

# Public Document Pack



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To: Cllr Clive Carver (Chairman)

Councillors: Haydn Bateman, Sean Bibby, Geoff Collett, Andy Dunbobbin,  
Mared Eastwood, Patrick Heesom, Richard Jones, Kevin Rush, Paul Shotton,  
Andy Williams and Arnold Woolley

5 March 2021

Dear Sir/Madam

**NOTICE OF REMOTE MEETING**  
**CORPORATE RESOURCES OVERVIEW & SCRUTINY COMMITTEE**  
**THURSDAY, 11TH MARCH, 2021 at 10.00 AM**

Yours faithfully

Robert Robins  
Democratic Services Manager

Please note: This will be a remote meeting and 'attendance' will be restricted to Committee Members and those Members of Council who have asked the Head of Democratic Services for an invitation. Such attendees may only speak at the Chair's discretion.

If you have any queries regarding this, please contact a member of the Democratic Services Team on 01352 702345.

## A G E N D A

### 1 **APOLOGIES**

**Purpose:** To receive any apologies.

### 2 **DECLARATIONS OF INTEREST (INCLUDING WHIPPING DECLARATIONS)**

**Purpose:** To receive any Declarations and advise Members accordingly.

### 3 **MINUTES** (Pages 5 - 14)

**Purpose:** To confirm as a correct record the minutes of the meeting on 11 February 2021.

### 4 **ACTION TRACKING** (Pages 15 - 18)

Report of Head of Democratic Services -

**Purpose:** To inform the Committee of progress against actions from previous meetings.

### 5 **FORWARD WORK PROGRAMME** (Pages 19 - 24)

Report of Head of Democratic Services -

**Purpose:** To consider the Forward Work Programme of the Corporate Resources Overview & Scrutiny Committee.

### 6 **FLINTSHIRE COMMUNITY ENDOWMENT FUND - ANNUAL REPORT** (Pages 25 - 50)

Report of Chief Executive - Cabinet Member for Corporate Management and Assets

**Purpose:** To support the work of the Community Foundation in the presentation of their Annual Report.

### 7 **REVENUE BUDGET MONITORING 2020/21 (MONTH 10)** (Pages 51 - 74)

Report of Corporate Finance Manager - Cabinet Member for Finance

**Purpose:** To provide members with the latest budget monitoring position for 2020/21 on the Revenue Budget as at Month 10.

8 **REVIEW OF THE CORPORATE COMPLAINTS POLICY** (Pages 75 - 98)

Report of Chief Officer (Governance) - Cabinet Member for Corporate Management and Assets

**Purpose:** To provide an update on the review of the Corporate Complaints Policy.

***Please note that there may be a 10 minute adjournment of this meeting if it lasts longer than two hours***

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## **CORPORATE RESOURCES OVERVIEW & SCRUTINY COMMITTEE** **11 FEBRUARY 2021**

Minutes of the meeting of the Corporate Resources Overview & Scrutiny Committee of Flintshire County Council held as a remote attendance meeting on Thursday, 11 February 2021

### **PRESENT: Councillor Clive Carver (Chairman)**

Councillors: Haydn Bateman, Sean Bibby, Geoff Collett, Andy Dunbobbin, Mared Eastwood, Patrick Heesom, Richard Jones, Paul Shotton, Andy Williams and Arnold Woolley

**SUBSTITUTE:** Councillor: Paul Johnson (for Kevin Rush)

**ALSO PRESENT:** Mark Morgan (Independent member of the Standards Committee) attended as an observer

**CONTRIBUTORS:** Councillor Ian Roberts (Leader and Cabinet Member for Education), Councillor Carolyn Thomas (Deputy Leader and Cabinet Member for Streetscene and Countryside), Councillor Billy Mullin (Cabinet Member for Corporate Management and Assets), Councillor Glyn Banks (Cabinet Member for Finance), Councillor Chris Bithell (Cabinet Member for Planning and Public Protection), Chief Executive, Chief Officer (Governance), Chief Officer (Housing and Assets), Corporate Finance Manager and Senior Manager for Human Resources & Organisational Development and Accountant

Strategic Performance Advisor - for minute 60

Strategic Finance Manager - for minute 61

Finance Manager - for minute 62

For minute number 57

Community and Business Protection Manager (Siân Jones), Community Safety Team Leader (Richard Powell), Domestic Abuse and Sexual Violence Co-ordinator (Rhiannon Edwards), Community Safety Officer (Peter Shakespeare), Regional Substance Misuse Commissioning & Development Officer (Paul Firth) and Chief Inspector Siobhan Edwards of North Wales Police

**IN ATTENDANCE:** Head of Democratic Services and Democratic Services Officers

## **54. DECLARATIONS OF INTEREST**

The following Members declared a personal interest on the Community Safety Partnership Annual Report (agenda item 5):

- Councillor Dunbobbin - member of the North Wales Police & Crime Panel and White Ribbon Ambassador.
- Councillor Woolley - member of the North Wales Police & Crime Panel

- Councillor Shotton - member of the North Wales Fire & Rescue Authority
- Councillor Bithell - Trustee of the Domestic Abuse Safety Unit

## **55. MINUTES**

The minutes of the meeting held on 14 January 2021 were approved, as moved and seconded by Councillors Shotton and Collett.

On minute 51, representations for a national funding solution on Out of County Placements had been incorporated into the Council's response to the Provisional Local Government Settlement.

### **RESOLVED:**

That the minutes be approved as a correct record.

## **56. ACTION TRACKING**

The Head of Democratic Services presented the report on progress with actions arising from previous meetings.

The recommendation was moved and seconded by Councillors Dunbobbin and Eastwood.

### **RESOLVED:**

That the Committee notes the progress which has been made.

## **57. COMMUNITY SAFETY PARTNERSHIP ANNUAL REPORT**

The Chief Executive introduced the Community Safety Partnership (CSP) annual report which provided an overview of activities over the past 12 months. Following changes to governance arrangements, the CSP was now under the auspices of the Public Service Board and discharged its duties through the 'People are Safe' Board. The work of the Board was underpinned through the implementation of a local delivery plan.

The Community and Business Protection Manager gave a presentation covering:

- Context
- Community Safety Delivery Groups
- Local Priorities for 2020/21
- Crime & Disorder - current position (compared with previous year)
- Regional Partnerships

In welcoming the report and presentation, Councillor Heesom moved the recommendation.

Councillor Jones said that including numbers alongside percentages on changes in trends would help to provide context. The officers agreed to circulate this information following the meeting.

In response to comments from Councillor Dunbobbin, the Chief Executive said that the CSP remained a priority and that the Public Service Board in Flintshire was recognised as a strong performer. He provided clarification on accountability and reporting arrangements.

In representing the Area Planning Board, Paul Firth gave assurance of actions being taken to support the CSP on priority areas such as domestic violence and alcohol/drug related offences.

In answer to a question from Councillor Johnson, Chief Inspector Siobhan Edwards provided information on the Community Cohesion Group which had been established to understand community issues at the start of the emergency situation across Wrexham, Flintshire and Denbighshire.

Councillor Bibby thanked officers for their work and community engagement, in particular the 'Visible and Vulnerable' multi-agency group. He also thanked the newly-appointed Community Safety Officer for his assistance on ward issues.

As Cabinet Member for Planning and Public Protection, Councillor Bithell spoke about the importance of a multi-agency approach to tackle priority areas and promote safety in communities.

Having previously been moved, the recommendation was seconded by Councillor Bibby.

The Chairman thanked the contributors for their attendance.

**RESOLVED:**

That the Committee supports the contents of the report.

**58. FORWARD WORK PROGRAMME**

In presenting the report, the Head of Democratic Services highlighted the items due at the next meeting and would liaise with officers to populate the programme thereafter.

The recommendations were moved and seconded by Councillors Dunbobbin and Bibby.

**RESOLVED:**

(a) That the Forward Work Programme be approved; and

- (b) That the Head of Democratic Services, in consultation with the Committee Chairman, be authorised to vary the Forward Work Programme between meetings, as the need arises.

## **59. RECOVERY STRATEGY UPDATE**

The Chief Executive presented a report to update the Committee on the Corporate portfolio risk register and mitigating actions as part of recovery planning.

The Chief Officer (Governance), Corporate Finance Manager and Senior Manager for Human Resources & Organisational Development each gave an overview of the main changes and live issues on risk and recovery within their respective portfolios.

In response to questions from Councillor Jones, officers provided clarification on the risk rating for CF18 relating to the financial impact of the emergency situation. On the reduction in Council Tax collection levels (CF08), the risk trend and underlying risk reflected the impact from the emergency situation which was currently being mitigated through Welsh Government (WG) financial support.

Councillor Mullin thanked officers and raised concerns about the effect of the emergency situation on employee workload, and also future Council Tax collection levels. On workforce, it was noted that there had been an increased take-up of stress-related courses.

As requested by Councillor Heesom, the Chief Officer (Governance) agreed to provide Members with further information on the forthcoming switch to using Microsoft Teams for remote meetings.

The recommendation was moved and seconded by Councillors Jones and Heesom.

### **RESOLVED:**

That the Committee accepts the latest updated risk register and risk mitigation actions within the corporate portfolios.

## **60. COUNCIL PLAN 2021/22**

The Chief Executive presented a report on the draft Part One of the Council Plan for 2021/22. This initial framework was built around the refreshed structure of six themes (each with priorities and sub-priorities):

- Economy
- Education and Skills
- Green Society and Environment
- Affordable and Accessible Housing



- Personal and Community Well-being
- Poverty

The Overview & Scrutiny Committees were currently reviewing the content of their respective priority and sub-priority areas prior to reporting back to Cabinet. The agreed approach was for Committees to scrutinise performance of their respective areas whilst having oversight of the entire Council Plan. The Committee was asked to consider acting as lead for the Poverty theme which captured a number of sub-priorities spanning across portfolios.

The Strategic Performance Advisor said that the themes were closely aligned with Well-being Objectives and that the Plan had been well received by Overview & Scrutiny Committees thus far. Work was underway on Part Two of the Council Plan which would be shared with Members prior to seeking Council approval by May.

Councillor Jones spoke about the importance of an effective way of measuring against targets, and understanding changes in the format from the previous year. In response to comments on consistency with national plans, the Chief Executive said that the document should only cover what the Council could deliver as the sole or lead public body. As for previous years, performance monitoring reports would show progress against milestones and actual outcomes, supported by data and Key Performance Indicators where available/possible.

The Strategic Performance Advisor explained that Part Two of the Council Plan would support identified actions by including measurements, tasks and risks.

In response to concerns raised by Councillor Collett on the Poverty theme, the Chief Executive asked that officers make reference under 'Income Poverty' to the support available such as the Council Tax Reduction Scheme (CTRS). Councillor Collett's concerns about fair rent in the private housing sector would be referred to the Community, Housing & Assets Overview & Scrutiny Committee.

Councillor Roberts spoke in support of the report and the approach to dealing with cross-cutting issues.

Councillor Johnson welcomed work on empty properties and spoke about the potential to improve green spaces on Council-owned estates. The Chief Executive suggested that this be referred to the Green Council Climate Change Carbon Reduction Member Board currently being established. Councillor Thomas spoke in support of this along with wider actions to deliver environment benefits.

Councillor Banks highlighted the impact of fuel poverty initiatives to communities.

In accepting the content of the Council Plan, Councillor Jones said it was also important to consider the consistency of the framework of the Council Plan at this stage. In response to a suggestion from the Chief Executive, he proposed that the Committee lead on the Poverty theme. This was seconded by Councillor Collett.

**RESOLVED:**

- (a) That the Committee supports the draft Part One of the Council Plan 2021-22 prior to sharing with Cabinet in March 2021; and
- (b) That the Committee be recognised as the lead for the Poverty theme.

**61. COUNCIL FUND REVENUE BUDGET 2021/22**

The Chief Executive invited observations on the Cabinet report and its recommendations for the County Council to set a legal and balanced budget for 2021/22 on at its meeting on 16 February 2021. Any feedback would be reported to Cabinet as part of that process.

The recommendations were to set a legal and balanced budget based on the existing Provisional Local Government Settlement, with a lower minimum budget requirement as there was no provision within the UK Government budget statement for any public sector annual pay awards. This remained an open risk on which the Council would continue to make representations for financial support. As well as protecting services, the proposed budget would provide an uplift in funding for education and schools to help with the declining position on licensed school deficits in secondary schools and additional service demands in Additional Learning Needs (ALN). The proposed Council Tax increase of 3.95% (for the County Council element) met with expectations to keep the rise to an affordable level and below 5%.

The Corporate Finance Manager provided an overview of the main changes to the budget position since last reported, taking into account the latest information on grant funding from Welsh Government (WG) as set out in the report.

In support of the recommendations, Councillor Roberts spoke about the increasing pressures and demands on Council services and the impact from the emergency situation on the Council and residents. He reminded Members of the corporate efficiencies that had been achieved and that no further efficiencies had been identified through consultation with Overview & Scrutiny committees.

Also speaking in support, Councillor Banks said that despite an additional amount set aside, pressures in Out of County Placements remained an ongoing risk on which the Council was exploring longer term solutions.

In response to comments from Councillors Shotton and Dunbobbin about the need for a review of the national local government funding formula, the Chief Executive said that representations had been made in the Council's response to the Provisional Local Government Settlement.

Councillor Jones reiterated the need for a national solution to address ongoing escalating pressures on Out of County Placements. Councillor Roberts agreed and said that the Council continued to lobby on this matter. He shared

Councillor Jones' concerns about the impact of the funding formula upon Council Tax levels. Officers responded to questions on pressures in Central and Corporate and unrealised efficiencies in the Governance portfolio. Officers confirmed that an update on grant funding would be shared with Members when the Final Local Government Settlement was received in March.

Councillor Jones proposed that the recommendations be supported and was seconded by Councillor Collett.

**RESOLVED:**

That the Committee supports the six recommendations which are contained in the Cabinet report.

*At this point, there was a brief adjournment before the remaining items were considered.*

**62. REVENUE BUDGET MONITORING 2020/21 (MONTH 9) AND CAPITAL PROGRAMME MONITORING 2020/21 (MONTH 9)**

The Corporate Finance Manager and Finance Manager presented a report on the revenue budget monitoring position for the Council Fund and Housing Revenue Account (HRA) at Month 9, together with the month 9 position on the Capital Programme of 2020/21 prior to consideration by Cabinet.

Revenue Budget Monitoring

The report reflected the budget position at the close of the financial year if all things remained unchanged and took into account the latest position on Welsh Government (WG) Emergency Grant funding announcements.

On the Council Fund, the projected year-end position - without new actions to reduce cost pressures and improve the yield on efficiency planning - was an operating surplus of £0.372m, leaving a projected contingency reserve balance of £1.787m at the end of the financial year. This projection included savings achieved through the continued review of non-essential spend and vacancy management. The reasons for the favourable movement of £0.102m from month 8 were set out in section 1.04 of the report. An update was provided on the key financial risks and new emerging risks, together with the position on the emergency ring-fenced fund, achievement of planned in-year efficiencies, reserves and balances as detailed in the report.

On the HRA, a projected underspend of £1.641m would leave a closing un-earmarked balance of £3.650m, which was above the recommended guidelines on spend.

During the presentation, the Chairman asked for a pause to remind Members of the previously circulated guidance on Remote Attendance Meetings: all present should conduct themselves as formally as they would do at a meeting in County Hall.

On emerging risks, the Chief Executive and Councillor Thomas said that representations were being made to WG for a reclaim of the capital reinstatement costs from the recent severe flooding.

Following questions, officers would provide a separate response on the types of fines involved in the variance within Governance and the reason for the increase in insurance reserves. Further explanation would also be shared on the number of service users affected by incorrect charges under the Financial Assessment Regulations and the type of support services involved. A response to Councillor Heesom's request for contact details in the Planning, Environment & Economy portfolio to explain the movement in variances from Month 8 would be shared with the Committee.

The recommendation was moved and seconded by Councillors Heesom and Jones.

### Capital Programme

The total for the revised programme for 2020/21 was £76.962m taking into account all carry forward sums and savings transfer back to the programme. Changes during the period were mainly due to the introduction of grant funding streams and budget re-profiling. The summary position on capital expenditure at Month 9 showed a projected underspend of £4.352m on the Council Fund to be carried forward into 2021/22 and a break even position on the HRA. A summary was given of amounts to be carried forward into 2021/22 together with some additional allocations as set out in the report. The position on funding of 2020/21 approved schemes including the impact of capital receipts and savings achieved indicated a revised projected surplus of £1.267m. An update on the Capital Programme 2021/22 - 2023/24 reported that the Provisional Local Government Settlement had a positive impact of £1.406m.

In response to requests from Councillors Jones and Heesom, officers agreed to provide a more detailed breakdown on investment in county towns.

The recommendation was moved and seconded by Councillors Jones and Bateman.

### **RESOLVED:**

- (a) That having considered the Revenue Budget Monitoring 2020/21 Month 9 report, the Committee confirms that there are no specific matters to be reported to Cabinet; and
- (b) That having considered the Capital Programme 2020/21 Month 9 report, the Committee confirms that there are no specific matters to be reported to Cabinet.

