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For all enquiries relating to this agenda please contact Sharon Hughes
(Tel: 01443 864281 Email: hughesj@caerphilly.gov.uk)

Date: 19th February 2020

Dear Sir/Madam,

A meeting of the **Policy and Resources Scrutiny Committee** will be held in the **Sirhowy Room - Penallta House** on **Tuesday, 25th February, 2020 at 5.30 pm** to consider the matters contained in the following agenda. Councillors and the public wishing to speak on any item can do so by making a request to the Chair. You are also welcome to use Welsh at the meeting, both these requests require a minimum notice period of 3 working days, and a simultaneous translation will be provided if requested.

All Committee meetings are open to the Press and Public, observers and participants are asked to conduct themselves with respect and consideration for others. Please note that failure to do so will result in you being asked to leave the meetings and you may be escorted from the premises.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'Chrissy'.

Christina Harrhy
INTERIM CHIEF EXECUTIVE

AGENDA

| | Pages |
|--|-------|
| 1 To receive apologies for absence. | |
| 2 Declarations of Interest. | |
| Councillors and Officers are reminded of their responsibility to declare any personal and/or prejudicial interest(s) in respect of any business on this agenda in accordance with the Local Government Act 2000, the Council's Constitution and the Code of Conduct for both Councillors and Officers. | |

A greener place Man gwyrddach

Correspondence may be in any language or format | Gallwch ohebu mewn unrhyw iaith neu fformat



To approve and sign the following minutes: -

- | | | |
|---|--|--------|
| 3 | Policy and Resources Scrutiny Committee held on 14th January 2020. | 1 - 8 |
| 4 | Consideration of any matter referred to this Committee in accordance with the call-in procedure. | |
| 5 | Policy and Resources Scrutiny Committee Forward Work Programme. | 9 - 16 |
| 6 | To receive and consider the following Cabinet Reports*: - | |
| | 1. Update on Reserves – 29th January 2020; | |
| | 2. To Determine a Specific Discretionary Rate Relief Scheme in Respect of Welsh Government (WG) 2019/20 Grant Funding – 29th January 2020; | |
| | 3. Budget Proposals for 2020/21 and Medium Term Financial Outlook – 12th February 2020. | |

**If a member of the Scrutiny Committee wishes for any of the above Cabinet reports to be brought forward for review at the meeting please contact Sharon Hughes, 01443 864281, by 10.00 a.m. on Monday, 24th February 2020.*

To receive and consider the following Scrutiny reports:-

- | | | |
|---|--|----------|
| 7 | Treasury Management & Capital Financing Prudential Indicators Quarter 3 Monitoring Report (1st April 2019 to 31st December 2019) | 17 - 26 |
| 8 | Strategic Equality Plan, Objectives and Actions 2020-2024. | 27 - 82 |
| 9 | Safer Recruitment Procedure and Disclosure and Barring Service (DBS) Policies. | 83 - 124 |

Circulation:

Councillors M.A. Adams, Mrs E.M. Aldworth, K. Etheridge, Mrs C. Forehead, Miss E. Forehead, L. Harding, G. Johnston, G. Kirby (Vice Chair), C.P. Mann, B. Miles, J. Pritchard (Chair), J. Ridgewell, R. Saralis, Mrs M.E. Sargent, J. Taylor and L.G. Whittle

And Appropriate Officers

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POLICY AND RESOURCES SCRUTINY COMMITTEE

MINUTES OF THE MEETING HELD AT PENALLTA HOUSE, YSTRAD MYNACH ON
TUESDAY, 14TH JANUARY 2020 AT 5.30 P.M.

PRESENT:

Councillor J. Pritchard – Chair

Councillors:

M. Adams, L. Harding, G. Johnston, C.P. Mann, B. Miles, J. Ridgewell, Mrs M. Sargent,
R. Saralis, J. Taylor, L. Whittle

Cabinet Members:

C. Gordon (Corporate Services), Mrs E. Stenner (Finance, Performance and Planning)

Together with:

R. Edmunds (Corporate Director for Education and Corporate Services), S. Harris (Interim Head of Business Improvement Services and Acting S151 Officer), Hayley Lancaster (Senior Communications Officer), Lianne Dallimore (Unison Branch Secretary), Nadeem Akhtar (Group Accountant), C Forbes-Thompson (Scrutiny Manager), S. Hughes (Committee Services Officer)

1. APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillors Mrs E. M. Aldworth, K. Etheridge, Mrs C. Forehead, Miss E. Forehead, G Kirby (Vice Chair) and Cabinet Member Mrs L. Phipps (Homes Places and Tourism)

2. DECLARATIONS OF INTEREST

There were no declarations of interest received at the commencement or during the course of the meeting.

3. MINUTES – 12TH NOVEMBER 2019

RESOLVED that the minutes of the Policy and Resources Scrutiny Committee held on 12th November 2019 (minute nos. 1 – 9) be approved as a correct record and signed by the Chair.

4. MINUTES – 11TH DECEMBER 2019

RESOLVED that the minutes of the Special Policy and Resources Scrutiny Committee held on 11th December 2019 (minute nos. 1 – 4) be approved as a correct record and signed by the Chair.

5. CALL-IN PROCEDURE

There had been no matters referred to the Scrutiny Committee in accordance with the call-in procedure.

6. POLICY AND RESOURCES SCRUTINY COMMITTEE FORWARD WORK PROGRAMME

Cath Forbes-Thompson (Scrutiny Manager) presented the report, which outlined details of the Policy and Resources Scrutiny Committee Forward Work Programme (FWP) for the period January 2020 to April 2020, and included all reports that were identified at the Scrutiny Committee meeting on 12th November 2019.

Members considered the forward work programme and agreed to a request for a report on Safer Recruitment Procedures to be added to the FWP for 25th February 2020.

Members were reminded that a Forward Work Programme workshop has been arranged to take place prior to the next meeting of the Policy and Resources Scrutiny Committee on 25th February 2020, at 4.00 pm.

Subject to the foregoing amendments, it was unanimously agreed that the Policy and Resources Scrutiny Committee Forward Work Programme be published on the Council's website.

7. CABINET REPORTS

There had been no requests for any of the Cabinet reports to be brought forward for discussion at the meeting.

REPORTS OF OFFICERS

Consideration was given to the following reports.

8. CONSULTATION AND ENGAGEMENT FRAMEWORK 2020-2025

With the agreement of the Chair and approval of the Scrutiny Committee, this item was brought forward on the Agenda.

The Cabinet Member for Corporate Services introduced the report to present a draft Consultation and Engagement Framework 2020-2025, which sets out an approach to further enhance consultation and engagement across Caerphilly county borough communities and to highlight the continued importance of effective consultation and engagement and the clear strategic link to the decision making process.. Members were asked to consider and endorse the principles and approach as outlined in the Framework prior to it being considered by Cabinet.

Members were informed that the #TeamCaerphilly – Better Together Transformation Strategy highlights the importance of engaging and working with communities as one of its primary themes. The draft Consultation and Engagement Framework 2020-2025 sets out an approach to further enhance consultation and engagement across Caerphilly county borough communities. It highlights principles and standards for how the Council will engage – to build clear, shared expectations and a two way ongoing dialogue that enables a focus on what can be achieved. It is designed to support Council staff, Councillors and residents, communities and other stakeholders and builds upon established principles to further extend the levels of community involvement in working to achieve shared aims.

L. Dallimore (Unison Branch Secretary) addressed the Scrutiny Committee and stated that Caerphilly Unison welcomed the framework document which supports the principles of inclusion and engagement. However, she expressed disappointment that neither Unison nor any other relevant trade unions were specifically mentioned in the draft framework document as a key partner, but are instead included in a general bullet point on page 8 as ‘any other body’. L. Dallimore also stated that Unison felt that the framework document is missing a reference to how the Council will respond to the public or any other organisation, when there are fundamental disagreements. She referenced the need to future proof the framework and take into account the Workforce Partnership Council Agreement – Partnership and Managing Change and the Fair Work Commission which has influenced the Welsh Government Social Partnership whitepaper.

The Senior Communications Officer advised the Scrutiny Committee that the framework document is intended to be a high level document and once it has been endorsed an Action Plan will be developed which will provide more detail. Members commented that it is important to manage public expectations during consultation and in response they were informed that it is a huge challenge but much of this work is already in place. Consultation on the budget, for example, included community drop-in sessions where the public could speak on issues of concern.

Members asked what differences will the communities see over the next few months and were advised that the framework sets out the principles, not the detail, for how the Council will consult. There will be a focus on community consultation throughout the year and not just for the budget. Comments were made regarding a poor turnout for the previous budget community consultation events. Members were assured that although the last consultations were impacted by the restriction of the pre-election period, there is a commitment to look at holding consultation events at different times, such as outside working hours or at different locations such as supermarkets. There are also plans to further use on-line methods and social media through access to local Facebook groups. In addition, the intention is to ask Members to use their established links with local communities.

A discussion took place on various consultation methods and during the course of the debate Members suggested using methods to gauge feedback similar to that used by charitable organisations at supermarkets, where shoppers can show their support for different options. The Scrutiny Committee asked how much the Council used the Viewpoint panel to consult and was advised that it is an under-utilised resource that is called upon twice per annum. The way that people wish to engage is changing, with many residents now opting for online and digital methods of engagement with the Council, but it is recognised that there will probably still be some who like to participate in this way.

The Scrutiny Committee sought clarification as to how the revised framework and approach will be communicated and were informed that this will be done in conjunction with Corporate Communications. In addition there will be some more general work to involve Members to seek information on how their communities wish to receive their news, for example noticeboards, newsletters or local social media.

The Senior Communications Officer also highlighted the crucial role that Members themselves have to play in ensuring effective engagement with communities. She emphasised that

Members have a unique position within their communities and are often already having these conversations with residents within their respective wards.

The Scrutiny Committee expressed the importance of thorough consultation and agreed that the draft Consultation and Engagement Framework document should include specific reference to relevant trade unions. It was subsequently moved and seconded that the list of communities and stakeholders under 'Who do we engage and consult with?' on page 8 of the draft Consultation and Engagement Framework 2020-2025 should specifically mention relevant Trade Unions.

Following consideration of the report and having noted its contents it was moved and seconded that the following recommendations be referred to Cabinet for approval. By a show of hands, this was unanimously agreed.

RECOMMENDED to Cabinet that:-

- (i) the principles and approach as outlined in the draft Consultation and Engagement Framework 2020-2025 are endorsed.
- (ii) the draft Consultation and Engagement Framework 2020-2025 be amended to specifically state 'relevant trade unions' under the list of communities and stakeholders detailed on page 8.

9. UPDATE ON RESERVES

The Cabinet Member for Finance, Performance and Planning presented the report to provide details of the usable reserves held by the Authority. Details were provided of the audited balances as at the 1st April 2019 along with updated balances reflecting in-year adjustments to date for the 2019/20 financial year. The report also provided details of balances that are available for the one-off funding of capital schemes. Members of the Scrutiny Committee were asked to note the content of the report and support a recommendation to Cabinet that funding totalling £24.543m (Capital Earmarked Reserves £21.107m and Council Tax Reduction Scheme £3.436m) should be set aside pending the preparation of a report during the spring that will outline proposals to utilise this sum for investments in the Council's 'place shaping' agenda.

The Scrutiny Committee was informed that the Authority's usable reserves totalled £118.524m as at the 1st April 2019. Based on an assessment of in-year adjustments to date the current balance on usable reserves is £119.041m. The report included a detailed commentary of balances held.

Members asked for further detail on the proposals for the £24.543m confirmed as being available for one-off investments in new capital schemes. Members were advised that proposals are currently being developed with a more detailed report to be prepared during the spring, which will be presented to the Policy and Resources Scrutiny Committee prior to consideration by Cabinet and Council. The proposals will be linked to key projects such as the 21st Century Schools Band B programmes; the emerging Digital Strategy; the Shared Ambitions Strategy; WHQS; Sport and Active Recreation Strategy and Community Hubs (one-stop shops).

Concerns were raised regarding the high level of reserves held by the authority and also the total amount of reserves held in comparison to other local authorities. Members questioned whether the public would understand the use of reserves for projects such as the Digital Transformation Strategy and if this would provide improvements across the county borough. In response, Members were advised that any proposals in relation to Digital would be modest in terms of the total sum available for investment. Officers discussed the Education aspect of the 'place shaping' agenda where a commitment to spend £26.5m on 21st Century Schools

Band B proposals over the next seven years will see match funding from Welsh Government of £78m. This will be spent across the county borough and further details will be provided as detailed business cases are prepared.

Members sought clarification with regard to the capital amounts detailed within Appendix 1. It was explained that much of this is already committed with examples including £4.9m allocated to the 21st Century Schools Band B programme, £3.1m for the Children's Centre, £1.1m for Home Improvement Loans, £1.2m for Section 106 with £2.3m set against Education capital maintenance, which is yet to be scheduled. Members also queried why there was both an Insurance Earmarked Reserve as well as a Risk Management Reserve, which appear to be for the same purpose. It was clarified that the Insurance Earmarked Reserve is for any claims against the Council. However, the Risk Management Reserve is utilised to fund requests from schools in order to help mitigate against future insurance claims. The reserve is used as there is no longer a budget in place and once the reserve is gone there will be no further means to fund these requests.

The Scrutiny Committee asked if the £1m Brexit Earmarked Reserve could also be released into Capital Earmarked Reserves given that the UK is now likely to exit the EU on the 31st January 2020. Members were advised that following the UK's exit there will be an eleven month transitional period for detailed negotiations to take place in relation to our future working arrangements with the EU. If these negotiations are not successfully completed then the risk of a No Deal Brexit still remains. As a consequence, the advice of Officers is that the Brexit Earmarked Reserve should be retained until negotiations have been finalised as a No Deal situation may have short-term financial implications such as spikes in inflation. Members were further advised that if matters progress smoothly then the £1m may be able to be released next year.

Finally, the Scrutiny Committee sought reassurances that the release of the capital reserves would be used as soon as possible. In respect of 21st Century School Band B proposals, Members were given a commitment that it will be spent on budget and on time.

Following consideration of the report and having noted its contents it was moved and seconded that following recommendation be referred to Cabinet for approval. By a show of hands (and noting there were 2 abstentions) this was agreed by the majority present.

RECOMMENDED TO CABINET that:-

- (i) funding totalling £24.543m (Capital Earmarked Reserves £21.107m and Council Tax Reduction Scheme £3.436m) should be set aside pending the preparation of a report during the spring that will outline proposals to utilise this sum for investments in the Council's 'place shaping' agenda.

10. TREASURY MANAGEMENT ANNUAL STRATEGY, CAPITAL FINANCE PRUDENTIAL INDICATORS AND MINIMUM REVENUE PROVISION POLICY FOR 2020/21

The Cabinet Member for Finance, Performance and Planning presented the report which detailed the Council's Annual Strategy for Treasury Management, Prudential Indicators relevant to Treasury Management and Capital Finance and the Minimum Revenue Provision (MRP) policy to be adopted by the Council for 2020/2021. Members were asked to consider and comment on the report contents prior to its presentation to Council.

The Scrutiny Committee sought clarification with regard to the requirement to borrow £32.3m for the General Fund to support the 2020/21 capital programme and £52.0m for the HRA WHQS and Affordable Homes programme. It was confirmed that a recommendation for approval to borrow must be included in the report to Council to ensure that the Treasury Manager has the authority to arrange external loans when it is appropriate to do so. Wherever possible the Council maximises internal borrowing in lieu of loans by using cash

balances on a short-term basis as this is cheaper than raising external debt. However, internal cash balances will need to be replenished in the future so the approval to borrow must be obtained to allow loans to be entered into when required.

Members sought assurance with regard to the interest rate forecasts set out in Appendix 2 of the report and asked what is taken into account and the level of accuracy. Members were advised that factors such as the current economic climate, GDP and the Base Rate were considered. Members were also reminded that there is also further opportunity to receive more information in respect of Treasury Management at the Members' Treasury Management Seminars which are arranged annually. It was suggested that Arlingclose Ltd, the Council's Treasury Management Advisers, should be asked to attend the next Seminar planned for May 2020.

The Scrutiny Committee asked for clarification with regard to the recommendation to invest a minimum of £20m into long-term Strategic Pool Funds as detailed in Appendix 9 of the report, with the aim of generating additional investment income of £718k. Members were advised that this proposal reflects previous requests of the Scrutiny Committee to improve investment returns wherever possible.

Following consideration and discussion of the report and having noted its contents it was moved and seconded that the following recommendations be referred to Council for approval. By a show of hands (and noting there were 2 abstentions) this was agreed by the majority present.

RECOMMENDED TO COUNCIL that:-

- (i) the strategy be reviewed quarterly within the Treasury Management monitoring reports presented to Policy & Resources Scrutiny Committee and any changes recommended be referred to Cabinet, in the first instance, and to Council for a decision. The Authority will also prepare a half-yearly report on Treasury Management activities.
- (ii) the Prudential Indicators for Treasury Management be considered for approval as per Appendix 5.
- (iii) the Prudential Indicators for Capital Financing be considered for approval as per Appendices 6 & 7 based on the indicative capital programme.
- (iv) Members adopt the MRP policy as set out in Appendix 8.
- (v) continuation of the 2019/20 investment strategy and the lending to financial institutions and Corporates in accordance with the minimum credit rating criteria disclosed within this report.
- (vi) the Authority borrows £32.3m for the General Fund to support the 2020/21 capital programme and £52.0m for the HRA WHQS and Affordable Homes programme.
- (vii) the Authority continues to adopt the investment grade scale as a minimum credit rating criteria as a means to assess the credit worthiness of suitable counterparties when placing investments.
- (viii) the Authority adopts the monetary and investment duration limits as set in Appendix 3 of the report.
- (ix) the Authority invests a minimum of £20m into long-term Strategic Pool Funds as set in Appendix 9 of the report, with the aim of generating additional investment

income of £718k.

The meeting closed at 18.55 p.m.

Approved as a correct record and subject to any amendments or corrections agreed and recorded in the minutes of the meeting held on 25th February 2020, they were signed by the Chair.

CHAIR

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POLICY AND RESOURCES SCRUTINY COMMITTEE – 25TH FEBRUARY 2020

SUBJECT: POLICY AND RESOURCES SCRUTINY COMMITTEE FORWARD WORK PROGRAMME

REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND CORPORATE SERVICES

1. PURPOSE OF REPORT

1.1 To report the Policy and Resources Scrutiny Committee Forward Work Programme.

2. SUMMARY

2.1 Forward Work Programmes are essential to ensure that Scrutiny Committee agendas reflect the strategic issues facing the Council and other priorities raised by Members, the public or stakeholders.

3. RECOMMENDATIONS

3.1 That Members consider any changes and agree the final forward work programme prior to publication.

4. REASONS FOR THE RECOMMENDATIONS

4.1 To improve the operation of scrutiny.

5. THE REPORT

5.1 The Policy and Resources Scrutiny Committee forward work programme includes all reports that were identified at the scrutiny committee meeting on Tuesday 14th January, 2020. The work programme outlines the reports planned for the period February 2020 to April 2020.

5.2 The forward work programme is made up of reports identified by officers and members. Members are asked to consider the work programme alongside the cabinet work programme and suggest any changes before it is published on the council website. Scrutiny committee will review this work programme at every meeting going forward alongside any changes to the cabinet work programme or report requests.

5.3 The Policy and Resources Scrutiny Committee Forward Work Programme is attached at Appendix 1, which presents the current status as at 17th February 2020. The Cabinet Work Programme is attached at Appendix 2. A copy of the prioritisation flowchart is attached at appendix 3 to assist the scrutiny committee to determine what items should be added to the

forward work programme.

5.4 **Conclusion**

The work programme is for consideration and amendment by the scrutiny committee prior to publication on the council website.

6. **ASSUMPTIONS**

6.1 No assumptions are necessary.

7. **LINKS TO RELEVANT COUNCIL POLICIES**

7.1 The operation of scrutiny is required by the Local Government Act 2000. The Local Government Wales Measure 2011 and subsequent Statutory Guidance include requirements to publicise the work of scrutiny committees. The operation of scrutiny committee forward work programmes was agreed following decisions by Council in October 2013 and October 2015.

7.2 **Corporate Plan 2018-2023.**

Scrutiny Committee forward work programmes contributes towards and impacts upon the Corporate Well-being Objectives by ensuring that the Executive is held to account for its Corporate Objectives, which are:

Objective 1 - Improve education opportunities for all

Objective 2 - Enabling employment

Objective 3 - Address the availability, condition and sustainability of homes throughout the county borough and provide advice, assistance or support to help improve people's well-being

Objective 4 - Promote a modern, integrated and sustainable transport system that increases opportunity, promotes prosperity and minimises the adverse impacts on the environment

Objective 5 - Creating a county borough that supports a healthy lifestyle in accordance with the sustainable Development Principle within the Wellbeing of Future Generations (Wales) Act 2015

Objective 6 - Support citizens to remain independent and improve their well-being

8. **WELL-BEING OF FUTURE GENERATIONS**

8.1 The Forward Work Programmes contribute to the following Well-being Goals within the Well-being of Future Generations Act (Wales) 2016 by ensuring there is an effective scrutiny function and that council policies are scrutinised against the following goals:

- A prosperous Wales
- A resilient Wales
- A healthier Wales
- A more equal Wales
- A Wales of cohesive communities
- A Wales of vibrant culture and thriving Welsh Language
- A globally responsible Wales

9. EQUALITIES IMPLICATIONS

9.1 There are no specific equalities implications arising as a result of this report.

10. FINANCIAL IMPLICATIONS

10.1 There are no specific financial implications arising as a result of this report.

11. PERSONNEL IMPLICATIONS

11.1 There are no specific personnel implications arising as a result of this report.

12. CONSULTATIONS

12.1 There are no consultation responses that have not been included in this report.

13. STATUTORY POWER

13.1 The Local Government Act 2000, The Local Government (Wales) Measure 2011.

Author: Mark Jacques, Scrutiny Officer

Consultees: Richard Edmunds, Corporate Director for Education and Corporate Services
Robert Tranter, Head of Legal Services/ Monitoring Officer
Lisa Lane, Head of Democratic Services and Deputy Monitoring Officer, Legal Services
Councillor James Pritchard, Chair Policy and Resources Scrutiny Committee
Councillor Gez Kirby, Vice Chair Policy and Resources Scrutiny Committee

Appendices:

Appendix 1 Policy and Resources Scrutiny Committee Forward Work Programme
Appendix 2 Cabinet Forward Work Programme
Appendix 3 Forward Work Programme Prioritisation Flowchart

