

**GELLIGAER COMMUNITY COUNCIL  
BALANCE OF FUNDS FOR THE FINANCIAL YEAR 2017-18**

Balance in Bank as @ 01:04:2017	£66,412.59
Community Benefit Account as @ 01:04:2017	
2016/17 un presented cheques, presented in 2017/18	16,497.77
<b>Income</b>	<b>45,535.46</b>
<b>Expenditure</b>	<b>10,698.90</b>
<b>Balance to 13th June 2017</b>	<b>84,751.38</b>

Reconciled with Bank Statements as follows:-

A/c Name	Statement No.	Date	Balance
Current (Business Acc) *****335	43	28/04/2017	2,000.00
Bus Bank Instant *****440	91	28/04/2017	64,137.43
30 Day Notice *****961	89	28/04/2017	4,944.53
Roman Fort Account *****977	41	28/04/2017	18,840.78
Expenditure/Income (not yet recorded on bank statements)			-5,171.36
<b>Community Council Accounts Balance</b>			<b>84,751.38</b>

**Payments and Receipts Requiring Approval**

**Payments**

Date	Payee and Description	Net £	Vat £	Gross £	Cheque No
12/04/2017	Zurich Municipal Inv 25456505	722.34		722.34	2321
12/04/2017	CCBC Rates 1/4/17-31/3/18	1,447.10		1,447.10	2322
13/04/2017	Clerk's Salary April 2017	1,263.15		1,263.15	2323
13/04/2017	Playworks Payroll Bureau Inv No.1815 (HMRC) April 2017	334.95		334.95	2324
13/04/2017	RCT CBC Pension Fund April Employers £254.60 Employees £90.59	345.19		345.19	2325
19/04/2017	Advanced Fire Protection Ltd Inv 31927 Fire equipment maintenance	50.77	10.15	60.92	2326
19/04/2017	Advanced Fire Protection Ltd Inv 31928 New CO2 extinguisher	74.16	14.83	88.99	2327
19/04/2017	Brian Jarrett Inv S8438 council photos	88.00	17.60	105.60	2328
19/04/2017	Cefn Hengoed Majestic Jazz Band Financial Assistance	1,500.00		1,500.00	2329
19/04/2017	Cylch Meithrin Penpedairheol Financial Assistance	500.00		500.00	2330
19/04/2017	Ystrad Mynach Boys & Girls Club Financial Assistance	1,000.00		1,000.00	2331
19/04/2017	Gelligaer Allotment Association Financial Assistance	350.00		350.00	2332
01/06/2017	Mr M Fisher Internal audit 2016/17	300.00		300.00	2333
01/06/2017	One Voice Wales Inv 3136 Code of Conduct Training	396.15		396.15	2334
01/06/2017	Clerk's Salary May 2017	1,263.15		1,263.15	2335
01/06/2017	RCT CBC Pension Fund April Employers £254.60 Employees £90.59	426.41		426.41	2336
01/06/2017	Playworks Payroll Bureau Inv No.1931 (HMRC) May 2017	334.95		334.95	2337
03/04/2017	British Gas - Utilities	27.00		27.00	DD
05/04/2017	E.ON - Utilities	36.00		36.00	DD
05/04/2017	BT - Utilities	81.00		81.00	DD
10/04/2017	The Post Office - agenda postage	13.00		13.00	DC
11/04/2017	Lidl - refreshments	9.60		9.60	DC
13/04/2017	Tesco - stationery	5.00		5.00	DC
21/04/2017	SLCC Arnold Baker Local Council Administration Book 10th Edition	78.40		78.40	DC
28/04/2017	*****335 st no.43 Bank service charge	5.00		5.00	DD
28/04/2017	*****977 st no.41 Bank service charge	5.00		5.00	DD
<b>INCOME</b>	<b>Description</b>				<b>£</b>
10/04/2017	*****440 st no.91				1.74
28/04/2017	*****440 st no.91				45,533.50
10/04/2017	*****961 st no.89				0.22
<b>Total</b>					<b>45,535.46</b>

Presented to the Council Meeting held on: 21 June 2017 Minute No. \_\_\_\_\_

Signed Approval by Chairman of Council: \_\_\_\_\_ Signed Approval by Vice Chair \_\_\_\_\_