**63. ANNUAL AUDIT SUMMARY FOR FLINTSHIRE COUNTY COUNCIL**

The Chief Executive presented the Annual Audit Summary for 2019/20 (formerly the Annual Improvement Report and Annual Audit Letter) which summarised the findings of audit and regulatory work previously undertaken at the Council by Audit Wales (AW). The report concluded positively that ‘the Council has met its legal duties for improvement planning and reporting’. No formal recommendations were made during the year. There were new minor proposals for improvement and proposals for development arising from three of the reviews.

The report had been well received by the Audit Committee where discussion had taken place about the description of the Council’s ‘high risk’ financial strategy which reflected its unwillingness to compromise services and reliance on the Local Government Settlement to balance the budget.

The recommendation was moved and seconded by Councillors Jones and Woolley.

**RESOLVED:**

That the Committee is assured by the Auditor General for Wales’ Annual Audit Summary for 2019/20.

**64. MEMBERS OF THE PRESS IN ATTENDANCE**

There were no members of the press in attendance.

(The meeting started at 10am and ended at 12.55pm)

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**Chairman**

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## CORPORATE RESOURCES OVERVIEW & SCRUTINY COMMITTEE

<b>Date of Meeting</b>	11 March 2021
<b>Report Subject</b>	Action Tracking
<b>Report Author</b>	Head of Democratic Services
<b>Type of Report</b>	Operational

### EXECUTIVE SUMMARY

The report shows the action points from previous meetings of the Corporate Resources Overview & Scrutiny Committee and the progress made in completing them. The majority of the requested actions have been completed. Any outstanding will be reported back to the next monthly meeting.

### RECOMMENDATIONS

1	That the committee notes the progress which has been made.
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### REPORT DETAILS

<b>1.00</b>	<b>EXPLAINING THE ACTION TRACKING REPORT</b>
1.01	In previous meetings, requests for information, reports or actions have been made. These have been summarised as action points. Following the meeting of the committee in July 2018, it was recognised that there was a need to formalise such reporting back, as 'Matters Arising' is not an item which can feature on an agenda.

1.02	<p>This paper summarises those points and where appropriate provides an update on the actions resulting from them.</p> <p>The Action Tracking details are attached in appendix A.</p>
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<b>2.00</b>	<b>RESOURCE IMPLICATIONS</b>
2.01	The creation of the Action Tracking report increases work flow but should provide greater understanding and efficiency.

<b>3.00</b>	<b>CONSULTATIONS REQUIRED / CARRIED OUT</b>
3.01	In some cases, action owners have been contacted to provide an update on their actions.

<b>4.00</b>	<b>RISK MANAGEMENT</b>
4.01	Not applicable.

<b>5.00</b>	<b>APPENDICES</b>
5.01	Appendix A – CRO&SC Action Points

<b>6.00</b>	<b>LIST OF ACCESSIBLE BACKGROUND DOCUMENTS</b>
6.01	<p>Minutes of previous meetings of the committee as identified in the report.</p> <p><b>Contact Officer:</b> Robert Robins, Head of Democratic Services  <b>Telephone:</b> 01352 702320  <b>E-mail:</b> <a href="mailto:robert.robins@flintshire.gov.uk">robert.robins@flintshire.gov.uk</a></p>

<b>7.00</b>	<b>GLOSSARY OF TERMS</b>
7.01	None.



Action Tracking Appendix for March 2021 CRO&SC

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Meeting	Agenda item	Action Required	Action taken and timescale
14.02.21	7. Revenue Budget Monitoring Month 8	<p>1. Member seminar to be arranged in due course on Christmas waste collection.</p> <p>3. GF to ask fellow 151 officers for levels of overspending on Children’s Services.</p> <p>4. That a letter be sent to Welsh Government, asking for consideration of a funding cap or additional support for Out of county placements.</p>	<p>1. In progress; to be held April/May</p> <p>3. In progress.</p> <p>4. This issue was covered in the Council’s response to the provisional settlement, which was circulated to CRO&amp;SC as part of the agenda papers for the 11<sup>th</sup> February meeting. An additional, more detailed letter is being prepared which may be sent following publication of final settlement.</p>
	5. Community Safety Partnership Annual report	Flintshire statistics to be circulated	Circulated to CRO&SC members 11.02.21
	6. FWP	Officers to produce outline FWP based on previous discussions.	In progress.
	7. Recovery Strategy Update	Chief Officer (Governance) provide details of the move from Webex to Teams	Circulated to all Members, 24.02.21
	10. RBM M9 and Capital Programme monitoring M9	<p>1. DL to provide details of the increase in fine income in Governance (p110)</p> <p>2. A detailed explanation to be provided on the misinterpretation of the complex Financial Assessment Regulations in Social Services. (p109)</p> <p>3. More detail to be provided on the insurance reserves (p 114)</p> <p>4. Request for more detailed analysis of county town spending, if available</p>	Provided in the CRO&SC update issued before the meeting.

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## CORPORATE RESOURCES OVERVIEW & SCRUTINY COMMITTEE

<b>Date of Meeting</b>	Thursday 11 March, 2021
<b>Report Subject</b>	Forward Work Programme
<b>Report Author</b>	Head of Democratic Services
<b>Type of Report</b>	Operational

### EXECUTIVE SUMMARY

Overview & Scrutiny presents a unique opportunity for Members to determine the Forward Work programme of the Committee of which they are Members. By reviewing and prioritising the Forward Work Programme Members are able to ensure it is Member-led and includes the right issues. A copy of the Forward Work Programme is attached at Appendix 1 for Members' consideration which has been updated following the last meeting.

The Committee is asked to consider, and amend where necessary, the Forward Work Programme for the Corporate Resources Overview & Scrutiny Committee.

### RECOMMENDATION

1	That the Committee considers the draft Forward Work Programme and approve/amend as necessary.
2	That the Head of Democratic Services , in consultation with the Chair of the Committee be authorised to vary the Forward Work Programme between meetings, as the need arises.

## **REPORT DETAILS**

<b>1.00</b>	<b>EXPLAINING THE FORWARD WORK PROGRAMME</b>
1.01	Items feed into a Committee's Forward Work Programme from a number of sources. Members can suggest topics for review by Overview & Scrutiny Committees, members of the public can suggest topics, items can be referred by the Cabinet for consultation purposes, or by County Council or Chief Officers. Other possible items are identified from the Cabinet Work Programme and the Improvement Plan.
1.02	<p>In identifying topics for future consideration, it is useful for a 'test of significance' to be applied. This can be achieved by asking a range of questions as follows:</p> <ol style="list-style-type: none"><li>1. Will the review contribute to the Council's priorities and/or objectives?</li><li>2. Is it an area of major change or risk?</li><li>3. Are there issues of concern in performance?</li><li>4. Is there new Government guidance of legislation?</li><li>5. Is it prompted by the work carried out by Regulators/Internal Audit?</li><li>6. Is the issue of public or Member concern?</li></ol>

<b>2.00</b>	<b>RESOURCE IMPLICATIONS</b>
2.01	None as a result of this report.

<b>3.00</b>	<b>CONSULTATIONS REQUIRED / CARRIED OUT</b>
3.01	Publication of this report constitutes consultation.

<b>4.00</b>	<b>RISK MANAGEMENT</b>
4.01	None as a result of this report.

<b>5.00</b>	<b>APPENDICES</b>
5.01	Appendix 1 – Draft Forward Work Programme

<b>6.00</b>	<b>LIST OF ACCESSIBLE BACKGROUND DOCUMENTS</b>
6.01	<p>None.</p> <p><b>Contact Officer:</b> Robert Robins Head of Democratic Services</p> <p><b>Telephone:</b> 01352 702320</p> <p><b>E-mail:</b> <a href="mailto:robert.robins@flintshire.gov.uk">robert.robins@flintshire.gov.uk</a></p>

<b>7.00</b>	<b>GLOSSARY OF TERMS</b>
7.01	No technical terms used in this report.

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## Corporate Resources Overview & Scrutiny Committee Forward Work Programme 2020/21

DATE	ISSUE	O&S FOCUS / PURPOSE	REPORT(S) FROM
Thursday 15 <sup>th</sup> April	No meeting to be held to free officer capacity to support the arrangements for the Senedd and Police & Crime Commissioner elections to be held on 6 <sup>th</sup> May.		
Thursday 13 <sup>th</sup> May 10.00	<p>There are no items scheduled for this meeting, which was to have been the first meeting of the committee in the new municipal year (The Annual Meeting has been put back from 11<sup>th</sup> to 18<sup>th</sup> May). Following consultation with the Chair of the Committee, this meeting will be cancelled and the Social Value briefing which has previously been agreed will replace it.</p> <p>An indicative forward work programme for 2021/22 will be submitted to the 10<sup>th</sup> June meeting.</p>		

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## CORPORATE RESOURCES OVERVIEW AND SCRUTINY COMMITTEE

<b>Date of Meeting</b>	Thursday, 11 <sup>th</sup> March 2021
<b>Report Subject</b>	Flintshire Community Endowment Fund - Annual Report
<b>Cabinet Member</b>	Cabinet Member for Corporate Management and Assets
<b>Report Author</b>	Chief Executive
<b>Type of Report</b>	Operational

### EXECUTIVE SUMMARY

The Flintshire Community Endowment Fund (the Fund) was established in September 2013 with Cabinet approval to transfer approximately £200k of sixteen educational trust funds - which were moribund or ineffective - to the Community Foundation in Wales.

The Fund has since been managed by the Community Foundation in Wales and local grants have been awarded by a grants panel. This report gives an update on the progress and performance of the Fund since it was last reported in November 2018.

In addition the report provides an update on the performance of the Clwyd tripartite Welsh Church Act Fund (Clwyd WCAF) which was administered by the Council on behalf of Flintshire, Denbighshire and Wrexham Councils prior to transfer to the Community Foundation in Wales.

The Community Foundation in Wales will present an update on progress and performance at the meeting.

### RECOMMENDATIONS

1	Members support the work of the Community Foundation in Wales on behalf of the Council.
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## **REPORT DETAILS**

<b>1.00</b>	<b>EXPLAINING THE FLINTSHIRE COMMUNITY ENDOWMENT FUND</b>
1.01	This Fund has been managed by the Community Foundation in Wales since 2013. A report on the Fund's progress and performance is provided regularly by a representative from the Community Foundation in Wales. The latest report is attached at Appendix 1.
1.02	The financial performance of the Fund continues to be strong with the value of the endowment having grown from £178,998 in 2013 to £198,854 as at 31st March 2020.
1.03	Grants totalling £5,896 have been awarded since the previous report in 2018. Grants panel meetings were held in March 2019, October 2019 and October 2020 and thirteen grants were awarded. Further information about these awards will be provided as part of the presentation to this committee.
	<b>Flintshire Welsh Church Act Scheme</b>
1.04	The Welsh Church Act Fund is a charitable Trust Fund governed by the Welsh Church Act 1914. The Act separated and dis-established the Welsh part of the Church of England. The Welsh Church Act Trust was established from the proceeds and assets, which were distributed evenly amongst the former County Councils in Wales, and further divided between the Unitary Authorities with their establishment in 1996. All authorities are required to draw up an appropriate scheme (of governance), under section 19 of the Act. Our scheme was approved by the Secretary of State for Wales in April 1999.
1.05	The objectives of the Clwyd WCAF are broad - covering voluntary organisation support, arts, social and recreational activities, as well as support for church and chapel restorations. Grants of up to £500 are considered for churches and chapels, and grants for recreational and educational achievement up to £200 per individual and up to £300 for voluntary organisations.
1.06	The Clwyd WCAF was administered by the Council on a lead authority basis for Flintshire, Denbighshire County Council and Wrexham County Borough Council. It was referred to as the tri-partite scheme.
1.07	In January 2018 it was agreed that future Welsh Church Act Fund awards be integrated with those of the Flintshire Community Endowment Fund. This has streamlined the process and maintained the involvement from the Flintshire Local Voluntary Sector.
1.08	The Grant panel met in March 2019, October 2019, October 2020 and grants were awarded to three organisations and two individuals totalling £3,400. This included £2,400 grants paid from 2018/19 Fund and £1000 from 2019/20 Fund. This grant payment was delayed and not awarded in-year as the Panel could not meet due to Covid-19 regulations. Further information about these awards is provided as part of the presentation to this committee.

1.09	The Community Foundation in Wales offered crisis grants through the Hawarden District Relief in Need Fund and the Wales Coronavirus Resilience Fund throughout the pandemic for eligible individuals/organisations.
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<b>2.00</b>	<b>RESOURCE IMPLICATIONS</b>
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2.01	<p>The transfer of the management and administration of both the Clwyd Welsh Church Act Fund and the transfer of the Educational Trust Funds has been beneficial in the effective use of the available funds.</p> <p><b>Revenue/Capital:</b> there are no implications for the approved revenue and capital budgets for either the current financial year or for future financial years.</p> <p><b>Human Resources:</b> there are no implications for additional capacity or for any change to current workforce structures or roles.</p>
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<b>3.00</b>	<b>CONSULTATIONS REQUIRED / CARRIED OUT</b>
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3.01	The Community Endowment Fund and Welsh Church Act Fund continue to be promoted on the Council's website. Councillors are requested to signpost those who might be eligible to apply.
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<b>4.00</b>	<b>IMPACT ASSESSMENT AND RISK MANAGEMENT</b>
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4.01	<p>An integrated impact assessment is not required for this report as no change to service or policy is proposed. This report is on grants awarded since the last report in 2018.</p> <p>Financial risks to the Fund and the Clwyd WCAF include reduced rates of interest being earned on the investment portfolio and potential losses from a fall in the value of instruments where investments are held, both linked with general market conditions, and limited growth of the Fund through the support of donors and philanthropists.</p> <p>Risk is managed by the Community Foundation in Wales according to its investment strategy and is scrutinised quarterly by the Foundation's Finance, Risk and Investment Committee.</p> <p><b>Ways of Working (Sustainable Development) Principles Impact)</b></p> <table border="1"> <tr> <td>Long-term</td> <td>No change.</td> </tr> <tr> <td>Prevention</td> <td>No change</td> </tr> <tr> <td>Integration</td> <td>No change.</td> </tr> <tr> <td>Collaboration</td> <td>Positive. Flintshire Local Voluntary Council are represented on the Grants Panel.</td> </tr> <tr> <td>Involvement</td> <td>No change</td> </tr> </table>	Long-term	No change.	Prevention	No change	Integration	No change.	Collaboration	Positive. Flintshire Local Voluntary Council are represented on the Grants Panel.	Involvement	No change
Long-term	No change.										
Prevention	No change										
Integration	No change.										
Collaboration	Positive. Flintshire Local Voluntary Council are represented on the Grants Panel.										
Involvement	No change										

<b>Well-being Goals Impact</b>	
Prosperous Wales	No change.
Resilient Wales	No change
Healthier Wales	Positive. The grants can be used to support health matters and healthy living.
More equal Wales	Positive. The grants can be used to support the educational development and attainment of children, young people and students.
Cohesive Wales	Positive. The primary aim of the Welsh Church Act Fund is to provide assistance to groups for social, recreational and other charitable purposes.
Vibrant Wales	No change
Globally responsible Wales	No change

<b>5.00</b>	<b>APPENDICES</b>
5.01	Appendix 1: Flintshire Community Endowment Fund – Impact report December 2020

<b>6.00</b>	<b>LIST OF ACCESSIBLE BACKGROUND DOCUMENTS</b>
6.01	None

<b>7.00</b>	<b>CONTACT OFFICER DETAILS</b>
7.01	<b>Contact Officer:</b> Fiona Mocko Strategic Policy Advisor <b>Telephone:</b> 01352 702122 <b>E-mail:</b> <a href="mailto:fiona.mocko@flintshire.gov.uk">fiona.mocko@flintshire.gov.uk</a>

<b>8.00</b>	<b>GLOSSARY OF TERMS</b>
8.01	<p><b>Community Foundation in Wales:</b> The Community Foundation in Wales is a unique charity which promotes and manages philanthropy. Their role is to strengthen communities in Wales by awarding grants to projects that make a sustainable impacts on local needs, and to help their clients make the most of their charitable giving.</p> <p><b>Endowment Fund:</b> A financial asset, typically held by a non-profit organisation, which contains the capital investments and related earnings leveraged by the non-profit organisation to fund the overall mission or objective.</p>

<p><b>Welsh Church Act Fund:</b> The Welsh Church Act 1914 is an Act of Parliament under which the Welsh part of the Church of England was separated and dis-established. The Welsh Church Act Trust was established from the proceeds and assets, which were distributed evenly amongst the former County Councils in Wales and further divided between the Unitary Authorities with their establishment in 1996.</p>
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December 2020



# Impact report:

## Flintshire Funds

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Summary of grants awarded	10
Case studies	15



## Community Foundation Wales update

This has been an incredibly unusual year for everybody across the country, and this has been the case for our team here at the Community Foundation Wales.