Appendix 1 - Forward Work Programme - Policy & Resources

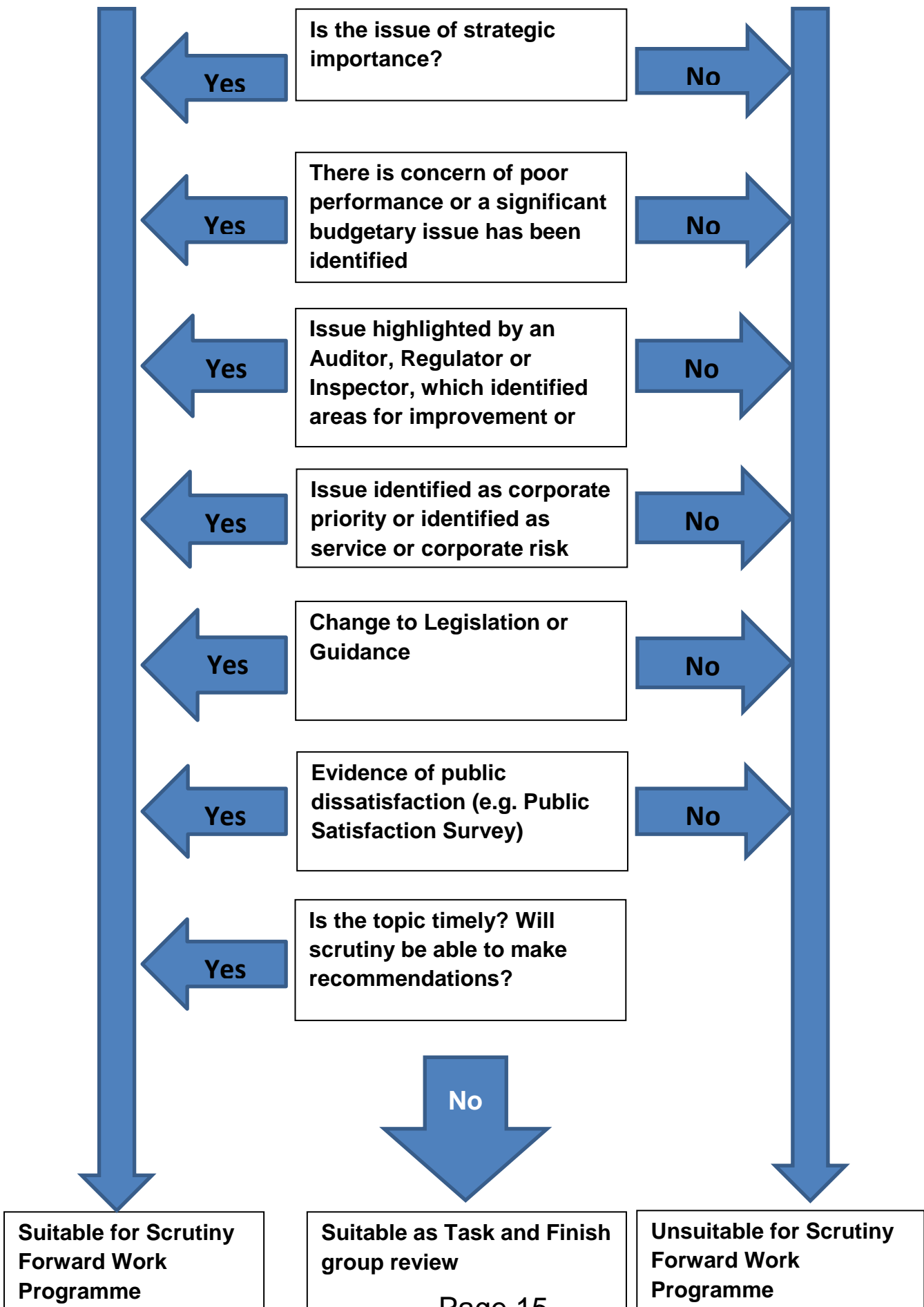
| Date | Title | Key Issues | Author | Cabinet Member |
|------------------|---|--|-------------------|-----------------------|
| 25/02/2020 17:30 | Treasury management – Period 9 | Ensuring level of investment income on target to budget for 2019/20 and advise of borrowing for 2019/20. | Harris, Stephen R | Cllr. Stenner, Eluned |
| 25/02/2020 17:30 | Caerphilly County Borough Council's Strategic Equality Plan 2020-2024 | To seek approval of the Strategic Equality Plan 2020-2024 to be formally adopted as Council Policy. | Cullinane, Anwen | Cllr. Stenner, Eluned |
| 25/02/2020 17:30 | Safer Recruitment Procedure | | Donovan, Lynne | Cllr. Gordon, Colin J |

Appendix 2 - Forward Work Programme - Cabinet

| Date | Title | Key Issues | Author | Cabinet Member |
|------------------|---|---|-------------------|-----------------------|
| 26/02/2020 10:30 | Gateway to Employment - Caerphilly Skills and Apprenticeship Academy | To develop a model to deliver a sustainable and framework compliant programme that provides holistic skills, training and apprenticeship provision that includes work experience, placements and apprenticeships. | Kyte, Rhian | Cllr. Morgan, Sean |
| 26/02/2020 10:30 | Caerphilly LA FSM Strategy | Consider a coordinated approach to accelerating the progress of this group of learners | Warren, Paul; | Cllr. Jones, Barbara |
| 26/02/2020 10:30 | Directorate Performance Assessments | To discuss and approve the new Directorate Performance Assessments and service planning framework. | Roberts, Ros | Cllr. Stenner, Eluned |
| 26/02/2020 10:30 | (17) Consultation & Engagement Framework | Part of #TeamCaerphilly Action Plan | Lancaster, Hayley | Cllr. Gordon, Colin J |
| 26/02/2020 10:30 | Post 16 Collaboration Arrangements | Update on the progress of the post 16 aspects of the Post 16, Single sex and Surplus Places Review Seek approval from Cabinet to procure I.T. Packages and additional funding to resource the review | Richards, Sue | Cllr. Jones, Barbara |
| 11/03/2020 10:30 | EAS Business Plan | To approve the EAS Business Plan for 20-21 | Cole, Keri | Cllr. Jones, Barbara |
| 11/03/2020 10:30 | Caerphilly County Borough Council's Strategic Equality Plan 2020-2024 | To seek approval of the Strategic Equality Plan 2020-2024 to be formally adopted as Council Policy. | Cullinane, Anwen | Cllr. Stenner, Eluned |
| 11/03/2020 10:30 | Integrated Transport Unit with RCT CBC/ CCBC | Consideration of a collaborative approach to the delivery of Integrated Transport Unit services. | Lloyd, Marcus | Cllr. Morgan, Sean |
| 11/03/2020 10:30 | Gender Pay Gap | For CMT and Cabinet to agree the Gender Pay Gap report which has to be published by 31st March 2020 | Donovan, Lynne | Cllr. Gordon, Colin J |
| 11/03/2020 10:30 | Appointment of Public Analyst | Changes to CCBC authorised Public Analysts due to changes in personnel in one of the statutory appointed labs | Hartshorn, Robert | Cllr. George, Nigel |

| | | | | |
|------------------|--|---|--------------------------------------|-----------------------|
| 11/03/2020 10:30 | Authorisation of Officers in Public Protection for Minimum Unit Price | | Hartshorn, Robert | Cllr. George, Nigel |
| 25/03/2020 10:30 | (16) Community Asset Transfer Policy to be finalised and approved by Cabinet | Strategic Plan - Development of a policy and options to deliver a framework for Community Asset Transfer | Peters, Kathryn; Broadhurst, Timothy | Cllr.Phipps, Lisa |
| 25/03/2020 10:30 | Public Spaces Protection Order: Dogs on sport pitches | To seek Cabinet approval to undertake a consultation on a draft Public Spaces Protection Order to ban dogs from Council sports pitches. | Hartshorn, Robert | Cllr. George, Nigel |
| 22/04/2020 10:30 | EOTAS Strategy | The EOTAS Strategy sets out the background and rationale for change in order to meet the needs of an increasingly complex group of vulnerable learners. The Local Authority has a high level of ambition in regard to the provision to be offered to these learners and the Strategy sets out these plans in more detail. | Cole, Keri | Cllr. Jones, Barbara |
| 10/06/2020 10:30 | #Team Caerphilly -Transformation Strategy - 6 Monthly Update | | Peters, Kathryn | Cllr. Stenner, Eluned |
| 10/06/2020 10:30 | Community Safety Warden Service | | Hartshorn, Robert | Cllr. George, Nigel |
| 10/06/2020 10:30 | CCBC Net Zero Carbon Plan | | Kyte, Rhian | Cllr. Morgan, Sean |
| 08/07/2020 10:30 | School Crossing Patrols | | Lloyd, Marcus | Cllr. Morgan, Sean |
| 07/10/2020 10:30 | Ystrad Mynach to Blackwood Bus Link | | Lloyd, Marcus | Cllr. Morgan, Sean |
| 07/10/2020 10:30 | Review of Charging for Services (Bulkies & Pest Control) | | Hartshorn, Robert | Cllr. George, Nigel |
| 07/10/2020 10:30 | Community Centres Service Review | | Williams, Mark S; Reynolds, Jeff | Cllr. George, Nigel |

Scrutiny Committee Forward Work Programme Prioritisation



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POLICY & RESOURCES SCRUTINY COMMITTEE – 25TH FEBRUARY 2020

**SUBJECT: TREASURY MANAGEMENT & CAPITAL FINANCING
PRUDENTIAL INDICATORS QUARTER 3 MONITORING
REPORT (1ST APRIL 2019 TO 31ST DECEMBER 2019)**

**REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND
CORPORATE SERVICES**

1. PURPOSE OF REPORT

- 1.1 To present Members with details of Treasury Management activities and Capital Financing, together with the related Prudential Indicators for the period 1st April 2019 to 31st December 2019.
- 1.2 To review the Treasury Management Strategy for 2019/20 as set out in the Annual Investment Strategy and Capital Financing Prudential Indicators Report.

2. SUMMARY

- 2.1 The Code of Practice on Treasury Management in the Public Services 2009, which was adopted by the Council on 12th October 2010, sets out a framework of operating procedures, which is encompassed in the Treasury Management Practices (TMPs). TMP6 (Reporting Requirements and Management Information Arrangements) provides for the submission of monitoring reports to the appropriate Committee on a quarterly basis.
- 2.2 Under the provisions of the Local Government Act 2003, The Local Authorities (Capital Finance and Accounting) (Wales) Regulations 2003 [The Capital Regulations], and the CIPFA's "The Prudential Code for Capital Finance in Local Authorities" [the Code], the Authority is obliged to approve and publish a number of indicators relevant to Capital Finance and Treasury Management.
- 2.3 The updated Prudential Code includes a new requirement for local authorities to provide a Capital Strategy, which is to be a summary document approved by full Council covering capital expenditure and financing, treasury management and non-treasury investments. The capital strategy was submitted to Full Council earlier this month along with the Revenue Budget Report and the 2020/21 Treasury Management Strategy.
- 2.4 The Authority's Annual Investment Strategy and Capital Financing Prudential Indicators for 2019/20 were approved by Council on 21st February 2019.

3. RECOMMENDATIONS

3.1 Members are asked to note the contents of this report.

4. REASONS FOR THE RECOMMENDATIONS

4.1 Compliance with the CIPFA “Code of Practice for Treasury Management in the Public Services”.

5. THE REPORT

5.1 Treasury Management

5.1.1 Borrowing Activity

The current policy of internal borrowing is not sustainable in the long-term, but where prudent the policy of internal borrowing will be utilised. As at the 31st March 2019 the internal borrowing position was £56m.

The Annual Treasury Management Strategy was approved by Council in February 2019 and indicated that there would be a need to borrow £27.4m in 2019/20 to part fund the General Fund capital programme. A further £44.2m is planned to be raised for the HRA to fund the WHQS capital programme. During the reported period a £23m 20 year PWLB loan was raised to fund the WHQS capital programme. £1.3m was drawn down from the approved £4.14m Salix loan facility to fund in year capital expenditure relating to the LED street lighting changeover programme that Cabinet approved on 28th November 2018. Total Salix drawn down to date is £3.3m.

During the period covered by this report, PWLB loans to the value of £2.2m were repaid on maturity. Such loans had an average interest rate of 4.82%. £30k of the WRU Loan was also repaid. Temporary loans of £24m were repaid during the reported period. The loans were raised during the year for the purpose of cashflow requirements as investments were tied in. Total debt outstanding as at 31st December 2019 was £300.9m and comprised of £257.5m PWLB loans; £30m market loans (LOBOs); £10m Bank loan; £120k WRU loan; and a £3.3m Salix Energy Finance loan.

With respect to LOBO loans the lender has the option to propose an increase in the interest rate at set dates, following which the Authority has the option to either accept the new rate or to repay the loan at no additional cost. A LOBO loan with a total value of £10m had a rate option reviewed during quarter one and quarter three, and the lender chose not to exercise the option. LOBO loans will be further reviewed again later in 2020/21 by lenders, with a total value of £20m that is exposed to variable interest rate movement. This represents 7.0% of the Authority’s debt portfolio, which is exposed to interest rate risk. The Authority acknowledges there is an element of refinancing risk even though in the current interest rate environment lenders are unlikely to exercise their options.

5.1.2 Rescheduling

The Annual Strategy allows for the utilisation of debt rescheduling providing for both in year and future year savings and additional revenue resources. No rescheduling opportunities presented themselves during the period covered by this report.

5.1.3 Investments

During the reported period the Authority was holding £33.0m of long-term investments where the maturity date is greater than 365 days. These investments are in accordance with the approved Investment Strategy. The long-term investments comprise of covered bonds with UK banks and have an AAA rating; UK Gilts and supranational bonds. The covered bonds are secured investments and collateralised against the counterparty's pool of assets. The value of short-term deposits as at 31st December 2019 was £67.3m.

The total investments held as at 31st December 2019 was £100.3m, and had an average rate of return equating to 0.92% which is a significant improvement over placing deposits with the Debt Management Office (DMO) who continue to pay a rate of 0.50%. The rate of return is above the target rate, as detailed in the Annual Treasury Management Strategy report to Council, of 0.25%. The improvement in returns reflect the Authority's change in investment strategy and lending to high creditworthy counterparties that consist of banks; building societies; supranational institutions; the DMO, local authorities; money market fund and corporates using a range of investment products such as corporate bonds; covered bonds; cash deposits and treasury bills. Whilst the returns have improved, the riskiness of the investment portfolio has been quantified with a weighted average credit score equivalent to an AA rating. The UK government is currently rated by two credit rating agencies at AA. Therefore the Authority's portfolio is on par with the UK Government rating.

The portfolio as at 31st December 2019 comprised of the following types of investments:

| Counterparty | Investment Product | Sector | £m |
|--|---------------------------|--|--------------|
| Banks | Certificate of Deposits | Financial | 10.0 |
| Banks & Building Societies | Fixed-term cash deposits | Financial | 15.0 |
| Banks & Building Societies | Notice Account | Financial | 7.0 |
| Banks & Building Societies | Covered bonds | Financial | 15.0 |
| Corporates | Bonds | Automobile/ Transport Infrastructure/ Financial | 6.9 |
| Money Market Fund | Cash Pooled Fund | Financial | 19.4 |
| Supranational Institutions | Bonds | Sovereign/ Financial | 2.0 |
| UK Government | Gilts | UK Government | 10.0 |
| Local Authorities | Fixed-term cash deposits | Local Government | 15.0 |
| | | | |
| Total Investments as at 31st December 2019 | | | 100.3 |

5.1.4 Economic Outlook

UK Consumer Price Inflation remained unchanged in November 2019 at 1.5% year-on-year, the same as October 2019, as accommodation services and transport continued to pull the level of inflation below the Bank of England target of 2%. Labour market data remained positive. The UK economy expanded by 0.4% in quarter 3.

Politics continued to play a major role in financial markets over the period as the UK's progress negotiating its exit from the European Union together with its future trading arrangements has driven volatility, particularly in foreign exchange markets. Following the General Election in December, the new government has now progressed with Brexit, exiting the European Union on 31st January 2020. Economic uncertainty continues to remain a high risk.

The Bank of England maintained Bank Rate to 0.75% in December 2019. Despite keeping rates on hold, Monetary Policy Committee (MPC) members did confirm that if Brexit uncertainty drags on or global growth fails to recover, they are prepared to cut interest rates as required. Moreover, the downward revisions to some of the growth projections in the Monetary Policy Report (formerly the Quarterly Inflation Report) suggest the Committee may now be less convinced of the need to increase rates even if there is a Brexit deal.

The fallout from the US-China trade war continued and is likely to drag on global growth in 2020. The US economy continued to perform relatively well compared to other developed nations; however, the Federal Reserve started to unwind its monetary tightening through 2019. The Fed has cut rates three times to 1.5% to stimulate growth as GDP continued to slow.

Slow economic growth in Europe continued, and the new head of the European Central Bank has confirmed that the bank would continue to provide the monetary support needed to bring the Euro area inflation back towards target.

Gilt yields continued to display significant volatility over the period on the back of ongoing economic and political uncertainty in the UK and Europe, as well as ongoing trade disputes between the US and China. In response, global and UK interest rate expectations have eased. Central bank actions and geopolitical risks will continue to produce significant volatility in financial markets over the period, including bond markets.

Arlingclose's central case is for the Bank Rate to remain at 0.75% for the foreseeable future but there remain substantial risks to this forecast, dependant on Brexit/trade deal outcomes as well as the evolution of the global economy. Arlingclose also expects gilt yields to remain at low levels for the foreseeable future and judges the risks to be weighted to the downside.

| | Mar-20 | Jun-20 | Sep-20 | Dec-20 | Mar-21 | Jun-21 | Sep-21 | Dec-21 | Mar-22 | Jun-22 | Sep-22 | Dec-22 | Mar-23 |
|---------------------------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| Official Bank Rate | | | | | | | | | | | | | |
| Upside risk | 0.00 | 0.00 | 0.00 | 0.00 | 0.25 | 0.25 | 0.25 | 0.25 | 0.25 | 0.25 | 0.25 | 0.25 | 0.25 |
| Arlingclose Central Case | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 |
| Downside risk | 0.50 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 | 0.75 |

5.1.5 Counterparty Update

Credit Default Swap (CDS) spreads fell over the quarter. Fitch affirmed the UK's AA

sovereign rating. Standard & Poor's also affirmed the UK sovereign AA rating and revised the outlook to stable from negative. Moody's revised HSBC Bank's outlook to negative from stable as it expects restructuring costs to negatively impact net income over the next year or two.

The Bank of England announced its latest stress tests results for the main seven UK banking groups. All seven passed on both a common equity Tier 1 (CET1) ratio and a leverage ratio basis.

5.1.6 Non-Treasury Investments

The definition of investments in CIPFA's revised Treasury Management Code now covers all the financial assets of the Authority as well as other non-financial assets which the Authority holds primarily for financial return. Such investments can comprise of property; shared ownership housing; loans to local businesses/subsidiaries; and shareholdings. During the reported period the Authority did not hold any non-treasury related investments.

5.1.7 Welsh Regulations

In November 2019 the Welsh Government published new Statutory Guidance on Local Government Investments to be effective from the 2020/21 financial year. This involves a complete re-write along the lines of the guidance issued last year by the Ministry of Housing, Communities and Local Government (MHCLG) for local authorities in England.

The definition of investments is widened to include "all of the financial and non-financial assets a local authority has invested money into primarily or partially for the purpose of generating a surplus including investment property" providing it has been made using the power to invest contained in the Local Government Act 2003. In addition, loans to wholly-owned companies or associates, to a joint venture, or to a third party count as investments, irrespective of the purpose or legal power used.

5.2 **Prudential Indicators**

5.2.1 Capital Financing Requirement

The Capital Financing Requirement (CFR) measures the Authority's underlying need to borrow for a capital purpose. In accordance with best professional practice, the Authority does not associate borrowing with particular items or types of expenditure. In practice, the raising and repaying of loans is determined primarily by professional / expert advice, and may not necessarily take place in the relevant year. In order to create an operating environment within which the Treasury Manager can legitimately react to appropriate advice, the various authorised limits as identified in Appendix 1 are set at a level in excess of the CFR. In the financial year to date, the Authority has been operating within the approved limits.

Appendix 1 shows a projected CFR value of £382.2m as at 31st March 2020. The actual CFR as at 31st March 2019 was £367.1m.

5.2.2 Prudential Indicators – "Prudence"

The Prudential Indicators for Treasury Management are shown in Appendix 1, and the Authority is currently operating within the approved limits.

5.2.3 Prudential Indicators – “Affordability”

There is a requirement to analyse and report the capital financing costs, and express those costs as a percentage of the net revenue streams of the Authority. These are identified in Appendix 2 and currently show a projected reduction from the original budget as a consequence of deferred borrowing for the General Fund.

5.2.4 Capital Expenditure and Funding

A summary of capital expenditure and funding is attached at Appendix 3 and shows no change against the planned position.

6. ASSUMPTIONS

- 6.1 The details set out in the report are based on actuals that have occurred between 1st April 2019 and 31st December 2019 (period 9).

7. LINKS TO RELEVANT COUNCIL POLICIES

- 7.1 Treasury Management Strategy 2019/20 as agreed by Council on 21st February 2019.

- 7.2 Prudent financial management contributes to the following Well-being Goals within the Well-being of Future Generations Act (Wales) 2015:-

- A prosperous Wales.
- A resilient Wales.
- A healthier Wales.
- A more equal Wales.
- A Wales of cohesive communities.
- A Wales of vibrant culture and thriving Welsh Language.
- A globally responsible Wales.

8. WELL-BEING OF FUTURE GENERATIONS

- 8.1 The effective management of the Authority’s borrowing and investments are key in ensuring that the Well-being Goals within the Well-being of Future Generations Act (Wales) 2015 are met.

9. EQUALITIES IMPLICATIONS

- 9.1 This report is for information purposes, so the Council's Equalities Impact Assessment (EqIA) process does not need to be applied.

10. FINANCIAL IMPLICATIONS

- 10.1 As detailed throughout the report.

11. PERSONNEL IMPLICATIONS

11.1 There are no personnel implications arising from this report.

12. CONSULTATIONS

12.1 There are no consultation responses that have not been reflected in this report.

13. STATUTORY POWER

13.1 Local Government Acts 1972 and 2003.

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Cllr E. Stenner – Cabinet Member for Finance, Performance & Planning

Appendices:

Appendix 1 – Treasury Management Prudential Indicators – Prudence

Appendix 2 – Capital Finance Prudential Indicators – Affordability

Appendix 3 – Capital Expenditure and Funding

Appendix 1 Treasury Management Prudential Indicators- Mid Year report (Quarters 1, 2 & 3)

| | Budget 2019-20 | Estimated 2019-20 |
|---|-------------------|----------------------|
| | £000 | £000 |
| Authorised limit for external debt - | | |
| Borrowing | 432,771 | 432,771 |
| Other long term liabilities | 30,653 | 30,649 |
| Total | 463,424 | 463,420 |
| Operational boundary for external debt - | | |
| Borrowing | 346,217 | 331,530 |
| Other long term liabilities | 30,653 | 30,649 |
| Total | 376,870 | 362,179 |
| Capital Financing Requirement | 401,438 | 382,238 |
| Upper limits for interest rate exposure | | |
| Principal outstanding on borrowing | 346,217 | 331,530 |
| Principal outstanding on investments | 75,000 | 100,319 |
| Net principal outstanding | 271,217 | 231,211 |
| Fixed rate limit – 100% | 271,217 | 231,211 |
| Variable rate limit – 30% | 81,365 | 69,363 |
| Upper limit for total invested for over 364 days | 50,000 | 33,000 |

| Maturity structure of fixed rate borrowing | Upper Limit | Lower Limit |
|--|----------------|----------------|
| Under 12 months | 35% | 0% |
| Over 12 months and within 24 months | 40% | 0% |
| Over 2 years and within 5 years | 50% | 0% |
| Over 5 years and within 10 years | 75% | 0% |
| Over 10 years | 100% | 0% |

| Gross Debt and Net Debt | Budget 2019-20 | Estimated 2019-20 |
|-----------------------------|-------------------|----------------------|
| | £000 | £000 |
| Outstanding Borrowing | 346,217 | 331,530 |
| Other long term liabilities | 30,653 | 30,649 |
| Gross Debt | 376,870 | 362,179 |
| Less investments | 75,000 | 100,319 |
| Net Debt | 301,870 | 261,860 |

Appendix 2 Treasury Management Prudential Indicators- Mid Year report (Quarters 1, 2 & 3)

| Ratio of Financing costs to net revenue stream | Budget 2019-20 | Estimated 2019-20 |
|---|---------------------------|------------------------------|
| General Fund | £000 | £000 |
| Principal repayments | 2,492 | 2,492 |
| Interest costs | 8,842 | 7,922 |
| Debt Management costs | 46 | 46 |
| Rescheduling discount | | |
| Investment income | -950 | -800 |
| Interest applied to internal balances | 735 | 735 |
| Total General Fund | 11,165 | 10,394 |
| Net revenue stream | 336,695 | 336,695 |
| Total as percentage of net revenue stream | 3.32% | 3.09% |
| Housing Revenue Account | | |
| Principal repayments | 2,555 | 2,555 |
| Interest costs | 6,563 | 5,157 |
| Rescheduling discount | | |
| Debt Management costs | 43 | 43 |
| Total HRA | 9,161 | 7,755 |
| Net revenue stream | 49,100 | 49,100 |
| Total as percentage of net revenue stream | 18.66% | 15.79% |

| Capital financing requirement [end of year position] | Budget 2019-20 | Estimated 2019-20 |
|---|---------------------------|------------------------------|
| | £000 | £000 |
| Council Fund | 254,436 | 258,186 |
| Housing Revenue Account | 147,003 | 124,052 |
| Total Authority | 401,438 | 382,238 |

Appendix 3 Treasury Management Prudential Indicators- Mid Year report (Quarters 1, 2 & 3)

| | Budget 2019-20 | Estimated 2019-20 |
|--|---------------------------|------------------------------|
| Expenditure | £000 | £000 |
| Council Fund | 10,074 | 10,074 |
| Housing Revenue Account | 56,618 | 56,618 |
| Total | 66,692 | 66,692 |
| Funding | | |
| Surplus/ (Deficit) Balance b/f | | |
| Borrowings - Supported (GF) | 4,923 | 4,923 |
| General Capital Grant - WG | 2,997 | 2,997 |
| Internal Borrowing | | |
| RCCO Budget | 128 | 128 |
| Capital underspends frm previous years | 326 | 326 |
| General Fund working balances | | |
| One off funding- MRP Review | 1,700 | 1,700 |
| RCCO- (HRA) | 17,086 | 17,086 |
| Borrowings - Unsupported (HRA) | 32,181 | 32,181 |
| Major Repairs Allowance (HRA) | 7,351 | 7,351 |
| Total | 66,692 | 66,692 |
| Surplus C/f | - | - |



POLICY & RESOURCES SCRUTINY COMMITTEE – 25TH FEBRUARY 2020

SUBJECT: STRATEGIC EQUALITY PLAN, OBJECTIVES AND ACTIONS 2020-2024

REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND CORPORATE SERVICES

1. PURPOSE OF REPORT

1.1 The Report is seeking the views of Members and provides information on the Council's draft Strategic Equality Plan 2020-2024 (Appendix A).

