constituent Authorities, provided that the nominated person is an elected member of that Constituent Authority and a member of that Constituent Authority’s pensions committee (or equivalent body) for the purposes of the Local Government Pension Scheme Regulations 2013; and

(b) one Co-opted Member appointed by decision of the Members (or a sub-group of the Members where such a sub-group is formed to consider the candidates), and which Co-opted Member shall be selected from a pool of candidates nominated by each of the Constituent Authorities or their Pension Boards.

2.2 Clause 3.4 is delete and replaced by the following:



3.4 For the purposes of clause 3.3, each Constituent Authority may appoint a named deputy for each Member, which deputy must be an elected member of the same Constituent Authority and the same Constituent Authority's pension committee (or equivalent body) for the purposes of the Local Government Pension Scheme Regulations 2013 as the Member for whom they are acting as deputy; and

3.4 A In the case of the Co-opted Member, a deputy shall be appointed by decision of the Members (or a sub-group of the Members where such a sub-group is formed to consider the candidates), and which deputy for the Co-opted Member shall be selected from a pool of candidates nominated by each of the Constituent Authorities or their Pension Boards.

2.3 A new clause 3.8 as follows is inserted:

3.8 The Co-opted Member shall be invited to and is expected, where possible, to attend all training provided to Members under clause 3.7.

### **3 CLAUSE 31**

3.1 Clause 31.1 is amended by deleting the words "Schedule 1" and replacing them with "the Contact List".

### **4 SCHEDULE 1**

4.1 In Schedule 1, the content of the schedule is held delete and replaced by the following:

As of [date], the Host Authority maintains a list of the relevant contact details for each of the Constituent Authorities. This will be issued periodically by the Host Authority to the Constituent Authorities and is also available on request.

### **5 SCHEDULE 2**

5.1 In Schedule 2, new items are added to the numbered list as follows:

12. Nomination of a Co-opted Member to the Joint Governance Committee (except where that role is carried out by a Pension Board, in which case it is reserved to that Pension Board) .

13. Approval of changes to the terms of reference of the Joint Governance Committee as set out in Schedule 4.

### **6 SCHEDULE 4**

6.1 In Schedule 4 Joint Governance Committee – Terms of Reference the bullet points are replaced with numbering.

6.2 In Schedule 4, item 8 is held delete and replaced by the following:

8. From time to time reviewing policies in respect of environmental, social and governance matters and where appropriate make recommendations to the Constituent Authorities as to any changes deemed necessary.

6.3 In Schedule 4, item 13 is held delete and replaced by the following:

13. Monitoring the implementation and effectiveness of the policies described in Schedule 5 and initiating reviews of these where required.

6.4 In Schedule 4, item 19 is held delete and replaced by the following:

19. Agreeing criteria for the evaluation of bids or tenders for any procurement of the Operator (including for the avoidance of doubt, a replacement Operator) to be put forward for the approval of the Constituent Authorities.

6.5 In Schedule 4, new items are inserted as follows:

20. Any reference in this schedule to the Joint Governance Committee taking any action including agreeing, approving or making recommendations, shall be determined subject to the voting provisions set out in Schedule 6.
21. Approval of an appointment of an Allocator following a recommendation by the OWG, reviewing the performance of an Allocator(s), and reporting on the performance of the Allocator(s) to the Constituent Authorities.
22. Approval of the termination of the appointment of an Allocator following a recommendation by the OWG.

## **7 SCHEDULE 5**

7.1 In Schedule 5, the existing wording is held delete and replaced by the following:

The Joint Governance Committee, with the support of the OWG, will formulate, review and revise on an ongoing basis policies and procedures as deemed appropriate to support robust and effective governance arrangements for the Pooling Collaboration, including the following (which for the avoidance of doubt, is non-exhaustive):

- (a) Responsible Investment Policy
- (b) Climate Risk Policy
- (c) Voting Policy
- (d) Training Policy & Plans
- (e) Communication Policy
- (f) Governance Decision Matrix
- (g) Risk Policy and Risk Register
- (h) Conflict of Interest and Procedure Policy
- (i) Rebalancing and Alteration Policy
- (j) Responsibilities Matrix
- (k) Complaints Policy
- (l) Whistleblowing Policy
- (m) Breaches and Errors Policy
- (n) Business Continuity Plan

## **8 SCHEDULE 6**

8.1 Paragraph 1 of Schedule 6 is held delete and replaced by the following:

### **1 MEMBERSHIP**

1.1. The membership of the Joint Governance Committee shall consist of one Member per Constituent Authority and one Co-opted Member.