In mid-March we switched to remote working and, for a few weeks, it was extremely unclear how we would continue to function as a charitable foundation, during a time when the support provided by our funds was needed more than ever.

In April we formed a partnership with the National Emergency Trust to help distribute funding raised from their UK wide appeal. Over the last nine months, this funding has totalled **£4,741,922** with **£112,681** awarded to **22** groups based in Flintshire. This collaboration was crucial in us being able to continue to help communities across Wales.

From this, we launched the Wales Coronavirus Resilience Fund, to encourage donations from big businesses and individuals across Wales. The purpose of this fund was to keep voluntary, 3rd sector and charitable organisations going during lockdown and beyond. Admiral, Welsh Water and many of our existing fundholders gave generously, allowing us to support people in the community who needed help now, more than ever.

Despite the challenges of the pandemic we have continued to grow as an organisation. We recruited two new members to our team – Yvonne Pillinger as Pears Action Learning Project Officer and Rhiannon Walsh as Grants Officer.

As lockdown has eased, our Coronavirus Resilience Fund developed into the Respond and Recover Fund, recognising that, for many organisations, funding requirements had changed and there was now the need to move on to find ‘a new normal’. This fund aims to support groups as they address the challenges of recovering in terms of ensuring they can support their beneficiaries in the right way as well as their trustees, staff teams and volunteers who will all need additional support.



**KATY HALES**  
Manager, Donor  
Advised Giving

One of the groups we supported was 1125 C.I.C, a not for profit company based in Flintshire that works with some of the most vulnerable and disadvantaged young people in Wales.

Their key focus is engaging young people and developing key skills that will help them in life such as confidence building, communication, teamwork - enabling them to achieve their potential.

1125 C.I.C told us that the young people they work with have struggled during the pandemic, and that they already felt isolated in society due to lack of education, poverty or homelessness. COVID-19 amplified this feeling with many suffering from mental health issues, anxiety and depression.

Some of the young people struggled to understand Government guidelines so 1125 C.I.C were there to support them to avoid them getting into trouble with the police.

When lockdown was initiated, they moved to online engagement activities, daily check-ins and the creation and distribution of activity packs.

This online delivery was vital as other youth services in the area were unable to adapt. The grant they received of £4,250 helped 1125 C.I.C to provide an essential lifeline for young people who have no one else to turn to.

## New programmes

### FareShare

Providing grants to organisations that provide food bank support across Wales.

### The Gareth Griffiths Fund

Supporting young people in sport and education across the Vale of Glamorgan and Rhondda valley.

### The West Glamorgan High Sheriff's Fund

Supporting young people across West Glamorgan.

## News

### Friends of Community Foundation Wales

As well as the above new programmes, we have also launched the Friends of Community Foundation Wales.

This is an exclusive philanthropy group that is helping to change lives in Wales.

Friends demonstrate their commitment to a fairer, more equitable nation, encouraging working together as a community and supporting those who need it the most.



### Loud and Clear Report

Charities and community groups in Wales want funders to prioritise core funding and longer-term partnerships.

That's the strong, clear message that came out of Community Foundation Wales's big conversation with the sector.

The Community Foundation Wales team met and spoke with more than 100 community groups and charities across Wales to discover what really matters to them and how they think we could best support them and the findings were published in our Loud and Clear report.



**Loud and Clear**

Our big funding conversation with the third sector in Wales



## Your support

As Community Foundation staff members, we can never take enough time in our daily responsibilities to fully express our gratitude to you, our generous donors, who make the work of CFW possible.

We understand the multitude of demands on your time and resources. Your commitment and willingness to join us in making the world a better place is truly appreciated.

Thanks to you, we can keep providing support to the most vulnerable people in Wales.

Direct action in the form of grants from your fund can help us make up for cuts in local government funding, and enables us to have an immediate and positive impact on Welsh communities.

Please call me at any time on **02920 379 580** if you have questions, would like an update on what we're doing or wish to hear more about the projects we support.

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*Katy Hales*

**Manager, Donor Advised Giving**

# History and overview

## History

The Flintshire Community Endowment Fund was established in September 2013 following the decision by Flintshire County Council to transfer the assets obtained following the closure of a range of historic trust funds to a new 'umbrella' fund at Community Foundation Wales.

The fund was officially launched in November 2013 at Airbus in Broughton. The value of the endowment on transfer was £178,998.

In March 2018, the Clwyd Welsh Church Act Fund was also transferred to Community Foundation Wales. The value of the fund on transfer was £537,497.

Community Foundation Wales was also instructed to undertake the grantmaking element for Flintshire, using the skills of the panel already set up for the Community Endowment Fund.

In 2019, following conversations with Wrexham County Council, we also undertook the grantmaking element for Wrexham, using the skills of the panel set up for the Wrexham Community Endowment Fund.

We make a payment to Denbighshire County Council for grantmaking as Denbighshire Council for Voluntary Services undertake the grantmaking element of the fund for Denbighshire.

Although not a County Council transfer, in 2013 we were transferred the endowment for the Hawarden & District relief in Need Fund, to the value of £255,594.

The grant making for the fund is managed internally by the grants team at Community Foundation Wales. As the name suggests, the Fund supports those in Hawarden and District who may be in crisis and/or vulnerable and are struggling with limited resources.



**ANDREA POWELL**  
Director of Programmes  
(Deputy Chief Executive)

## Overview

Flintshire Community Endowment Fund & Flintshire Welsh Church Art Fund (Flintshire Funds) grants are awarded twice a year.

The fund has its own grants panel which is made up of five members, each with good knowledge and experience of the needs within Flintshire. The members are nominated by the Council and serve for a minimum period of three years.

The current members are:

- Karen Armstrong, Flintshire Council Officer
- Trevor Jones, Flintshire Council Officer
- Cllr. Christopher Bithell, Flintshire County Council
- Cllr. Clive Carver, Hawarden Community Council and Flintshire County Council
- Heather Hicks, Flintshire County Voluntary Council.

The panel is chaired by a senior staff member of Community Foundation Wales. Panel recommendations are presented to Community Foundation Wales' board of trustees which reviews and ratifies grant decisions. The input and knowledge of panel members has been invaluable and ensures that all grant decisions are made locally and informed by knowledge of local needs and priorities.

All grants are awarded subject to strict terms & conditions and are monitored after twelve months to ensure compliance with the terms of the grant and to measure the impact of the grants on individuals and communities.

# Financial report

## Investment portfolio

The financial year started with the total investment portfolio of Community Foundation Wales having a value of £15m. The value of the investments fell by £1.4m during the financial year. This was a result of the extreme market volatility witnessed in February and March 2020, due to the onset of the COVID-19 crisis.

Markets quickly priced in a forthcoming recession, resulting in one of the sharpest falls in stock market history. Markets have since rebounded well as the economic position has become clearer and support has been provided by central banks and governments across the world. The portfolio has so far recovered all of these losses in the new financial year – as at 30 November 2020, after removing the value of new funds transferred to Community Foundation Wales' management they were valued at £15.78m.

Being an endowment fund, Community Foundation Wales has a long-term time horizon for its investments and is able to weather short-term volatility in order to meet its long-term objectives. The level of investment risk taken is reviewed regularly by the Trustees in conjunction with their investment managers and has been appropriately mitigated by apportioning the funds into two well-diversified portfolios.

Following a review of the investment managers in 2018, it was decided to move the investments from Rathbones and M&G. They are now invested via Brewin Dolphin and CCLA.

The Foundation operates a total return policy for its investment portfolio. This means that any income is reinvested, leading to stronger fund growth longer term. Each year Foundation Trustees decide on a percentage of the market value of the fund to be made available for grant making. This percentage may vary depending on the health of the fund, demand for funding and current market conditions. In recent years we have distributed an average of 3.5%.

*Catherine Jewsbury*

**Finance Manager**

## Welsh Church Act Fund TriPartite Scheme

31/03/2019 £	Endowment Fund	31/03/2020 £
528,091	Opening value of the Endowment	558,858
1,726	Cash invested	2,918
(2,919)	Transfer to cover grants	(7,208)
(8,593)	Management fee	(9,309)
40,553	Gain/(Loss) on investment	(30,822)
<u>558,858</u>	Closing value of the Endowment	<u>514,437</u>

31/03/2019 £	Grant Making Fund	31/03/2020 £
	Income	
12,550	Dividends	-
2,919	Transfer from endowment	7,208
-	Grant returned from Wrexham*	7,462
<u>15,469</u>		<u>14,670</u>

31/03/2019 £	Expenditure	31/03/2020 £
15,469	Grants	14,670

31/03/2019 £	Balance at end of year	31/03/2020 £
nil		nil

The grant returned by Wrexham County Council is an underspend of funding and is therefore only for use in the Wrexham area.



## Flintshire Community Endowment Fund

31/03/2019 £	Endowment Fund	31/03/2020 £
203,879	Opening value of the Endowment	213,253
667	Cash invested	1,113
(3,690)	Transfer to cover grants	-
(3,259)	Management fee	(3,552)
15,656	Gain/(Loss) on investment	(11,960)
<u>213,253</u>	Closing value of the Endowment	<u>198,854</u>

31/03/2019 £	Grant Making Fund	31/03/2020 £
	Income	
3,690	Transfer from endowment	-
750	Grant returned from Wrexham*	-
<u>4,440</u>		<u>-</u>

31/03/2019 £	Expenditure	31/03/2020 £
4,440	Grants	

31/03/2019 £	Balance at end of year	31/03/2020 £
nil		nil

No grants were made from the fund during 2019/20 as the panel had to be delayed due to the Coronavirus pandemic. Where possible, grants were made from the Wales Coronavirus Resilience Fund. When this wasn't possible, grants have been made in the current year.

# Summary of grants awarded

## Flintshire Welsh Church Act Fund Grants

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Panel Date	Type	Grant applicant	Project summary	Amount
Mar 19	Individual	Male	Sports grant	£200
Oct 19	Group	Music in Hospitals	Music in Hospitals provided 4 live music concerts for lonely people at Christmas. The concerts took place in Care Homes in Flintshire, and gave the audience the opportunity to relax and engage with stimulating activities to help to reduce the risk of loneliness and isolation.	£1,000
Oct 19	Group	Kids Cancer Charity	The Charity offers holidays for families who have children with Cancer. They also offer play therapy and bereavement support. The project is specifically for funding to provide Respite Breaks at their four static caravans on the West, and North Wales Coast for potentially nine families from Flintshire. This holiday provide educational experiences and lifelong learning for the children.	£1,000
Oct 19	Individual	Female	Sports Grant	£200

**Total of grants awarded 2018/19 £2,400**

Oct 20	Group	St Bartholomew's Church	This project enables the church to reorder the building to facilitate more activities for the local communities. This project was reworked due to the Covid restrictions they have created a social distanced drop in centre so the community can come together.	£1,000
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**Total of grants awarded 2019/20 £1,000**

**Total of grants awarded since last impact report £3,400**

## Flintshire Community Endowment Fund Grants

Panel Date	Type	Grant applicant	Project summary	Amount
Mar 19	Group	Community Heart Productions	Plastic Free Dee works with young people through the arts to explore litter, plastic pollution and marine debris and enables pro-active citizenship.	£1,000
Mar 19	Group	Dangerpoint	DangerPoint ran a series of safety and risk awareness training sessions for children and young people from Flintshire schools supporting healthy living through interactive education. The project enabled pupils from six schools from Flintshire to attend DangerPoint through funding the cost of transport to participate in a safety educational tour supporting the healthy living to school age children and young people.	£840
Mar 19	Group	Treuddyn Under 5's	Treuddyn Under 5s provides opportunities for children to grow and consume their own fruit and vegetables to help children and families to establish healthy eating habits early. They provided the children with an allotment area to grow and nurture their own fruit and vegetables it will strengthen our aim and allow us to educate the children in a hands on approach about nutrition and where food comes from.	£500
Mar 19	Individual	Male	Sports Grant	£200
Mar 19	Individual	Female	Sports Grant	£200
Mar 19	Individual	Female	Sport Grant	£200
Oct 19	Individual	Male	Sports Grant	£200

**Total of grants awarded 2018/19 £3,140**

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Panel Date	Type	Grant applicant	Project summary	Amount
Oct 20	Group	Friends of Ysgol Maes Hyfryd	The project supports the educational development of supports individuals with sensory processing disorder. It focuses on developing key skills of communication, cognition, independence, physical development, self-care and sensory responses, all of which are transferable skills that equip pupils for life beyond the school.	£956
Oct 20	Group	North Wales Science	The project delivered workshops in 4 primary schools based in the Flint area, to key stage 2 students and their families. The e-Bug project encourages healthy living, by involving the children and adults in hands-on activities that display the importance of good hygiene practices and inform everyone about the proper uses of antibiotics. The e-Bug project provides educational development of school aged children, mainly aged 7-11, and using informal learning technique.	£1,000
Oct 20	Individual	Male	Sports Grant	£200
Oct 20	Individual	Male	Sports Grant	£200
Oct 20	Individual	Female	Sport Grant	£200
Oct 20	Individual	Female	Sports Grant	£200

**Total of grants awarded 2019/20 £2,756**

**Total of grants awarded since last impact report £5,896**

## Hawarden & District Relief in Need Fund Grants

Type	Grant applicant	Summary	Amount
Individual	Female	Crisis grant	£750
Individual	Female	Crisis grant	£199
Individual	Female	Crisis grant	£660
Individual	Female	Crisis grant	£540
Individual	Female	Crisis grant	£500
Individual	Male	Crisis grant	£550
Individual	Female	Crisis grant	£630
Individual	Male	Crisis grant	£550
Individual	Male	Crisis grant	£550
Individual	Female	Crisis grant	£760
Individual	Female	Crisis grant	£1,600
Individual	Female	Crisis grant	£100
Individual	Female	Crisis grant	£199
Individual	Female	Crisis grant	£199

Type	Grant applicant	Summary	Amount
Individual	Female	Crisis grant	£199
Individual	Female	Crisis grant	£398
Individual	Female	Crisis grant	£199
Individual	Female	Crisis grant	£199
Individual	Male	Crisis grant	£200
Individual	Female	Crisis grant	£287
Individual	Female	Crisis grant	£2,100
Individual	Female	Crisis grant	£1,300
Individual	Female	Crisis grant	£1,037
Individual	Female	Crisis grant	£380
Individual	Male	Crisis grant	£735
Individual	Female	Crisis grant	£615
Individual	Male	Crisis grant	£690
Individual	Male	Crisis grant	£713
Individual	Female	Crisis grant	£190

**Total of grants awarded since last impact report £17,029**

# Case studies

## Using music to raise spirits

Music in Hospitals aims to raise spirits through music in healthcare settings and received a grant from to enable them to put on a Christmas concert for residents of Rhiwlas Care Home in Flint.

The care home residents had the opportunity to engage with the performers and each other through to an eclectic collection of welsh, folk and sing-along music, played on a range of instruments including guitar, piano, saxophone, clarinet and tuba.

The concert helped to stimulate the residents memories, enabling them to reminisce and share experiences from their past with their fellow residents and staff.



## Nurturing future sports stars

A budding badminton player, Jessica was awarded £200 through the Flintshire Welsh Church Act Fund to attend a badminton camp to help improve her technical ability and fitness.

The grant gave Jessica the opportunity to gain valuable experience as well as the chance to meet new people and the players she aspired to be like.



## Teaching young people about safety

Dangerpoint educates children and young people in safety awareness in order to reduce the incidents of accidental deaths and injury and promote health, wellbeing and community safety.

They were awarded £840 to enable pupils from six schools from Flintshire to attend their interactive safety centre through funding the cost of transport to the centre. Without this financial assistance these children would not have been able to access DangerPoint's interactive safety centre.

The children found the safety educational tour fun and informative and the teachers were impressed with the interactivity and depth of the information given to their pupils with one teacher saying that they are all 'Really well organized and informative. Great interaction and lots of discussion allowed!'



"I've had great fun today and I feel much more aware of my surroundings than ever and am sure I will remember today for years to come."

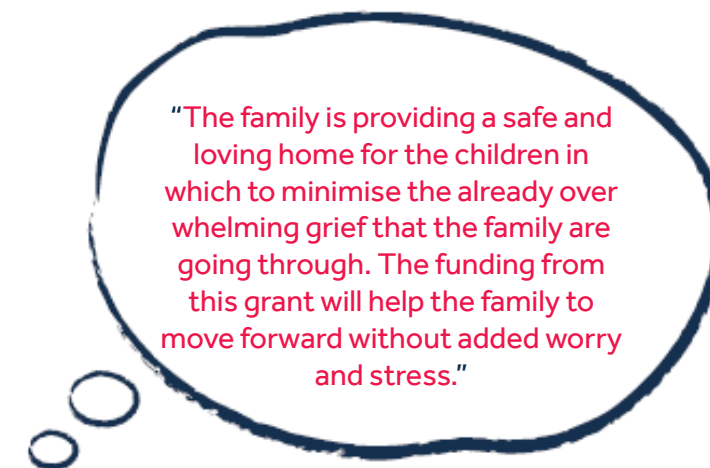
## Providing vital support to families in need

Following the death of a close relative, extended family took on the role of carers to the young children to prevent them entering the care system.