**Reconciliation****2016/17 unrepresented cheques, presented in 2017/18****Cheque No.**

C Mortimer Salary March 2017	2309	1116.22	
Playworks March 2017	2310	247.82	
RCT CBC Pension March 2017	2311	297.19	
GYN Memorial Hall Re; Rental Financial Assist Pledge Dots & Tots	2312		200
British Gas Commercial Services Inv BR2288203CO Care Plan	2313	285.78	
Wales Air Ambulance Fin Assist	2314	250.00	
Kidney Wales Fin Assist	2315	500.00	
Nigel Hales - Newsletter distribution	2316	480.48	
Mike Chuch Book Launch & Workshops	2317		300
CCBC Inv. 082981982 compost toilet project	2318	8000.00	
Don Elsbury Plant Sales Hire Inv 10118	2319	5285.28	
One Voice Wales Training Inv 3061Adv Finance 14/02	2320	35.00	

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16,497.77

**2017/18 unrepresented cheques - June 2017**

RCT CBC Pension Fund April Employers £254.60 Employees £90.59	2325	345.19	
Advanced Fire Protection Ltd Inv 31927 Fire equipment maintenance	2326	60.92	
Advanced Fire Protection Ltd Inv 31928 New CO2 extinguisher	2327	88.99	
Brian Jarrett Inv S8438 council photos	2328	105.60	
Cylch Meithrin Penpedairheol Financial Assistance	2330	500.00	
Ystrad Mynach Boys & Girls Club Financial Assistance	2331	1,000.00	
Gelligaer Allotment Association Financial Assistance	2332	350.00	
Mr M Fisher Internal audit 2016/17	2333	300.00	
One Voice Wales Inv 3136 Code of Conduct Training	2334	396.15	
Clerk's Salary May 2017	2335	1,263.15	
RCT CBC Pension Fund April Employers £254.60 Employees £90.59	2336	426.41	
Playworks Payroll Bureau Inv No.1931 (HMRC) May 2017	2337	334.95	

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5,171.36

**GELLIGAER COMMUNITY COUNCIL**

**INTERNAL AUDIT REPORT**

**AUDIT REVIEW 2016/17**

Date of Fieldwork	<i>May 2017</i>
Date of Report Issue	<i>30<sup>th</sup> May 2017</i>
Report Status	<i>Final</i>
Issued by:	<i>Michael Fisher, Internal Auditor</i>
Copy to	<i>Ceri Mortimer, Clerk to Council</i>

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## Section A – MANAGEMENT SUMMARY

### 1 INTRODUCTION

This audit has been carried out as part of the requirements of the Accounts and Audit (Wales) Regulations 2014, which require relevant bodies to maintain an adequate and effective system of internal audit of its accounting records and of its systems of internal control.

### 2 AUDIT OPINION

The Councils financial and administrative system controls have been rated as:

VERY GOOD	Very well controlled with minimal risk.
GOOD	Well controlled with some risks identified which require addressing.
REASONABLE	Adequately controlled although risks identified which may compromise the overall control environment; improvements required.
UNSATISFACTORY	Not well controlled; unacceptable level of risk; changes required urgently.
UNSOUND	Poorly controlled; major risks exists; fundamental improvements required with immediate effect.

### 3 SIGNIFICANT FINDINGS

No significant weaknesses were found.

### 4 ACKNOWLEDGEMENTS

The co-operation of the Clerk to The Council during the review was much appreciated.

## **Section B – AUDIT APPROACH**

### **OBJECTIVE OF THE AUDIT**

The objective of the audit was to undertake a review of selected fundamental financial and administrative systems at the Council and evaluate the effectiveness of the controls in place.

### **SCOPE OF THE AUDIT**

The following headings were examined as part of the audit approach:

- 1 Appropriate books of account have been properly kept throughout the year.
- 2 Financial regulations have been met, payments were supported by invoices, expenditure was approved and VAT appropriately accounted for.
- 3 The Council assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.
- 4 The annual precept/levy/resource demand requirement resulted from an adequate budgetary process, progress against the budget was regularly monitored, and reserves were appropriate.
- 5 Expected income was fully received, based upon correct prices, properly recorded, and promptly banked, and VAT was appropriately accounted for.
- 6 Petty cash payments were properly supported by receipts, expenditure was approved and VAT was appropriately accounted for.
- 7 Salaries to employees and allowances to members were paid in accordance with minuted approvals, and PAYE and NI requirements were properly applied.
- 8 Assets and investment registers were complete, accurate, and properly maintained.
- 9 Periodic and year-end bank account reconciliations were properly carried out.
- 10 Accounting statements prepared during the year were prepared on the correct accounting basis (receipts and payments/income and expenditure), agreed with the cashbook, were supported by an adequate audit trail from underlying records, and where appropriate, debtors and creditors were properly recorded.
- 11 Trust funds (including charitable trusts). The Council/Board/Committee has met its responsibilities as a trustee.

## METHODOLOGY

In order to adequately assess the key controls in place and systems in operation within the Council the Auditors has liaised with the Clerk to the Council.