2. SUMMARY

2.1 The Public Sector Equality Duty in Wales came in to force on 6th April 2011 and included a requirement for public authorities to develop and publish a Strategic Equality Plan every four years. The Council has had a Strategic Equality Plan (SEP) in place since 2016, and must now update this for the next 4-year cycle.

2.2 This has also ensured that the Council has a good foundation in place to meet three of the Well-being goals of the Well-being of Future Generations (Wales) Act 2015.

2.3 The views of Policy and Resource Scrutiny Committee are sought on the draft Strategic Equality Plan, to inform a version to be presented to Cabinet and Council for its approval for adoption as Council policy.

3. RECOMMENDATIONS

3.1 The views of Policy and Resource Scrutiny Committee are sought on the draft Strategic Equality Plan 2020-2024, to inform a version to be presented to Cabinet and Council for its approval for adoption as Council policy.

4. REASONS FOR THE RECOMMENDATIONS

4.1 To allow the adoption of the Strategic Equality Plan 2020-2024 for the next 4 years.

5. THE REPORT

5.1 Since April 2016, the Council has had in place a four-year operational document known as the Strategic Equality Plan - Equalities and Welsh Language Strategic Objectives; this has been accompanied by a separate Action Plan.

5.2 The Strategic Equality Plan 2020-2024 has undergone a full revision compared with the

previous version, in order to reflect changes in best practice, changes in the objectives or to provide additional information. The combined Objectives and Action Plan have been developed to take achievements and progress into account and merged them into one operational document.

- 5.3 The Strategic Equality Plan has been developed so that the Council can set out how it aims to meet its commitment to equality and how it will meet its legal obligations contained within the Equality Act 2010.
- 5.4 A comprehensive engagement process took place during November and December 2019 to involve as many people as possible in developing the draft Equality Objectives and to give an opportunity for suggestions for additional or alternative objectives and any relevant actions. An engagement report has been produced (Appendix B).
- 5.5 Feedback on the consultation process was very supportive of the draft objectives on the whole. Areas for improvement and barriers identified have been included as actions under each relevant Equality Objective.
- 5.6 The Equality Objectives included in the Strategic Equality Plan are:
- **Service Planning and Delivery** – Understand and remove the barriers people face when accessing services
 - **Education, Skills and Employment** – Improve education opportunities for all
 - **Community Cohesion** – Promote and facilitate inclusive and cohesive communities
 - **Inclusive Engagement and Participation** – Engage with citizens to encourage participation, to have their voices heard when planning service delivery
 - **Welsh Language** – To ensure the Welsh speaking public can access services that comply with the statutory requirements
 - **Inclusive, Diverse and Equal Workforce** – Create a workforce which reflects and respects the diversity of the communities within the county borough
 - **Reducing the Gender Pay Gap**
- 5.7 The Gender Pay objective is a requirement of the Public Sector Equality Duty.

5.8 **Conclusion**

The updated Strategic Equality Plan and associated actions will ensure that the Council has a fit-for-purpose document in place to demonstrate compliance with the latest statutory Equalities and Welsh Language duties. It has been developed in line with legislative requirements and guidance produced by the Equality & Human Rights Commission.

6. **ASSUMPTIONS**

- 6.1 No assumptions have been made in preparing this report.

7. **LINKS TO RELEVANT COUNCIL POLICIES**

- 7.1 The following Council policies are relevant to the decision being requested:

7.2 **Corporate Plan 2018-2023**

Objective 1 - Improve education opportunities for all – this objective is reflected in the Strategic Equality Plan 2020-2024 as Equality Objective 2. We need to identify and remove the barriers to accessing education, training and employment which will positively contribute to creating cohesive and resilient communities. The skills agenda is fundamental to economic development and economic prosperity.

Objective 2 - Enabling employment - this objective is also reflected in the Strategic Equality Plan 2020-2024 as part of Equality Objective 2.

Objective 3 - Address the availability, condition and sustainability of homes throughout the county borough and provide advice, assistance or support to help improve people's well-being – Housing can be seen as a barrier to accessing other goods and services and can impact on people's mental health and well-being. Living in conditions where you feel safe and belong is vitally important and these are considered within Equality Objectives 2 and 3 of the Strategic Equality Plan.

Objective 4 - Promote a modern, integrated and sustainable transport system that increases opportunity promotes prosperity and minimises the adverse impacts on the environment – Transport can be seen as a barrier to accessing services and employment within the county borough. This was a theme which was discussed within the focus groups we held as part of the consultation process. Transport is considered within Equality Objective 2, increased and improved transport links will enable and encourage people to access education, training, employment and services easily.

Objective 6 - Support citizens to remain independent and improve their well-being – This is a key thread within the Strategic Equality Plan. If citizens live in the right living conditions and have easy access to transport, these enable them to reach education, training and employment opportunities. They also support citizens to access goods and services independently and to participate in consultations around service planning and delivery. By having their voices heard, services can be tailored to suit the needs of citizens thus empowering them to feel included. It includes supporting people to help themselves by providing comprehensive advice and guidance including signposting to other services. It's about having meaningful conversations with people to help them identify what matters to them, which will inform services to suit their needs.

Welsh Language Standards

Equality Objective 5 in the Strategic Equality Plan supports the Welsh Language. Language is not considered a protected characteristic under the Equality Act 2010, however communicating with citizens in line with their language preference is a statutory duty under the Welsh Language (Wales) Measure 2011 and the Council's Welsh Language Standards Compliance Notice. A number of the actions are underpinned by the county borough's Five Year Welsh Language Strategy 2017-2022.

Shared Ambitions Strategy

This strategy outlines the Council's commitment to work with schools and the Education Achievement Services (EAS) to improve educational attainment and achievement and links with Equality Objective 2.

Communication and Engagement Strategy

The availability of information in various formats is essential in ensuring that all citizens are able to participate in any or all engagement exercises. Whilst advances in technology enable us to provide information in digital formats, there continue to be barriers that prevent citizens from engaging.

8. WELL-BEING OF FUTURE GENERATIONS

8.1 The Strategic Equality Plan contributes to all 7 of the Well-being Goals which are:-

- A prosperous Wales
- A resilient Wales
- A healthier Wales
- A more equal Wales
- A Wales of cohesive communities
- A Wales of vibrant culture and thriving Welsh Language
- A globally responsible Wales

The Strategic Equality Plan is consistent with the five ways of working as defined within the sustainable development principle in the Act and are as follows

- Long Term – Any actions identified in the Plan will be used to plan service delivery over the next 4 years and will be reviewed and updated should any actions be met within the 4 year timeframe of the Plan.
- Prevention – By having a Plan in place ensures that services understand what is expected of them to deliver inclusive services and without discrimination.
- Integration – There is a crossover between the Strategic Equality Objectives and the Objectives of the Corporate Plan 2018-2023. This ensures consistency in meeting objectives and reporting. It also places a stronger and joined-up link between services and the Plans the Council already has in place.
- Collaboration – Working with key stakeholders is important to learn and understand how we can improve on how we currently deliver services based on the actions in the Plan.
- Involvement – The Strategic Equality Plan is about making citizens feel equally valued whilst recognising that people have different needs and delivering services in a non-discriminatory way. To understand what people's needs are its very important to involve them in any service planning, design and delivery. The public consultation responses on the Strategic Equality Objectives assisted us in identifying key actions to include in the final version of the Plan.

9. EQUALITIES IMPLICATIONS

9.1 The Equality Act 2010 introduced a general equality duty and a specific public sector equality duty that is applicable to Councils. Section 149 of the Equality Act 2010 (Public Sector Single Equality Duty) requires public authorities to demonstrate that they have paid 'due regard' in their decision-making process to the need to:

- Eliminate unlawful discrimination, harassment and victimisation;
- Advance equality of opportunity between people who share a protected characteristic and people who do not share it;
- Foster good relations between people who share a protected characteristic and those who do not.

The relevant protected characteristics are age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex and sexual orientation.

9.2 The Council must have due regard to the impact of any proposals on those with a protected characteristic. The Council has a specific duty to publish information to demonstrate how it has paid due regard to the aims above as part of its decision-making. Undertaking an Equality Impact Assessment screening exercise (and if necessary a full Equality Impact Assessment) would be evidence that the Council has considered its legal obligations in making the decision on the recommendations in this report.

9.3 The equality objectives provide a positive impact on all groups with protected characteristics. An Equality Impact Assessment has been undertaken. Whilst an effort was made to engage with all sectors of the community, it is evident that no responses were received from individuals representing local religious groups or the black and minority ethnic community. This is particularly concerning as we are not aware if there are any support / advocacy groups in the borough representing the needs of BAME and Religious citizens. As a result, actions within the equality objectives will ensure efforts are made to develop communication and engagement routes with BAME and religious groups and citizens to ensure their voices are heard in the future.

10. FINANCIAL IMPLICATIONS

10.1 There are no financial implications aligned to this report.

11. PERSONNEL IMPLICATIONS

11.1 Equality Objective 6 - Inclusive, Diverse and Equal Workforce and Equality Objective 7 – Reducing the Gender Pay Gap both relate to Human Resources activities. The Gender Pay objective is a requirement of the Public Sector Equality Duty.

11.2 In light of the requirements of the Welsh Language Standards and the wider requirements of the Public Sector Equality Duty, any personnel implications will be dealt with as they arise by Human Resources and the Equalities, Welsh Language and Consultation Team, and reported on in the annual reports.

12. CONSULTATIONS

12.1 All responses from consultations have been incorporated in the report.

13. STATUTORY POWER

13.1 Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011
Welsh Language (Wales) Measure 2011
Well-being of Future Generations Act (Wales) 2015
Human Rights Act 1998
Local Government (Wales) Measure 2011

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Cllr James Pritchard – Elected Member – Equalities Champion,
Stephen Harris – Interim Head of Business Improvement
Robert Tranter – Head of Legal Services and Monitoring Officer
Lynne Donovan – Head of People Services
Keri Cole – Chief Education Officer
Liz Lucas – Head of Customer and Digital Services
Rhian Kyte – Head of Regeneration and Planning
Mark Williams – Interim Head of Property Services
Kathryn Peters – Service Improvement and Partnerships Manager
Ros Roberts – Business Improvement Manager
Christopher Hunt – Community Cohesion Coordinator (West Gwent)

Background Papers:

Appendices:

- Appendix A [Strategic Equality Plan 2020-2024](#)
- Appendix B [Strategic Equality Plan 2020-2024 - Consultation Report](#)
- Appendix C [Strategic Equality Plan 2020-2024 - Equality Impact Assessment](#)

FOREWARD

Caerphilly County Borough Council believes that nobody should be discriminated against or placed at a disadvantage because of their identity or background. We want a county borough where everyone is treated equally and fairly in all aspects of everyday life.

Whilst we strive for all residents and visitors to the county borough to be treated equally, we also recognise that people have different needs. This plan takes these differing needs into account and aims to ensure that there are no barriers which prevent anyone accessing council services.

As our communities change, diversity is a key issue for us. We believe that it is our duty to tackle discrimination and encourage greater cohesion; creating communities where everyone feels respected and safe from harassment.

We also remain committed to achieving equality within all aspects of our service delivery and in our employment practices, which is even more important during these challenging times and in such a difficult financial climate.

The plan will be monitored each year in order to review the impact of the progress we make and the annual reports will continue to be published. It will also be publicised and promoted widely both internally and externally in order to raise awareness of the work being done.

We hope that you agree that this plan continues to develop the equality and diversity work we have undertaken to date and shows our ongoing commitment to ensuring respect and fairness for everyone in the county borough.

Christina Harray
Interim Chief Executive
Caerphilly County Borough Council

Cllr. Philippa Marsden
Leader
Caerphilly County Borough Council

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Section 1:

- **ABOUT US**

The Caerphilly county borough covers an area stretching from the Brecon Beacons National Park in the north, to Cardiff and Newport in the south. It is bordered to the north by Merthyr Tydfil, the west by Rhondda Cynon Taf, and to the east by Blaenau Gwent and Torfaen local authorities.

The area lies at the heart of both the South Wales Valleys and the Cardiff Capital Region. The Caerphilly county borough occupies some 108 square miles (28,000 hectares) of the Valleys area of South East Wales. It is a little over 18.6 miles long and nearly 11 miles wide, and is formed by the valleys of three rivers: the Rhymney, Sirhowy and Ebbw. The county borough has 180,000 residents living across a mixture of urban and rural communities. Three quarters of the county borough is used for agriculture and forestry. The Council is the 5th largest local council in Wales and is the largest employer in the area.

The Council employs nearly 9,000 staff with 73 % of them living in the county borough. They are employed into a variety of different roles within service areas which make up the following Directorates:

- Corporate Services and Education
- Social Services and Housing
- Communities

The Directorates are headed by Corporate Directors and together with the interim Chief Executive make up the Corporate Management Team who oversee the strategic management of the council's business. The Council operates a cabinet style of local government which is led by a Leader and who is supported by 8 Cabinet Members. We have 73 elected Councillors who have a variety of roles including agreeing the Council's policy framework, Council Tax and budget.

Our vision and values are an integral part of our Transformation Strategy #Team Caerphilly – Better Together. Its aim is to transform the way in which we have previously delivered services. It will examine how services are prioritised, how they can become more business efficient, explore new opportunities for greater customer focus and digital delivery, consider alternative delivery models and seek commercial opportunities.

Central to this programme of transformational change is our new mantra of **‘Social Heart and Commercial Head’**. This recognises our commitment to public service and the needs of our citizens, while also demonstrating our desire to explore new innovative, commercial opportunities where appropriate, to generate additional income to reinvest in services to help them remain resilient.

Our purpose in this strategy is:

“To create capacity and foresight to develop solutions to some of the county borough’s biggest challenges, ensuring the Council understand and responds to the changing needs and priorities of our communities.”



The outcomes we aim to achieve are:

- To have strong working relationships with our communities and partners to maximise the use of our collective resources to ensure a resilient county borough for the future.
- To embed a new operating model that will encourage innovative approaches to service delivery and ensure that we are making the best use of our resources.
- To help close the gap between poverty and prosperity through improving educational attainment and stimulating the local economy to create high quality jobs.

The Council's equalities statement makes its commitment clear;

The Council recognises that people have different needs, requirements and goals and we will work actively against all forms of discrimination by promoting good relations and mutual respect within and between our communities, residents, elected members, job applicants and workforce.

We will also work to create equal access for everyone to our services, irrespective of ethnic origin, sex, age, marital status, sexual orientation, disability, gender reassignment, religious beliefs or non-belief, use of Welsh language, BSL and other languages, nationality, responsibility for any dependents or any other reason which cannot be shown to be justified.

Respect for diversity is a key issue as our communities change and develop in the 21st century; respect for the old and the new and respect for every individual who lives or works here, who represents the county borough, or who visits here.

Council services must reflect these diverse needs and Caerphilly County Borough Council already has a strong background in delivering accessible services in a sensible, measured and cost-effective way. The cuts to council budgets being made at the time of publishing this plan have to take into account the impact on the most vulnerable in society through Equality Impact Assessments, which carry the full authority of this plan.

The Council is committed to ensuring it achieves value for money from its third party procurement recognising the value of using procurement to support its wider Cultural, Social, Economic and Environmental objectives, in ways that offer real long-term benefits to the community it serves and the people of Wales, whilst balancing the issues of value for money.

Our Programme for Procurement needs to be a living strategy, flexible, adaptable and alive to the changing environment; modular in nature so that it is easy to review and update annually in line with developments in the procurement landscape. Our approach will be continuous improvement to bring about real change and to improve the lives of those who live and work within our borough.

The Council will use its procurement processes to foster positive social change where appropriate. The Council has adopted the Ethical Supply Chain Code of Practice and we will apply this to foster fair working conditions for all.

The plan will be monitored each year in order to review the impact of the progress we make and our statutory Equalities Report will continue to be

published. It will also be publicised and promoted widely both internally and externally in order to raise awareness of the work being done.

- **CONTEXT**

This Strategic Equality Plan has been developed to primarily demonstrate the Council's commitment to meeting the Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011. It highlights links to legislation and regulations covering the Welsh Language Standards and Human Rights issues and how it supports 4 of the 7 aims of Welsh Government's *Well-being of Future Generations (Wales) Act 2015*; *A healthier Wales, A more equal Wales, A Wales of cohesive communities and A Wales of vibrant culture and thriving Welsh language*. It also outlines how the council will meet its responsibilities under the Public Sector Equality Duty, to advance equality and inclusion for all protected groups.

Building on our previous equalities work the Plan explains to staff, citizens, stakeholders and elected members, how Caerphilly County Borough Council intends to deliver its equalities commitments whilst continuing to be an inclusive organisation that does not tolerate discrimination of any kind.

To assist us in writing this Plan, we engaged with our citizens, staff, stakeholders and elected members. We also used a range of equality information which supported us in defining what would be our equality objectives for the next 4 years, and by listening to them we hope that these objectives are both meaningful and achievable for us to deliver.

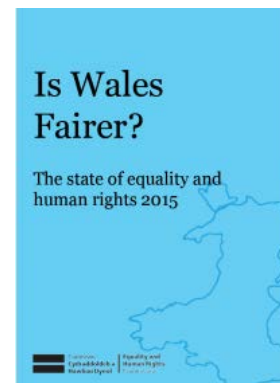
We looked at what priorities there were to consider both nationally and at a council level, and based them on what evidence we had available to us to support the work. A lot of work has been undertaken over the years into assessing our progress against the Public Sector Equality Duty through service plans and the self-assessment process.

We considered external sources of information such as reports by the Equality and Human Rights Commission and Welsh Government, policies and priorities, research reports and other relevant statistics available to help us.

A number of external reports undertaken by the Equality and Human Rights Commission have supported and influenced the development of our new equality objectives.

Is Wales Fairer? 2015 – Equality and Human Rights Commission

The Equality and Human Rights Commission (EHRC), [Is Wales Fairer? 2015](#) report looked at 7 key challenges that needed to be addressed in Wales. According to the report, inequalities and abuses of human rights are entrenched and will require a concerted effort from individuals and public, private and third sector organisations to tackle and reduce them.



The 7 challenges identified were:

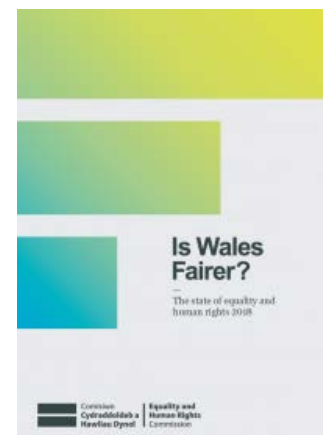
1. Close the attainment gaps in education
2. Encourage fair recruitment, development and reward in employment
3. Improve living conditions in cohesive communities
4. Increase access to justice and encourage democratic participation
5. Improve access to mental health services and support people experiencing poor mental health
6. Prevent abuse, neglect and ill-treatment in care and detention
7. Eliminate violence, abuse and harassment in the community

These are ongoing challenges; however, progress has been made towards meeting them via a number of effective action plans within the Council. For example, in March 2018 the Council adopted a set of Well-being Objectives for 2018-2023 within its [Corporate Plan](#). Well-being Objective 1 is **Improve education opportunities for all** and this will be addressed through the Shared Ambitions Strategy 2019-2022. A full list of relevant supporting documents is included within each the objectives.

Is Wales Fairer? 2018 – Equality and Human Rights Commission

The format of the latest report from the EHRC; *Is Wales Fairer? 2018*, outlines the following themes. The objectives within the Plan have been developed to align with these themes;

- Education
- Work
- Living Standards
- Health
- Justice and Personal Security
- Participation



The report identifies that some progress has been made in making Wales fairer, but suggests that there is much more work that needs to be done. The Equality and Human Rights Commission's key focus will be socio-economic disadvantage, disability, gender and race and these will be reflected in the Council's Strategic Equality Objectives 2020-2024.

When developing our equality objectives, both *Is Wales Fairer? 2015* and *Is Wales Fairer? 2018* were fundamental in guiding us to the equality objectives we are consulting on and which are detailed in this document.


The Action Plan in Section 2 identifies how the equality objectives and actions link to the themes identified in the *Is Wales Fairer? 2018* report.

To help to improve the annual actions, we also welcome any ongoing, general comments on the content, quality and accessibility of this document and on the impact of those actions on the people we serve and the people we employ.

If you have any comments or would like to know more about the work the Council is doing please contact:

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 01443 864404

- **LEGISLATION**

Equality Act 2010

The Equality Act 2010 brings together and replaces previous anti-discrimination laws in a single Act. The Act includes a Public Sector Equality Duty (PSED), which has replaced all the individual duties previously in place, namely race, disability and gender equality. Section 149 of the Equality Act 2010 sets out the Public Sector Equality Duty, which places a duty on the Council, and other public organisations, to have due regard when making decisions and delivering services to ensure that we meet the requirement to:

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

In advancing equality of opportunity between people who share a protected characteristic and those who don't we must also ensure that we;

- Remove and minimise disadvantages experienced by people due to their protected characteristics.
- Take steps to meet the needs of people from protected groups whether these are different to the needs of other people.
- Encourage people with protected characteristics to participate in public life or in other activities where their participation is disproportionately low.

The third aim refers to fostering good relations and this means tackling prejudices and promoting understanding between people who share a protected characteristic and those who don't. This might mean in some circumstances that some people are treated more favourably than others as long as it's within the provisions of the Act.

There are 9 protected characteristics listed under the Equality Act 2010:

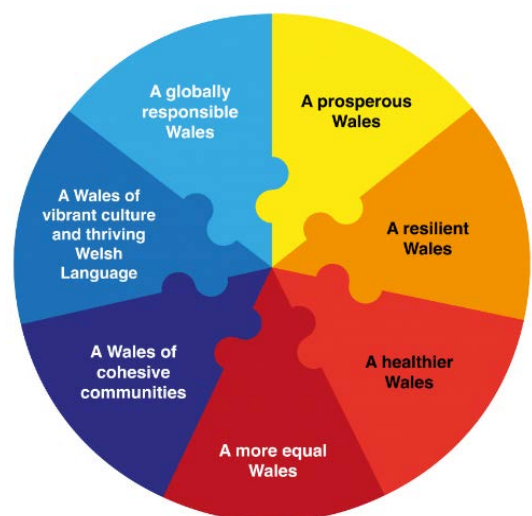
- | | |
|---------------------------|----------------------------------|
| ➤ Age | ➤ Religion or Belief |
| ➤ Disability | ➤ Sex |
| ➤ Gender Reassignment | ➤ Sexual Orientation |
| ➤ Pregnancy and Maternity | ➤ Marriage and Civil Partnership |
| ➤ Race | |

In Wales we have specific statutory duties placed on us, which are regulations that set out the actions the Council must take to comply. The regulations were published by Welsh Government in April 2011 and include the following areas;

- **Equality Objectives** – prepare and publish a set of equality objectives which meet the Public Sector Equality Duty.
- **Engagement** – involve people who represent one or more protected characteristics and who have an interest in how the Council undertakes its functions.
- **Equality Impact Assessments (EIAs)** – undertaking EIAs and publishing them alongside reports which require decisions.
- **Equality Information** – collect and publish equality information which ensures compliance with the Public Sector Equality Duty.
- **Employment Information** – collect and publish workforce monitoring data annually.
- **Pay Difference** – ensure the Council has an equality objective which specifically relates to gender pay differences.
- **Staff Training** – promote knowledge and understanding of the Equality Act 2010, the Public Sector Equality Duty and the specific duties in Wales. Use performance assessment procedures to identify and address the training needs of staff.
- **Strategic Equality Plan** – publish a strategic equality plan which sets out the Council’s Equality Objectives to meet the Public Sector Equality Duty.
- **Procurement** – when procuring works, goods and services from other organisations, include conditions relevant to the Public Sector Equality Duty within procurement processes.