As well as dealing with the huge loss and impact of losing a close family member, the family had to give up work to look after the children and found themselves in need of financial support to buy essential items for the children and to help make their home more comfortable for them.

The family received a grant from Hawarden and District Relief in Need to purchase some essential household items and clothing for the children.

This grant provided much needed support at a difficult time and alleviated the extra financial pressure on the family.



"The family is providing a safe and loving home for the children in which to minimise the already over whelming grief that the family are going through. The funding from this grant will help the family to move forward without added worry and stress."





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Charity Number 1074655

Company Number 03670680

Community Foundation Wales is the trading name of The Community Foundation in Wales

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## CORPORATE RESOURCES OVERVIEW AND SCRUTINY

<b>Date of Meeting</b>	Thursday, 11th March 2021
<b>Report Subject</b>	Revenue Budget Monitoring 2020/21 Month 10
<b>Cabinet Member</b>	Cabinet Member for Finance
<b>Report Author</b>	Corporate Finance Manager
<b>Type of Report</b>	Operational

### EXECUTIVE SUMMARY

The purpose of this report is to provide Members with the Revenue Budget Monitoring 2020/21 (Month 10) Report.

### RECOMMENDATIONS

1	That the committee considers and comments on the Revenue Budget Monitoring 2020/21 (Month 10) report. Any specific matters for attention will be noted and reported back to the Cabinet when it considers the report.
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## REPORT DETAILS

<b>1.00</b>	<b>EXPLAINING THE REVENUE BUDGET MONITORING POSITION 2020/21 (MONTH 10)</b>
1.01	The Revenue Budget Monitoring 2020/21 (Month 10) report will be presented to Cabinet on Tuesday 16th March, 2021. A copy of the report is attached as Appendix A to this report.
<b>2.00</b>	<b>RESOURCE IMPLICATIONS</b>
2.01	As set out in Appendix A; Revenue Budget Monitoring 2020/21 (Month 10).
<b>3.00</b>	<b>CONSULTATIONS REQUIRED / CARRIED OUT</b>
3.01	None required.
<b>4.00</b>	<b>RISK MANAGEMENT</b>
4.01	As set out in Appendix A; Revenue Budget Monitoring 2020/21 (Month 10).
<b>5.00</b>	<b>APPENDICES</b>
5.01	Appendix A; Revenue Budget Monitoring 2020/21 (Month 10)
<b>6.00</b>	<b>LIST OF ACCESSIBLE BACKGROUND DOCUMENTS</b>
6.01	None required.
<b>7.00</b>	<b>CONTACT OFFICER DETAILS</b>
7.01	<b>Contact Officer:</b> Dave Ledsham, Finance Manager <b>Telephone:</b> 01352 704503 <b>E-mail:</b> dave.ledsham@flintshire.gov.uk
<b>8.00</b>	<b>GLOSSARY OF TERMS</b>
8.01	<b>Revenue:</b> a term used to describe the day to day costs of running Council services and income deriving from those services. It also includes charges

for the repayment of debt, including interest, and may include direct financing of capital expenditure.

**Budget:** a statement expressing the Council's policies and service levels in financial terms for a particular financial year. In its broadest sense it includes both the revenue budget and capital programme and any authorised amendments to them.

**Capital Programme:** The Council's financial plan covering capital schemes and expenditure proposals for the current year and a number of future years. It also includes estimates of the capital resources available to finance the programme.

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**CABINET**

<b>Date of Meeting</b>	Tuesday, 16th March 2021
<b>Report Subject</b>	Revenue Budget Monitoring Report 2020/21 (Month 10)
<b>Cabinet Member</b>	Cabinet Member for Finance
<b>Report Author</b>	Corporate Finance Manager
<b>Type of Report</b>	Operational

**EXECUTIVE SUMMARY**

This monthly report provides the latest detailed revenue budget monitoring position 2020/21 for the Council Fund and Housing Revenue Account for the financial year and presents the position, based on actual income and expenditure, as at Month 10. This report projects how the budget would stand at the close of the financial year if all things remain unchanged; it also takes into account the latest position on Welsh Government Emergency Grant Funding announcements.

The projected year end position, without new actions to reduce cost pressures and/or improve the financial return on efficiency planning and cost control is:

**Council Fund**

- An operating surplus of £0.924m (excluding the impact of the pay award which will be met by reserves), which is a favourable movement of £0.552m from the surplus figure of £0.372m reported at Month 9.
- The operating surplus of £0.924m equates to 0.3% of the Approved Budget, which is within the target MTFS KPI for a variance against budget of 0.5%.
- A projected contingency reserve balance as at 31<sup>st</sup> March, 2021 of £2.339m

The improved position has predominantly arisen from a detailed review of the risks included within the Streetscene and Transportation portfolio as a consequence of the pandemic in conjunction with confirmation of further funding from the Welsh Government Hardship Fund.

**Housing Revenue Account**

- Net in-year revenue expenditure forecast to be £1.642m lower than budget
- A projected closing balance as at 31<sup>st</sup> March, 2021 of £3.815m

As reported in previous reports and to assist with mitigating the overall projected overspend the following measures were introduced from Month 5:-

- 1) All non-essential spend be reviewed and challenged with a view to ceasing/delaying where able and
- 2) Further Portfolio Management Team challenge of recruitment to vacancies i.e. ceasing/delaying.

## RECOMMENDATIONS

1	To note the overall report and the projected Council Fund contingency sum as at 31 <sup>st</sup> March 2021.
2	To note the projected final level of balances on the Housing Revenue Account (HRA).
3	To approve the carry forward requests included in paragraph 1.18.

## REPORT DETAILS

<b>1.00</b>	<b>EXPLAINING THE MONTH 10 POSITION</b>
1.01	<p><b>Council Fund Projected Position</b></p> <p>The projected year end position, without mitigation to reduce cost pressures and improve the yield on efficiency planning, is as follows:</p> <ul style="list-style-type: none"> <li>• An operating surplus of £0.924m (excluding the impact of the pay award which will be met by reserves)</li> <li>• A projected contingency reserve available balance as at 31 March 2021 of £2.339m.</li> </ul> <p>To assist with mitigating a previously reported projected overspend the following measures have been introduced:-</p> <ol style="list-style-type: none"> <li>1) All non-essential spend is being reviewed and challenged with a view to ceasing/delaying where able and</li> <li>2) Introduction of a vacancy management process to consider new recruitment requests</li> </ol> <p>The outcome of this work is shown within the report and will continue as part of the robust challenge of the future monthly monitoring position.</p>



1.02	<p><b>Table 1. Projected Position by Portfolio</b></p> <p>The table below shows the projected position by portfolio:</p> <table border="1" data-bbox="320 255 1394 1211"> <thead> <tr> <th data-bbox="320 255 786 450">Portfolio/ Service Area</th> <th data-bbox="786 255 975 450">Approved Budget  £m</th> <th data-bbox="975 255 1182 450">Projected Outturn  £m</th> <th data-bbox="1182 255 1394 450">In-Year Over / (Under) spend  £m</th> </tr> </thead> <tbody> <tr> <td>Social Services</td> <td>68.463</td> <td>68.468</td> <td>0.005</td> </tr> <tr> <td>Out of County Placements</td> <td>11.940</td> <td>12.568</td> <td>0.627</td> </tr> <tr> <td>Education &amp; Youth</td> <td>8.766</td> <td>8.142</td> <td>(0.624)</td> </tr> <tr> <td>Schools</td> <td>98.732</td> <td>98.732</td> <td>0.000</td> </tr> <tr> <td>Streetscene &amp; Transportation</td> <td>30.650</td> <td>31.045</td> <td>0.395</td> </tr> <tr> <td>Planning &amp; Environment</td> <td>5.762</td> <td>6.088</td> <td>0.326</td> </tr> <tr> <td>People &amp; Resources</td> <td>4.491</td> <td>4.328</td> <td>(0.163)</td> </tr> <tr> <td>Governance</td> <td>9.193</td> <td>9.034</td> <td>(0.159)</td> </tr> <tr> <td>Strategic Programmes</td> <td>4.943</td> <td>4.676</td> <td>(0.266)</td> </tr> <tr> <td>Housing &amp; Assets</td> <td>16.149</td> <td>15.431</td> <td>(0.718)</td> </tr> <tr> <td>Chief Executive</td> <td>2.750</td> <td>2.427</td> <td>(0.322)</td> </tr> <tr> <td>Central &amp; Corporate Finance</td> <td>24.147</td> <td>24.123</td> <td>(0.024)</td> </tr> <tr> <td><b>Total</b></td> <td><b>285.986</b></td> <td><b>285.062</b></td> <td><b>(0.924)</b></td> </tr> </tbody> </table>	Portfolio/ Service Area	Approved Budget  £m	Projected Outturn  £m	In-Year Over / (Under) spend  £m	Social Services	68.463	68.468	0.005	Out of County Placements	11.940	12.568	0.627	Education & Youth	8.766	8.142	(0.624)	Schools	98.732	98.732	0.000	Streetscene & Transportation	30.650	31.045	0.395	Planning & Environment	5.762	6.088	0.326	People & Resources	4.491	4.328	(0.163)	Governance	9.193	9.034	(0.159)	Strategic Programmes	4.943	4.676	(0.266)	Housing & Assets	16.149	15.431	(0.718)	Chief Executive	2.750	2.427	(0.322)	Central & Corporate Finance	24.147	24.123	(0.024)	<b>Total</b>	<b>285.986</b>	<b>285.062</b>	<b>(0.924)</b>
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1.03	<p>The reasons for the favourable net movement of £0.552m from the previous month are shown in Appendix 1. The reasons for the overall projected variances are summarised within Appendix 2 showing the detail of all variances over £0.050m and a summary of minor variances for each portfolio.</p> <p>Within the projected underspend position of £0.924m, there are net COVID-19 related pressures totalling £0.353m which are shown in a separate column in Appendix 2 (cost savings of £0.525m, cost pressures of £0.228m and income shortfalls of £0.650m). We will continue to look at legitimate funding opportunities from the Welsh Government Hardship Fund which if confirmed will have a positive impact on the overall position.</p>																																																								
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1.04	<p><b>Social Services (£0.158m)</b></p> <p>The expected contribution from Betsi Cadwaladr Health Board towards joint funded care packages is less than originally anticipated. Negotiations are still on-going but it is expected that the contribution received will be £0.133m less than previously forecast.</p> <p>This is mitigated by a number of factors :</p>																																																								

	<ul style="list-style-type: none"> <li>• Reduction in Homecare and Extra Care Staffing costs (£0.048m)</li> <li>• Decrease in care package costs across Disability Services and Mental Health Services (£0.115m)</li> <li>• Reduced expenditure within some Children’s Services Grants allowing eligible costs to be moved from base budget funding to grant funding (£0.131m)</li> </ul> <p><b>Streetscene &amp; Transportation (£0.401m)</b></p> <p>There has been a reduction in Covid-19 commitments following a review of outstanding costs and risks, together with an updated position on the outstanding Hardship claims with Welsh Government, including car park income, contractor payments and additional vehicle costs (£0.415m).</p> <p><b>Governance (£0.078m)</b></p> <p>Part of the positive movement relates to a recharge of staff costs within Legal Services (£0.022m).</p> <p>The remaining positive movement is across the Portfolio and relates to minor movements each below £0.015m.</p> <p><b>Central and Corporate Finance £0.120m</b></p> <p>The adverse movement follows a follow-up review of the Corporate Bad Debt Provision by increasing the contribution by a further £0.150m to meet outstanding debt risk, which is partly mitigated by a one off benefit of Matrix Agency rebates received totaling £0.030m.</p>
1.05	<p><b>Emergency Funding Announcements</b></p> <p>As part of the Welsh Government third supplementary budget on 16 February, the following additional funding streams were agreed for the Hardship Fund:</p> <p><b>Free School Meals (£7.5m)</b></p> <p>To cover the period between half term and Easter as majority of pupils will still be out of school.</p> <p><b>Unachieved Savings (£25m)</b></p> <p>As a contribution to the pressure of planned savings not being achieved. This funding will be distributed on the RSG formula as all authorities are in different places in terms of which year savings have been planned and what has been achieved.</p> <p><b>Digital transformation (£25m)</b></p> <p>As a contribution to the pressure that digital transformation has put on authorities, especially as many plans have had to be brought forward. Again this funding will be distributed on the RSG formula as all authorities were at different stages.</p> <p>Further details are awaited and the impact will be reported in future budget monitoring reports. Wherever possible, these additional funds will be aligned to expenditure to enable the build-up of reserves.</p>

1.06	<p><b>Key Financial Risks – Council Tax Income and Council Tax Reduction Scheme</b></p> <p>There have been significant impacts on Council Tax income and the Council Tax Reduction Scheme.</p> <p>The potential financial impact of these two areas is being reported separately due to 1) the difficulties in predicting the impacts of these risks and 2) the potential for these areas to be further supported by additional Welsh Government funding.</p> <p>An update on the latest position on each area is detailed below.</p>
1.07	<p><b>Council Tax Income</b></p> <p>As with all Councils the pandemic has significantly impacted on council tax collection. At this stage council tax income is 1.1% below target which equates to £1.1m. Income is recovering slower than anticipated, but is expected to recover over time now that recovery processes have resumed in full and when agreed payment deferrals are settled. Welsh Government have recently announced financial support of £22.6m across Wales as a contribution towards these potential losses. As a result of this, the Council has received an additional £1.051m from the Welsh Government COVID Hardship Fund Council Tax Collection which has been set aside in a provision to safeguard against potential future bad debts arising from the current shortfall.</p>
1.08	<p><b>Council Tax Reduction Scheme (CTRS)</b></p> <p>During the early stages of the pandemic there was a significant increase in demand with additional costs of £0.294m identified. Welsh Government have recently confirmed funding is available to meet the additional costs in full which closes the risk for the current financial year.</p>
1.09	<p><b>OPEN RISKS</b></p> <p>Members were made aware when setting the budget that there were a number of open risks that would need to be kept under close review. An update on these is provided below.</p>
1.10	<p><b>Pay Award</b></p> <p>The Teachers Pay Award which is effective from September 2020 has been set at 3.1% and the financial impact of this for 2020/21 is estimated to be £0.535m. Welsh Government have previously announced grant funding of £0.200m to part fund this increase. The remainder will need to be met from Schools delegated budgets.</p>
1.11	<p><b>Charging for Post 16 Transport</b></p>

	<p>The budget for 2020/21 provides for expected additional income of £0.449m based on the assumption that charging would be introduced from September 2020. This policy decision was reversed by Cabinet in May.</p> <p>The developing financial solution through effective partnership working with Coleg Cambria will assist with mitigating the financial risk for 2020/21. An agreement has been reached with the college that a level of the anticipated value of the journeys would be reimbursed to the Portfolio and that is now reflected in the projected outturn.</p>
1.12	<p><b>Out of County Placements</b></p> <p>Additional funding of £2.7m was included in the budget for 2020/21 to address the historic significant increase in demand. At this stage, based on current activity there is an overall net projected overspend of £0.627m (underspend of £0.151m within Education together with an overspend of £0.778m within Children’s Services). The impact of this increase in demand has been considered as part of the budget considerations for 2021/22 and additional provision of £0.750m provided.</p>
1.13	<p><b>ADDITIONAL RISKS</b></p> <p><b>Free School Meals (FSM)</b></p> <p>Schools have a delegated budget for free school meals which is based on the number of pupils eligible. The budget for 2020/21 is £1.256m. Following the closure of schools in March 2020, the Council made direct payments to families and there was a marked increase in the number of claims. However, based on updated free school meal claims and making projections for a range of take-up percentages in the remainder of the year, this is now estimated to be within budget, but will be closely monitored for February and March.</p>
1.14	<p><b>Severe Weather / Flood Risks</b></p> <p>The recent severe weather in January has impacted a number of services across the Council. As a result, there are likely to be significant costs being incurred, having both Revenue and Capital implications.</p> <p>Welsh Government have confirmed that the Emergency Financial Assistance Scheme (EFAS) threshold will not apply for the costs incurred.</p> <p>Revenue costs are being claimed through the Welsh Government Hardship Fund with the Council required to meet the first £0.030m. Discussions on some of the capital impacts are still ongoing and the outcome will be reported in future Capital reports.</p>
1.15	<p><b>Achievement of Planned In-Year Efficiencies</b></p> <p>The 2020/21 budget contains £5.206m of specific efficiencies which are being tracked and monitored. The Council aims to achieve a 95% rate in 2020/21 as reflected in the MTFs KPI’s.</p>