The following audit work was undertaken:

- a) The cash books of the Council were examined to ensure that items were being recorded appropriately under prescribed description headings, the records were accurate and followed through to year-end accounts and monitoring records.
- b) Samples of payments from the ledger were taken and checks made to ensure that supporting information was available, figures were properly recorded, and VAT accounted for.
- c) The Councils risk register was examined and its adequacy checked to ensure it was in line with the Councils objectives.
- d) The Councils budget setting process was examined to ensure that the precept level set and approved was in line with the proposed budget of the Council and again it's objectives, in addition a test was made to ensure that regular monitoring reports were made to the Council at appropriate times.
- e) Sample income receipts were checked to ensure that charges (where applicable) were in line with Council approved charges, the income was received in a timely manner, recorded properly, banked promptly and VAT accounted for.
- f) Samples of petty cash payments from the ledger were taken and checks made to ensure that supporting information was available, figures were properly recorded, and VAT accounted for.
- g) Salary and Member allowance payments were sample checked to ensure accuracy against approved Council levels. Where appropriate PAYE and NI deductions were checked and followed through to payments to HMRC.
- h) The assets and investment inventories were examined for completeness.
- i) Bank reconciliations were sample checked for accuracy and reporting to the Council where appropriate.
- j) Accounting statements prepared during the year were checked as part of the procedures under point a) above.
- k) If appropriate Trust Funds were also examined.

The Clerk to the Council was kept informed at all times of any issues that were identified as and when they arose.

## Section C – SUMMARY OF WEAKNESSES

The table below summarises the ratings that have been attached to any weaknesses identified during the review.

RATING	WEAKNESS	DESCRIPTION	EXAMPLES
1	Fundamental	Major risk to the system.	Risk of loss to the Authority or material error in the accounts
2	Highly significant	Unacceptable risk.	Non-compliance with Contract Standing Orders and / or Financial Regulations.
3	Less significant	Risk mitigated but should be addressed.	Non-compliance with good / accepted / best practice.
4	Minor	Minimal risk to the system.	Value for money considerations

### Priority of Action to Address Weaknesses:

- A:** Should be actioned immediately.
- B:** Action to address the weakness should be started as soon as possible and be implemented within three months.
- C:** Weakness is either an on-going requirement or that for which implementation is unlikely to be possible within three months.

**No weaknesses were identified that require notification as part of the report, or that require remedial action.**



**Section D – ANALYSIS OF STRENGTHS AND WEAKNESSES / ACTION PLAN**

**Control Objective 1: Appropriate books of account have been properly kept throughout the year.**

*Strengths:*

- 1.1. The Financial statement working papers were examined and checked back to the cashbook records for accuracy. No discrepancies were found and the cashbook was found to be accurate.
- 1.2. The statements within the end of year accounts for audit, matched the cashbook values.

**Control Objective 2: Financial regulations have been met, payments were supported by invoices, expenditure was approved and VAT appropriately accounted for.**

*Strengths:*

- 2.1. All expenditure supported by invoices, sample checks ensured accuracy, and all in line with financial regulations, last update in December 2016.

**Control Objective 3: The Council assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.**

*Strengths:*

- 3.1. The councils risk management document was examined, and all assessments fairly represented at low risk and were last reviewed in May 2016, with details of how risks are mitigated.
- 3.2. Adequate insurance is in place, and is reviewed annually.

**Control Objective 4: The annual precept/levy/resource demand requirement resulted from an adequate budgetary process, progress against the budget was regularly monitored, and reserves were appropriate.**

*Strengths:*

- 4.1. The financial governance statement was examined to ensure that the budgetary requirements of the Council were fairly considered and the precept level approved was consistent with the budgetary reports. This was found to be the case.
- 4.2. All documents were found to be agenda items and minuted signed accordingly.
- 4.3. Regular monitoring reports on financial matters are taken to each Council meeting.

**Control Objective 5: Expected income was fully received, based upon correct prices, properly recorded, and promptly banked, and VAT was appropriately accounted for.**

*Strengths:*

- 5.1. All income was found to be supported by appropriate invoices and remittance advices, sample checks ensured accuracy, and all in line with financial regulations, last update in December 2016.