Well-being of Future Generations (Wales) Act 2015

The Council is committed to ensuring that the [Well-being of Future Generations \(Wales\) Act 2015](#) is embedded within its service delivery and activities. The Act puts in place a sustainable development principle with a view to improving the economic, social, environmental and cultural well-being of Wales. This will help us to create a Wales that we want to live, in now and in the future.



To make sure that we are all working towards the same vision, the Act puts in place 7 well-being goals, and whilst the Council's Strategic Equality Plan will cut across all of the well-being goals, the Plan specifically supports progress against the following 3 goals:

- A Wales of Vibrant culture and thriving Welsh language
- A Wales of cohesive communities
- A more equal Wales

The Sustainable Development Principle of the Act tells the council what to consider in meeting its duties under the Act. The Council, when making decisions has to consider the impact the decision could have on future generations. To do so there are 5 ways of working set out that must be considered and applied when making decisions. They are:



The 5 ways of working have been used to shape the Council's equality objectives.

Welsh Language (Wales) Measure 2011

The Welsh Language (Wales) Measure 2011 replaced the Welsh Language Act 1993 and as part of the legislation, in Wales the Welsh language has equal legal status with English and must not be treated less favourably.



Public bodies must comply with a set of national Welsh Language Standards which the Welsh Language Commissioner issued via a [Compliance Notice](#) to the Council. The Compliance Notice sets out which of the 176 standards in the legislation apply to the Council, along with any exemptions and their implementation dates.

Welsh language issues are not covered by the Equality Act but rather have a set of Standards under the Welsh Language (Wales) Measure 2011, it has long been recognised that the equality and Welsh language policy agendas complement and inform each other. This is further reinforced by the goal within the Well-being of Future Generations (Wales) Act 2015 – A Wales of vibrant culture and thriving Welsh language.

Welsh Language developments will be made corporately in line with the aims of the Measure, which:

- confirmed the official status of the Welsh language;
- created a new system of placing duties on bodies to provide services through the medium of Welsh;
- created a Welsh Language Commissioner with strong enforcement powers to protect the rights of Welsh speakers to access services through the medium of Welsh;
- established a Welsh Language Tribunal;
- gives individuals and bodies the right to appeal decisions made in relation to the provision of services through the medium of Welsh;
- created a Welsh Language Partnership Council to advise Government on its strategy in relation to the Welsh language;
- allowed for an official investigation by the Welsh Language Commissioner of instances where there is an attempt to interfere with the freedom of Welsh speakers to use the language with one another.

It is for these reasons that Welsh Language has been integrated into the Equality and Welsh Language Objectives and Action Plan, and has been given a corporate equality objective of its own.

Section 2:

- **Strategic Equality Objectives and Action Plan**

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| Equality Objective 1 | |
| Service Planning and Delivery – Understand and remove the barriers people face when accessing services | |
| Context | |
| <p>This objective focuses on the provision of accessible and inclusive services to the citizens of the county borough. We will achieve this by continuing our engagement with service users to identify and eliminate barriers to services.</p> <p>Barriers experienced by groups and individuals may include, accessing information in appropriate formats to suit their needs, mental health difficulties, transport, unemployment or accessibility to technology. Service areas should implement plans and strategies collaboratively to successfully address and remove identified barriers.</p> <p>Education, health & mental health services, housing, social services and transport are areas which we wish to improve upon.</p> <p>Empowering groups with protected characteristics to be able to access the services they need is a key focus for the Council.</p> | |
| Themes from Is Wales Fairer? 2018 | |
| Education, Work, Living Standards, Health, Justice and Personal Security, Participation | |
| Relevant Protected Characteristics | |
| Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Race, Religion or Belief, Sex, Sexual Orientation, Welsh Language | |
| Supporting Documents | |
| <ul style="list-style-type: none"> ➤ Caerphilly Public Services Board's Well-being Plan 2018-2023 ➤ Corporate Plan 2018-2023 ➤ Well-being of Future Generations (Wales) Act 2015 ➤ Welsh Government - Digital Inclusion Framework ➤ Caerphilly County Borough Council – Customer and Digital Strategy | |
| Actions: | |
| 1. | Deliver on the principles in the Customer and Digital Strategy |
| 2. | Ensure our staff have the necessary skills to deliver digital services |

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| 3. | Explore and consider adopting the Communication Access Symbol to ensure information is provided using different formats and language including BSL |
| 4. | Upskill citizens to enable greater use of digital technology |
| 5. | Identify service needs of specific user groups; what barriers prevent access; and what actions are required to remove those barriers |
| 6. | Ensure the Council's website and intranet is accessible so that people with disabilities can still engage |
| 7. | Improve the collection and recording of equalities monitoring information of our citizens across council services |
| 8. | Collect equalities monitoring information for compliments and complaints |
| 9. | Survey the council's building stock (and schools) in relation to accessibility using the Local Access Group |
| 10. | Survey polling stations in relation to accessibility using the Local Access Group |

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| <p>Why?</p> <p>Digital Inclusion – Upskilling citizens and staff enables them to use and access information digitally, removing a number of barriers and enabling citizens to be more engaged. This includes the use of social media and networking, the news, access to job opportunities, finance (online banking), transport information, housing options or even online purchases. Digital skills will enable citizens and staff to access details regarding council services, and have up to date information relating to developments which may affect them, such as consultations, roadworks, events etc.</p> <p>Equalities Monitoring – Improving how equalities monitoring information is collected will identify what issues exist within services, and if citizens with protected characteristics experience any issues or are accessing services equally. Equalities monitoring data will help us understand who our customers are and assist us in tailoring our services to suit their needs. Collecting this data for compliments and complaints will help identify areas where we are doing well and areas where we need to improve. This information will enable us to provide equality of access to services and the removal of identified barriers.</p> <p>Accessibility – By surveying the council's building stock, which includes schools and polling stations, we can identify buildings that have accessibility problems and work towards rectifying them. Buildings can present physical barriers which prevent citizens from accessing services, for example voting. Clear signage, lighting and access to services need to be taken into consideration as an element of this theme. As an authority we must ensure that we have staff with the necessary language skills, to exceed customer expectations, coupled with a sound and varied knowledge of council services.</p> |
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| Equality Objective 2 | |
| Education, Skills and Employment – Improve education opportunities for all | |
| Context | |
| <p>The primary aim of this objective is to ensure that our communities are well equipped to secure sustainable and well-paid employment as a means of preventing poverty. Through ensuring our citizens are ready to enter the working environment we will prevent long term problems associated with low skills and un-employability.</p> <p><i>‘Improve Education opportunities for all’</i> as detailed in the Council’s Corporate Plan, will be delivered using outcomes identified within the Shared Ambitions 2019-2022 Strategy. This strategy outlines the Council’s commitment to work with schools and the Education Achievement Services (EAS) to improve educational attainment and achievement.</p> <p>Increasing the number of citizens accessing education, training and employment will positively contribute to creating cohesive and resilient communities that will thrive. The skills agenda is fundamental to the economic development and economic prosperity of the nation, Cardiff Capital Region and Caerphilly County Borough.</p> <p>Key to this will be focussing our work on reducing the number of young people who are not in employment, education and training, eliminating the economic inactivity gap; identify the skills gaps and shortages in priority sectors, increase the number and quality of apprenticeships and improve people’s perception of apprenticeships as a route into well-paid employment.</p> | |
| Themes from Is Wales Fairer? 2018 | |
| Education, Work, Living Standards, Health, Justice and Personal Security, Participation | |
| Relevant Protected Characteristics | |
| Age, Disability, Gender Reassignment, Race, Religion or Belief, Sex, Sexual Orientation, Welsh Language | |
| Supporting Documents | |
| ➤ ‘Is Wales Fairer? 2018 Report’ | ➤ Corporate Plan 2018-23 |
| ➤ Shared Ambitions 2019-22 Strategy | ➤ Cymraeg 2050 |
| ➤ Prosperity for All Action Plan | ➤ Nurture, Equip and Thrive (NET) |
| ➤ Well-being of Future Generations (Wales) Act 2015 | |
| Actions: | |
| 1. | Improve the skills of citizens by providing opportunities to gain qualifications |


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| | and support to obtain employment |
| 2. | Develop support for Adult Community Education to deliver digital literacy courses that will support local employability programmes |
| 3. | Aim to reduce the impact of poverty by supporting citizens into improved employment opportunities and conditions |
| 4. | Meet the targets set within the local employability programmes by upskilling and supporting citizens into well-paid work |
| 5. | Through investing in our educational and housing stock, and providing apprenticeships, training opportunities and work placements within our organisation, we will increase the number of local citizens who are skilled and qualified workers and contributing to Community Benefits |
| 6. | To further develop an inclusive approach to apprenticeships |

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| Why? | |
| <p>Skills and Employment Opportunities – By tackling the causes of poverty and ensuring our anti-poverty grant programmes are working collaboratively, we will maximise our ability to support the most vulnerable in our communities. Increasing the number of citizens accessing education, training and employment will positively contribute to creating cohesive and resilient communities that will thrive, thus improving quality of life and the health of those living within the county borough.</p> <p>Education Opportunities – The Council has listed <i>‘Improving educational opportunities for all’</i> as the first of its Well-being Objectives, and implemented a <i>Shared Ambitions Strategy</i> to drive this work forward. As an authority we have committed to an ambitious 21st century schools investment programme. The 21st Century Schools Band A programme was delivered on time and within budget. The first two projects of the equally ambitious Band B programme have been identified and will assist the Authority in meeting the needs of its most vulnerable learners and the Welsh in Education Strategic Plan.</p> <p>Transport – The Cardiff Capital Region City Deal is an ambitious investment programme. Designed to develop transport infrastructure and connectivity, as well as create employment and apprenticeship opportunities to positively promote local and regional regeneration. If transport infrastructure meets the needs of individuals wishing to access education, training and employment opportunities, this will promote prosperity and improve community cohesion.</p> | |

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| Equality Objective 3 | |
| Community Cohesion – Promote and facilitate inclusive and cohesive communities | |
| Context | |
| <p>Community cohesion as defined in Welsh Government’s Community Cohesion National Delivery Plan 2014-2016 (latest document) is described as the ability of all communities to function and grow in harmony together rather than in conflict. It aims to build communities where people feel confident, that they belong and are comfortable mixing and interacting with others, particularly with different people and people with different protected characteristics.</p> <p>Caerphilly adopts the principles that a cohesive community is one where:</p> <ul style="list-style-type: none"> • there is a common vision and a sense of belonging for all communities; • the diversity of people’s backgrounds and circumstances is appreciated and positively valued; • those from different backgrounds have similar life opportunities; • strong and positive relationships are developed between people from different backgrounds and circumstances in the workplace, in schools and within neighbourhoods. <p>When we refer to ‘communities’ we are often describing a geographical neighbourhood, but the term community may also be used to define individuals who share a protected characteristic (for example ethnicity or culture, age group, religion or belief, sexual orientation, language, gender) or interests.</p> | |
| Themes from Is Wales Fairer? 2018 | |
| Education, Work, Living Standards, Health, Justice and Personal Security, Participation | |
| Relevant Protected Characteristics | |
| Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion or Belief, Sex, Sexual Orientation, Welsh Language | |
| Supporting Documents | |
| <ul style="list-style-type: none"> ➤ Corporate Plan 2018-2023 ➤ ‘Is Wales Fairer? 2018 Report’ ➤ Well-being of Future Generations (Wales) Act 2015 ➤ Community Cohesion National Delivery Plan 2014-2016 | |
| Actions: | |
| 1. | Raise the profile for discriminatory incidents reporting in schools through further staff training |
| 2. | Evolve the regional integrated approach, to improve the health and well-being of individuals and families subjected to violence against women, domestic |

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| | abuse and sexual violence. |
| 3. | Advocate community diversity work with services and partners to celebrate equality of difference by championing commemorative and celebratory dates (i.e. Refugee Awareness Week, Holocaust Memorial Day, Hate Crime Awareness Week) |
| 4. | Engagement – develop a minority communities citizens panel as a means to improving the engagement with lesser heard voices |
| 5. | Community cohesion team will work with LEA and partners to develop improved equities practices and anti-discrimination work in schools. (This will include training to staff, raising the profile of discriminatory incident recording, support for schools to develop the inclusion of equalities work in the curriculum through schools workshops and a schools swap project linking a local school to one in a different and contrasting area”) |
| 6. | Engage with EU nationals with regards to the EU Settlement Scheme |
| 7. | Monitor community tensions –link with Partners and take proactive steps to mitigate tensions from escalating in the community |
| 8. | To continue support for the LA’s engagement with the UK Refugee Resettlement Scheme (Still TBC) |

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| Why? |
| <p>The current political discourse following Brexit has, in some regions, had a significant impact on community cohesion - and the national raise in recorded Hate crime in the wake of the 2016 referendum further evidences the division in some communities. Addressing this division and providing equality of opportunity to all residents, regardless of protected characteristic, is essential to ensure Caerphilly encourages positive relationships within and between communities.</p> <p>Community Cohesion – <i>A Wales of Cohesive Communities</i> is one of the 7 goals of the <i>Well-being of Future Generations (Wales) Act 2015</i>, this ensures cohesion remains at the heart of how the Council and other public bodies deliver policies and services now and in the future. The Act and Welsh Government’s <i>National Delivery Plan</i> work hand in hand, following the same principles of integration, collaboration and involvement, and ensuring policies and services remain responsive to local needs. The Delivery Plan aligns with Welsh Government’s Strategic Equality Plan, and demonstrates how we will continue to foster good relations and tackle deep-rooted inequality within our communities.</p> |

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| Equality Objective 4 | |
| Inclusive Engagement and Participation – Engage with citizens to encourage participation, to have their voices heard when planning service delivery | |
| Context | |
| <p>The availability of information in various formats is essential in ensuring that all citizens are able to participate in any or all engagement exercises. Whilst advances in technology enable us to provide information in digital formats, there continue to be barriers that prevent citizens from engaging. Transport, mental health, socio-economic status, low literacy and numeracy skills and particular difficulties experienced by hard to reach or seldom heard groups, are some of the barriers that continue to prevent citizens from engaging with the council and wider support services.</p> <p>This Objective is reflected in one of our Corporate Objectives that looks at how we can ‘Support citizens to remain independent and improve their well-being’. It includes supporting people to help themselves by providing comprehensive advice and guidance including signposting to other services. It’s about having meaningful conversations with people to help them identify what matters to them, which will inform services to suit their needs.</p> | |
| Themes from Is Wales Fairer? 2018 | |
| Education, Work, Living Standards, Health, Justice and Personal Security, Participation | |
| Relevant Protected Characteristics | |
| Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion or Belief, Sex, Sexual Orientation, Welsh Language | |
| Supporting Documents | |
| <ul style="list-style-type: none"> ➤ Corporate Plan 2018-2023 ➤ ‘Is Wales Fairer? 2018 Report’ ➤ Well-being of Future Generations (Wales) Act 2015 ➤ Customer and Digital Strategy 2019-2023-2023 ➤ Team Caerphilly – Better Together Transformation Strategy ➤ Communication and Engagement Strategy (internal document) | |
|  CCBC Communication and Engagement Strat | |
| Actions: | |
| 1. | Support citizens to ‘help themselves’ by providing comprehensive advice and information, including signposting to other services |
| 2. | Have ‘meaningful conversations’ to help citizens identify what matters to them to inform outcome focussed planning |

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| 3. | Identify and support carers |
| 4. | Embed the <i>Consultation and Engagement Framework</i> into all consultation exercises undertaken by council services |
| 5. | Identify service needs of specific user groups; what barriers prevent access; and what actions are required to remove those barriers |
| 6. | Review and update our key stakeholder groups within the county borough that represent protected characteristic groups |
| 7. | Review and strengthen internal processes for undertaking Equality Impact Assessments and related consultation |
| 8. | Ensure that activities related to service change and transformation embed the principles of good consultation with communities as part of 'The Caerphilly Conversation' |

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| Why? | |
| <p>Communication and Accessibility – We need to assist citizens in upskilling to acquire digital skills to access information and to participate online. The information we provide should be provided in an easy read format which uses plain language. We need to look at how we engage and consult with citizens via focus groups and the View Point Panel and increase participations and ensure that they are representative of the protected characteristics.</p> <p>Voice – Consult directly with key stakeholder groups to consult face to face. Using co-production will help build relationships with citizens, where they feel they can influence and make decisions around the services they need. Also builds trust and empowers the public in becoming involved in service design and delivery.</p> <p>Remove Barriers – Consider the Gunning Principles when planning any consultation. Planning sufficient time for consultation exercises and providing adequate information which allows people to make informed decisions / respond knowing the facts.</p> | |

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| Equality Objective 5 | |
| Welsh Language – To ensure the Welsh speaking public can access services that comply with the statutory requirements | |
| Context | |
| <p>Welsh language issues are not covered by the Equality Act 2010 but have a set of standards under the Welsh Language (Wales) Measure 2011. These are detailed in the regulations approved by Welsh Government as the Welsh Language Standards (No. 1) Regulations 2015.</p> <p>Internal working practices continue to evolve to ensure that the principle of language equality is respected in every aspect of service provision. To assist the council in meeting the requirements of the Welsh Language Standards and to meet the needs of the Welsh speaking population of the county borough, we work in partnership with organisations such as; Menter Iaith Caerffili, Fforwm Iaith, Welsh medium schools etc. This work is detailed in the county borough's Five Year Welsh Language Strategy 2017-2022.</p> <p>We must comply with all agreed Welsh Language Standards as detailed in the Council's Compliance Notice to ensure that the Welsh-speaking population, whether they be staff, citizens, students or visitors can access the council's services in Welsh.</p> | |
| Themes from Is Wales Fairer? 2018 | |
| Education, Work, Living Standards, Health, Justice and Personal Security, Participation | |
| Relevant Protected Characteristics | |
| Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion or Belief, Sex, Sexual Orientation, Welsh Language | |
| Supporting Documents | |
| ➤ Council's Compliance Notice - Welsh Language Standards | ➤ Cymraeg 2050 |
| ➤ Five Year Welsh Language Strategy | ➤ Well-being of Future Generations (Wales) Act 2015 |
| Actions: | |
| 1. | Raise awareness amongst staff that come into contact with children and young people of the need to foster positive attitudes towards the Welsh language |
| 2. | Develop bilingual leadership skills amongst young people to help them become community champions of the language within their communities |
| 3. | Promote the availability of bilingual services by ensuring Welsh speakers and learners within service areas wear appropriate lanyards/badges |
| 4. | Support the development and promotion of a directory of Welsh medium services available locally |

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| 5. | Ensure that Welsh medium events and activities are a part of the Council's community events programme |
| 6. | Promote Welsh language as a recognised objective for managers, to enable them to map Welsh language provision across their service area and increase capacity where necessary |
| 7. | Consider the impact on the Welsh language when planning housing developments, in particular Welsh medium school places, street names etc. |
| 8. | Ensure the council's website is fully bilingual and pages are monitored and updated in both languages on a rolling programme basis |
| 9. | Ensure the council's Intranet has a Welsh interface and menus in line with Standard 126 |
| 10. | Create a campaign to attract young Welsh speaking citizens into youth work, sport and art activities as leaders |
| 11. | Work with young people to raise awareness of the Welsh language as a valuable skill for training and employment |
| 12. | Hold an annual Welsh language jobs fair to raise awareness of the value of the language to employment in the Welsh public sector and the ability to contact the council in Welsh by telephone, face to face and by written communication |

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| <p>Why?</p> <p>Communication and Accessibility – Information must be available bilingually as required by the Welsh Language Standards. We will consider the needs of Welsh speakers and learners in relation to providing all communication. When consulting with citizens and delivering frontline services, staff must be equipped with the required Welsh language skills to deliver services as required by the Welsh Language Standards. By promoting the availability of bilingual council services we will increase the demand for these services and meet our obligations under the county borough's <i>Five Year Welsh Language Strategy</i> and Welsh Government's <i>Million Welsh speakers by 2050</i>.</p> <p>Voice – Engage and consult with local Welsh language groups and organisations, such as the Welsh Language Forum, Menter Iaith Caerffili, the Urdd etc. Encourage Welsh speaking citizens to become members of the council's Viewpoint Panel to ensure that it is representative. Co-production will help build relationships with Welsh speakers and learners so they feel they can influence and make decisions around the services they need. They can also support the Council to identify examples of good practice and where improvement is required.</p> <p>Remove Barriers – Working in partnership with Welsh medium groups and organisations will help us communicate with a wider audience. It will help us deliver services to members of our community, who may think that the Council does not deliver services through the medium of Welsh. Service areas should actively promote the availability of bilingual services, making Welsh speakers and learners feel a part of the community they live in and that they can access services using their language preference without having to ask.</p> |
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| Equality Objective 6 | |
| Inclusive, Diverse and Equal Workforce – Create a workforce which reflects and respects the diversity of the communities within the county borough | |
| Context | |
| <p>Creating a workplace which is safe and inclusive promotes a positive working environment where staff feel valued and empowered, enabling them to provide high quality services to our citizens.</p> <p>We need a greater understanding of the diversity of our workforce. To achieve this, collection of equalities monitoring data is crucial. Data must be captured at the beginning of the employment process and cleansed and updated on a regular basis.</p> <p>Fairness at work and good job performance go hand in hand. Tackling discrimination helps to attract, motivate and retain staff and enhances an organisation’s reputation as an inclusive employer.</p> <p>Equalities and Welsh language training equips staff with the skills and understanding required to engage with citizens sensitively. Upskilling staff to have an awareness of protected characteristics ensures that citizens with specific needs, receive services that are accessible and compliant.</p> | |
| Themes from Is Wales Fairer? 2018 | |
| Education, Work, Living Standards, Health, Justice and Personal Security, Participation | |
| Relevant Protected Characteristics | |
| Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion or Belief, Sex, Sexual Orientation, Welsh Language | |
| Supporting Documents | |
| <ul style="list-style-type: none"> ➤ Is Wales Fairer? 2018 Report ➤ Level 2 Disability Confident Employer ➤ Stonewall Diversity Champions | |
| Actions: | |
| 1. | Develop online equalities training which will be mandatory for all staff and elected members |
| 2. | <p>Implement the National Training Framework on violence against women, domestic abuse and sexual violence.</p> <ul style="list-style-type: none"> • % of workforce who have completed Basic Awareness training (Group 1) / No of staff completed Basic Awareness training (Group 1) • % of identified staff who have completed Ask and Act training (Group 2) |

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| | <ul style="list-style-type: none"> • % of identified staff who have completed Enhanced Training (Group 3) • Implement Refresher training when available and appropriate |
| 3. | Disability Confident – improve on our current standard |
| 4. | Ensure compliance with specific regulations and encourage disclosure |
| 5. | Re-establish our membership to support Stonewall’s Workplace Diversity Champions Index |
| 6. | Work collaboratively to build the brand ‘Proud Councils’ to support Pride events |
| 7. | Ensure appropriate Welsh language training is available to staff, from basic to advanced levels |
| 8. | Provide opportunities for staff to improve their existing Welsh language skills for business use |
| 9. | Provide opportunities for Welsh speaking staff and learners to use their language skills in the workplace |

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| Why? | |
| <p>Workforce – The mantra of <i>Stonewall Cymru</i> is that ‘people perform better when they can be themselves’. We also believe to get the best out of our employees and ensure they provide the best services to our citizens; we must nurture a workplace culture that is safe and inclusive. Encouraging greater disclosure will support our equalities monitoring process and will provide us with a greater understanding of the diversity of our workforce.</p> | |
| <p>Stonewall Cymru – We will continue to work with Stonewall Cymru to re-establish our membership and position in the Workplace Diversity Champions Index.</p> | |
| <p>Disability Confident – We are currently a Disability Confident employer. Attainment to Level 3 accreditation status in acting as a champion for Disability Confident will help us to transparently express our commitment to support the recruitment, retention and development of disabled people who support our services to achieve and succeed as valued employees. In achieving recognition as a Disability Confident Leader, we can gain recognition from disabled staff in our business, disabled people outside of our business, our customers and the wider community through transparent recording and reporting on disability, mental health and well-being in the Council</p> | |

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| Equality Objective 7 | |
| Reducing the Gender Pay Gap | |
| Context | |
| <p>We are required to look at gender pay differences within the council and identify an objective that will address any identified difference.</p> <p>The Council publishes an annual Gender Pay Gap Statement 2018 which is a requirement under the Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017. In addition The Public Sector Equality Duty in Wales requires us to produce annual data relating to jobs, grade, pay, contract type and working pattern broken down by gender. There is a further requirement to provide data across a number of protected characteristics in relation to employees at work.</p> <p>As a council we are confident that our gender pay gap does not stem from paying male and female employees differently for the same or equivalent work. The gender pay gap is the result of roles in which male and females currently work and the salaries that these roles attract.</p> <p>Our gender pay gap is reflective of the causes of gender pay gap at a societal level. For example research has identified that, although parents are increasingly flexible, the responsibility of childcare still falls disproportionately upon women. It is a fact within this data that the vast majority of part time posts are held by females and that these are the posts that attract salaries in the lower quartiles.</p> | |
| Themes from Is Wales Fairer? 2018 | |
| Education, Work, Living Standards, Health, Participation | |
| Relevant Protected Characteristics | |
| Age, Marriage and Civil Partnership, Pregnancy and Maternity, Sex | |
| Supporting Documents | |
| <ul style="list-style-type: none"> ➤ Corporate Plan 2018-2023 ➤ ‘Is Wales Fairer? 2018 Report’ ➤ Chwarae Teg – State of the Nation 2019 Report | |
| Actions: | |
| 1. | Review the data relating to the workforce and determine actions required to meet the general duty as laid down in the Equality Act 2010 (Statutory Duties (Wales) Regulations 2011 |
| 2. | Publish an annual Gender Pay Statement in line with the Equality Act 2010 |
| 3. | Use the <i>My Time</i> appraisal process to develop female staff |
| 4. | Raise awareness of job and business opportunities to non-traditional groups (i.e. not stereotyping jobs to gender) |
| 5. | Review and update HR policies regularly to include matters such as flexible |

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| working, part-time or job-share options, shared parental leave etc. |
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Why?