	<p>The current assessment of the efficiencies to be achieved in 2020/21 reports that £5.357m or 100% of the efficiencies will be achieved. This includes an over recovery of £0.151m on Discretionary Transport Review – Post 16 Transport. As we are entitled to the funding even if we achieve the 100% internal efficiency target, the benefit of the increase is reflected within the Streetscene and Transportation monitoring position.</p> <p>Further details on the current status on efficiencies can be seen in Appendix 3, with the overall impact in relation to any impact for 2021/22 being reviewed as part of the ongoing work on the MTFs.</p>
1.16	<p><b>Reserves and Balances</b></p> <p><b>Un-earmarked Reserves</b></p> <p>The level of Council Fund Contingency Reserve brought forward into 2020/21 was £2.370m as detailed in the 2019/20 outturn report. This is the amount available for general purposes following the set-aside of £3.0m for Emergency Funding.</p>
1.17	<p>Taking into account the above and, the current projected underspend at this stage, and previously agreed allocations, the balance on the Contingency Reserve at 31 March 2021 is projected to be £2.339m as detailed in Appendix 4.</p> <p>This assumes that the projected underspend of £0.924m increases the overall Reserve.</p> <p>The £3m emergency ring-fenced fund would have an amount of £2.375m remaining after allowing for currently known ineligible items, However, there are a number of holding items and some Income Loss claims still being considered by the Grants Panel. Therefore, it is estimated that the final amount remaining will be in the range £1.5m to £2m.</p>
1.18	<p><b>Request for Carry Forward of Funding</b></p> <p><b><u>Governance – Revenues</u></b></p> <p>During various points in 2020/21 we have received a number of WG administration grants to support the Business Grants work. Resources have been diverted over the past eleven months from several areas in the Revenues service to support this emergency response work, much to the cost of other work in the service, including planned tax base reviews of discounts, exemptions and other vital debt recovery work.</p> <p>While a proportion of the administration grants has been used to fund additional overtime costs to support the Business Grant work, there remains a significant amount of ‘catch up’ work to undertake in 2021/22, especially as resources are diverted back to mainstream Revenues work in Quarter 1 of 2021/22 to improve income streams and collection levels. The request for a carry forward balance of £0.173m promotes the Finance recovery objective of recovering income/debt over time.</p>

	<p><b><u>Governance – Internal Audit</u></b></p> <p>Due to the pandemic some key resources have been re-directed to supporting work on other priorities such as the introduction of a temporary hospital and Test, Track and Protect. This has resulted in the re-tender of Audit Software being delayed.</p> <p>The re-tender process has now started and the new system will be implemented during 2021/22. It is requested that £0.046m be carried forward into the 2021/22 financial year.</p>
1.19	<p><b>Housing Revenue Account</b></p> <p>The 2019/20 Outturn Report to Cabinet on 16 June 2020 showed an un-earmarked closing balance at the end of 2019/20 of £2.009m and a closing balance of earmarked reserves of £0.437m.</p>
1.20	<p>The 2020/21 budget for the HRA is £36.672m which includes a movement of £0.164m to reserves.</p>
1.21	<p>The monitoring for the HRA is projecting in year expenditure to be £1.642m lower than budget and a closing un-earmarked balance as at 31 March 2021 of £3.651m, which at 10.49% of total expenditure satisfies the prudent approach of ensuring a minimum level of 3%. Appendix 5 attached refers.</p>
1.22	<p>The budget contribution towards capital expenditure (CERA) is £12.928m.</p>

<b>2.00</b>	<b>RESOURCE IMPLICATIONS</b>
2.01	As set out within the report.

<b>3.00</b>	<b>IMPACT ASSESSMENT AND RISK MANAGEMENT</b>
3.01	The financial impacts of the emergency as set out in the report are a combination of actual costs and losses to date and estimates of costs and losses for the future. There is the possibility that the estimates will change over time. The budget will be monitored closely and mitigation actions taken wherever possible.

<b>4.00</b>	<b>CONSULTATIONS REQUIRED/CARRIED OUT</b>
4.01	None specific.

<b>5.00</b>	<b>APPENDICES</b>
5.01	Appendix 1: Council Fund – Movement in Variances from Month 9 Appendix 2: Council Fund – Budget Variances Appendix 3: Council Fund – Programme of Efficiencies Appendix 4: Council Fund – Movement on Un-earmarked Reserves Appendix 5: Housing Revenue Account Variances

<b>6.00</b>	<b>LIST OF ACCESSIBLE BACKGROUND DOCUMENTS</b>
6.01	Various budget records.

<b>7.00</b>	<b>CONTACT OFFICER DETAILS</b>
7.01	<p><b>Contact Officer:</b> Dave Ledsham Strategic Finance Manager</p> <p><b>Telephone:</b> 01352 704503</p> <p><b>E-mail:</b> <a href="mailto:dave.ledsham@flintshire.gov.uk">dave.ledsham@flintshire.gov.uk</a></p>

<b>8.00</b>	<b>GLOSSARY OF TERMS</b>
8.01	<p><b>Budget:</b> a statement expressing the Council's policies and service levels in financial terms for a particular financial year. In its broadest sense it includes both the revenue budget and capital programme and any authorised amendments to them.</p> <p><b>Council Fund:</b> the fund to which all the Council's revenue expenditure is charged.</p> <p><b>Financial Year:</b> the period of twelve months commencing on 1 April.</p> <p><b>Housing Revenue Account:</b> the Housing Revenue Account (HRA) is a local authority account showing current income and expenditure on housing services related to its own housing stock. The account is separate from the Council Fund and trading accounts and is funded primarily from rents and government subsidy.</p> <p><b>Intermediate Care Fund:</b> Funding provided by Welsh Government to encourage integrated working between local authorities, health and housing.</p> <p><b>Projected Outturn:</b> projection of the expenditure to the end of the financial year, made on the basis of actual expenditure incurred to date.</p> <p><b>Reserves:</b> these are balances in hand that have accumulated over previous years and are held for defined (earmarked reserves) and general (general reserves) purposes. Councils are required to regularly review the</p>

level and purpose of their reserves and to take account of the advice of the Chief Finance Officer.

**Revenue:** a term used to describe the day-to-day costs of running Council services and income deriving from those services. It also includes charges for the repayment of debt, including interest, and may include direct financing of capital expenditure.

**Variance:** difference between latest budget and actual income or expenditure. Can be to date if reflecting the current or most up to date position or projected, for example projected to the end of the month or financial year.

**Virement:** the transfer of budget provision from one budget head to another. Virement decisions apply to both revenue and capital expenditure heads, and between expenditure and income, and may include transfers from contingency provisions. Virements may not however be approved between capital and revenue budget heads.



**Budget Monitoring Report**  
**Council Fund Variances**

**MONTH 10 - SUMMARY**

Service	Movement between Periods (£m)	Narrative for Movement between Periods greater than £0.025m
<b>Social Services</b>		
<b>Older People</b>		
Resources & Regulated Services	-0.048	Homecare salary costs have reduced by £0.016m due to slightly lower demand than expected. Extra Care staff costs have reduced by £0.009m. Residential care is expecting slightly more income from client contributions of £0.009m. The balance is due to minor variances.
Minor Variances	0.012	
<b>Adults of Working Age</b>		
Resources & Regulated Services	-0.033	This has been caused by changes to care package costs within Disability Services.
Disability Services	0.133	The expected contribution from health towards joint funded care costs is less than originally anticipated. Negotiations are ongoing, however it is doubtful the contribution will be as high as originally expected.
Residential Placements	-0.082	There has been a decrease in expected costs of services supporting people with mental health needs
Minor Variances	-0.001	
<b>Children's Services</b>		
Children's Development	-0.025	Reduced expenditure from Childrens Services grants has allowed eligible costs to be transferred from base budget to grant funding
Flintshire Independent Co-Ordinator	-0.026	Reduced expenditure from Childrens Services grants has allowed eligible costs to be transferred from base budget to grant funding
Professional Support	-0.080	Reduced expenditure from Childrens Services grants has provided the opportunity for eligible costs normally funded from base budget to be funded by grant instead.
Minor Variances	-0.019	
<b>Safeguarding &amp; Commissioning</b>		
Charging Policy income	0.038	The bad debt provision has been increased due to increases to the latest estimated level of bad debt
Impact of Covid-19	-0.020	
Minor Variances	-0.009	
<b>Total Social Services (excl Out of County)</b>	<b>-0.158</b>	
<b>Out of County</b>		
Children's Services	-0.009	
Education & Youth	0.005	
<b>Total Out of County</b>	<b>-0.003</b>	
<b>Education &amp; Youth</b>		
School Improvement Systems	-0.049	Movement due to significantly decreased attendance within maintained and non-maintained settings due to Covid 19
Minor Variances	0.021	
<b>Total Education &amp; Youth</b>	<b>-0.028</b>	
<b>Schools</b>	<b>-0.000</b>	
<b>Streetscene &amp; Transportation</b>		
Service Delivery	-0.026	Minor Variances across the service
Highways Network	0.045	Private hire contractor costs of £0.023m in Grounds Maintenance and £0.013m in Highways Maintenance.
Transportation	-0.048	Further Impact of 75% payable to School Transport providers due to school closures to the end of February and reflects the projected 25% saving.
Regulatory Services	0.043	Additional sweeper costs £0.020m, haulage cost increases £0.010m costs and reduced materials Income £0.010m.
Impact of Covid-19	-0.415	Reduction in COVID-19 risks following a thorough review of outstanding costs and risks, together with an updated position on the proposed Hardship claims to Welsh Government, including Car Park income, private contractors and additional fleet costs.
<b>Total Streetscene &amp; Transportation</b>	<b>-0.401</b>	
<b>Planning, Environment &amp; Economy</b>		

## MONTH 10 - SUMMARY

Service	Movement between Periods (£m)	Narrative for Movement between Periods greater than £0.025m
Impact of Covid-19		
Minor Variances	0.017	
<b>Total Planning &amp; Environment</b>	<b>0.017</b>	
<b>People &amp; Resources</b>		
HR & OD	-0.019	
Corporate Finance	-0.004	
<b>Total People &amp; Resources</b>	<b>-0.022</b>	
<b>Governance</b>		
Minor Variances	-0.078	
<b>Total Governance</b>	<b>-0.078</b>	
<b>Strategic Programmes</b>		
Minor Variances	-0.000	
<b>Total Strategic Programmes</b>	<b>-0.000</b>	
<b>Housing &amp; Assets</b>		
Property Asset And Development	0.038	Use of underspend to fund costs of feasibility studies at Deeside Leisure centre and Industrial estates
Housing Solutions	-0.030	Offsetting movement with impact of COVID-19
Impact of Covid-19	0.030	offsetting movement with Housing Solutions
Minor Variances	-0.033	
<b>Total Housing &amp; Assets</b>	<b>0.005</b>	
<b>Chief Executive's</b>	<b>-0.003</b>	
<b>Central &amp; Corporate Finance</b>	<b>0.120</b>	Further Corporate Bad Debt Provision of £0.150m to meet increased outstanding debt risk, offset by one-off benefit of Matrix Agency rebates (-£0.030m).
<b>Grand Total</b>	<b>-0.552</b>	

**Budget Monitoring Report**  
**Council Fund Variances**

**MONTH 10 - SUMMARY**

Service	Approved Budget (£m)	Projected Outturn (£m)	Annual Variance (£m)	Impact of Covid-19 (£m)	Last Month Variance (£m)	Cause of Major Variances greater than £0.050m	Action Required
<b>Social Services</b>							
<b>Older People</b>							
Localities	19.215	18.666	-0.549		-0.563	The net cost of residential care is £0.471m underspent. This includes the cost of residential care placements net of income received such as property charges and contributions from health. There is a decline in the demand for residential care placements due to Covid 19. Day care is £0.058m under budget, this service is currently closed and will be reopened only when it is safe to do so. Domiciliary and Direct Payments are reporting a combined overspend of £0.218m and are projected based on recent levels of care provision. The Localities Team staff budget is underspending by £0.162m due to a number of staff not yet on top of scale, some temporary reduced hours and in-year savings on travel costs. The minor adaptations budget is £0.063m underspent based on expected activity and there is a small underspend on service level agreements paid to the third sector of £0.013m.	
Resources & Regulated Services	8.027	7.642	-0.385		-0.337	The Councils in-house care provision is reporting an underspend of £0.385m. Day care is reporting an overspend of £0.003m, day centres are currently closed and assumed to be so until it is safe to reopen. The day centre staff are deployed to residential care to assist in delivering care, however the staff costs are still recorded against the day-care budget. Homecare is underspent by £0.035m. Staff costs are incurred as a result of the amount of homecare delivered and projected forward based on estimated activity. Residential care is overspent by £0.005m due to a number of small variances. Extra care is underspending by £0.342m. Plas Yr Ywern in Hollywell has not yet opened and a full complement of staff is yet to be recruited. Care staff already recruited to Plas Yr Ywern are currently redeployed to alternative in-house care services and this has meant significant costs due to Covid 19 have been avoided. It is anticipated that Plas Yr Ywern will open on 15 March 2021.	
Impact of Covid-19	0.000	0.000	0.000	0.000	-0.000		
Minor Variances	1.228	1.195	-0.033		-0.031		
<b>Adults of Working Age</b>							
Resources & Regulated Services	25.464	25.406	-0.058		-0.025	The outturn represents the current cost of care packages projected to the end of the financial year.	
Disability Services	0.657	0.749	0.092		-0.041	The outturn is the net cost of care packages for young adults transferring from children service into adult services. Many of these costs are for further education placements which can be joint funded between Flintshire County Council, Welsh Government and health	
Administrative Support	0.328	0.254	-0.075		-0.073	Not all staff are currently paid at top of grade and there are also some staff seconded from this service. There have also been in-year savings on staff travel costs	
Residential Placements	1.297	2.009	0.712		0.793	This outturn is the cost of social care for people within the Mental Health service. These costs include nursing and residential care, domiciliary care and Direct Payments. Care needs for individuals within this service vary over time, sometimes suddenly, and corresponding costs are subject to the same changes.	
Minor Variances	3.463	3.231	-0.232		-0.233		
<b>Children's Services</b>							
Family Placement	2.621	2.770	0.149		0.165	The overspend is due to current demands on the service from the number of fostering placements, which in some instances avoid making an Out of County placement which would be more expensive. The main pressure areas are payments for foster carers, foster agencies and special guardianship payments	
Legal & Third Party	0.225	0.538	0.313		0.316	Legal costs are overspent due to the number of cases going through the courts and the use of external legal professionals. Direct Payments have also increased in demand.	
Professional Support	5.293	5.492	0.199		0.279	To support adequate levels of child protection, the established staffing structure needs to be at a sufficient level to meet mandatory safeguarding standards. Vacancies are therefore minimised and additional temporary posts are sometimes required.	
Minor Variances	1.482	1.453	-0.029		0.022		

**Budget Monitoring Report  
Council Fund Variances**

**MONTH 10 - SUMMARY**

Service	Approved Budget (£m)	Projected Outturn (£m)	Annual Variance (£m)	Impact of Covid-19 (£m)	Last Month Variance (£m)	Cause of Major Variances greater than £0.050m	Action Required
<b>Safeguarding &amp; Commissioning</b>							
Charging Policy income	-3.060	-2.556	0.503		0.465	Previous interpretation of complex financial assessment rules has resulted in a number of service users being overcharged over a period of years. The overspend is due to the cost to reimburse service users of any overcharges. This is being partially offset by an estimated recoupment of Direct Payments.	
Business Support Service	1.224	1.158	-0.066		-0.062	This variance is due to some staff not yet paid top of scale and some staff opting out from the pension scheme.	
Management & Support	-2.057	-2.193	-0.136		-0.135	The underspend is due to not having to contribute to the Regional Collaboration Unit in 2020/21	
Impact of Covid-19	0.000	-0.380	-0.380	-0.380	-0.360	The underspend is due to hardship funding received from Welsh Government to support the Councils in-house care provision for homecare, residential care and supported living. Most additional costs incurred because of Covid are staff costs which are reported within their respective service areas.	
Minor Variances	3.058	3.038	-0.019		-0.016		
<b>Total Social Services (excl Out of County)</b>	<b>68.463</b>	<b>68.468</b>	<b>0.005</b>	<b>-0.380</b>	<b>0.164</b>		
<b>Out of County</b>							
Children's Services	7.437	8.215	0.778		0.787	The pressure reflects the current cohort of placements with significant numbers of new placements in recent months together with a number of placement changes at higher cost due to breakdowns of placements	Continue to robustly challenge placement proposals presented to the Out of County panel and explore opportunities for cost reductions across the whole of the current cohort.
Education & Youth	4.504	4.353	-0.151		-0.156	The projected underspend reflects the current cohort of Education placements with demand for new placements still being maintained	Continue to robustly challenge placement proposals presented to the Out of County panel and explore opportunities for cost reductions across the whole of the current cohort.
<b>Total Out of County</b>	<b>11.940</b>	<b>12.568</b>	<b>0.627</b>	<b>0.000</b>	<b>0.631</b>		
<b>Education &amp; Youth</b>							
Inclusion & Progression	4.281	4.218	-0.064		-0.066	Variance is due to a delay in recruitment in the Ed Psych's service and CLASS. Savings in travel expenses have also contributed to the variance due to the COVID-19 pandemic	
Integrated Youth Provision	1.353	1.119	-0.234	-0.135	-0.248	Includes a projected underspend of -£0.123m on Youth Centres due to closures arising from COVID-19 safety measures producing savings on building cleaning and some relief staffing costs. Also includes a total saving of -£0.105m on the Youth Justice Service mainly due to a delay in recruitment to a new post and savings on equipment purchase and training.	
School Improvement Systems	1.709	1.454	-0.254		-0.205	Savings arising from the challenge of non-essential spend. Early Entitlement savings due to demography and reduced number of settings requiring funding. Covid has caused a significant reduction of non-maintained settings requiring funding	
School Planning & Provision	0.676	0.623	-0.053		-0.058	Mainly a saving against the provision for third party/public liability insurance claims	
Archives	0.304	0.304	0.000		0.000	Following a full reconciliation and review of Streetscene expenditure and income loss relating to the Coronavirus Pandemic, all relevant details have now been consolidated to one code. This has been done in order to facilitate enhanced reporting and monitoring of the impact. All risks identified have now been revised in this forecast and at month 10 they include; £99k for grass cutting and £75k for increased tonnages. A level of additional disposal expenditure as a result of increased kerbside waste collections due to people working and remaining at or close to home up to October totalling £0.133m was approved by WG. A further £0.057m for the November to March period is now reflected in the Month 10 variance position.	
Minor Variances	0.443	0.423	-0.020		-0.020		
<b>Total Education &amp; Youth</b>	<b>8.766</b>	<b>8.142</b>	<b>-0.624</b>	<b>-0.135</b>	<b>-0.596</b>		