1.2 No substitutes other than deputies shall be allowed.

8.2 A new section 1A, ROLE OF THE CO-OPTED MEMBER, is inserted following section 1 of schedule 6 as follows:

## 1A ROLE OF THE CO-OPTED MEMBER

1A.1 The primary role of the Co-opted Member is to provide scheme member representation on the Joint Governance Committee.

1A.2 The Co-opted Member is entitled to attend all meetings of the Joint Governance Committee, including exempt items, to be provided with copies of all papers, and to speak on any item during meetings of the Joint Governance Committee.

1A.3 The Co-opted Member may ask the Chair to include any matter on the agenda which they consider should be discussed by the Joint Governance Committee.

8.3 Clause 2.3 is amended in the first line by insertion of the words 'executive summaries of following 'agendas,'.

8.4 Clause 2.4 is held delete and replaced by the following:

2.4 The Joint Governance Committee may decide to allow remote participation in meetings via video-conference or any similar medium having regard to any applicable guidance issued from time to time by the Welsh Government. Any Member or Co-opted Member attending by video-conference shall be held to be in attendance at the meeting for the purposes of this Schedule.

8.5 Paragraph 2.5 of Schedule 6 is held delete and replaced by the following:

2.5 A meeting of the Joint Governance Committee may be called by a proper officer of the Host Authority on the request of the Chair. Members and the Co-opted Member must declare any conflict of interest in respect of any business being conducted at the meeting which would likely to be regarded to prejudice the exercise of a person's function as a participant in the meeting.

8.6 Paragraph 2.6 of Schedule 6 is held delete and replaced by the following:

2.6 The Chair is responsible for the running of meetings. The Chair shall invite Members and the Co-opted Member expressing a desire to speak in turn. All discussion and debate shall be held through the Chair and the Chair may draw a discussion to a vote at any time where they consider that every Member and the Co-opted Member has been given a fair opportunity to speak.

8.7 Sub-paragraph 2.9(a) of Schedule 6 is held delete and replaced by the following:

Where any item to be discussed forms exempt information, the Chair shall move that the public and press are excluded from the meeting for the duration of the discussion and voting on that item. The Co-opted Member is entitled to remain in the meeting and shall not be excluded. Motions to exclude the press and public do not require to be seconded and shall be determined by simple majority vote of the Members present.

8.8 Paragraph 6.2 of Schedule 6 is held delete and replaced by the following:

6.2 A Member or the Co-opted Member may raise a point of order at any time. The Chair will hear them immediately. A point of order may only relate to an alleged breach of the provisions of this Schedule, or the law or other competent authority. The Member or Co-opted Member must indicate the provision or law or regulation and the way in which he/she considers it has been broken. The ruling of the Chair on the matter will be final. The Chair may take advice on the point of order from the appropriate officer.

8.9 Section 7 of Schedule 6 is held delete and replaced by the following:

## **7 VOTING**

7.1 The Chair shall seek consensus wherever possible however where a vote is required the provisions of this section shall apply.

- 7.2 Each Member present will have one vote and voting will be by means of a show of hands or such other method as the Chair may decide is appropriate in the circumstances, including a roll call. The Co-opted Member may not vote. In the event of a tied vote, the Chair shall have a second or casting vote.
  - 7.3 All decisions will be determined by simple majority of Members present.
  - 7.4 In the event that a vote is taken, the voting positions and any abstentions of Members will be recorded in the minutes.
- 8.10 Paragraph 8.1 of Schedule 6 is held delete and replaced by the following:
- 8.1 The Joint Governance Committee shall form such sub-committees and working groups as it considers expedient to performing its function. The Joint Governance Committee shall at the time of forming sub-committees or working groups set out the remit of the sub-committees or working groups, what the sub-committees or working groups are required to deliver and the timescale for that delivery.. The Co-opted Member may be a member of any sub-committee or working group.

Paragraph 8.4 of Schedule 6 is held delete and replaced by the following:

- 8.4 Working groups may invite any person who is not a Member or Co-opted Member to join the group in order to assist in carrying out its function.