Reporting on gender pay gaps helps us to understand the size and causes of our pay gaps and identify any issues that need to be addressed.

Having a gender pay gap does not necessarily mean that there is gender discrimination. Publishing and monitoring pay gaps will help us understand the reasons for any pay gap and consider whether we need to develop an action plan to tackle the causes. For example, if analysis shows unequal distribution of men and women in occupations and the over-representation of women in lower paid positions.

Section 3:

• DEVELOPMENT OF EQUALITY OBJECTIVES AND THE ENGAGEMENT PROCESS

The Caerphilly We Want 2018-2023 – Well-being Plan – Caerphilly Public Services Board

For the past two years the Caerphilly Public Services Board, its partners and stakeholders, citizens and communities have been working together to assess the well-being of Caerphilly county borough and develop a set of shared objectives to improve well-being over the next five years.

The Well-being Plan; 'The Caerphilly We Want 2018-2023' sets out what the Public Services Board will deliver in collaboration with the statutory, private and third sectors together with our communities.

This, the first plan for the area aims to achieve long-term improvements in well-being and has 4 high level Objectives:

- **Positive Change** – A shared commitment to improving the way we work together
- **Positive Start** – Giving our future generations the best start in life
- **Positive People** – Empowering and enabling all our residents to achieve their own potential
- **Positive Places** – Enabling our communities to be resilient and sustainable

The Well-being Plan and its Delivery Plan show how the Public Services Board has chosen its objectives and the steps it intends to take to meet them.

The Plan has been developed using a wealth of data and consultation responses and sets out activity for the 5-year period of the Plan. In so doing the planned activity has been prioritised to make the best use of collaborative resources and maximise the contribution to the national well-being goals for Wales.

Social Services and Well-being (Wales) Act 2014

The Act came into force in April 2016 and means that councils must provide information, support and services in the way that the Act sets out. The Act gives individuals and their carers more of a say in the care and support they receive. To support people to achieve well-being, they will make decisions about their care and support in equal partnership with professionals. To help them to do so, they

will have easy access to information and advice about what is available in their area.

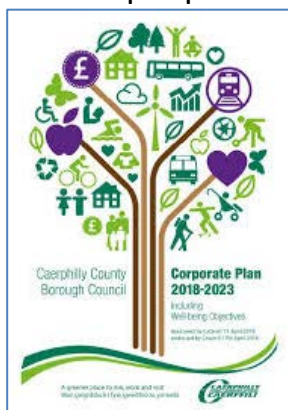
A new assessment process for care and support will be based on what matters to them as an individual. It will consider their personal strengths and the support available to them from their family, friends and others in the community.

The Act focuses on helping people to stay well, to be safe from harm, to be as independent as possible and to be supported within and by their local community.

The Act has five principles:

- **Promoting Well-being:** Working with people to understand what matters to them and helping them achieve what is important for their well-being
- **Voice and control:** Putting people at the centre of their care; giving them a voice in making decisions about their life and control over reaching the outcomes that matter to them
- **Prevention and early intervention:** Increasing preventative services within the community to help people to keep well and help us to know when they may need extra support to prevent problems reaching a critical stage
- **Coproduction:** Providing opportunities for people to be involved in how their care and support is designed and provided
- **Collaboration:** Strong partnership working between the various organisations and people that support them, helping people live the life they choose for

longer



The Corporate Plan 2018-2023 Including Well-being Objectives

In 2018 we set our six Well-being Objectives and incorporated them into our Corporate Plan. Setting objectives is not new, we have been setting Well-being Objectives and Improvement Objectives for a number of years; however this was the first time we have set objectives over a five year planning period.

We set our Well-being Objectives by using intelligence and data from the Well-being Assessment that was carried out to inform the PSB Well-being Plan. This told us about the concerns people had and the areas they would like to see improve.

The Objectives were also informed by our duty to deliver sustainability which is described within the five ways of working in each objective. We also looked at how we could build on strengths that support improvement in our action planning (and not just areas to improve).

We show how our Objectives contribute towards the seven national Well-being Goals and the areas below are not all that we do, indeed it is not possible to cover everything the Council does, but we have set these six objectives as they are critical to improving citizens' well-being both in the long and short term. These Objectives will be reviewed periodically and we will consult on any changes with our citizens.

Objective 1 – Improve education opportunities for all

Objective 2 – Enabling employment

Objective 3 – Address the availability, condition and sustainability of homes throughout the county borough and provide advice, assistance or support to help improve people's well-being

Objective 4 – Promote a modern, integrated and sustainable transport system that increases opportunity, promotes prosperity and minimises the adverse impacts on the environment

Objective 5 – Creating a county borough that supports a healthy lifestyle in accordance with the Sustainable Development Principle within the Well-being of Future Generations (Wales) Act 2015,

Objective 6 – Support citizens to remain independent and improve their well-being

Our Strategic Equality Objectives will support progression in advancing equality and inclusion for all protected characteristics and delivery of the Public Sector Equality Duty. The objectives will ensure we are fulfilling our obligations as outlined in the Well-being of Future Generations (Wales) Act 2015.

To ensure our Strategic Equality Objectives are relevant, views were sought on whether the objectives outlined would help the Council reduce inequalities in the workforce and assist service access and delivery.

Consultation Process and Outcomes

A formal consultation was conducted from 11 November 2019 to 6 December 2019. The consultation was widely promoted, accessible on a variety of platforms and was available bilingually and in easy read format.

The consultation was published on the Council's website. Downloadable versions of the survey were available in a variety of formats on request. Details of the consultation were shared via the Council's social media platforms reaching 4173 people and resulting in 187 engagements. A press release was prepared for local media and promoted on the Council's Website.

A number of engagement events with key stakeholder groups were held; members of staff from the Equalities, Welsh Language and Consultation Team attended the County meeting of Caerphilly People First and Parent Network Groups to seek participants' views in relation to each of the draft equalities objectives. A British Sign Language facilitator met with Deaf people across the county borough, she documented their views on the draft plan, and provided a summary of their comments. Similarly, Disability CanDo carried out consultation sessions with Disability Groups to seek their views on the draft equality objectives.

Consultation responses highlighted a number of overarching themes as well as specific issues and barriers in relation to the draft objectives outlined.

What people think we should do:

- Information should be provided in formats and language choice (including BSL) to ensure that it is accessible to all. This is particularly important in relation to key Council services (e.g. refuse and recycling) and not just targeted services within Social Services (*Equality Objective 1 – Action 3*)
- Council employees should have equality and diversity training (*Equality Objective 3 – Action 2*)
- Provide staff training to raise awareness of equalities and Welsh language issues to empower staff to identify and tackle discrimination and stereotyping (*Equality Objective 3 – Action 2*)
- Work with third sector organisations to identify ways in which we can work together in delivering our equalities duties (*Equality Objective 3 – Action 4*)
- Review and strengthen internal processes for undertaking Equality Impact Assessments and related consultation (*Equality Objective 4 – Action 7*)
- Keep respondents and the wider community informed about the progress of the Plan and other consultations that are undertaken
- The Council needs to ensure that the development of Welsh language education provision remains a priority

- The Council should take the lead in identifying reasons for the gender pay gap and work with others (in particular Welsh Government) to set out proposals on how to reduce the gender pay gap
- Ensure that Elected Members gain an awareness of equalities issues and ensure that there is clarity on the role of Elected Members in helping to deliver on equalities issues (*Equality Objective 3 – Action 2*)

Whilst an effort was made to engage with all sectors of the community, it is evident that no responses were received from individuals representing local religious groups or the black and minority ethnic community. This has been addressed as an action under Strategic Equality Objective 4 - *Review and update our key stakeholder groups within the county borough that represent protected characteristic groups.*

To see the report in full click on the following link: [Consultation Report](#) or alternatively please visit <https://www.caerphilly.gov.uk/Equalities>

Section 4:

- **DELIVERY AND MONITORING OF THE EQUALITY OBJECTIVES**

Corporate Plan

The Council has a 5 year Corporate Plan with six Well-being Objectives. Within those six objectives are actions to improve inclusivity and diversity across a range of areas.

Service Planning

The Local Government (Wales) Measure 2011, places a duty on local authorities to 'make arrangements' to continuously improve. Part of those arrangements is our planning cycles. Our planning cycles identify our priorities and built into this cycle is equalities, Welsh language and inclusivity aims.

Directorate Performance Assessment

We have introduced a new way of assessing and reporting called 'Directorate Performance Assessments' (DPA). These assessments are designed to bring together a range of separate reporting information into one 'single source of the truth'. The purpose is to provide learning into how each Directorate is performing, identifying cause and effect and to act on this knowledge to improve. This will include equality and language information and is also reported to Scrutiny Committees and Cabinet.

Performance Reporting

Once a year we report to the public on how we are performing against our Well-being Objectives and include updates on equalities and Welsh language improvements. We identify what has not gone well and what we have learnt and what we are doing to improve.

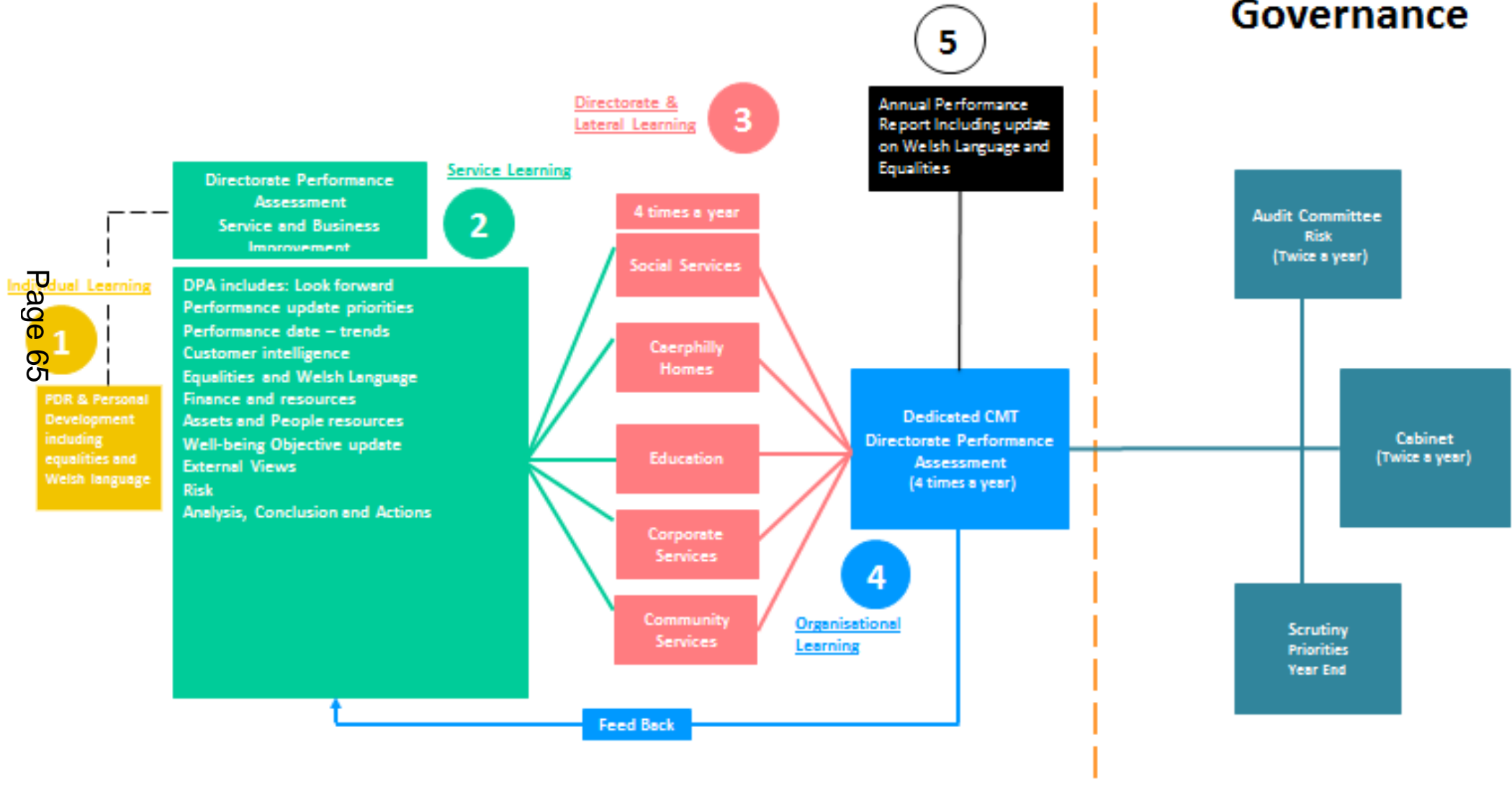
Strategic Equality Plan Annual Monitoring Report.

Under the Public Sector Equality Duty the Council has a legal duty to produce and publish a Strategic Equality Plan Annual Monitoring Report which reports on the Council's progress in delivering services against the statutory duties, the public sector equality Duties and the Council's own Strategic Equality Objectives. The report must be published by the 31st March each year

Internal Document

Performance and Equalities Reporting 2019

Reporting & Governance



Caerphilly County Borough Council Strategic Equality Plan 2020-24

Consultation Report

Introduction and Context

Alongside every local authority in Wales, to meet the Public Sector Equality Duty, Caerphilly County Borough Council is required by the Welsh Government to prepare a Strategic Equality Plan for 2020-2024. This needs to be published by April 2020. The Plan has been written to explain to staff, elected members, citizens and stakeholders, how Caerphilly County Borough Council intends to deliver its equalities commitments whilst continuing to be an inclusive organisation that does not tolerate discrimination of any kind.

Building on the ongoing commitment and previous work of the Council to achieve equality, the Council undertook a range of evidence gathering and pre-consultation engagement to develop the content of the draft Strategic Equality Plan and to develop draft Equality Objectives in a considered way:

- A review of legislative requirements
- A review of external reports and guidance from the Equality and Human Rights Commission
- A review of the Council's current Strategic Equalities Plan and associated documents and guidance
- A review of previous consultation exercises undertaken by the Council in relation to equalities issues
- An analysis of local and national datasets
- A review of the Welsh Government and other local authority equalities documents
- Engagement with service delivery managers within the Council
- Discussions with the Welsh Local Government Association, Welsh Government and other local authorities across Wales, regarding key equalities issues which are current and in the future that could be considered equality objectives

The draft equality objectives within the Plan were then subject to a period of formal consultation.

Purpose

The purpose of the formal consultation undertaken was to seek the views of citizens, elected members, staff and other stakeholders on the draft objectives outlined within the draft Strategic Equality Plan and to identify the most appropriate actions to help the Council achieve those objectives, once agreed. This approach will help identify meaningful actions based identified need and is in line with that of Welsh Government.

Specifically, the consultation invited respondents to give their views in relation to each of the draft objectives as outlined below:

1. Understand and remove the barriers people face when accessing services
2. Improve education opportunities for all
3. Promote and facilitate inclusive and cohesive communities
4. Engage with members of the community to participate and have their voices heard when planning service delivery
5. Ensure the Welsh speaking public can access services that comply with the statutory requirements
6. Create a workforce which reflects and respects the diversity of the communities within the county borough
7. Reduce the Gender Pay Gap

Views were sought on whether the objectives outlined will help the Council to reduce inequalities in the workforce and assist service access and delivery. Where respondents disagreed with any of the objectives they were asked to give reasons for their views. The consultation also asked respondents to highlight any areas of inequality not covered by the proposed objectives and to then identify key actions the Council should take to ensure that we reduce inequalities in the workforce and assist service access and delivery. Respondents were also asked whether their response to the consultation had been influenced because of any of the protected characteristics as this may have a bearing on the responses given.

Methodology (What we did)

The formal consultation took place over a period of 4 weeks from 11th November 2019 to 6th December 2019.

Supporting documents used in the consultation can be found in **Annex 1**

- [Annex 1a - Summary of Context and Strategic Objectives](#)
- [Annex 1b - Easy read version](#)
- [Annex 1c - Questionnaire](#)
- [Annex 1d - Presentation used at face to face consultation meetings](#)

To enable all those who wished to give their views to take part, all consultation documents were made available bilingually and in a variety of formats including easy read and large print. The consultation was promoted in a variety of ways and made available across a range of platforms. The primary consultation tool was a questionnaire but participants were encouraged to respond in a number of ways. Face to face consultation took place with groups who have a particular interest in this consultation and are harder to reach via other consultation methods.

Staff and Elected Members

The consultation was promoted internally to elected members and employees:

- via e-mail messages
- Service Managers via Management Network
- via the Council's Intranet page and **Page 67**

- paper versions were made available to non-office based staff where requested

Stakeholder groups

Details of the consultation and how to get involved were distributed widely to:

- local and regional organisations with an interest in equalities issues and local public sector partner organisations via e-mail distribution lists for wider circulation
- local third sector organisations via Gwent Association of Voluntary Organisations (GAVO) for wider dissemination
- local town and community councils via e-mail. All town and community council's held meetings within or just after the consultation period
- Caerphilly Viewpoint Panel members, Caerphilly People First, the Regional Community Cohesion Officer, Menter Iaith Caerffili, Disability Cando, Caerphilly 50+ Forum, Umbrella Cymru, Stonewall Cymru, Disability Wales, Deaf-Friendly and Caerphilly County Borough's Youth Service and LGBT Youth Group were contacted via e-mail and encouraged to take part

To give the opportunity for in depth feedback, face-to-face focus groups were held with:

Caerphilly People First

Members of staff from the Equalities team attended the County meeting of Caerphilly People First at their offices in Bargoed on 26th November 2019. A presentation was made to the group and participants views were sought in relation to each of the draft equalities objectives.

Caerphilly Parent Network

Members of the Equalities team attended both meetings with both Gelligaer and New Tredegar groups on 3rd December 2019. Details of the presentation were provided as a handout and the group members were guided through a discussion around the proposed equalities objectives.

Caerphilly Deaf Community

During the consultation period, a British Sign Language facilitator met with Deaf people across the county borough and asked their views on the draft plan. A written response summarising their comment was then provided to the Council.

Disability CanDo

On behalf of the Council, Disability CanDo carried out three sessions with

- **Dementia Friendly Café at St Gladwys Church Hall, Bargoed**
- **Mental Health Group at Platform Offices, Oakwood and**
- **Sight Club at Fleur De Lys Community Hall.**

Many of those contacted would not have been able to complete the survey online.

Residents and the wider audience

To reach as wide an audience as possible

- the consultation was highlighted on the front page of the Council's website with a link directly to the consultation document and an online survey. A paper version of

the survey was also available for printing from the Website or on request in a variety of formats

- details of the consultation were shared via the Council's Twitter feed and Facebook page. The Facebook post reached 4173 people and 187 engagements
- A news release was prepared for the local media and shared on the Council's Website

Results

Responses and respondent profile

Overall, 15 respondents completed the questionnaire online. Of these, only two people were under the age of 50. Half of those who completed the survey had a disability, two thirds were female and all identified their ethnic origin as white and English as their main language. A number of those who responded to the consultation indicated that they had first-hand experience of equalities issues.

In addition, three written responses were received, one from representatives of the Deaf community, one from a local councillor and one from a local resident.

In total 12 members of Caerphilly Parent Network attended the face to face focus group discussions. These were split between two separate groups (5 participants in Gelligaer and 7 participants in New Tredegar). All were female and 2 were grandparents.

At the meeting with Caerphilly People First, there were 20 people with learning disabilities 13 men and 7 women. The youngest at the meeting was 22 years old and the oldest 78 years old.

The group sessions carried out by Disability CanDo represents the involvement across the three groups of 38 people with disabilities and 18 carers or support workers. Those with disabilities were between 40 and 60 years of age with a predominance of older people.

Whilst an effort was made to engage with all sectors of the community, it is evident that no responses were received from individuals representing local religious groups or the black and minority ethnic community.

Respondent views and emerging themes

The consultation responses highlighted a number of overarching themes as well as specific issues and barriers in relation to the draft objectives outlined.

A digest of the responses received can be found in **Annex 2**:

- a) Summary of survey responses generated by SNAP
- b) Notes from group discussions
- c) Caerphilly People First Newsletter
- d) Written responses received
 - a. Deaf community
 - b. Cllr. James Pritchard
 - c. Resident response
- e) Response from Disability Can Do

We have incorporated the relevant Equality Objective and Action alongside the feedback that follows to demonstrate how the views of consultees have informed some of the actions.

Context

It was recognised by those who responded to the consultation that Equalities needs to be a high priority for the Council. Whilst not statistically valid due to the small number of responses, there was agreement amongst those who did respond, that the objectives outlined are relevant. The importance of ensuring that measurable actions with clear timeframes are attached to each objective and that progress towards these actions is monitored.

Objective 1: Understand and remove the barriers people face when accessing services

Barriers identified:

- A lack of knowledge of how the Council works and what and how services are provided – often people do not know about services/education and training opportunities that are available to them
- Whilst digital options are useful to many they are not suitable for everyone in particular older people and adults with learning disabilities
- Libraries (and customer services) offer a vital point of face to face contact and resource to local communities in particular parents with young children and older people
- A lack of access to reliable public transport was considered a barrier to accessing services and impacts on the most isolated communities and the most vulnerable residents within those communities. Some feel very isolated as local facilities are being removed with no means to access services further afield
- Physical access can be a barrier (areas of Council responsibility in relation to this include maintenance of pavement surfaces, tree maintenance and street lighting)
- A lack of understanding of disabilities, mental health issues and other areas of equalities is seen to act as a barrier

What people think we should do:

- Information should be provided in formats and language choice (including BSL) to ensure that it is accessible to all. This is particularly important in relation to key Council services (e.g. refuse and recycling) and not just targeted services within Social Services (*Equality Objective 1 – Action 3*)
- Council employees should have equality and diversity training (*Equality Objective 3 – Action 2*)

No further comments came out of the consultation relating to this objective

Objective 2: Improve education opportunities for all

- Ensure that the education is a priority for the Council to ensure that all pupils are afforded the opportunity to learn in a cohesive environment
- Need to ensure adequate educational support for those with additional learning needs and consider the impact of the Additional Learning Needs Bill
- Need to improve employment opportunities for those with disabilities including autistic adults and those with learning disabilities
- Increase participation by removing barriers and ensuring that opportunities meet the needs/interests of residents

What people think we should do:

- To improve educational opportunities, there is a need to understand the difficulties people with disabilities have in accessing and maintaining employment and the impact a change of circumstances regarding employment can have on the lives of people with disabilities.