**Budget Monitoring Report  
Council Fund Variances**

**MONTH 10 - SUMMARY**

Service	Approved Budget (£m)	Projected Outturn (£m)	Annual Variance (£m)	Impact of Covid-19 (£m)	Last Month Variance (£m)	Cause of Major Variances greater than £0.050m	Action Required
<b>Schools</b>	<b>98.732</b>	<b>98.732</b>	<b>-0.000</b>		<b>0.000</b>		
<b>Streetscene &amp; Transportation</b>							
Service Delivery	8.911	9.245	0.334		0.360	The service has incurred an additional revenue pressure of £0.050m for security costs following vandalism at the Household Recycling Centres. There has been additional costs of £0.057m on JCB purchases that were not eligible for capital grant funding and an additional £0.130m on hire & repairs in Waste Operations. Streetlighting is also incurring a £0.065m pressure on the Community Income Budget. There has been an additional £0.030m Security overspend and £0.030m for Alltami depot cleaning costs which have not been covered at budget setting and is an ongoing pressure in Operations. There has been a £0.026m underspend in the Workforce area which is slightly reducing current pressures across the service.	Late notification of grant income totalling £0.160m from WG relating to Circular Economy funding may have the potential to utilise service related costs, thus reducing the overspend in this service area.
Highways Network	7.764	7.768	0.005		-0.040	Highways Network has incurred a revenue pressure of £0.040m for private hire contractor costs in grounds/highways maintenance and additional £0.035m for staffing costs. In addition, there is a £0.090m underspend in Fleet Services following market reductions in fuel during the COVID-19 pandemic, which is due to be followed by a stringent forecast review. This has been partly offset by cumulative pressures totalling £0.020m in Highways Strategy.	The recent severe weather in January resulted in a major response from the portfolio. As a result, there are likely to be significant costs being incurred, having both Revenue and Capital implications. Welsh Government have confirmed that the Emergency Financial Assistance Scheme (EFAS) threshold will not apply for the costs incurred. Revenue costs are being claimed through the Welsh Government Hardship Fund with the Council required to meet the first £0.030m.
Transportation	9.366	8.867	-0.499		-0.452	School Transport operators have been supported during school closures by receiving 75% of their contracted values. In addition, a number of school routes have been re-procured to reflect current arrangements for operation in the school year. This has resulted in a projected net underspend in School Transport of £0.415m. It should be noted however that the improvement from the 75% will only impact during COVID-19 circumstances. There are increased cost pressures for Social Services and Children's Services transport totalling £0.080m. There are also risks around Post 16 transport and the College meeting the agreement to support this to the sum of £0.600m. However, if this additional income of £0.200m is not realised in full, the position will be impacted accordingly.	
Regulatory Services	4.609	5.008	0.398		0.356	This service has experienced a downturn in the levels of income generated by sales of Electricity and this is currently anticipated to reach a level of some £0.143m during the year. The variance also reflects the projected loss of car park income of £0.300m following amendments to WG Income Loss Funding eligibility criteria, with further car park enforcement charges loss risks shown under the COVID-19 variances.	
Impact of Covid-19	0.000	0.157	0.157	0.157	0.571	Following a full reconciliation and review of Streetscene expenditure and income loss relating to the Coronavirus Pandemic, all relevant details are consolidated in one code. This has been done to facilitate enhanced reporting and monitoring of the impact. All risks identified are now recorded in this forecast and at Month 10 they include; £0.099m for Car Park enforcements and £0.057m for waste tonnage. A level of additional disposal expenditure as a result of increased kerbside waste collections due to people working and remaining at or close to home totalling £0.057m for the November to March period is now reflected in the Month 10 variance position. The reduction at Month 10 reflects a review of outstanding COVID-19 costs and risks, resulting in reductions for Car Park income, private contractors and additional fleet costs.	
<b>Total Streetscene &amp; Transportation</b>	<b>30.650</b>	<b>31.045</b>	<b>0.395</b>	<b>0.157</b>	<b>0.796</b>		
<b>Planning, Environment &amp; Economy</b>							
Community	0.847	0.918	0.071		0.047	At month 10 revised projections on Licensing Income, lower than anticipated fee levels	

**Budget Monitoring Report**  
**Council Fund Variances**

**MONTH 10 - SUMMARY**

Service	Approved Budget (£m)	Projected Outturn (£m)	Annual Variance (£m)	Impact of Covid-19 (£m)	Last Month Variance (£m)	Cause of Major Variances greater than £0.050m	Action Required
Development	0.023	0.187	0.165	0.228	0.153	Pressure within the Building Control service is due in the main, to delays sourcing core materials meaning that the construction industry is operating at a low level of capacity. This results in a projected reduced Building Control fee income. The current economic conditions are having an adverse effect on the Planning Applications, the projection is dependant on the number and value of applications received, resulting in a changeable outturn to ensure an accurate reflection. The overall variance is mitigated by the Fee Increase for planning and related applications of approx 20% that came into effect August 2020	
Regeneration	0.511	0.577	0.066		0.048	There has been a significant impact on income levels following the closure of the markets for the year to date. Market rents remain suspended as a result of the ongoing pandemic. The overspend has been mitigated in part due to the receipt of a proportion of Welsh Government Admin Grants for COVID funding for business Grants	
Impact of Covid-19	0.000	0.000	0.000	0.044	0.000		
Minor Variances	4.381	4.406	0.025		0.062		
<b>Total Planning &amp; Environment</b>	<b>5.762</b>	<b>6.088</b>	<b>0.326</b>	<b>0.272</b>	<b>0.310</b>		
<b>People &amp; Resources</b>							
HR & OD	2.398	2.280	-0.117		-0.098	Favourable variance due to the agreed recharge for overheads claimed for the TTP project for hosting the service on behalf of the region	
Corporate Finance	2.094	2.047	-0.046		-0.043		
Impact of Covid-19	0.000	0.000	0.000	0.000	0.000		
<b>Total People &amp; Resources</b>	<b>4.491</b>	<b>4.328</b>	<b>-0.163</b>	<b>0.000</b>	<b>-0.141</b>		
<b>Governance</b>							
Legal Services	0.736	0.871	0.135		0.157	Overspend as a result of employing locums covering absence to ensure continuing client service delivery in the area of child protection £0.197m. Historical efficiency target that was dependant on demand reduction in another service that has not occurred, thereby preventing the consequent achievement of the efficiency £0.091m. Total overspend is mitigated by vacant posts, expected fee income and commitment challenge across the service.	
Democratic Services	2.098	2.005	-0.093	0.004	-0.080	Favourable variance following reduced take up of Members Allowances £0.042m and savings from travelling expenses due to remote working, non requirement to resource Electoral Canvassers £0.020m Commitment challenge and minor variances across the service.	
Internal Audit	0.826	0.769	-0.058		-0.047	Vacant post within Internal Audit (£0.049m); reduced expenditure on postage within Central Despatch	
ICT	4.445	4.382	-0.063		-0.051	At month 10 reduced expenditure on Records Management costs £0.020m together with minor variances across the Service	
Revenues	0.037	-0.042	-0.079	0.293	-0.071	Favourable variance at Month 10 following review of Council Tax Surplus Fund potential surplus, committed spend against Welsh Government Admin Grants received for COVID business grants; potential fee income for Fines anticipated by March, 2021	
Impact of Covid-19	0.000	-0.000	-0.000	0.030	-0.000		
Minor Variances	1.051	1.050	-0.001		0.011		
<b>Total Governance</b>	<b>9.193</b>	<b>9.034</b>	<b>-0.159</b>	<b>0.327</b>	<b>-0.081</b>		
<b>Strategic Programmes</b>							
Minor Variances	4.943	4.676	-0.266		-0.266		
<b>Total Strategic Programmes</b>	<b>4.943</b>	<b>4.676</b>	<b>-0.266</b>	<b>0.000</b>	<b>-0.266</b>		
<b>Housing &amp; Assets</b>							
Enterprise Centres	-0.217	-0.119	0.098		0.107	Pressure due to loss of income in respect of void units	
Caretaking & Security	0.262	0.196	-0.066		-0.062	Mainly staffing cost savings due to vacancies	

**Budget Monitoring Report**  
**Council Fund Variances**

**MONTH 10 - SUMMARY**

Service	Approved Budget (£m)	Projected Outturn (£m)	Annual Variance (£m)	Impact of Covid-19 (£m)	Last Month Variance (£m)	Cause of Major Variances greater than £0.050m	Action Required
Centralised Costs	3.353	2.409	-0.943		-0.943	£(0.943)m positive variance across utilities. NDR reduced due to the savings from County hall P3&4 demolition. Electric and Gas also reduced due to a combination of a reduction in rates and reduced usage.	
Benefits	11.665	11.819	0.154	0.119	0.174	Potential net pressure of up to £0.750m on the Council Tax reduction scheme due to additional take up arising from the COVID-19 pandemic impact on employment. This figure takes account of £0.147m of WG emergency funding support in respect of the April to September element of the overall pressure but the £0.750m is not included in the variance figures. Funding support has also now been confirmed for the remainder of 2020/21. Variance includes pressure of £0.077m on overpayments due to the suspension of recovery action caused by the COVID-19 pandemic	
Housing Solutions	1.091	1.001	-0.090		-0.060	Savings on Bed and Breakfast accommodation due to managing demand through use of temporary accommodation	
Council Fund Housing	-0.324	-0.199	0.125		0.122	Reduction of internal Housing Support grant allocation due to eligibility issues and pressure arising from new service contract for Carelink	
Impact of Covid-19	0.000	-0.010	-0.010	-0.010	-0.040		
Minor Variances	0.318	0.333	0.015		-0.022		
<b>Total Housing &amp; Assets</b>	<b>16.149</b>	<b>15.431</b>	<b>-0.718</b>	<b>0.109</b>	<b>-0.723</b>		
<b>Chief Executive's</b>	<b>2.750</b>	<b>2.427</b>	<b>-0.322</b>		<b>-0.319</b>	Vacant Posts across the Service	
Impact of Covid-19	0.000	0.000	0.000	0.004	0.000		
<b>Central &amp; Corporate Finance</b>	<b>24.147</b>	<b>24.123</b>	<b>-0.024</b>		<b>-0.145</b>	Further Corporate Bad Debt Provision of £0.150m to meet increased outstanding debt risk offset by one off benefit of Matrix Agency rebates (-£0.030m).	
Impact of Covid-19	0.000	-0.000	-0.000	-0.000	0.000		
<b>Grand Total</b>	<b>285.986</b>	<b>285.062</b>	<b>-0.924</b>	<b>0.353</b>	<b>-0.372</b>		

## 2020/21 Efficiencies Outturn Tracker - Master Mth 10

Efficiency Description	Accountable Officer	Efficiency Target	Projected Efficiency	(Under)/Over Achievement	Efficiency Open/Closed (O/C)	Confidence in Achievement of Efficiency - Based on (see below) R = High Assumption A = Medium Assumption G = Figures Confirmed
		2020/21 £m	2020/21 £m	2020/21 £m		
<b>Portfolio</b>						
<b>Corporate</b>						
Employer Pension Contributions	Reduced requirement due to recovery	Rachel Parry Jones	0.800	0.800	0.000	C G
Actuarial Review	Reduced contribution rate	All	2.646	2.646	0.000	C G
Single Person Discount Review	One Off Efficiency	David Barnes	0.300	0.300	0.000	O G
<b>Total Corporate Services</b>			<b>3.746</b>	<b>3.746</b>	<b>0.000</b>	
<b>Social Services</b>						
Reviewing Function	Reduction of Post	Neil Ayling	0.025	0.000	(0.025)	C G
Supported Living	Reduction of Voids	Neil Ayling	0.025	0.000	(0.025)	C G
Communications	Reduction in Mobile Hardware	Neil Ayling	0.030	0.000	(0.030)	C G
Vacancy Management Saving	Appropriate Vacancy Management	Neil Ayling	0.030	0.070	0.040	C G
Strategic Use of Grant Funding	Core Funding Replacement Solution	Neil Ayling	0.100	0.170	0.070	C G
Regional Collaboration Wrexham CBC	Reduction in Posts	Neil Ayling	0.030	0.000	(0.030)	C G
Additional Social Services Grant	Social Services Grant	Neil Ayling	0.426	0.426	0.000	C G
<b>Total Social Services</b>			<b>0.666</b>	<b>0.666</b>	<b>0.000</b>	
<b>Education &amp; Youth</b>						
Integrated Youth Provision	Youth Centres - Premises	Claire Homard	0.014	0.014	0.000	O G
<b>Total Education &amp; Youth</b>			<b>0.014</b>	<b>0.014</b>	<b>0.000</b>	
<b>Streetscene &amp; Transportation</b>						
Discretionary Transport Review - Post 16 Transport	Joint with Education	Stephen O Jones	0.449	0.600	0.151	O G
Income from External Works		Stephen O Jones	0.010	0.010	0.000	O G
Garden Waste Charges	Additional take up of service	Stephen O Jones	0.030	0.030	0.000	O G
NWRWTP Gate Fee Benefit	Utilisation of WG Grant funding	Stephen O Jones	0.200	0.200	0.000	O G
<b>Total Streetscene &amp; Transportation</b>			<b>0.689</b>	<b>0.840</b>	<b>0.151</b>	
<b>Planning, Environment &amp; Economy</b>						
Countryside	Additional Tree Income	Tom Woodall	0.010	0.010	0.000	O G
Countryside	Review of Spending	Tom Woodall	0.017	0.017	0.000	O G
Review of Pest Control	Trading Standards Investigations and Community Safety	Sian Jones	0.035	0.035	0.000	O G
Development Management	Increased Planning Fee Income	Mandy Lewis	0.015	0.015	0.000	O G
Minerals & Waste	Adoption of new SLA with Partners	Gary Nancarrow	0.005	0.005	0.000	O G
Portfolio Admin	Supplies and Services Review	Lynne Fensome	0.005	0.005	0.000	O G
Regeneration	Bus Dev, Housing and Markets	Niall Waller	0.004	0.004	0.000	O G
<b>Total Planning, Environment &amp; Economy</b>			<b>0.091</b>	<b>0.091</b>	<b>0.000</b>	
<b>Total 2020/21 Budget Efficiencies</b>			<b>5.206</b>	<b>5.357</b>	<b>0.151</b>	

	%	£
<b>Total 2020/21 Budget Efficiencies</b>	<b>100</b>	<b>5.206</b>
<b>Total Projected 2020/21 Budget Efficiencies Underachieved</b>	<b>3</b>	<b>0.151</b>
<b>Total Projected 2020/21 Budget Efficiencies Achieved</b>	<b>103</b>	<b>5.357</b>
<b>Total 2020/21 Budget Efficiencies (Less Previously agreed Decisions)</b>	<b>100</b>	<b>0.000</b>
<b>Total Projected 2020/21 Budget Efficiencies Underachieved</b>	<b>0</b>	<b>0.000</b>
<b>Total Projected 2020/21 Budget Efficiencies Achieved</b>	<b>0</b>	<b>0.000</b>

## Corporate Efficiencies Remaining from Previous Years

Income Target Remaining	£m	
Income Target Efficiency remaining from Previous Years	All Portfolios	(0.150)
Pressure 2020/21		0.100
<b>Total Income Efficiency Remaining</b>		<b>(0.050)</b>