**9 SCHEDULE 8**

- 9.1 In Schedule 8, letters a-o are replaced with numbers 1-17.
- 9.2 In Schedule 8, the following items are inserted after item 14 (with semi-colons and full stops updated accordingly):
  - 15. establishing sub-groups and/or working groups of the OWG if the OWG consider such sub-group or working group would assist the effectiveness of the OWG to progress a particular project or workstream;
  - 16. reviewing, formulating or evaluating governance arrangements and policies for the Pooling Collaboration (including for the avoidance of doubt the policies and procedures described in Schedule 5);
  - 18. managing the procurement process for the procurement of an Allocator, or the replacement of an Allocator, including determining the criteria for the evaluation of bids or tenders;
  - 19. monitoring and reviewing the performance of the Allocator(s) in meeting relevant objectives, service levels and key performance targets.

IN WITNESS whereof the parties have executed this Agreement on the date and year first above written.

THE COMMON SEAL of )  
 Carmarthenshire County Council )  
 was affixed hereto in the )  
 presence of:- )  
 Authorised Officer

THE COMMON SEAL of )  
Council of the City and County of Swansea )  
was affixed hereto in the )  
presence of:- )  
Authorised Officer

THE COMMON SEAL of )  
County Council of the City and County of Cardiff )  
was affixed hereto in the )  
presence of:- )  
Authorised Officer

THE COMMON SEAL of )  
Flintshire County Council )  
was affixed hereto in the )  
presence of:- )  
Chair / Legal Services Manager / Chief Officer Governance

THE COMMON SEAL of )  
Gwynedd County Council )  
was affixed hereto in the )  
presence of:- )  
Authorised Officer

THE COMMON SEAL of )  
Powys County Council )  
was affixed hereto in the )  
presence of:- )

Authorised Officer

THE COMMON SEAL of )  
Rhondda Cynon Taf County Borough Council )  
was affixed hereto in the )  
presence of:- )

Authorised Officer

THE COMMON SEAL of )  
Torfaen County Borough Council )  
was affixed hereto in the )  
presence of:- )

Authorised Officer

**CITY & COUNTY OF CARDIFF  
DINAS A SIR CAERDYDD**



**COUNCIL:**

**25 November 2021**

**REPORT OF DIRECTOR GOVERNANCE & LEGAL SERVICES**

**APPOINTMENT OF LOCAL AUTHORITY GOVERNORS TO SCHOOL GOVERNING BODIES**

**Reason for this Report**

1. To appoint Local Authority School Governors to fill vacancies, both current and future.

**Background**

2. Section 19 of the Education Act 2002 makes provision for the governing bodies of maintained schools to include Local Authority appointed governors, with further detail contained in the Government of Maintained Schools (Wales) Regulations 2005. When Local Authority school governor vacancies arise, either by appointees reaching the end of their term of office or resigning, it is the statutory duty of the Council to fill the vacancies as soon as possible.
3. The Local Authority Governor Panel was constituted at the Annual Council in May 2015 to advise the Council on appointments and removal of governors to those places allocated to the Local Authority.

**Issues**

4. The Local Authority Governor Panel met on 18 October 2021 and 15 November 2021 to consider new applications to fill current and future vacancies due to arise by 31 March 2022. The recommendations of the panel, in respect of new appointments and re-appointments, are contained in Appendix 1 and Appendix 2 to this report.

**Reasons for Recommendations**

5. To ensure that the Council fulfils its statutory functions in respect of the appointment of Local Authority governors for maintained schools.

**Legal Implications**

6. As noted in paragraph 2 of the report, the Council is required, pursuant to the Education Act 2002, section 19 and regulations made there under, to appoint local authority governors to the governing bodies of maintained schools, in accordance with those statutory provisions. Appointments are for a fixed term of 4 years from the date of the appointment and governors may be re-appointed for a further 4 year term.

7. Appointments to outside bodies are a local choice function, which is reserved under the Council's Constitution to full Council. Accordingly, the appointment of Local Authority governors to governing bodies requires the approval of full Council.
8. Members will note that this report recommends the appointments and re-appointments of local authority governors, as set out in Appendix 1 and Appendix 2, for a further 4 year term.

### **Financial Implications**

9. There are no financial implications arising from this report.

### **Recommendation**

10. That, in accordance with the recommendations of the Local Authority Governor Panel, the Council approves the new appointments and re-appointments of Local Authority governors to the school governing bodies as set out in Appendix 1 and Appendix 2, each for a term of 4 years from the date of the appointment.