No further comments came out of the consultation relating to this objective

Objective 3: Promote and facilitate inclusive and cohesive communities

- On the whole, participants in the consultation feel safe and included within their communities although with those with both physical and mental health conditions expressed that they had encountered discrimination
- There is a role for Elected Members in galvanising community cohesion
- The important role of the voluntary sector in facilitating community cohesion needs to be fully recognised

What people think we should do:

- Provide staff training to raise awareness of equalities and Welsh language issues to empower staff to identify and tackle discrimination and stereotyping (*Equality Objective 3 – Action 2*)
- Work with third sector organisations to identify ways in which we can work together in delivering our equalities duties (*Equality Objective 3 – Action 4*)

No further comments came out of the consultation relating to this objective

Objective 4: Engage with members of the community to participate and have their voices heard when planning service delivery

- Consideration of Equalities issues should be a key factor when making decisions in relation to service development and change. Carrying out a thorough Equality Impact Assessment and the appropriate consultation is fundamental to this process
- Well informed communities are able to engage more effectively therefore communication is the key. Communication needs to be appropriate to all audiences and face to face engagement was considered to be very important to those taking part.
- We need to engage with our communities in a *meaningful* way (face to face) and not “pay lip service” to equalities issues
- We need to feed back to our communities to ensure that they recognise how their views are taken on board and empower them to get involved further
- In considering the needs of one protected group, ensure that this does not have a negative impact on other protected groups
- Ensure that we utilise local data sources to reveal patterns of inequality that may be addressed
- We need to engage with staff at all levels within the organisation as they are key to ensuring that services are communicated and delivered effectively to residents and service users

What people think we should do:

- Review and strengthen internal processes for undertaking Equality Impact Assessments and related consultation (*Equality Objective 4 – Action 7*)
- Keep respondents and the wider community informed about the progress of the Plan and other consultations that are undertaken

Objective 5: Ensure the Welsh speaking public can access services that comply with the statutory requirements

- Whilst not of direct relevance to participants, they recognised that a rise in the number of younger Welsh speakers means that this objective will be of increasing importance moving forward

What people think we should do:

- The Council needs to ensure that the development of Welsh language education provision remains a priority

No further comments came out of the consultation relating to this objective

Objective 6 and 7: Create a workforce which reflects and respects the diversity of the communities within the county borough and Reduce the Gender Pay Gap

- Whilst considered important by those who responded to the consultation, it was recognised that these are complex issues that the Council should take a lead on
- Diversity should be reflected in both the workforce and amongst Elected Members

What people think we should do:

- The Council should take the lead in identifying reasons for the gender pay gap and work with others (in particular Welsh Government) to set out proposals on how to reduce the gender pay gap

No further comments came out of the consultation relating to these objectives

Is there anything missing from the draft Plan?

- Ensure that Elected Members gain an awareness of equalities issues and ensure that there is clarity on the role of Elected Members in helping to deliver on equalities issues (*Equality Objective 3 – Action 2*)

Next steps

The outcomes of the consultation will be considered alongside feedback from staff and Service managers and will help to inform a revised version of the Council's Strategic Equality Plan 2020-2024 before it is approved and adopted in April 2020. Actions identified as part of the consultation will be included within the final Strategic Equality Plan.

Annex 2: Digest of comments

Comments have been redacted to protect anonymity of respondents

[Annex 2a SEP Survey Summary 11.12.19](#)

[Annex 2b SEP Consultation – Parent Network Notes New Tredegar](#)

[Annex 2b SEP Consultation – Parent Network Notes Gelligaer](#)

[Annex 2b SEP Consultation – Caerphilly People First Notes](#)

[Annex 2c SEP Consultation – Caerphilly People First Newsletter](#)

[Annex 2d SEP Consultation – Response Cllr Pritchard](#)

[Annex 2d SEP Consultation – Response Deaf Community](#)

[Annex 2d SEP Consultation – Response Resident](#)

[Annex 2e SEP Consultation – Response Disability CandDo](#)

EQUALITY IMPACT ASSESSMENT FORM

July 2019

THE COUNCIL'S EQUALITIES STATEMENT

This Council recognises that people have different needs, requirements and goals and we will work actively against all forms of discrimination by promoting good relations and mutual respect within and between our communities, residents, elected members, job applicants and workforce.

We will also work to create equal access for everyone to our services, irrespective of ethnic origin, sex, age, marital status, sexual orientation, disability, gender reassignment, religious beliefs or non-belief, use of Welsh language, BSL or other languages, nationality, responsibility for any dependents or any other reason which cannot be shown to be justified.

EIAs are a legal requirement under equalities legislation (Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011) where the potential for a significant negative impact has been identified. This legislation has been in place since 2000. We also have a legislative duty to:

- eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the Equality Act 2010
- advance equality of opportunity between people who share a relevant protected characteristic and those who do not
- foster good relations between people who share a protected characteristic and those who do not.

The Act explains that having due regard for advancing equality involves:

- removing or minimising disadvantages experienced by people due to their protected characteristics
- taking steps to meet the needs of people from protected groups where these are different from the needs of other people
- encouraging people with protected characteristics to participate in public life or in other activities where their participation is disproportionately low.

The protected characteristics are:

- | | |
|----------------------------------|----------------------------------|
| • Age | • Race |
| • Disability | • Religion, Belief or Non-Belief |
| • Gender Re-assignment | • Sex |
| • Marriage and Civil Partnership | • Sexual Orientation |
| • Pregnancy and Maternity | • Welsh Language* |

* The Welsh language is not identified as a protected characteristic under the Equality Act 2010, however in Wales we also have to treat Welsh and English on an equal basis as well as promoting and facilitating the use of the Welsh language.

THE EQUALITY IMPACT ASSESSMENT

| | |
|---|---------------------------------------|
| NAME OF NEW OR REVISED PROPOSAL* | Strategic Equality Plan 2020-2024 |
| DIRECTORATE | Education and Corporate Services |
| SERVICE AREA | Business Improvement and Partnerships |
| CONTACT OFFICER | Anwen Cullinane |
| DATE FOR NEXT REVIEW OR REVISION | 2024 |

***Throughout this Equalities Impact Assessment Form, ‘proposal’ is used to refer to what is being assessed, and therefore includes policies, strategies, functions, procedures, practices, initiatives, projects and savings proposals.**

The aim of an Equality Impact Assessment (EIA) is to ensure that Equalities and Welsh Language issues have been proactively considered throughout the decision making processes governing work undertaken by every service area in the Council as well as work done at a corporate level.

The Council’s work across Equalities, Welsh Language and Human Rights is covered in more detail through the **Equalities and Welsh Language Objectives and Action Plan 2016-2020**.

When carrying out an EIA you should consider both the positive and negative consequences of your proposals. If a project is designed for a specific group e.g. disabled people, you also need to think about what potential effects it could have on other areas e.g. young people with a disability, BME people with a disability.

There are a number of supporting guidance documents available on the **Corporate Policy Unit Portal** and the Council’s Equalities and Welsh Language team can provide advice as the EIA is being developed. Please note that the team does not write EIAs on behalf of service areas, the support offered is in the form of advice, suggestions and in effect, quality control.

Contact equalities@caerphilly.gov.uk for assistance.

PURPOSE OF THE PROPOSAL

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| 1 | <p>What is the proposal intended to achieve? <i>(Please give a brief description and outline the purpose of the new or updated proposal by way of introduction.)</i></p> <p>The Strategic Equality Plan (SEP) and equality objectives contained within it have been developed to document the steps that the Council intends to take to meet its specific duties. It covers all protected characteristics: age, disability, gender reassignment, pregnancy and maternity, marriage and civil partnership, race, religion or belief, sex, sexual orientation. It contains information about how the Council promotes equality, fosters good relations and deals with discrimination and harassment across all its services.</p> |
| 2 | <p>Who are the service users affected by the proposal? <i>(Who will be affected by the delivery of this proposal? e.g. staff members, the public generally, or specific sections of the public i.e. youth groups, carers, road users, people using country parks, people on benefits etc. Are there any data gaps?)</i></p> <p>Everyone who lives, works or visits the county borough, including members of staff, stakeholders, citizens, elected members and visitors of all protected characteristics.</p> |

IMPACT ON THE PUBLIC AND STAFF

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| 3 | <p>Does the proposal ensure that everyone has an equal access to all the services available or proposed, or benefits equally from the proposed changes, or does not lose out in greater or more severe ways due to the proposals? <i>(What has been done to examine whether or not these groups have equal access to the service, or whether they need to receive the service in a different way from other people?)</i></p> <p>Yes the Strategic Equality Plan looks to identify and address any identified barriers which prevent people with protected characteristics from accessing services and to work with them to find solutions.</p> |
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| 4 | Is your proposal going to affect any people or groups of people with protected characteristics? <i>(Has the service delivery been examined to assess if there is any indirect effect on any groups? Could the consequences of the policy or savings proposal differ dependent upon people's protected characteristics?)</i> | |
| Protected Characteristic | Positive, Negative, Neutral | What will the impact be? If the impact is negative how can it be mitigated? |
| Age | Positive | The SEP has been written to ensure that nobody is discriminated against regardless of protected characteristic. We consulted with the 50+ Forum on the Draft SEP Objectives. Feedback from the consultation has helped inform us of the relevant actions to deliver our services in a more improved and inclusive way. |
| Disability | Positive | The SEP has been written to ensure that nobody is discriminated against regardless of protected characteristic. We consulted with the 50+ Forum, Caerphilly People First, Disability Wales and Disability Cando. Feedback from the consultation has helped inform us of the relevant actions to deliver our services in a more improved and inclusive way. |
| Gender Reassignment | Positive | The SEP has been written to ensure that nobody is discriminated against regardless of protected characteristic. Umbrella Cymru, Stonewall Cymru and CCBC's LGBT Youth Group were consulted. Feedback from the consultation has helped inform us of the relevant actions to deliver our services in a more improved and inclusive way. |
| Marriage & Civil Partnership | Positive | The SEP has been written to ensure that nobody is discriminated against regardless of protected characteristic. |
| Pregnancy and Maternity | Positive | The SEP has been written to ensure that nobody is discriminated against regardless of protected characteristic. |
| Race | Positive | The SEP has been written to ensure that nobody is discriminated against regardless of protected characteristic. Whilst an effort was made to engage with all sectors of the community, it is evident that no responses were received from individuals representing local black and minority ethnic community. This has been included as an action under Strategic Equality Objective 4 - <i>Review and update our key stakeholder groups within the county borough that represent protected characteristic groups.</i> |
| Religion & Belief | Positive | The SEP has been written to ensure that nobody is discriminated against regardless of protected characteristic. Whilst an effort was made to engage with all sectors of the community, it is evident that no responses were received from individuals representing local religious groups. This has been included as an action under Strategic Equality Objective <i>Review and update our key stakeholder groups within the county borough that represent protected characteristic groups.</i> |

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| Sex | Positive | The SEP has been written to ensure that nobody is discriminated against regardless of protected characteristic. We consulted with Chwarae Teg specifically. |
| Sexual Orientation | Positive | The SEP has been written to ensure that nobody is discriminated against regardless of protected characteristic. Umbrella Cymru, Stonewall Cymru and CCBC's LGBT Youth Group were consulted. Feedback from the consultation has helped inform us of the relevant actions to deliver our services in a more improved and inclusive way. |

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| 5 | <p>In line with the requirements of the Welsh Language Standards. (No.1) Regulations 2015, please note below what effects, if any (whether positive or adverse), the proposal would have on opportunities for persons to use the Welsh language, and treating the Welsh language no less favourably than the English language.</p> <p><i>(The specific Policy Making Standards requirements are Standard numbers 88, 89, 90, 91, 92 and 93. The full detail of each Standard is available on the Corporate Policy Unit Portal. Although it is important that what is outlined in the proposal is available in Welsh and English, please consider wider impacts on Welsh speakers.)</i></p> <p>No negative impact on the Welsh language.</p> <p>Although Welsh language issues are not covered by the Equality Act 2010 but have a set of standards under the Welsh Language (Wales) Measure 2011. These are detailed in the regulations approved by Welsh Government as the Welsh Language Standards (No. 1) Regulations 2015.</p> <p>One of the Strategic Equality Objective's is specifically on the Welsh Language with its aim being to ensure that the Welsh speaking public can access services that comply with the statutory requirements</p> |
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INFORMATION COLLECTION

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| 6 | <p>Please outline any evidence and / or research you have collected which supports the proposal? This can include an analysis of service users. <i>(Is this service effectively engaging with all its potential users or is there higher or lower participation of uptake by one or more protected characteristic groups? If so, what has been done to address any difference in take up of the service? Does any savings proposal include an analysis of those affected?)</i></p> <p>Our Strategic Equality Objectives will support us to continue making progress in advancing equality and inclusion for all protected characteristics and help us meet the Public Sector Equality Duty. The objectives will also ensure that we are meeting our obligations as outlined in the framework of the Well-being of Future Generations (Wales) Act 2015.</p> <p>In writing the plan we drew information from current plans that the council has in place set alongside relevant legislation and reports;</p> <p>Corporate Plan 2018-2023</p> <p>Equality Act 2010</p> <p>Welsh Language (Wales) Measure 2011</p> <p>Welsh Government's <i>Well-being of Future Generations (Wales) Act 2015</i></p> <p>Social Services and Well-being (Wales) Act 2014</p> <ul style="list-style-type: none">➤ Caerphilly Public Services Board's Well-being Plan 2018-2023➤ Is Wales Fairer? 2015(EHRC)➤ Is Wales Fairer? 2018 Report (EHRC)➤ Welsh Government - Digital Inclusion Framework➤ Caerphilly County Borough Council – Customer and Digital Strategy➤ Prosperity for All Action Plan➤ Cymraeg 2050➤ Council's Compliance Notice - Welsh Language Standards➤ Five Year Welsh Language Strategy➤ Nurture, Equip and Thrive (NET)➤ Community Cohesion National Delivery Plan 2014-2016➤ Communication and Engagement Strategy➤ Team Caerphilly – Better Together Transformation Strategy➤ Level 2 Disability Confident Employer➤ Stonewall Diversity Champions➤ Chwarae Teg – State of the Nation 2019 Report |
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CONSULTATION

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| 7 | <p>Please outline the consultation / engagement process and outline any key findings. <i>(Include method of consultation, objectives and target audience. What steps have been taken to ensure that people from various groups have been consulted during the development of this proposal? Have you referred to the Equalities Consultation and Monitoring Guidance?)</i></p> <p>A formal consultation was conducted from 11 November 2019 to 6 December 2019. The consultation was widely promoted, accessible on a variety of platforms and was available bilingually and in easy read format.</p> <p>The consultation was published on the Council’s website. Downloadable versions of the survey were available in a variety of formats on request. Details of the consultation were shared via the Council’s social media platforms reaching 4173 people and resulting in 187 engagements. A press release was prepared for local media and promoted on the Council’s Website.</p> <p>A number of engagement events with key stakeholder groups were held; members of staff from the Equalities, Welsh Language and Consultation Team attended the County meeting of Caerphilly People First and Parent Network Groups to seek participants’ views in relation to each of the draft equalities objectives. A British Sign Language facilitator met with Deaf people across the county borough, she documented their views on the draft plan, and provided a summary of their comments. Similarly, Disability CanDo carried out consultation sessions with Disability Groups to seek their views on the draft equality objectives.</p> <p>Consultation responses highlighted a number of overarching themes as well as specific issues and barriers in relation to the draft objectives outlined.</p> <p>Whilst an effort was made to engage with all sectors of the community, it is evident that no responses were received from individuals representing local religious groups or the black and minority ethnic community. This has been addressed as an action under Strategic Equality Objective 4 - <i>Review and update our key stakeholder groups within the county borough that represent protected characteristic groups.</i></p> <p>To view the full consultation please see the associated Consultation Report</p> |
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MONITORING AND REVIEW

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| 8 | <p>How will the proposal be monitored? <i>(What monitoring process has been set up to assess the extent that the service is being used by all sections of the community, or that the savings proposals are achieving the intended outcomes with no adverse impact? Are comments or complaints systems set up to record issues by Equalities category to be able analyse responses from particular groups?)</i></p> <p>The equality objectives have associated actions to make them measurable and results orientated. Progress will be monitored through service planning and Directorate Performance Assessments. These assessments are designed to bring together a range of separate reporting information into one 'single source of the truth'. The purpose is to provide learning into how each Directorate is performing, identifying cause and effect and to act on this knowledge to improve. This will include equality and language information and is also reported to Scrutiny Committees and Cabinet.</p> <p>Once a year we report to the public on how we are performing against our Well-being Objectives and include updates on equalities and Welsh language improvements. We identify what has not gone well and what we have learnt and what we are doing to improve.</p> <p>Under the Public Sector Equality Duty the Council has a legal duty to produce and publish a Strategic Equality Plan Annual Monitoring Report which reports on the Council's progress in delivering services against the statutory duties, the public sector equality Duties and the Council's own Strategic Equality Objectives. The report must be published by the 31st March each year.</p> |
| 9 | <p>How will the monitoring be evaluated? <i>(What methods will be used to ensure that the needs of all sections of the community are being met?)</i></p> <p>We will ensure that the actions outlined in the SEP will be delivered over its 4 year duration.</p> |
| 10 | <p>Have any support / guidance / training requirements been identified? <i>(Has the EIA or consultation process shown a need for awareness raising amongst staff, or identified the need for Equalities or Welsh Language training of some sort?)</i></p> <p>A number of training requirements were identified and have been incorporated as actions in the SEP</p> |
| 11 | <p>If any adverse impact has been identified, please outline any mitigation action.</p> <p>N/A</p> |

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| 12 | <p>What wider use will you make of this Equality Impact Assessment? <i>(What use will you make of this document i.e. as a consultation response, appendix to approval reports, publicity etc. in addition to the mandatory action shown below?)</i></p> <p>The EIA will be appended to the report and the SEP for approval.</p> |
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| 13 | <p>An equality impact assessment may have four possible outcomes, through more than one may apply to a single proposal. Please indicate the relevant outcome(s) of the impact assessment below.</p> <p style="text-align: right;">Please tick as appropriate:</p> <p>No major change – the impact assessment demonstrated that the proposal was robust; there was no potential for discrimination or adverse impact. All opportunities to promote equality have been taken. <input checked="" type="checkbox"/></p> <p>Adjust the proposal – the impact assessment identified potential problems or missed opportunities. The proposal was adjusted to remove barriers or better promote equality. <input type="checkbox"/></p> <p>Continue the proposal – the impact assessment identified the potential problems or missed opportunities to promote equality. The justification(s) for continuing with it have been clearly set out. (The justification must be included in the impact assessment and must be in line with the duty to have due regard. Compelling reasons will be needed for the most important relevant proposals.) <input type="checkbox"/></p> <p>Stop and remove the proposal – the impact assessment identified actual or potential unlawful discrimination. The proposal was stopped and removed, or changed. <input type="checkbox"/></p> |
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| Form completed by: | |
| Name: | Anwen Cullinane |
| Job Title: | Senior Policy Officer – Equalities, Welsh Language and Consultation |
| Date: | 06.12.19 |

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| Head of Service Approval | |
| Name: | Stephen Harries |
| Job Title: | |
| Signature: | |
| Date: | |



POLICY & RESOURCES SCRUTINY COMMITTEE – 25TH FEBRUARY 2020

**SUBJECT: SAFER RECRUITMENT PROCEDURE AND DISCLOSURE
AND BARRING SERVICE (DBS) POLICIES**

**REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND
CORPORATE SERVICES**

1. PURPOSE OF REPORT

1.1 The purpose of the report is to consult with Policy & Resources Scrutiny Committee in relation to the Safer Recruitment Procedure and Disclosure and Barring Service (DBS) Policies attached as appendices 1, 2 and 3 to this report prior to consideration by Cabinet.

2. SUMMARY

2.1 Caerphilly County Borough Council's current Recruitment and Selection Procedure was last reviewed in 2004. Approval is now being sought from Cabinet to introduce a revised procedure that is reflective of current safe recruitment practice and equal opportunity.

2.2 The proposed Safer Recruitment Procedure attached (Appendix 1) complements the current vacancy management process and guidance that is available for recruiting managers on the Council's intranet, i.e. the process and guidance that requires regular review and update in accordance with Council operational priorities and legislative updates.

2.3 The focus of this proposed Safer Recruitment Procedure is based on equal opportunities and safer recruitment practice, both of which are non-negotiable requirements in recruitment to posts within the Council. It provides a set of guidelines which ensure a fair and objective process is followed in recruitment, which takes account of employment and equalities legislation together with Safeguarding best practice when recruiting to a post and / or engaging agency staff / volunteers to work across the Council. It reflects the statutory guidance and best practice principles of the South East Wales Safeguarding Children Board (SEWCSB), the Gwent Wide Adult Safeguarding Board (GWASB) and Care Inspectorate Wales (CIW) where awareness and good practice is promoted.

- 2.4 Integral to Safer Recruitment practice is the Council's position on Disclosure and Barring Service (DBS) checks and it is an expectation of the DBS that the Council's position is clearly reflected in written policy. The Council has consistently followed DBS Policy and Procedure in its operational practice but it has not yet published its own written policy position. This Policy is now attached at Appendix 2.
- 2.5 The DBS issued guidance in Autumn 2018 entitled 'A Guide to School Governors and Elected Councillor Roles in Wales (Attached at Appendix 4)'. This guidance now gives the Council the opportunity to review its current operational practice to ensure that it is consistently robust and safe. In response to this guidance, Committee Services, HR, Education and Social Services colleagues responsible for / involved with safeguarding seek to extend the operational DBS checking process to include Elected Members and School Governors as outlined in the DBS Policy and Procedure documents attached at Appendices 2 and 3.

3. RECOMMENDATIONS

- 3.1 It is recommended that Policy and Resources Scrutiny Committee note the contents of the report and recommend:
- 3.1.1 The Safer Recruitment Procedure attached at Appendix 1 to Cabinet for approval. This will replace the current 2004 Recruitment and Selection Procedure.
- 3.1.2 The DBS Policy attached at Appendix 2 to Cabinet for approval. This Policy will be published on the Council's website.
- 3.1.3 The DBS Policy relating to School Governors attached at Appendix 3 to Cabinet for approval. This Policy will then be circulated to Schools for recommended adoption.

4. REASONS FOR THE RECOMMENDATIONS

- 4.1 Caerphilly County Borough Council is committed to safeguarding children and vulnerable adults who access the services it provides and consistently utilises the services offered by the DBS to assist in the protection of children and vulnerable adults from persons who may wish to harm them. The Council's safe recruitment practice and DBS practice is not accurately captured and presented in a current written policy, which does not truly reflect operational practice
- 4.2 The DBS decision to circulate guidance on checks relating to Elected Members and School Governors in Autumn 2018, highlighted that individuals holding these positions are eligible to be asked to apply for enhanced level DBS checks in the child or adult workforce, but without relevant barred list checks. Following a review of this guidance the preference of consultees was to include these groups in the Council's DBS checking process as appropriate.

5. THE REPORT

Safer Recruitment Procedure

- 5.1 The Council's current Recruitment Policy was written from a corporate process perspective, is 43 pages long and dates back to 2004. This policy is long overdue for review and the process information contained therein is largely out of date.