**Movements on Council Fund Unearmarked Reserves**

	£m	£m
Total Reserves as at 1 April 2020	11.025	
Less - Base Level	(5.769)	
<b>Total Reserves above base level available for delegation to Cabinet</b>		5.256
Less - amount approved for Childrens Services ' Front Door Pressures'		(0.134)
Less - COVID-19 Emergency Funding Allocation*		(2.886)
Plus Month 10 projected outturn		0.924
Less - projected national pay award increase		(0.821)
<b>Total Contingency Reserve available for use</b>		<b>2.339</b>

**Budget Monitoring Report**  
**Housing Revenue Account Variances**

**MONTH 10 - SUMMARY**

Service	Revised Budget (£m)	Projected Outturn (£m)	Variance (£m)	Last Month Variance (£m)	Cause of Major Variance	Action Required
<b>Housing Revenue Account</b>						
Income	(36.676)	(36.467)	0.209	0.200	There is a pressure forecast of £0.209m. Of this £0.097m relates to loss of income voids which are currently running at 2.00% void rate compared to 1.75% in the Business Plan. £0.071m relates to garages, £0.068m relates to void water charges. Additional new build rental income projected at £0.055m. The remaining £0.028m is attributed to Minor Variances	
Capital Financing - Loan Charges	9.027	7.916	(1.111)	(1.111)	Reduced spend on SHARP has reduced the the level of prudential borrowing required for 20.21.	
Estate Management	1.846	1.637	(0.208)	(0.212)	Additional expenditure of £0.061m is anticipated during the year in respect of the purchase of software. This is offset by salary efficiencies arising from vacancy savings and the pay award of £0.184m. There is also a saving of £0.030m relating to court costs as action has been suspended due to Covid. The remaining £0.055m is minor variances	
Landlord Service Costs	1.434	1.371	(0.063)	(0.056)	There is a saving of £0.044m which relates to servicing costs which are lower due to some Covid restrictions, and £0.019m of minor variances	
Repairs & Maintenance	8.907	8.403	(0.504)	(0.498)	Reduction in Materials for Responsive and Voids expenditure due to Covid restrictions (£0.161m). Reduced projection of Responsive sub-contractor spend on basis of Covid restrictions (£0.221m). Staffing Vacancy savings (£0.109m). Overall NI staffing saving (£0.089m). Increased Fleet projection based on Q2 charges £0.084m. Minor variances (0.008m).	
Management & Support Services	2.523	2.555	0.032	0.035	There is a pressure projected of £0.032m of this £0.020m relates to salary savings. £0.011m relates to underspend on training due to Covid restrictions. There has been a increase in insurance costs of £0.084m. -£0.021m minor variances.	
Capital Expenditure From Revenue (CERA)	12.928	12.928	0.000	0.000		
HRA Projects	(0.153)	(0.150)	0.003	0.002		
Contribution To / (From) Reserves	0.164	0.164	0.000	0.000		
<b>Total Housing Revenue Account</b>	<b>0.000</b>	<b>(1.642)</b>	<b>(1.642)</b>	<b>(1.641)</b>		



## CORPORATE RESOURCES OVERVIEW AND SCRUTINY COMMITTEE

<b>Date of Meeting</b>	Thursday 11 March 2021
<b>Report Subject</b>	Review of the Corporate Complaints Policy
<b>Cabinet Member</b>	Cabinet Member for Corporate Management and Assets
<b>Report Author</b>	Chief Officer (Governance)
<b>Type of Report</b>	Operational

### EXECUTIVE SUMMARY

The purpose of this report is to share a new Concerns and Complaints Policy for Flintshire County Council, based on a model complaints handling procedure for public service providers in Wales.

The report also includes a new Managing Customer Contact Policy which provides guidance to employees on how to manage unacceptable behaviour from customers.

### RECOMMENDATIONS

1	Corporate Resources Overview and Scrutiny Committee support the implementation of the Concerns and Complaints Policy from 1 April, 2021.
2	Corporate Resources Overview and Scrutiny Committee support the implementation of the Managing Customer Contact Policy from 1 April, 2021.
3	Corporate Resources Overview and Scrutiny Committee note the performance timetable as outlined in paragraph 1.15.

## **REPORT DETAILS**

<b>1.00</b>	<b>CONCERNS AND COMPLAINTS POLICY 2021</b>
1.01	<b>Background</b>
1.02	The Public Services Ombudsman (Wales) Act 2019 (the “Act”) was passed by the Senedd (formerly National Assembly for Wales) and received Royal Assent on 22 May, 2019. The Act makes provision about the functions of the Public Services Ombudsman for Wales.
1.03	Under Section 38 of the Act the Ombudsman may specify a model complaints handling procedure for listed authorities in Wales. The Ombudsman shared a model complaints handling procedure (the “Model”) with Flintshire County Council on 30 September, 2020.
1.04	The Model is designed for public service providers and represents a minimum standard of complaint handling in Wales. The Council was asked to ensure its local procedures comply with the Model and submit its complaints policy to the Ombudsman’s office by 31 March, 2021.
1.05	To comply with Section 38 of the Act, the Council’s complaints policy (the “Policy”) has been reviewed to ensure compliance with the stated Model. The Policy is designed to deal with complaints against Council services with the exception of complaints against Social Services and Schools. The Social Services Complaints Procedure (Wales) Regulations 2014 outline the procedure for handling complaints about Social Services and the School Governing Bodies deal with school complaints.
1.06	It is important to note that the Policy is fully compatible with the Welsh Language Standards Regulations 2018. Three specific documents have been prepared for consideration and approval:
1.07	<b>Statement of Principles</b>
1.08	Under Section 36 of the Act, the Ombudsman is required to publish a statement of principles concerning complaints handling procedures of listed authorities and it is this statement of principles that form the basis of the Council’s new policy.
1.09	The statement of principles will be promoted on the Council’s website to complement the complaints policy. The document is intended to provide customers with an overview of what effective complaints handling looks like in Flintshire i.e.  <ol style="list-style-type: none"><li>1) Complainant Focused</li><li>2) Simple</li><li>3) Fair &amp; Objective</li><li>4) Timely &amp; Effective</li><li>5) Accountable</li><li>6) Committed to Continuous Improvement</li></ol>

1.10	<b>Concerns and Complaints Policy 2021</b>															
1.11	The Council's current policy has been in place since it was issued by Welsh Government in 2011 and since that time the Ombudsman has noted that a diverse range of complaints practices has emerged across Wales. The Ombudsman's new guidance aims to bring practices back into broad alignment – providing basic standards, a common language and a set of principles to underpin how complaints are handled throughout public services.															
1.12	The proposed Concerns and Complaints Policy complies with the statement of principles as set out in paragraph 1.09. The Policy has been slightly modified to the extent that it is relevant to the culture and behaviour we want to promote in Flintshire i.e. an emphasis on treating people fairly and with respect, and listening to our conscience and acting with integrity.															
1.13	The Policy has been shared with key officers from across the organisation including Chief Officers, and it complies with the guidance issued by the Ombudsman. Following consultation and engagement with the Complaints Standards Authority, consent has also been given for the minor changes referred to in 1.12.															
1.14	<p>Overall there is no significant change to the process for how to make a complaint, the two-step approach will remain as will the right to escalate a complaint to the Ombudsman. The main changes are:</p> <ul style="list-style-type: none"> <li>a) Complainants will be asked to tell us about their concern within six months - because it is best to look into concerns while the issues are fresh.</li> <li>b) A greater emphasis on learning from complaints to improve processes and procedures – Chief Officers to receive quarterly performance reports.</li> <li>c) Where there is a need for change (based on trend analysis) the relevant senior manager will be asked to develop an action plan setting out what will be done, who will do it and when.</li> <li>d) Sharing of anonymised complaint information.</li> </ul>															
1.15	<p>The use of complaints as a form of formally documented/reported feedback to drive continuous improvement will be a significant change for the Council and will require a culture amongst employees. The performance timetable set-out below is intended to help manage the process of reporting:</p> <table border="1" data-bbox="331 1668 1353 2007"> <thead> <tr> <th data-bbox="336 1668 735 1742">Meeting</th> <th data-bbox="735 1668 1031 1742">Frequency</th> <th data-bbox="1031 1668 1353 1742">Format</th> </tr> </thead> <tbody> <tr> <td data-bbox="336 1742 735 1816">Chief Officer Team (Business COT)</td> <td data-bbox="735 1742 1031 1816">Quarterly Half Yearly</td> <td data-bbox="1031 1742 1353 1816">Electronic Report / Verbal</td> </tr> <tr> <td data-bbox="336 1816 735 1854">Cabinet</td> <td data-bbox="735 1816 1031 1854">Half Yearly</td> <td data-bbox="1031 1816 1353 1854">Report / Verbal</td> </tr> <tr> <td data-bbox="336 1854 735 1892">Audit Committee</td> <td data-bbox="735 1854 1031 1892">Half Yearly</td> <td data-bbox="1031 1854 1353 1892">Report / Verbal</td> </tr> <tr> <td data-bbox="336 1892 735 2007">Corporate Resources Overview And Scrutiny Committee</td> <td data-bbox="735 1892 1031 2007">Annually*</td> <td data-bbox="1031 1892 1353 2007">Report / Verbal</td> </tr> </tbody> </table> <p data-bbox="300 2033 847 2076">*To coincide with PSOW annual letter.</p>	Meeting	Frequency	Format	Chief Officer Team (Business COT)	Quarterly Half Yearly	Electronic Report / Verbal	Cabinet	Half Yearly	Report / Verbal	Audit Committee	Half Yearly	Report / Verbal	Corporate Resources Overview And Scrutiny Committee	Annually*	Report / Verbal
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Audit Committee	Half Yearly	Report / Verbal														
Corporate Resources Overview And Scrutiny Committee	Annually*	Report / Verbal														

1.16	<b>Managing Customer Contact Policy</b>
1.17	A new Managing Customer Contact Policy is attached and provides clear guidance to employees on how to manage the very small number of cases where the actions or behaviour of a customer challenges our ability to deliver an effective service to all.
1.18	The new policy applies to all customers who have requested a service or made a complaint, or any other person acting on their behalf. The policy seeks to protect employees from aggressive, abusive or offensive behaviour, and unreasonable demands and persistence.
1.19	The guidance provides a clear process for considering implementation of a restriction and a formal process to manage contact where necessary. It is expected that the Council will issue an updated version of the policy later in 2021 to deal with an increasing number of cases of unacceptable behaviour on social media.

<b>2.00</b>	<b>RESOURCE IMPLICATIONS</b>
2.01	None.

<b>3.00</b>	<b>IMPACT ASSESSMENT AND RISK MANAGEMENT</b>
3.01	To comply with Section 38 of the Public Services Ombudsman (Wales) Act 2019, the Council is required to implement the revised Concerns and Complaints Policy on 1 April, 2021.
3.02	No risk have been identified and the Council is in a good position to comply by this date. Subject to support from Corporate Resources Overview and Scrutiny Committee, the new policy will be shared with the Ombudsman.

<b>4.00</b>	<b>CONSULTATIONS REQUIRED/CARRIED OUT</b>
4.01	The Public Services Ombudsman for Wales undertook extensive consultation prior to issuing the model complaints handling procedure for listed authorities in Wales. Subsequently, the three documents attached to this report have been developed based on an all Wales model and key officers from the Council have had the opportunity to comment on them.
4.02	The Complaints Standards Authority has been consulted to seek approval for the minor changes to reflect local priorities.

<b>5.00</b>	<b>APPENDICES</b>
5.01	Appendix 1 – Statement of Principles Appendix 2 – Concerns and Complaints Policy 2021 Appendix 3 – Managing Customer Contact Policy

<b>6.00</b>	<b>LIST OF ACCESSIBLE BACKGROUND DOCUMENTS</b>
6.01	None

<b>7.00</b>	<b>CONTACT OFFICER DETAILS</b>
7.01	<b>Contact Officer:</b> Rebecca Jones, Customer Contact Service Manager <b>Telephone:</b> 01352 702413 <b>E-mail:</b> <a href="mailto:rebecca.jones@flintshire.gov.uk">rebecca.jones@flintshire.gov.uk</a>

<b>8.00</b>	<b>GLOSSARY OF TERMS</b>
8.01	<b>Public Services Ombudsman (Wales) Act 2019</b> - an Act of the National Assembly for Wales to make provision about the functions of the Public Services Ombudsman for Wales.

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# Concerns & Complaints Statement of Principles

# Concerns and Complaints

## Statement of Principles

Effective complaints handling processes should be:

- 1) Complainant Focused
- 2) Simple
- 3) Fair & Objective
- 4) Timely & Effective
- 5) Accountable
- 6) Committed to Continuous Improvement

### 1) Complainant Focused

- The complainant should always be at the centre of the complaints process.
- Service providers need to be flexible when responding to complainants' differing needs.

### 2) Simple

- Complaints processes should be well-publicised, have easy-to-follow instructions and have no more than two stages.
- Information on advocacy services and support should be available.
- Complaint responses should set out clearly the next stage and the right to approach the Ombudsman.

### 3) Fair & Objective

- Complainants should receive a complete and appropriate response to their concerns.
- Complainants and staff complained about should be treated equally and with dignity.

### 4) Timely & Effective

- Complaints should be resolved promptly, when possible investigations should be thorough, yet prompt.
- Complainants should be kept informed throughout the progress of a lengthy investigation.

### 5) Accountable

- Complainants should receive an honest and clear explanation of the findings of an investigation.
- Service providers should explain to complainants what changes will be made if their complaint is upheld, whenever possible.

### 6) Committed to Continuous Improvement

- Information from complaints should be collated and analysed.
- Data should be shared with the organisation's senior leaders and the Ombudsman to support improvement in complaint handling and in service delivery.
- Decision makers should regularly review the information gathered from complaints when planning service delivery.

## HOW TO CONTACT US

**Email:** [customerservices@flintshire.gov.uk](mailto:customerservices@flintshire.gov.uk)

**Phone:** 01352 703020

**Website:** [www.flintshire.gov.uk/complain](http://www.flintshire.gov.uk/complain)

**Write to us:** Flintshire County Council, Customer Services, County Hall, Mold. CH7 6NR

You can also follow us on **Twitter:** @FlintshireCC

# Concerns and Complaints Policy

# Concerns and Complaints Policy

Flintshire County Council is committed to dealing effectively with any concerns or complaints you may have about our services. We believe in treating people fairly and with respect, and listening to our conscience and acting with integrity.

We aim to clarify any issues you may be unsure about. If possible, we will put right any mistakes we may have made. We will provide any service you are entitled to which we have failed to deliver. If we did something wrong, we will apologise and, where possible, try to put things right for you. We aim to learn from our mistakes and use the information we gain from complaints to improve our services.

## When to use this policy

When you express your concerns or complain to us, we will usually respond in the way we explain below. However, sometimes you may have a statutory right of appeal e.g. against a refusal to grant you planning permission or the decision not to give your child a place in a particular school, so rather than investigate your concern, we will explain to you how you can appeal. Sometimes, you might be concerned about matters that are not covered by this policy e.g. when a legal framework applies and we will then advise you about how to make your concerns known.

This policy does not apply to Freedom of Information or data access issues. The Information Governance Team can help by emailing [foi@flintshire.gov.uk](mailto:foi@flintshire.gov.uk)

This policy does not apply to complaints made about schools. In matters of complaints against schools, our statutory role as the Council is to offer advice and check that fair processes have been worked through by the school when they are considering complaints. The Council does not have the regulatory power to undertake an investigation on your behalf, nor substitute our view for that of the governing body. Should you wish to raise a complaint about a school, contact the school direct who can provide you with a copy of their complaints policy.

## Asking us to provide a service?

If you are approaching us to request a service, e.g. reporting a missed bin collection, or requesting an appointment this policy does not apply. If you make a request for a service and then are not happy with our response, you will be able to make your concern known as we describe below.

## Informal resolution

If possible, we believe it is best to deal with things straight away. If you have a concern, please raise it with the person you are dealing with. They will try to resolve it for you there and then. If there are any lessons to learn from addressing your concern, the member of staff will draw them to our attention. If the member of staff cannot help, they will explain why and you can then ask for a formal investigation.

## How to express concern or complain formally

You can express your concern in any of the following ways:

- Ask for a copy of our form from the person with whom you are already in contact. Tell them that you want us to deal with your concern formally.
- Use the form on our website at [www.flintshire.gov.uk/complain](http://www.flintshire.gov.uk/complain)
- Email us at [customerservices@flintshire.gov.uk](mailto:customerservices@flintshire.gov.uk)
- Get in touch with Customer Services on 01352 703020 if you want to make your complaint over the phone.
- Write to us at: Flintshire County Council, Customer Services, County Hall, Mold. CH7 6NR.

We aim to have concern and complaint forms available at all of our public areas e.g. Flintshire Connects Centres. Copies of this policy and the complaint form are available in alternative languages, audio and braille on request.

## Dealing with your concern

### STEP 1

- We will formally acknowledge your concern within 5 working days and let you know how we intend to deal with it.
- We will ask you to tell us how you would like us to communicate with you and establish whether you have any particular requirements – for example, if you need documents in large type.
- We will deal with your concern in an open and honest way.
- We will make sure that your dealings with us in the future do not suffer just because you have expressed a concern or made a complaint.