**Davina Fiore**  
**Director Governance & Legal Services**  
**18 November 2021**

*The following Appendices are attached:*

- |            |   |
|------------|---|
| Appendix 1 | List of Local Authority school governor vacancies and recommendations for appointment by the Local Authority Governor Panel for the period 1 October 2021 to 31 January 2022. |
| Appendix 2 | List of Local Authority school governor vacancies and recommendations for appointment by the Local Authority Governor Panel for the period 1 November 2021 to 31 March 2022.  |

*The following Background Documents have been taken into account: N/A*



**LA Governor Vacancies - Recommendations from LA Governor Panel  
1 October 2021 to 31 January 2022.**

**Appendix 1**

- i. All appointments in the list are recommended by the LA Governor Panel and will have satisfied the required application process.
- ii. All terms of office unless otherwise stated are for 4 years.

**Existing LA Governor Vacancies**

<b>School Name</b>	<b>Ward</b>	<b>Start of Vacancy</b>	<b>Applications Received</b>
Albany Primary School	Plasnewydd	19/05/2021	
Baden Powell Primary School	Splott	21/06/2021	
Cantonian High School	Fairwater	05/01/2021	
Cathays High School	Gabalfa	12/07/2021	Lucy Jenkins
Coed Glas Primary School	Llanishen	01/05/2020	
Creigiau Primary School	Creigiau & St Fagans	27/05/2020	
Danescourt Primary School	Llandaff	29/09/2021	Miriam Roberts
Ely and Caerau Children's Centre	Ely	29/06/2021	Bryony Lanham
Fairwater Primary School	Fairwater	13/05/2021	
Grangetown Primary School	Grangetown	30/05/2021	Cathryn Knight
Hawthorn Primary School	Llandaff North	01/05/2021	
Herbert Thompson Primary School	Ely	29/09/2021	
Lakeside Primary School x 2 vacancies	Cyncoed	04/05/2021 01/09/2021	
Millbank Primary School	Caerau	11/02/2021	
Pontprennau Primary School	Pontprennau & Old St Mellons	10/09/2019	Folabomi Lewis
Radnor Primary School	Canton	26/07/2021	William Sargeant
Severn Primary School	Riverside	29/09/2021	Cecilia Tandi
St David's Catholic College	Penylan	07/03/2018	
St Mary The Virgin C.W Primary School	Butetown	29/09/2021	
The Rainbow Federation	Llanrumney	19/12/2020	

School Name	Ward	Start of Vacancy	Applications Received
Thornhill Primary School	Llanishen	24/06/2021	
Tremorfa Nursery School	Splott	08/12/2020	
Windsor Clive Primary School	Ely	30/01/2021	Yasmine Rhoseyn
Ysgol Gymraeg Coed-Y-Gof	Fairwater	29/01/2020	
Ysgol Gymraeg Melin Gruffydd	Whitchurch & Tongwynlais	01/08/2021	
Ysgol Gymraeg Nant Caerau	Caerau	19/11/2020	
Ysgol Gymraeg Pwll Coch	Canton	30/09/2021	
Ysgol Gynradd Gymraeg Pen-y-Groes x 2 vacancies	Pentwyn	24/03/2021 01/05/2021	Amy Pope
Ysgol Pencae	Llandaff	01/05/2021	
Ysgol Y Berllan Deg	Pentwyn	01/05/2021	
Ysgol Y Wern	Llanishen	19/05/2021	

### Future LA Governor Vacancies

School	Ward	Start of Vacancy	Re-appointment Requested	New Application Received
Peter Lea Primary School	Fairwater	01/12/2021		
Radnor Primary School	Canton	20/12/2021	Roberta Meredith	
Rumney Primary School	Rumney	25/10/2021	Jonathan Williams	
St David's C.W Primary School	Pentwyn	01/12/2021		
St John Lloyd R.C Primary School	Trowbridge	01/12/2021		

**LA Governor Vacancies - Recommendations from LA Governor Panel  
1 November 2021 to 31 March 2022.**

**Appendix 2**

- i. All appointments in the list are recommended by the LA Governor Panel and will have satisfied the required application process.
- ii. All terms of office unless otherwise stated are for 4 years.