- 5.1.1 Whilst the Council can demonstrate that current operational process promotes safe practice in recruitment, our current procedure does not indicate that the safety and wellbeing of our children, young people and vulnerable adults are a Council priority, nor that we take all reasonable and sensible measures in recruitment to keep them safe from those who may wish to harm them.
- 5.1.2 Nowhere within the Council's current Recruitment and Selection Procedure are the words 'child'; 'children', or 'vulnerable adult' written. The current operational practice has moved on to incorporate safeguarding requirements, however, the procedure is not reflective of the safer operational practice of the Council.
- 5.1.3 In direct contrast to the current policy, the proposed Safer Recruitment Procedure in terms of title and content complements our Corporate Safeguarding Policy which emphasises that:
- The Council ensures that everyone working with or on behalf of children and vulnerable adults are competent to do so.
 - The Council promotes safer recruitment policy and practice.
 - Safeguarding responsibilities for all employees are emphasised from the point of recruitment and throughout their employment.
 - All Heads of Service / Chief Officers must ensure that safe recruitment practices are adopted.
- 5.1.4 The proposed Safer Recruitment Procedure furthermore complements the Council's voluntary pledge to support the Armed Forces in that, the recruiter must always be prepared to ensure that applicants who have identified themselves as members of the Armed Forces, and who meet the essential criteria of the person specification, are guaranteed an interview. Members of the Armed Forces include:
- Service Leavers
 - Veterans
 - Reservists
 - Spouse
- 5.1.5 The proposed Safer Recruitment Procedure was shared with HR Strategy Group colleagues and consequently Directorate feedback was received. The Procedure was updated accordingly and shared with our Corporate and Education Trade Union colleagues on the 30th August 2019. Their feedback was requested and received at the Education Joint Consultative Committee (JCC) meeting held on the 25th September 2019. The Safer Recruitment Procedure was positively received and no amendments to the procedure were requested.

DBS Policy and Procedure

- 5.1.6 Scrutiny Members will be aware that the DBS service allows organisations to make safer recruitment decisions by providing access to criminal records for posts which are deemed to require a criminal records check. The Council is committed to safeguarding children and vulnerable adults who access the services it provides and consistently utilises the services offered by the DBS to assist in the protection of these groups from persons who may wish to harm them.

5.1.7 The Council's position on DBS checks is integral to Safer Recruitment practice and it is an expectation of the DBS that this position is clearly reflected in written policy.

5.1.8 The DBS Policy attached at Appendix 2 outlines the Council's current practice and clarifies that in addition to DBS checks that are undertaken for employees who qualify for a DBS check and who are subject to a 3 year renewal check:

- DBS checks will equally apply to Agency workers who undertake duties within the Council which have been identified as requiring a DBS check. The Agency worker must have a valid DBS certificate which has been issued within the last 12 months i.e. in line with current operational practice.
- The Council will carry out checks for Elected Members who serve on committees which involve the delivery of services for Children and Adults relating to Education or Social Services. Other specified roles which involve the Elected Member serving on committees or as a designated person will also require a DBS check. N.B. Committee Services have engaged Elected Members in this capacity in recent months.
- Volunteers whose roles are eligible for a DBS check and which meet the DBS definition of a volunteer will be required to have the relevant level of DBS check in place prior to commencing their volunteering role' i.e. in line with current operational practice.
- The Council will also recommend to Schools that Governors are DBS checked as they are incorporated into the definition of "work with children" thus making them eligible for an enhanced level DBS check for the child workforce. N.B. This is a proposed position that with Cabinet agreement will be recommended to Schools for adoption as highlighted in Appendix 3.

5.1.9 The 'Guide to School Governor and Elected Councillor Roles in Wales' 2018 as referred to in 2.5 above is an undated document which helpfully clarifies the legislative position that supports the DBS to undertake an enhanced DBS check (no barred list check) at the request of the employer for:

- School Governors including member or clerk to the governing body of an educational establishment and/or a person appointed by the governing body of a maintained school to serve on a committee.
- Elected Councillors if they are appointed as a member of a committee or sub-committee involved in the delivery of services for children relating to education or social services and/or the delivery of services for adults relating to social services.

Under the position of 'legislation', the guidance states:

- *'These roles used to be included in the original definition of regulated activity with children and adults, as set out in the Safeguarding Vulnerable Groups Act (SVGA) 2006. Following changes to this definition by the Protection of Freedoms Act 2012, School Governors were removed. This means that the roles were no longer classed as being regulated activity and therefore not eligible for a barred list check'.*

- The Police Act 1997 (Criminal Records) Regulations 2002 were amended in 2012 for School Governors and in 2013 for Elected Members to incorporate these roles into the new definition of 'work with children' and 'work with adults'. This made the individuals holding these positions eligible to be asked to apply for enhanced level DBS checks in the child or adult workforce, but without relevant barred list checks.

5.1.10 Following the DBS' circulation of 'A Guide to School Governor and Elected Councillor roles in Wales' in Autumn 2018:

- The Committee Services Team have worked with relevant Elected Councillors to undertake enhanced DBS checks as deemed appropriate.
- HR have engaged with colleagues responsible for Education and Safeguarding in the Council, Headteachers in cluster group meetings and Trade Unions through the JCC forum to seek their views on whether some or all governors should be asked to apply for an enhanced level DBS check (no barred list).

5.1.11 With regard to School Governors specifically, it was the preference of all consultees to recommend to Schools that all Governors be asked to apply for an enhanced level DBS check (without a barred list check). This recommendation is reflected in the DBS Policy relating to School Governors document attached at Appendix 3.

5.1.12 Trade Union colleagues on the 25th September 2019 at JCC supported the recommendation to Schools that all School Governors should be asked to apply for an enhanced level DBS check (without a barred list check).

5.2 **Conclusion**

5.2.1 The Council's clear commitment to ensuring safe operational practice is not expressed in written policy. The proposed Safer Recruitment Procedure and recommended DBS Policies that have been referred to in this report for adoption and publication on the Council's website, will rectify this.

5.2.2 The adoption of the Safer Recruitment Procedure and the DBS Policy clearly outlines the Council's commitment to safe recruitment and DBS practice and officer accountability to ensure this.

5.2.3 In supporting the recommendation of a DBS Policy to our Schools relating to School Governors specifically, Scrutiny members will show their commitment to ensuring robust DBS practice within Schools.

6. **ASSUMPTIONS**

6.1 There are no assumptions made within this report.

7. **LINKS TO RELEVANT COUNCIL POLICIES**

7.1 The proposed procedures and policies link to the Corporate Safeguarding Policy and the People Management Strategy and therefore to all other strategies, including all equality strategies, policies and procedures, that rely on employees to deliver the strategy and service provision.

7.2 Corporate Plan 2018-2023.

The proposed procedure and policies support Objective 1. i.e.: *Improve education opportunities for all, Outcome 8 - Safeguard all children and young people in order to create a climate for learning, particularly for those most vulnerable.* Safe recruitment practice and relevant DBS checks are integral to ensuring a safe learning environment. These are fundamental principles that underpin the delivery and development of sufficient and sustainable safeguarding training.

8. WELL-BEING OF FUTURE GENERATIONS

8.1 Having considered the five ways of working, they will not be affected by the contents of this report.

9. EQUALITIES IMPLICATIONS

9.1 An EIA screening has been completed in accordance with the Council's Strategic Equality Plan and supplementary guidance. No potential for unlawful discrimination and/or low level or minor negative impact has been identified, therefore a full EIA has not been carried out. It should be noted that DBS certificates cannot be printed in Welsh due to procedures laid down in Part V of the Police Act 1997.

10. FINANCIAL IMPLICATIONS

10.1 There will be additional costs incurred as a result of the extension of DBS checks to include School Governors. It is the intention to progress the DBS check of every School Governor through the E-Bulk process, which will incur a £2.50 administrative charge in each case. The actual DBS check itself will be free of charge on the premise that School Governors are unpaid volunteers.

10.2 The DBS recently reviewed its charges as follows with effect from 1st October 2019:

- Basic DBS check - £23.00 (previously £25)
- Standard DBS check - £23.00 (previously £26)
- Enhanced DBS check - £40.00 (previously £44)

10.3 The reduction in cost of the DBS check could offset the £2.50 administrative charge that the Council will incur as we progress to using E Bulk for the vast majority of checks that we undertake which are enhanced checks.

11. PERSONNEL IMPLICATIONS

11.1 There is likely to be some support requirements on the part of some governors in completing the online application. HR will produce guidance documents to support this process and will support Schools to progress these checks.

12. CONSULTATIONS

12.1 All consultation responses have been incorporated in the report.

13. STATUTORY POWER

13.1 Local Government Act 1972
Protection of Freedoms Act 2012

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Stephen Harris, Interim Head of Business Improvement & S151 Officer
HR Strategy Group
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Joint Consultative Committee Members

Appendices:

Appendix 1 Proposed Safer Recruitment Procedure
Appendix 2 Proposed DBS Policy and Procedure
Appendix 3 Proposed DBS Policy and Procedure relating to School Governors
Appendix 4 DBS Guidance 'A Guide to School Governor and Elected Councillor roles in Wales' 2018

Background Papers:

Recruitment and Selection Procedure 2004

SAFER RECRUITMENT PROCEDURE

| | |
|----------------------------------|--|
| Version of Policy | Version 1 |
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| Applicable To: | All Caerphilly employees including school based employees where the School Governing Body has adopted the Procedure. |
| Equalities Issues: | All Equalities considerations have been taken into account when drafting this Policy. This Policy is available in Welsh |



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INTRODUCTION

1. The purpose of this Safer Recruitment Procedure is to provide a set of guidelines which ensure a fair and objective process is followed which takes account of employment and equalities legislation together with Safeguarding best practice when recruiting to a post and/or engaging agency staff/ volunteers to work across the Council.

EQUAL OPPORTUNITIES

2. In the application of this procedure no employee or applicant will be unlawfully disadvantaged on the grounds of race, colour, nationality, ethnic or national origins, language, disability, religion, age, gender reassignment, sexual orientation, parental, marital or civil status. The Council's Safer Recruitment Procedure aims to ensure that appointments to posts at all levels in the organisation are made in accordance with sound principles of equality of opportunity and safer recruitment. This will enable the Council to attract applicants from a wide range of diverse backgrounds who have the skills, experience and attributes to complement our workforce, enhance our performance and provide safe, quality services to the community of Caerphilly County Borough.
3. The recruiter must always be prepared to make 'reasonable adjustments' to ensure that workplace requirements or practices do not disadvantage employees or potential employees with a disability. All applicants who are registered disabled and who meet the essential criteria of the person specification must be offered an interview.
4. In support of the Council's voluntary pledge to support the Armed Forces, the recruiter must always be prepared to ensure that applicants who have identified themselves as members of the Armed Forces, and who meet the essential criteria of the person specification, are guaranteed an interview. Members of the Armed Forces include:
 - Service Leavers
 - Veterans,
 - Reservists
 - Spouse
5. The recruiter may offer training and encouragement to any underrepresented groups. Examples include pre-application assistance for those who do not have English as their first language, or management development training for women where they are under-represented in management grades.
6. Job advertisements may also state that the employer encourages applications from those groups that are under- represented in the Council.

ASSESSING WELSH LANGUAGE REQUIREMENTS

7. The Welsh Language Standards are a set of legally binding requirements that aim to allow people in Wales the ability to receive services in the Welsh language. The Standards clearly set out what our responsibilities are in terms of providing bilingual services, ensuring the Welsh language is not treated less favourably than the English language. One of the requirements of the Welsh Language Standards is the need to

assess each post for linguistic requirements. The assessment must be written and available for audit by the Welsh Commissioner. No post will progress to advertisement without this assessment.

8. Further guidance is available on the HR Support Portal.

ENGLISH LANGUAGE REQUIREMENTS FOR PUBLIC SECTOR WORKERS

9. The UK Government has introduced, under Part 7 of the Asylum and Immigration Act, a requirement for all public facing public sector employees to be able to communicate fluently in English (or Welsh in Wales where the role is identified as requiring a Welsh speaker) to ensure the safe and high quality delivery of public services. All posts must be assessed to identify whether they are public facing so that the fluency duty can be met.
10. Further advice on undertaking this assessment, together with examples of posts that are not covered by the legislation, is available on the HR Support Portal.

SAFER RECRUITMENT PRACTICE

11. It is vital that all of the Council's establishments and Schools adopt recruitment and selection procedures, and other HR management processes that help to prevent, identify and reject people who might abuse children, young people and/or vulnerable adults, or, are otherwise unsuited to work with them.
12. The Council is committed to ensuring that everyone living within the Borough is safe and protected and that our statutory responsibilities to safeguard and protect children, young people and vulnerable adults are effectively met. The Council expects all staff/ agency staff and volunteers to share this commitment.
13. The Council's commitment to safeguarding and promoting the welfare of children, young people and vulnerable adults must be clearly communicated at every stage of the recruitment process, i.e. in the advertisement, the job description and recruitment literature.
14. Where the post is to work with children/young people and/or vulnerable adults, the Council's commitment to safeguarding these vulnerable groups must be tested in the recruitment exercise and in reference requests.
15. Safeguarding is everyone's responsibility and CCBC in its Corporate Safeguarding policy reminds all Council employees, Agency workers, volunteers, Elected Members and contractors of their legal duty to take action if they are concerned about the wellbeing of any child, young person or vulnerable adult. It therefore follows that safe recruitment practices must apply to all posts.
16. This Procedure is not intended to provide a comprehensive guide to recruitment and selection or employment issues. Managers, Headteachers and those responsible for recruiting will need appropriate training as well as support and advice from HR to ensure their practice satisfies the requirements of employment law. This procedure provides procedural guidance to promote safer recruitment only. This Procedure does not replace or override:

- Any Care Inspectorate Wales (CIW) practices or other professional body practices relating to recruitment that must be followed and made available for reference;
- The vacancy management process that will be in operation in the Council and as a process subject to regular review. The vacancy management process is available on the HR Portal and must be followed before any post can be advertised/recruited to.

THE RECRUITMENT PROCESS

17. **Planning** is vital to successful recruitment. The recruitment literature relevant to the post must explain clearly the combination of qualities, qualifications and experience a successful applicant will need to demonstrate, alongside any particular matters that need to be mentioned in the advertisement and corresponding paperwork to prevent unwanted applications.
18. **The Applicant Information Pack** should include:
 - The application form (and any accompanying explanatory note).
 - The job description and Person Specification
 - Relevant information about the Council and the recruitment process
 - The Council's Equal Opportunities Policy Statement
 - The Corporate and/or School's Recommended Safeguarding Policy
19. **A well-written job description** is essential to attracting the right candidate for the job. It should clearly state the main duties and responsibilities of the post and where relevant to the post, the individual's responsibility for promoting and safeguarding the welfare of children, young people and/or vulnerable adults.
20. To maintain the integrity of the evaluated grading structure in the Council, the Council's template job description that is available on the HR Portal must be used for all* posts. The Council is confident that all employees are paid on an objective and consistent assessment of the key factors of their job. The Council's pay structure was developed to eliminate bias and discrimination by showing that all jobs have been treated in the same way and to ensure that employees are paid fairly and equally for equal work. N.B 'all posts' in this circumstance does not apply to teacher job descriptions. Template teacher job descriptions can be obtained from HR.
21. **The person specification** must include the qualifications and experience, and all other requirements needed to perform the role. It must describe the competences and qualities that the successful applicant should be able to demonstrate and explain that these requirements will be tested and assessed during the selection process. The Council's template personnel specification accompanies the template job description that is available on the HR Portal.
22. **Scrutinising and Shortlisting** - All information required from applicants must be obtained and scrutinised. Any and all discrepancies/anomalies identified through the scrutiny process must be satisfactorily resolved before the applications progress. For example:
 - Any anomalies or discrepancies or gaps in employment identified by the scrutiny should be considered and noted as to why the application is progressing or not.

- Any history of repeated changes of employment without any clear career or salary progression, or a mid-career move from a permanent post to supply or temporary work should be considered and noted as to why the application is progressing or not.
23. All candidates must be assessed equally against the criteria contained in the person specification without exception or variation.
24. **The Interview Panel** – should consist of two or more recruiters. One recruiter only is not advisable. The members of the panel must:
- have the necessary authority to make decisions about appointment;
 - meet before the interviews to reach a consensus about the required standard for the job to which they are appointing;
 - consider the issues to be explored with each candidate and agree who on the panel will ask about those;
 - agree a set of questions relating to the requirements of the post avoiding closed and hypothetical questions wherever possible.
 - seek to agree competence based questions that ask a candidate how they have responded to, or dealt with an actual situation, how they will deal with a specific situation and test the applicant's attitudes and understanding of issues.
 - agree assessment criteria in accordance with the person specification
 - At least one recruiter on the Interview Panel must be appropriately trained.
25. When setting questions, the panel must be mindful of Equalities Legislation and construct each question carefully to ensure never in breach of equalities issues.
26. When setting tests, the panel must be mindful of Equalities Legislation and ensure that no test / question places any candidate at a disadvantage
27. Interviewees should always be required to:
- explain satisfactorily any gaps in employment;
 - explain satisfactorily any anomalies or discrepancies in the information available to the recruiter;
 - declare and discuss any information that is likely to appear on a criminal record disclosure;
 - demonstrate their attitude towards safeguarding and promoting the welfare of children, young people and/or vulnerable adults where applicable;
 - demonstrate their ability to support the Council's commitment to safeguarding and promoting the welfare of children, young people and/or vulnerable adults as stated the Council's Corporate Safeguarding Policy where applicable.
28. **A face to face interview** is good practice in order to explore the candidate's suitability to work in the post applied for.
29. For people who will be required to work with children, young people and/or vulnerable adults, the face to face interview is a must.
30. The recruiter must always be mindful to consider accessibility issues and reasonable adjustments in their planning for and invites to the interview.

31. It is often viewed as good practice to involve children, young people and/or vulnerable adults in the pre interview or interview process where appropriate to the post applied for.
32. When arranging venues for interviews, equalities legislation must be considered in relevance to accessibility issues and ensuring that no person is placed at a disadvantage in any capacity.
33. **Invitations to Interview** - The Interview Invite aside from the obvious need to identify where, when, how and by whom the interview will be conducted should also where appropriate provide a reminder that:
 - The interview will explore the individual's suitability to work with children, young people and/or vulnerable adults.
 - The identity of the successful candidate will be checked thoroughly to ensure they are who they claim to be
 - That where a DBS check is required for the post, the person who the panel are seeking to appoint will be required to complete an application for a DBS Disclosure, receive and share the DBS certificate with the Council before appointment can be confirmed.
 - That original documents and/or certified copies of educational and professional qualifications that are required for the post must be available to the Recruiter/ to the Council to view before appointment can be confirmed. In the absence of either, written confirmation of the applicant's qualifications must be obtained from the awarding body.
34. **Professional and character references** that address specific questions to help assess an applicant's suitability to work must be obtained prior to offering an appointment in any capacity. The Council provides a template reference pro-forma for this purpose.
35. Recruiters must not rely on open references and testimonials such as 'To whom it may concern'.
36. Where the post involves working with children, young people and/or vulnerable adults, the reference must include questions to assess the applicant's suitability to work with these groups. It is the safer recruitment letter request and reference template that should be followed for these appointments. This takes into account the requirements of the relevant regulatory bodies.
37. All returned references must be carefully scrutinised to ensure that all questions have been answered and that the answers support the applicant's suitability for the post applied for. This will be the responsibility of the recruiting manager. Some references will require follow up calls by the recruiting manager in accordance with relevant regulatory requirements.
38. If there are unanswered questions in the reference or the answers are vague or unspecific, the recruiting manager must contact the referee to provide answers or clarification as appropriate. The information attained must be recorded and compared with the application form to ensure consistency. Any discrepancy in the information provided must be taken up with the applicant.

39. **Conditional Offer of appointment** – Recruitment records maintained by HR must demonstrate that:
- An Identity check has been undertaken;
 - A qualification check has been undertaken (original certificates received);
 - Right to work in the UK has been established. The Council is legally required to establish this under the Immigration, Asylum and Nationality Act 2006;
 - Two references have been received, one from current or most recent employer in every case where this is available along with a written record of any telephone conversation with a referee from the recruiting manager;
 - That where a DBS check is required for the post, the person who the panel are seeking to appoint has completed an application for a DBS Disclosure, received and shared the DBS certificate with the Council.
 - Where required, registration status relevant to the post that has been applied for has been satisfied, for example, Education Workforce Council (EWC), Care Inspectorate Wales (CIW);
 - The Council's Occupational Health Department has confirmed the applicant has the health & physical capacity to undertake the post;
 - Where required an overseas criminal record check documentation has been received and reviewed where appropriate.
 - Gaps in employment and/or education have been accounted for by the recruiting manager.

AGENCY STAFF AND VOLUNTEERS - SAFE RECRUITMENT / ENGAGEMENT PRACTICE

Agency Staff

40. Under the Conduct of Employment Agencies and Employment Businesses Regulations 2003, employment agencies and employment businesses are not allowed to introduce or supply a work seeker to a hirer unless they have made checks to ensure that both the work seeker and hirer are aware of any legal or professional body requirements, which either of them must satisfy to enable the work seeker to work for the hirer. This should include:
- The agency/business checking that any supply staff have the qualifications and/or registration status and/or DBS status required for the post the hirer is seeking to fill.
 - The agency/business carrying out the same pre-employment checks as we do for our staff (see point 38 above).
 - Agencies being able to confirm that they consistently implement these checks and have carried out the checks for every individual they might/will supply to the hirer.
 - That they are only going to present a work seeker that has passed the **safer recruitment process** if the post involves working with children, young people and/or vulnerable adults.
41. The Agency/business must be prepared to commit to regular quality assurance checks with the hirer to satisfy themselves that safe recruitment practice has not

lapsed. Evidence of the quality assurance check must be available for audit purposes.

Volunteers

42. Volunteers are seen by children and vulnerable adults alike as safe and trustworthy adults, and if the Council/ the School is actively seeking volunteers, and is considering candidates about whom it has little or no recent knowledge, it should adopt the same recruitment measures as it would for paid staff.
43. Where an establishment/School approaches a person who is well known to them to take on particular role, a shorter procedure could be adopted, but it should still include obtaining **references**, conducting an informal interview to be clear about the person's suitability, and obtaining a DBS check where the role requires it. The completion of a risk assessment as a matter of good practice is recommended in such cases.
44. All those requested to work closely and regularly with children and young people and/or vulnerable adults in an unsupervised capacity, must have an enhanced DBS check.

POST APPOINTMENT – MAINTAINING A SAFER CULTURE

45. It is important that all staff in an establishment have appropriate training and induction so that they understand their safeguarding roles and responsibilities and are confident about carrying them out.
46. The content and nature of the induction process will vary according to the role and previous experience of the new member of staff or volunteer, but should:
 - Ensure adherence to any induction framework that is relevant to the post including promoting the understanding of any professional body status expectations of the post.
 - Include safe practice and the standards of conduct and behaviour expected of staff in the establishment, e.g. anti-bullying, anti-racism.
 - Identify how and with whom any concerns about those issues should be raised
 - Include other relevant HR procedures, such as disciplinary, capability and whistle blowing procedures.
47. If the post includes safeguarding and promoting the welfare of children, young people and/or vulnerable adults, the induction programme should also include information about, and written statements of:
 - policies and procedures in relation to safeguarding and promoting welfare e.g. safeguarding, child protection, adult protection, physical intervention or restraint, intimate care, internet safety and any local child/adult protection and safeguarding procedures
48. The induction should also include attendance at training appropriate to the individual's role.

49. Provide opportunities for the new member of staff / Agency staff or volunteer to discuss any issues or concerns about their role and responsibilities.
50. Enable the person's line manager or mentor to recognise any concerns or issues about the person's ability or suitability at the outset and address them immediately.
51. Monitoring of both the recruitment process and induction arrangements will help better inform future recruitment practices. This monitoring should cover staff turnover and reasons for leaving, exit interviews and the attendance of new recruits at relevant training.

MONITORING OF THE PROCEDURE

52. Good partnership working between Education, Children and Adult Services ensures that policies and procedures are effectively implemented and reflect the statutory guidance of the South East Wales Safeguarding Children Board (SEWCBS) and the Gwent Wide Adult Safeguarding Board (GWASB). Awareness and good practice is promoted through these Boards. The safe recruitment procedure will be reviewed annually to ensure consistent with Statutory Guidance and good reflective practice.

INTERPRETATION OF THE PROCEDURE

53. In the event of a dispute relating to the interpretation of this procedure, the Head of People Services and a Head of Service unconnected to the appointment/engagement will make the final decision on interpretation.

REVIEW OF THE PROCEDURE

54. A review of this procedure will take place annually in line with the Council's safeguarding and equal opportunities policies. The procedure will be updated appropriately to reflect any changes in legislation and guidance. Any amendments will be consulted on with all the relevant parties. However, in the case of amendments relating to legislative requirements, the procedure will be amended and reissued.