Normally, we will only be able to look at your concerns if you tell us about them within six months. This is because it is better to look into your concerns while the issues are still fresh in everyone's mind.

We may exceptionally be able to look at concerns which are brought to our attention later than this. However, you will have to explain why you have not been able to bring it to our attention earlier and we will need to have sufficient information about the issue to allow us to consider it properly. In any event, we will not consider any concerns about matters that took place more than three years ago.

If you are expressing a concern on behalf of somebody else, we will need their agreement to you acting on their behalf.

### What if there is more than one body involved?

If your complaint covers more than one body e.g. a housing association we will usually work with them to decide who should take the lead in dealing with your concerns. You will then be given the name of the person responsible for communicating with you while we consider your complaint.

If the complaint is about a body working on our behalf e.g. repair contractors, you may wish to raise the matter informally with them first. However, if you want to express your concern or complaint formally, we will look into this ourselves and respond to you.

### Investigation

We will tell you who we have asked to look into your concern or complaint. If your concern is straightforward, we will usually ask somebody from the relevant service area to look into it and respond to you. If it is more serious, we may use someone from elsewhere e.g. another area of the Council or where a statutory procedure applies, we may appoint an independent investigator.

We will set out our understanding of your concerns and ask you to confirm that we are right. We will also ask you to tell us what outcome you are hoping for.

The person looking at your complaint will usually need to see the files we hold relevant to your complaint. If you do not want this to happen, it is important that you tell us.

If there is a simple solution to your problem, we may ask you if you are happy to accept this. For example, where you asked for a service and we see straight away that you should have had it, we will offer to provide the service rather than investigate and produce a report.

*Continued...*

## Investigation

We will aim to resolve concerns as quickly as possible and expect to deal with the vast majority within 10 working days. If your complaint is more complex, we will:

- Let you know within this time why we think it may take longer to investigate.
- Tell you how long we expect it to take.
- Let you know where we have reached with the investigation, and
- Give you regular updates, including telling you whether any developments might change our original estimate.

The person who is investigating your concerns will firstly aim to establish the facts. The extent of the investigation will depend upon how complex and how serious the issues you have raised are. In complex cases, we will draw up an investigation plan.

In some instances, we may ask to meet with you to discuss your concerns. Occasionally, we might suggest mediation or another method to try to resolve disputes.

We will look at relevant evidence. This could include information you have provided, our case files, notes of conversations, letters, emails or whatever may be relevant to your particular concern. If necessary, we will talk to the staff or others involved and look at our policies, any legal entitlement and guidance.

## Outcome

If we formally investigate your complaint, we will let you know what we find. If necessary, we will produce a report. We will explain how and why we came to our conclusions.

If we find that we made a mistake, we will tell you what happened and why.

If we find there is a fault in our systems or the way we do things, we will tell you what it is and how we plan to change things to stop it happening again.

If we make a mistake, we will always apologise for it.

## Putting Things Right

If we did not provide you with a service you should have had, we will aim to provide it now, if that is possible. If we did not do something well, we will aim to put it right. If you have lost out as a result of a mistake on our part, we will try to put you back in the position you would have been in if we had done things properly.

If you were entitled to funding and we did not provide it, we will try to refund the cost.

## STEP 2

If we do not succeed in resolving your complaint, you may ask us to escalate your complaint to Step 2. You can ask the person who has dealt with your complaint or contact Customer Services. We will ask you to tell us why you are dissatisfied with the response you have received and what outcome you are hoping for.

We will tell you who we have asked to look into your concern or complaint and we will aim to respond within 20 working days. If your complaint is more complex, we will:

- Let you know within this time why we think it may take longer to investigate.
- Tell you how long we expect it to take.
- Let you know where we have reached with the investigation, and
- Give you regular updates, including telling you whether any developments might change our original estimate.

If we escalate your complaint, we will let you know what we find. If necessary, we will produce a report. We will explain how and why we came to our conclusions.

### The Ombudsman

If we do not succeed in resolving your complaint, you may complain to the Public Services Ombudsman for Wales. The Ombudsman is independent of all government bodies and can look into your complaint if you believe that you personally, or the person on whose behalf you are complaining:

- Have been treated unfairly or received a bad service through some failure on the part of the service provider.
- Have been disadvantaged personally by a service failure or have been treated unfairly.

The Ombudsman normally expects you to bring your concerns to our attention first and to give us a chance to put things right. You can contact the Ombudsman by:

- **Phone:** 0300 790 0203
- **Email:** ask@ombudsman.wales
- **The website:** www.ombudsman.wales
- **Writing to:** Public Services Ombudsman for Wales, 1 Ffordd yr Hen Gae, Pencoed CF35 5LJ

There are also other organisations that consider complaints. For example, the Welsh Language Commissioner's Office deals with complaints about services in Welsh. We can advise you about such organisations.

### Learning lessons

We take your concerns and complaints seriously and try to learn from any mistakes we have made. We are committed to using information from complaints to identify areas where we need to improve processes and procedures now and in the future. We use complaints information to drive improvements for the benefit of everyone who may need to access our services.

Our Chief Officer Team considers a summary of all complaints quarterly and is made aware of all serious complaints. Our Cabinet also considers our response to complaints at least twice a year. We share summary (anonymised) information on complaints received and complaint outcomes with the Ombudsman as part of our commitment to accountability and learning from complaints.

Where there is a need for significant change, we will develop an action plan setting out what we will do, who will do it and when we plan to do it. We will let you know when changes we have promised have been made.

## What if you need help?

Our staff will aim to help you make your concerns known to us. If you need extra assistance, we will try to put you in touch with someone who can help. You may wish to contact advocacy services who may be able to assist you:

### Advocacy Services North East Wales

- **Website:** <https://asnew.org.uk>
- **Email:** [Advocacy@ASNEW.org.uk](mailto:Advocacy@ASNEW.org.uk)
- **Phone:** 01352 759332
- **Write to:** 1st Floor Offices, 42 High Street, Mold, Flintshire CH7 1BH

You can also use this concerns and complaints policy if you are under the age of 18. If you need help, you can speak to someone on the Meic Helpline:

- **Website:** [www.meiccymru.org](http://www.meiccymru.org)
- **Phone:** 0808 802 3456

Or contact the Children's Commissioner for Wales. Contact details are:

- **Website:** [www.childcom.org.uk](http://www.childcom.org.uk)
- **Phone:** 0808 801 1000
- **Email:** [post@childcomwales.org.uk](mailto:post@childcomwales.org.uk)

## What we expect from you

In times of trouble or distress, some people may act out of character. There may have been upsetting or distressing circumstances leading up to a concern or a complaint. We do not view behaviour as unacceptable just because someone is forceful or determined.

We believe that all complainants have the right to be heard, understood and respected. However, we also consider that our staff have the same rights. We therefore expect you to be polite and courteous in your dealings with us. We will not tolerate aggressive or abusive behaviour, unreasonable demands or unreasonable persistence. We have a separate policy to manage situations when we find that someone's actions are unacceptable.



## APPENDIX A

### CONCERN/COMPLAINT FORM

**Please Note:** The person who experienced the problem should normally fill in this form. If you are filling this in on behalf of someone else, please fill in Section B.

#### A: YOUR DETAILS

Surname:	Forename(s):	Title:
Address and Postcode:		
Email Address:		
Daytime Phone Number:		
Please state how you would prefer us to contact you:		

**Your requirements:** if our usual way of dealing with complaints makes it difficult for you to use our service, for example if English or Welsh is not your first language or you need to engage with us in a particular way, please tell us so that we can discuss how we might help you.

#### B: MAKING A COMPLAINT ON BEHALF OF SOMEONE ELSE

##### THEIR DETAILS:

**Please note:** We have to be satisfied that you have the authority to act on behalf of the person who has experienced the problem.

Their full name:	
Address and Postcode:	
What is your relationship to them?	
Why are you making a complaint on their behalf?	

**APPENDIX A**

**CONCERN/COMPLAINT FORM**

**C: ABOUT YOUR CONCERN/COMPLAINT** *(please continue your answers to the following questions on a separate sheet(s) if necessary)*

**C.1** Name of the department/section/service you are complaining about:

**C.2** What do you think they did wrong, or failed to do?

**C.3** Describe how you personally have suffered or have been affected:

**C.4** What do you think should be done to put things right?

**C.5** When did you first become aware of the problem?

**C.6** Have you already put your concern to the frontline staff responsible for delivering the service? If so, please give brief details of how and when you did so:

**C.7** If it is more than six months since you first became aware of the problem, please say why you have not complained before now:

If you have any documents to support your concern/complaint, please attach them with this form.

**Signature:** ..... **Date:** .....

**When you have completed this form, please send it to:**

Flintshire County Council  
Customer Services  
County Hall  
Mold  
CH7 6NR

**HOW TO CONTACT US**

**Email:** [customerservices@flintshire.gov.uk](mailto:customerservices@flintshire.gov.uk)

**Phone:** 01352 703020

**Website:** [www.flintshire.gov.uk/complain](http://www.flintshire.gov.uk/complain)

**Write to us:** Flintshire County Council, Customer Services, County Hall, Mold. CH7 6NR

You can also follow us on **Twitter:** @FlintshireCC

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# Managing Customer Behaviour Policy

# Managing Customer Behaviour Policy

## 1 INTRODUCTION AND DEFINITIONS

- 1.1 Excellent customer care is at the forefront of everything Flintshire County Council do; we do our best to make our services accessible to all and easy to use, making reasonable adjustments if necessary. We aim to deliver a high quality complaints handling service, which considers and determines complaints thoroughly, but proportionately and conveys decisions clearly.
- 1.2 This policy sets out how contact with customers may be managed in the very small number of cases where the actions or behaviour of a customer challenges our ability to deliver an effective service to all.
- 1.3 The core aims of the policy are to ensure equity and fairness, improve efficiency and manage risks to the health and safety of employees. It applies to all services and employees who have contact with any customer by phone, in writing (including electronic communication) and in person. The term customer means anyone who has requested a service or made a complaint, or any other person acting on their behalf.
- 1.4 All customers will be treated with fairness and respect even if we perceive actions or behaviour to be challenging. We will always separate the way we may need to manage contact with a customer from the way we deal with their request for service or complaint.
- 1.5 More complex challenging behaviour can be referred to a senior manager. One of the intentions of the involvement of senior managers is that challenging behaviour is identified early, and informed decisions made. Senior managers will also be consulted where a customer who has challenging behaviour may need reasonable adjustments.
- 1.6 This policy refers generally to the Customer Contact Service Manager (CCSM), as this is the role that would most often be involved in managing customer contact. However, CCSM is to be interpreted as CCSM or any other senior manager.

## 2 AGGRESSIVE, ABUSIVE OR OFFENSIVE BEHAVIOUR

- 2.1 Employees have the right to work in an environment free from aggressive, abusive or offensive language or behaviour at all times.
- 2.2 We consider such behaviour to include:
  - swearing or abusive language
  - over-bearing behaviour; refusing to give staff an opportunity to speak
  - or repeated derogatory comments
  - inappropriate sexual or gender-based remarks
  - inappropriate cultural, racial, political or religious references
  - rudeness or shouting
  - threatening behaviour
  - emotional abuse or manipulative behaviour
- 2.3 Threats of physical violence or harassment to any person are unacceptable and will be reported to the police.

### 3 UNREASONABLE DEMANDS AND PERSISTENCE

3.1 We are committed to providing a proportionate amount of time and resources to each request for service or complaint. Unreasonable demands and persistence may prevent employees from fulfilling this commitment.

3.2 We consider such behaviour to include:

- excessive telephone calls, emails or letters
- sending duplicate correspondence
- persistent refusal to accept a decision or explanation
- continuing to contact us after a decision, about the same or similar matters, without presenting new or relevant information
- demanding responses within an unreasonable time scale or information not relevant to a request for service or complaint
- refusing to cooperate with our complaint handling procedures
- raising matters that are immaterial to a request for service or complaint or repeatedly changing the substance of a request for service or complaint
- repeatedly contacting or insisting to speak to an employee who is not directly dealing with a request for service or complaint

### 4 TERMINATING A TELEPHONE CALL

4.1 Employees may terminate a call if subjected to the behaviours outlined in sections 2 and 3. Before taking this action, the caller will be warned once that their conduct is of concern, to allow them the opportunity to moderate their behaviour. If the behaviour persists, no further warnings will be given and the call will be terminated.

4.2 The employee who terminates a call will report it to their Team Leader/Manager. Following a terminated call if the customer makes further contact and the behaviour has not changed, the CCSM may restrict telephone contact for one day. This decision will be recorded and communicated at the earliest opportunity to all employees taking frontline calls.

4.3 In the event that the customer does not modify their behaviour, further consideration will be given to formally managing contact between the customer and the service.

### 5 CONSIDERING WHEN TO MANAGE CONTACT

5.1 In the very small number of cases where the actions or behaviour of a customer challenges our ability to deliver an effective service to all, as set out above, an employee should report it to their Team Leader/Manager. The Team Leader/Manager will consider whether a warning should be given and if it is necessary to provide a copy of this policy. If the behaviour is sufficiently serious, or a warning has already been given, a decision will be taken to either manage contact, or to refer the matter to CCSM, or both.

5.2 During the process of considering implementation of a restriction the CCSM should be mindful that independent advocacy could be helpful for the customer in terms of avoiding implementation of this policy. If that appears to be the case, it would be prudent to advise the customer of this and provide appropriate help and advice to that end.

## 6 FORMAL DECISION TO MANAGE CONTACT

6.1 We may (amongst other considerations) manage the contact by:

- limiting contact to a particular form for example, the customer may be limited to contacting us by email or letter only
- limiting telephone calls to specific days and/or times
- arranging for a single point of contact for all future correspondence
- an agreed behaviour contract, setting out what is expected of the customer, to be signed by the customer
- advising the customer that their correspondence will be read to ensure no new issues are raised, but will then be filed or destroyed without acknowledgement

6.2 Wherever possible, we will endeavour to ensure that at least one line of contact will remain available.

6.3 Decisions on how to formally manage contact are made by the CCSM, on a case by case basis. The CCSM may decide to first consult a Chief Officer. This may be where employees are finding behaviour unusually challenging or difficult to manage, and generally where this is exhibited on more than one occasion. For example, where:

- employees are struggling to be heard, or feel upset, threatened, bullied or belittled by the contacts
- the contact is sexist, racist, culturally inappropriate etc
- a caller demands disproportionate time is spent relative to the circumstances of the issue, or makes unreasonable demands for action by us
- there is repetitive contact that is not merited in the circumstances of the case
- there are disproportionate threats to employees, legal action etc
- the customer is highly needy, emotionally demanding, or appears to be becoming dependent on certain members of staff
- there are repeated challenges to decisions

6.4 Referrals to Chief Officers should be made by the CCSM.

6.5 Chief Officers will discuss and consider the matter with the CCSM. Chief Officers will issue advice and recommendation(s) and return the matter to the CCSM for a formal decision.

6.6 The CCSM will record the decision on the CRM.

6.7 The CCSM will notify the customer of a decision to manage their contact, the reasons why this decision has been taken, how long any restriction will be in place, when it will be reviewed and the right to appeal the decision. A copy of this policy will be enclosed with the decision.

## 7 APPEALING A DECISION

7.1 The customer can appeal a decision to manage contact within 20 working days of receiving it by writing to the Chief Officer Governance. The Chief Officer Governance will consider the appeal and advise the customer in writing of the outcome.

## 8 REVIEWING DECISIONS

8.1 The decision to manage contact with a customer will be reviewed by the decision maker at the time specified in the decision letter, which will be no more than six months after the date the decision was taken and any alterations to the restriction will be noted on the CRM. We will only contact a customer to advise them of any change to the restriction if they remain in active contact with this office at the time of the review.



## 9 DECISION MATRIX

Decision Type	Who
Terminate call	All employees (must be reported to Team Leader/Manager)
Restrict contact for one day	Team Leader/Manager
Refer to Chief Officer for guidance	CCSM
Formally manage contact	CCSM
Review decision	CCSM
Appeal	Chief Officer Governance

## 10 ANNUAL REVIEW

10.1 The CCSM will arrange for a review of restrictions imposed under this policy at the end of each financial year to ensure a consistent approach.

**APPENDIX 1**

**Request to Chief Officer to consider management of challenging behaviour or reasonable adjustments**

Customer reference: .....

Name of customer: .....

Contact officer: .....

Referred by: .....

Reason for referral (e.g. type of behaviour and impact on office/employees, complex etc RA requested):  
.....  
.....  
.....

Has any related action been taken to date or previously (e.g. warnings given, previous restriction):  
.....  
.....  
.....

Do we know or believe the customer has any particular needs? If this relates to reasonable adjustments, has the customer told us what reasonable adjustments they seek?  
.....  
.....  
.....

Chief Officer Governance analysis/comments/recommendation:  
.....  
.....  
.....

Manager's decision: .....

Manager's signature: ..... Date: .....