**Existing LA Governor Vacancies**

School Name	Ward	Start of Vacancy	Applications Received
Albany Primary School	Plasnewydd	19/05/2021	
Baden Powell Primary School	Splott	21/06/2021	
Cantonian High School	Fairwater	05/01/2021	
Coed Glas Primary School	Llanishen	01/05/2020	
Creigiau Primary School	Creigiau & St Fagans	27/05/2020	Pauline Dorrington
Fairwater Primary School	Fairwater	13/05/2021	
Glyncoed Primary School	Pentwyn	19/10/2021	Jacqueline Brockway
Hawthorn Primary School	Llandaff North	01/05/2021	Julian McDonald
Herbert Thompson Primary School	Ely	29/09/2021	
Lakeside Primary School x 2 vacancies	Cyncoed	04/05/2021 01/09/2021	
Millbank Primary School	Caerau	11/02/2021	
St Albans RC Primary School	Splott	22/10/2021	Alison Jenner
St David's Catholic College	Penylan	07/03/2018	
Pencaerau Primary School	Caerau	15/10/2021	
St Mary The Virgin C.W Primary School	Butetown	29/09/2021	
The Rainbow Federation	Llanrumney	19/12/2020	
Thornhill Primary School	Llanishen	24/06/2021	
Tremorfa Nursery School x 2 vacancies	Splott	08/12/2020 08/10/2021	Ayesha Farheen
Ysgol Gymraeg Coed-Y-Gof	Fairwater	29/01/2020	

Ysgol Gymraeg Melin Gruffydd	Whitchurch & Tongwynlais	01/08/2021	
Ysgol Gymraeg Nant Caerau	Caerau	19/11/2020	
Ysgol Gymraeg Pwll Coch	Canton	30/09/2021	
Ysgol Gynradd Gymraeg Pen-y-Groes	Pentwyn	01/05/2021	
Ysgol Pencae	Llandaff	01/05/2021	
Ysgol Y Berllan Deg	Pentwyn	01/05/2021	
Ysgol Y Wern	Llanishen	19/05/2021	

### **Future LA Governor Vacancies**

School	Ward	Start of Vacancy	Re-appointment Requested	New Application Received
Adamsdown Primary School	Adamsdown	26/03/2021		
Bryn Deri Primary School	Radyr & Morganstown	26/01/2022 28/03/2022	Neil Desmond Matthew Jones	
Cantonian High School	Fairwater	23/03/2022	Barbara Connell	
Coed Glas Primary School	Llanishen	31/01/2022		
Eastern High	Trowbridge	23/03/2022		
Marlborough Primary	Penylan	26/01/2022		
Peter Lea Primary School	Fairwater	01/12/2021 26/01/2022	Phil Bond	
Radnor Primary School	Canton	28/03/2022	Cllr Susan Elsmore	
Radyr Comprehensive School	Radyr & Morganstown	19/01/2022	Caroline Taylor	
Radyr Primary School	Radyr & Morganstown	06/01/2022	Charlotte Robins	
St David's C.W Primary School	Pentwyn	01/12/2021		
St John Lloyd R.C Primary School	Trowbridge	01/12/2021	Peter May	
St Peter's R.C Primary School	Plasnewydd	22/02/2022	Cllr Mary McGarry	
St Teilo's C.W High School	Pentwyn	28/03/2022	Phillip Smith	
The Court School	Llanishen.	28/03/2022	Garry Hunt	

School	Ward	Start of Vacancy	Re-appointment Requested	New Application Received
The Pear Tree Federation	Whitchurch & Tongwynlais	27/03/2022 27/03/2022 27/03/2022 27/03/2022	Nick Ashby Sharron Dore Kathy Haggarty Cllr Jones-Pritchard	
The Western Learning Campus	Caerau	08/01/2022 08/01/2022 08/01/2022 08/01/2022	Cllr Bradbury Bianca Rees David Saunders	
Willows High School	Splott	31/01/2022	Cllr Stubbs	
Ysgol Glan Morfa	Splott	26/01/2022		
Ysgol Gymraeg Coed-Y-Gof	Fairwater	31/01/2022		
Ysgol Pencae	Llandaff	26/01/2022	Blodwen Lewis	
Ysgol Y Berllan Deg	Pentwyn	28/03/2021	Nicholas Webb	

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# CYNGOR CAERDYDD CARDIFF COUNCIL

**COUNCIL:**

**25 NOVEMBER 2021**

## REPORT OF THE DIRECTOR OF GOVERNANCE & LEGAL SERVICES

### COMMITTEE MEMBERSHIP

#### Reason for Report

- To receive nominations and make appointments to current committee vacancies as set out in the report and in accordance with the approved allocation of seats and political group wishes.

#### Background

- The Annual Council meeting 27 May 2021 established the Committees and Panels of the Council and their composition. The seats allocated to political groups on each committee were calculated in accordance with the rules on political balance, and nominations were received for each committee from the political groups.
- Following changes in the political composition of the Council, the allocation of seats on Committees has been revised, in accordance with the rules on political balance, in September 2021 and under agenda item 8 of this November 2021 Council meeting.
- In accordance with the Welsh Audit Office Statement of Action P3b (report March 2016), Membership of Committees is a standing item on monthly Group Whips meetings and Full Council, as appropriate.