MARCH 2020

Disclosure and Barring Service (DBS) Policy

| | |
|---|--|
| <i>Version of Policy</i> | Version 1 |
| <i>Policy Ratified By:</i> | |
| <i>Date Ratified:</i> | |
| <i>Effective Date of Policy:</i> | March 2020 |
| <i>Review Date:</i> | March 2021 |
| <i>Applicable To:</i> | All Caerphilly employees including employees directly employed by Schools, Agency Workers, Volunteers, Elected Members and School Governors. |
| <i>Equalities Issues:</i> | All Equalities considerations have been taken into account when drafting this Policy. This Policy is available in Welsh |



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DEFINITIONS

DBS – The Disclosure *and* Barring Service is an Executive Agency of the Home Office which was set up to undertake disclosure and barring functions which include processing requests for criminal record checks and to maintain the Children’s and Adult’s barred lists.

INTRODUCTION

1. The DBS service allows organisations to make safer recruitment decisions by providing access to criminal records for posts which are deemed to require a criminal records check.
2. Caerphilly County Borough Council is committed to safeguarding children and adults who access the services it provides and will utilise the services offered by the DBS to assist in the protection of children and adults from persons who may wish to harm them.
3. The provisions of this Policy, which must be read in conjunction with other relevant Council policies and procedures (e.g. Recruitment and Selection Procedure), will enable Managers/Heads of Service to ensure that employees, agency workers and volunteers are suitable to work with vulnerable groups.
4. Copies of this and related policies are available on the HR Support Portal or from Line Managers.

DETAIL OF THE POLICY

5. Posts Eligible for a DBS Check

The Council will only apply for checks to posts which have been identified as being eligible for a DBS check and are contained in the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 or the Police Act 1997 (Criminal Records).

Managers will have the responsibility of ensuring that an up to date list is kept of posts eligible for a DBS check in their service area and is stored against the post on the HR database.

Counter signatories must satisfy themselves that the post stated on the DBS application is eligible under current legislation before they countersign the form.

DBS checks will equally apply to agency workers who undertake duties within the Council which have been identified as requiring a DBS check. The agency worker must have a valid DBS certificate which has been issued within the last 12 months.

The Council will carry out checks for Elected Members who serve on committees which involve the delivery of services for Children and Adults relating to Education or Social Services. Other specified roles which involve the Elected Member serving on committees or as a designated person will also require a DBS check.

The Council will also recommend to Schools that Governors are DBS checked as they are incorporated into the definition of "work with children" thus making them eligible for an enhanced level DBS check for the child workforce.

Volunteers whose role is eligible for a DBS check and which meets the DBS definition of a volunteer will be required to have the relevant level of DBS check in place prior to commencing their volunteering role.

6. Levels of criminal record check

There are 4 different levels of checks that can be requested

Basic Certificate

Standard check

Enhanced check

Enhanced check with Children's and/or Adults barred list check

The appropriate level of check will be dependant upon the post that the individual undertakes/due to undertake in the council. Full details are available on the DBS website <https://www.gov.uk/government/organisations/disclosure-and-barring-service>.

Advice can also be sought from the HR Department.

N.B. The application process will ask the Counter signatory to specify the type of workforce the applicant will be working with i.e:

- Adult workforce
- Children's workforce
- Adult and Children's workforce
- Other workforce (e.g. when considering applications for licences for Taxi drivers, Gambling premises, etc)

7. When to check?

There are a number of occasions when it would be appropriate to request that a person undertakes a relevant DBS check, these include:

- Recruitment - both internal and external
- Person changing role within the Council
- Staff being transferred into the council.
- Volunteers carrying out voluntary work for the Council.

8. Renewal of DBS certificate

The Councils policy is to carry out a 3 year recheck of all persons requiring a DBS certificate as a condition of their employment. The council will fund the renewal checks.

9. Secure handling of disclosure Information and Data protection.

9.1 General principles

Caerphilly County Borough Council utilises the DBS to help assess the suitability of applicants for relevant posts and complies fully with the DBS Code of Practice regarding the correct handling, use, storage, retention and disposal of disclosures and disclosure information. It also complies fully with its obligations under the Data Protection Act 2018 and other relevant legislation pertaining to the safe handling, use, storage, retention and disposal of Certificate information and has a written policy on these matters, which is available to those who wish to see if on request.

9.2 Storage and access

Disclosure information should be kept securely, in lockable, non-portable, storage containers and with access strictly controlled and limited to those who are entitled to see it as part of their duties.

9.3 Handling

In accordance with Section 124 of the Police Act 1997, certificate information is only passed to those who are authorised to receive it in the course of their duties. We maintain a record of all those to whom certificates or certificate information has been revealed and it is a criminal offence to pass this information to anyone who is not entitled to receive it.

9.4 Usage

Disclosure information is only used for the specific purpose for which it was requested and for which the applicant's full consent has been given.

9.5 Retention

Once a recruitment (or other relevant) decision has been made, we do not keep Disclosure information for any longer than is necessary. This is generally for a period of up to six months, to allow for the consideration and resolution of any disputes or complaints. If, in very exceptional circumstances, it is considered necessary to keep Disclosure information for longer than six months, we will consult the DBS about this and will give full consideration to the data protection and human rights of the individual before doing so.

Throughout this time, the conditions regarding the safe storage and strictly controlled access will prevail.

Services which are inspected by the Care Inspectorate Wales and by Estyn may be legally entitled to retain the certificate for the purposes of inspection.

9.6 Disposal

Once the retention period has elapsed, we will ensure that any Disclosure information is immediately destroyed by secure means, e.g. by shredding. While awaiting destruction, Disclosure information will not be kept in any receptacle that is not secure (e.g. waste bin or confidential waste sack).

We will not keep any photocopy or other image of the Disclosure or any copy of representation of the contents of a Disclosure. However, notwithstanding the above, we may keep a record of the date of issue of a Disclosure, the name of the subject, the type of Disclosure requested, the position for which the Disclosure was requested, the unique reference number of the Disclosure and the details of the recruitment decision taken.

10. Transgender applications

There is a confidential DBS process specifically for transgender applicants, who should contact the DBS sensitive applications line on 0151 676 1452 or email sensitiver@dbs.gsi.gov.uk for further advice about completing the form.

11. Acting as an umbrella body

Before acting as an umbrella body (an umbrella body being a registered body which countersigns applications and receives certificate information on behalf of other employers or recruiting organisations), we will take all reasonable steps to satisfy ourselves that the organisation will handle, use, store, retain and dispose of certificate information in full compliance with the Code of Practice and in full accordance with this policy.

We will also ensure that any body or individual, at whose request applications for DBS certificates are countersigned, has such a written policy and, if necessary, will provide a model policy for that body or individual to use or adapt for this purpose.

INTERPRETATION OF THE POLICY

12. In the event of a dispute relating to the interpretation of this policy the Head of People

Services or the Human Resources Service Manager will make the final decision on interpretation.

REVIEW OF THE POLICY

- 13.** A review of this policy will take place when appropriate. Any amendments will be consulted on with all the relevant parties. However, in the case of amendments relating to legislative requirements, the policy will be amended and reissued.

MARCH 2020

Disclosure and Barring Service (DBS) Policy relating to School Governors (Recommended to Schools)

| | |
|---|--|
| <i>Version of Policy</i> | Version 1 |
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| <i>Date Ratified:</i> | |
| <i>Effective Date of Policy:</i> | March 2020 |
| <i>Review Date:</i> | 31 July 2021 |
| <i>Applicable To:</i> | School Governors |
| <i>Equalities Issues:</i> | All Equalities considerations have been taken into account when drafting this Policy. This Policy is available in Welsh |



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DEFINITIONS

DBS – The Disclosure and Barring Service is an Executive Agency of the Home Office which was set up to undertake disclosure and barring functions which include processing requests for criminal record checks and to maintain the Children’s and Adult’s barred lists.

INTRODUCTION

1. The DBS service allows organisations to make safer recruitment decisions by providing access to criminal records for posts which are deemed to require a criminal records check.
2. Caerphilly County Borough Council is committed to safeguarding children and adults who access the services it provides and will utilise the services offered by the DBS to assist in the protection of children and adults from persons who may wish to harm them.
3. The provisions of this Policy, which must be read in conjunction with the Council's recommended 'Safer Recruitment' policy and the School's Safeguarding/Child Protection policy, will enable Headteachers to ensure that School governors are suitable for the roles attributed to them in this capacity.
4. Copies of this and related policies are available on the HR Support Portal.

DETAIL OF THE POLICY

5. Posts Eligible for a DBS Check

- 5.1 Headteachers' have the responsibility for ensuring that an up to date list is kept of posts eligible for a DBS check in their School and Counter Signatories must satisfy themselves that the post stated on the DBS application is eligible under current legislation before they counter sign the form.
- 5.2 Headteachers are used to determining if a person's employment or engagement entitles them to a DBS check. In most cases this involves working out whether the person will be engaging in 'regulated activity' and where it is determined that this will be the case, the relevant enhanced DBS check is undertaken with access to barred lists. The vast majority of School governors however will never engage in activity that clearly meets the definition of 'regulated activity'.
- 5.3 The role of School Governor used to be included in the original definition of regulated activity with children, as set out in the Safeguarding Vulnerable Groups Act (SVGA) 2006. Following changes to this definition by the Protection of Freedoms Act 2012 however, School Governors were removed. This means that the roles are no longer classed as being regulated activity and therefore not eligible for a barred list check. This does not however prevent School Governors from being asked to apply for a relevant DBS check.
- 5.4 The Police Act 1997 (Criminal Records) Regulations 2002 were amended in 2012 to incorporate the role of School Governor into the new definition of 'work with children'. This made individuals holding these positions eligible to be asked to apply for enhanced level DBS checks in the child workforce, but without a children's barred list check.
- 5.5 The Disclosure and Barring Service in 2018 circulated guidance to all Local Authorities in Wales referring to School Governors and Elected Members of the Council specifically. This guidance clarified that:
 - ALL School governors are eligible to be asked to apply for enhanced level DBS check (no barred list)
- 5.6. Following a review of the Council's Recruitment and Selection Procedure in terms of safer recruitment practice and in consideration of the Council's safeguarding commitment to ensure that our statutory responsibilities to safeguard and protect children, young people and vulnerable adults are effectively met, it is a recommendation of this policy that:

- ALL School Governors are asked to apply for an enhanced DBS check (no barred list).

6. Levels of DBS check

6.1 All School Governors are eligible to be asked to apply for an enhanced level DBS check (without a children's barred list check).

6.2 NB The application process will ask the Counter signatory to specify the type of workforce the applicant will be working with. For School Governors this will be:

Children's workforce
or
Adult and Children's workforce

7. When to undertake the check?

7.1 The occasions when it would be appropriate under this Policy to request that a School Governor undertakes the relevant DBS check include:

- Following the School Governing Body's adoption of this Policy.
- Following election to the Governing Body of the School.

8. Renewal of DBS certificate

8.1 The Council's policy is to carry out a 3 year recheck of all persons requiring a DBS certificate as a condition of their employment. It is recommended under this policy that School Governors also commit to a 3 year recheck if they remain a School Governor at the point of each recheck.

9. Secure handling of disclosure Information and Data protection.

9.1 General principles

Caerphilly County Borough Council utilises the Disclosure and Barring Service (DBS) to help assess the suitability of applicants for relevant posts/roles and complies fully with the DBS Code of Practice regarding the correct handling, use, storage, retention and disposal of disclosures and disclosure information. It also complies fully with its obligations under the Data Protection Act 2018 and other relevant legislation pertaining to the safe handling, use, storage, retention and disposal of Certificate information and has a written policy on these matters, which is available to those who wish to see it on request.

9.2 Storage and access

Disclosure information should be kept securely, in lockable, non-portable, storage containers and with access strictly controlled and limited to those who are entitled to see it as part of their duties.

9.3 Handling

In accordance with Section 124 of the Police Act 1997, certificate information is only passed to those who are authorised to receive it in the course of their duties. We maintain a record of all those to whom certificates or certificate information has been revealed and it is a criminal offence to pass this information to anyone who is not entitled to receive it.

9.4 Usage

Disclosure information is only used for the specific purpose for which it was requested and for which the applicant's full consent has been given.

9.5 Retention

Once a recruitment (or other relevant) decision has been made, we do not keep Disclosure information for any longer than is necessary. This is generally for a period of up to six months, to allow for the consideration and resolution of any disputes or complaints. If, in very exceptional circumstances, it is considered necessary to keep Disclosure information for longer than six months, we will consult the DBS about this and will give full consideration to the data protection and human rights of the individual before doing so.

Throughout this time, the conditions regarding the safe storage and strictly controlled access will prevail.

As part of their inspection system by Estyn, Schools may be legally entitled to retain the certificate for the purposes of inspection.

9.6 Disposal

Once the retention period has elapsed, we will ensure that any Disclosure information is immediately destroyed by secure means, e.g. by shredding. While awaiting destruction, Disclosure information will not be kept in any receptacle that is not secure (e.g. waste bin or confidential waste sack).

We will not keep any photocopy or other image of the Disclosure or any copy of representation of the contents of a Disclosure. However, notwithstanding the above, we may keep a record of the date of issue of a Disclosure, the name of the subject, the type of Disclosure requested, the position for which the Disclosure was requested, the unique reference number of the Disclosure and the details of the recruitment decision taken.

10 Transgender applications

There is a confidential DBS process specifically for transgender applicants, who should contact the DBS sensitive applications line on 0151 676 1452 or email sensitiver@dbs.qsi.gov.uk for further advice about completing the form.

11 Acting as an umbrella body

Before acting as an umbrella body (an umbrella body being a registered body which countersigns applications and receives certificate information on behalf of other employers or recruiting organisations), we will take all reasonable steps to satisfy ourselves that they will handle, use, store, retain and dispose of certificate information in full compliance with the [code of practice](#) and in full accordance with this policy.

We will also ensure that any body or individual, at whose request applications for DBS certificates are countersigned, has such a written policy and, if necessary, will provide a model policy for that body or individual to use or adapt for this purpose.

INTERPRETATION OF THE POLICY

- 12.** In the event of a dispute relating to the interpretation of this policy the Head of People Services or the Human Resources Service Manager will make the final decision on interpretation.

REVIEW OF THE POLICY

- 13.** A review of this policy will take place when appropriate. Any amendments will be consulted on with all the relevant parties. However, in the case of amendments relating to legislative requirements, the policy will be amended and reissued.

MARCH 2020



A Guide to School Governor and Elected Councillor Roles in Wales





Disclaimer: This is not legal advice. If you need help with making sure you are complying with the law, you should speak to a legal advisor.



School Governors

Including:

- Member of or clerk to the governing body of an educational establishment
- A person appointed by the governing body of a maintained school to serve on a committee

Type of check

Anyone holding any of the positions above is eligible to be asked to apply for an enhanced level DBS check in the child workforce, but without a children’s barred list check.

The legislation:

These roles used to be included in the original definition of regulated activity with children, as set out in the Safeguarding Vulnerable Groups Act (SVGA) 2006. However, following changes to this definition by the Protection of Freedoms Act 2012 they were removed. This means that the roles are no longer classed as being regulated activity and are therefore not eligible for a barred list check.

Committee/Sub-committee Members

Individuals appointed as local authority committee and sub-committee members can be eligible to be asked to apply for an enhanced level DBS check in the child and/or adult workforce, depending on which of the groups the committee is involved with. There is no eligibility for a check against either the children's or adults' barred lists in these circumstances.

The legislation:

These roles used to be included in the original definition of regulated activity with children and adults, as set out in the Safeguarding Vulnerable Groups Act (SVGA) 2006. However, following changes to this definition by the Protection of Freedoms Act 2012 they were removed. This means that the roles are no longer classed as being regulated activity and are therefore not eligible for a barred list check.

The Police Act 1997 (Criminal Records) Regulations 2002 were amended in 2013 to incorporate these roles into the new definitions of 'work with children' and 'work with adults'. This made the individuals holding these positions eligible to be asked to apply for enhanced level DBS checks in the child or adult workforce, but without relevant barred list checks.



Type of check

Committee and sub-committee members can be eligible to be asked to apply for an enhanced level DBS check in the **child** workforce if:

- the local authority carries out any education functions, or social services functions **and**
- the committee relates to any of the above matters.

Committee and sub-committee members can be eligible to be asked to apply for an enhanced level DBS check in the **adult** workforce if:

- the committee relates to any social services functions that relate wholly or mainly to adults who receive a health or social care service within the meaning of Appendix A **or** a specified provision within the meaning of Appendix B.

Appendix A

For a committee to provide social service functions for adults, the adults must receive one of the health or social care services listed below.

- a) residential accommodation provided for an adult in connection with any care or nursing he requires
- b) accommodation provided for an adult who is or has been a pupil attending a residential special school, where that school is –
 - i. a special school
 - ii. an independent school which is in Wales
 - iii. an independent school which provides places for children with special educational needs

- iv. an institution within the further education section which provides accommodation for children
 - v. a 16 to 19 Academy which provides accommodation for children
- c) sheltered housing
 - d) care of any description or assistance provided to an adult by reason of his age, health or any disability he has, which is provided to the adult in the place where he is, for the time being, living, whether provided continuously or not
 - e) any form of health care, including treatment, therapy or palliative care of any description
 - f) support, assistance or advice for the purpose of developing an adult's capacity to live independently in accommodation, or sustaining their capacity to do so
 - g) any service provided specifically for adults because of their age, any disability, physical or mental illness, excluding a service provided specifically for an adult, with one or more of the following disabilities (unless that person has another disability) –
 - i. dyslexia
 - ii. dyscalculia
 - iii. dyspraxia
 - iv. Irlen syndrome
 - v. Alexia
 - vi. auditory processing disorder
 - vii. dysgraphia
 - h) any service provided specifically to an expectant or nursing mother in receipt of residential accommodation pursuant to arrangements made under section 21(1)(aa) of the National Assistance Act 1948 or care pursuant to paragraph 1 of Schedule 20 to the National Health Service Act 2006.

This list is taken from The Police Act 1997 (Criminal Records) Regulations 2002 – Regulation 5B Work with adults, paragraph 9. More details about the legislation relating to the positions can be found in the Adult Workforce Guide on the DBS website.

Appendix B

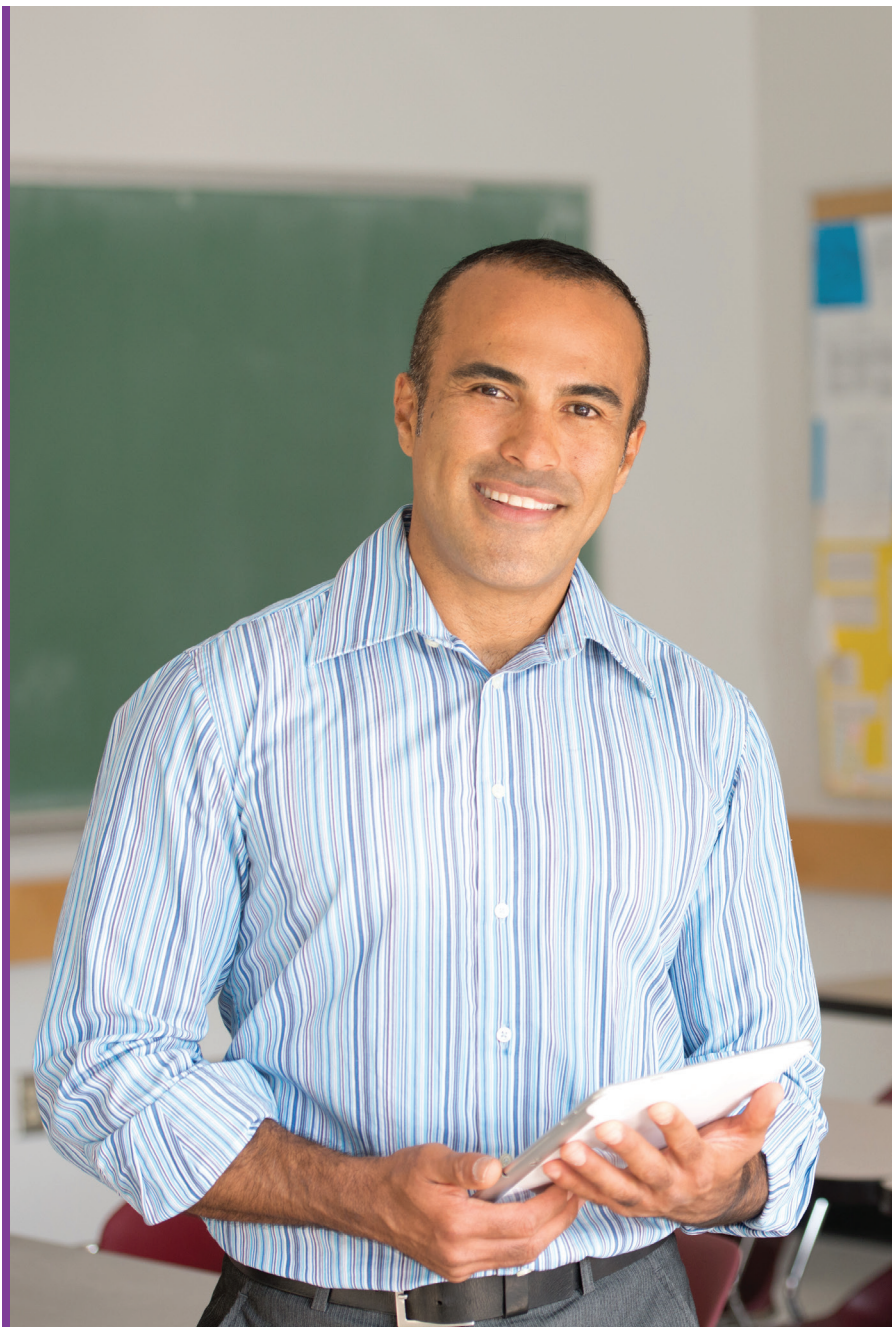
For a committee to provide social service functions for adults, the adults must be in receipt of one of the provisions listed below.

- a) the detention of an adult in lawful custody in a prison, a remand centre, young offender institution or a secure training centre or an attendance centre
- b) the detention of a detained person who is detained in a removal centre or short-term holding facility or in pursuance of escort arrangements made under section 156 of the Immigration and Asylum Act 1999
- c) the supervision of an adult by virtue of an order of a court by a person exercising functions for the purposes of Part 1 of the Criminal Justice and Court Services Act 2000
- d) the supervision of an adult by a person acting for the purposes mentioned in section 1(1) of the Offender Management Act 2007
- e) the provision to an adult of assistance with the conduct of their affairs in situations where –
 - i. a lasting power of attorney is created in respect of the adult in accordance with section 9 of the Mental Capacity Act 2005 or an application is made under paragraph 4 of Schedule 1 to that Act for the registration of an instrument intended to create a lasting power of attorney in respect of the adult
 - ii. an enduring power of attorney (within the meaning of Schedule 4 to that Act) in respect of the adult is registered

in accordance with that Schedule or an application is made under that Schedule for the registration of an enduring power of attorney in respect of the adult

- iii. an order under section 16 of that Act has been made by the Court of Protection in relation to the making of decisions on the adult's behalf, or such an order has been applied for
 - iv. an independent mental capacity advocate is or is to be appointed in respect of the adult in pursuance of arrangements under section 35 of that Act
 - v. independent advocacy services (within the meaning of section 187 of the National Health Service (Wales) Act 2006) are or are to be provided in respect of the adult
 - vi. a representative is or is to be appointed to receive payments on the adult's behalf in pursuance of regulations made under the Social Security Administration Act 1992
- f) payments are made to the adult or to another person on the adult's behalf under arrangements made under section 57 of the Health and Social Care Act 2001
- g) payments are made to the adult or to another person on the adult's behalf under section 12A(1) or under regulations made under section 12A(a) of the National Health Service Act 2006 or under regulations made under section 12A(4) of that Act

This list is taken from The Police Act 1997 (Criminal Records) Regulations 2002 – Regulation 5B Work with adults, paragraph 10.



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Further Information

Further information on eligibility can be found on our website www.gov.uk/dbs.

By clicking the Eligibility Guidance heading, you will be able to access:

- DBS eligibility tool which may help you establish whether a role is eligible for any level of DBS check.
- DBS workforce guides
- Department for Education guidance on regulated activity with children
- Department of Health guidance on regulated activity with adults
- Statutory guidance from the Department for Education on supervision

It is important to make sure that the law allows you to submit a DBS application. You are legally responsible for making sure you can submit applications and should be aware of the legislation that supports each application in case we need further clarification.



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Disclosure & Barring Service

Contact

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