#### Issues

- Current Committee vacancies, in accordance with the approved allocations to political groups, are as follows:

Committee	Vacancy	Group	Nomination Received
Corporate Parenting Advisory Committee	2 vacancies	1 x Conservative	Councillor Jones-Pritchard
		1 x Propel	Councillor Ford
Council Appeals Committee	1 vacancy	Labour **	
Democratic Services Committee	1 vacancy	Labour **	

<b>Committee</b>	<b>Vacancy</b>	<b>Group</b>	<b>Nomination Received</b>
Licensing Committee	1 vacancy	Conservative	
Public Protection Committee	2 vacancies	1 x Independent 1 x Propel	

\*\* Subject to Council approving the revised political allocation recommended in the report on Agenda Item 8.

6. Further nominations to fill existing vacancies received from political groups prior to Full Council on 25 November 2021 will be reported on the amendment sheet.

### **Legal Implications**

7. The Council is under a duty to make appointments to Committees, in accordance with the approved allocation of seats to political groups, so as to give effect to the wishes of the political groups (pursuant to Section 16 of the 1989 Act).
8. The Democratic Services Committee is a statutory committee established under Part 1 of the Local Government (Wales) Measure 2011 ('the 2011 Measure'). Section 12 of the 2011 Measure states that the Democratic Services Committee cannot include more than one member of the Cabinet, who must not be the Leader.

### **Financial Implications**

9. There are no financial implications directly arising from this report.

### **RECOMMENDATION**

The Council is recommended to receive nominations and appoint to the vacancies on Committees, in accordance with the allocation of seats approved under agenda item 8 of this Council meeting and Party Group wishes, as set out on the Amendment Sheet.

**DAVINA FIORE**

**Director Governance and Legal Services**

19 November 2021

### **Background Papers**

Annual Council Reports and Minutes 27 May 2021

Council Minutes 24 June 2021

Council Minutes 22 July 2021

Council Minutes 30 September 2021

Council Minutes 21 October 2021



**REPORT OF DIRECTOR OF GOVERNANCE AND LEGAL SERVICES  
AND MONITORING OFFICER**

**APPOINTMENT OF MEMBERS TO SERVE ON OUTSIDE BODIES**

**Reasons for the Report**

1. To receive nominations and make appointments of Members to statutory and non-statutory outside body vacancies as set out in the report.

**Background**

2. At its Annual meeting on 27 May 2021 the Council received nominations for and approved appointments to Outside Bodies which had been submitted by the Party Group Whips.
3. The Constitution provides that the Council will, from time to time, receive nominations and make Member appointments as necessary to serve as representatives of the Council on outside bodies.

**Issues**

4. At its Annual meeting on 27 May 2021 the Council approved appointments to the South Wales Fire & Rescue Authority. There is a currently a vacancy

<b>Name of Organisation</b>	<b>No of Representatives</b>	<b>Appointed Representatives</b>
South Wales Fire & Rescue Authority	5 Members (3 Lab, 1 Con & 1 Lib Dem)	Councillor Dilwar Ali Councillor Ashley Lister Councillor Dan Naughton Councillor Joel Williams 1 x Labour vacancy

5. Nominations for appointments to Outside Bodies received from political groups prior to Full Council on 25 November 2021 will be reported on the amendment sheet.

## **Legal Implications**

6. The appointment of individuals to serve on outside bodies is a Local Choice function under the Local Authorities (Executive Arrangements) (Functions and Responsibilities) (Wales) Regulations 2007. In the approved Scheme of Delegations the Council has determined that responsibility for the proposed appointments shall rest with Full Council.
7. Guidance for Members appointed to outside bodies has been published by the WLGA explaining the roles and duties of Members in relation to both the outside body and the Council, including advice on managing potential conflicts of interest. The WLGA Guidance is accessible here: ([Appointments to Outside Bodies: The Councillor's Role - WLGA](#)) Further advice is available from Legal Services.

## **Financial Implications**

8. There are no financial implications directly arising from this report

## **RECOMMENDATION**

9. The Council is requested to receive nominations and approve appointments to outside bodies in accordance with Party Group wishes as listed on the Amendment Sheet.

**DAVINA FIORE**

**Director of Governance & Legal Services and Monitoring Officer**

19 November 2021

## **Background Papers**

WLGA Guidance: [Appointments to Outside Bodies: The Councillor's Role](#)