**Control Objective 6: Petty cash payments were properly supported by receipts, expenditure was approved and VAT was appropriately accounted for.**

*Strengths:*

- 6.1. All expenditure supported by invoices, sample checks ensured accuracy, and all in line with financial regulations, last update in December 2016

<b>Control Objective 7: Salaries to employees and allowances to members were paid in accordance with minuted approvals, and PAYE and NI requirements were properly applied.</b>
<p><i>Strengths:</i></p> <p>7.1. Members allowances were found to be agreed via approved minutes, and subsequent payments in line with the agreed levels.</p>

<b>Control Objective 8: Assets and investment registers were complete, accurate, and properly maintained.</b>
<p><i>Strengths:</i></p> <p>8.1. Asset inventories examined and found to be accurate.</p>

<b>Control Objective 9: Periodic and year-end bank account reconciliations were properly carried out.</b>
<p><i>Strengths:</i></p> <p>9.1. Periodic bank reconciliations taken to Council as part of each cycle meetings, as discussed in objective 4 above.</p> <p>9.2. Year-end reconciliation examined as part of objective 1 takes above.</p>

**Control Objective 10: Accounting statements prepared during the year were prepared on the correct accounting basis (receipts and payments/income and expenditure), agreed with the cashbook, were supported by an adequate audit trail from underlying records, and where appropriate, debtors and creditors were properly recorded.**

*Strengths:*

10.1. Found to be so on examination, and examined as part of objectives 1 and 4.

**Control Objective 11: Trust funds (including charitable trusts). The Council/Board/Committee has met its responsibilities as a trustee.**

*Strengths:*

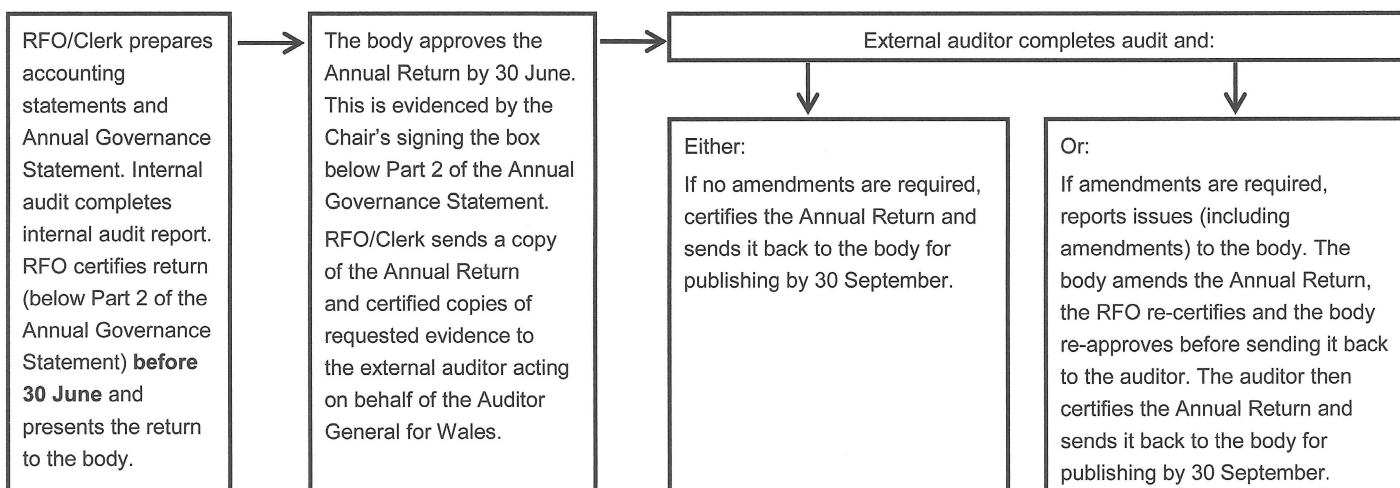
None applicable.

## Smaller local government bodies in Wales Annual Return for the Year Ended 31 March 2017

Smaller local government bodies in Wales must prepare annual accounts following proper practices as set out in the One Voice Wales/SLCC publication **Governance and accountability for local councils in Wales – A Practitioners’ Guide** (the Practitioners’ Guide). The Practitioners’ Guide states that bodies may prepare their accounts in the form of an annual return prepared by the Wales Audit Office.

### The accounts and audit process

The accounts and audit arrangements follow the process as set out below.



**Please read the guidance on completing this Annual Return and complete all sections highlighted in red including both sections of the Annual Governance Statement.**

Incomplete or incorrect returns may require additional external audit work and incur additional costs. Send the **original** Annual Return, together with all additional information requested, to the external auditor acting on behalf of the Auditor General for Wales. Unless requested, please **do not** send any original financial or other records to the external auditor.

Audited and certified returns are sent back to the body for publication or display of the accounting statements, Annual Governance Statement and the Auditor General for Wales’ certificate and report.

### Completion checklist

'No' answers mean that you may not have met requirements		Done?	
		Yes	No
<b>Initial submission to the external auditor</b>			
<b>Accounts</b>	Has the RFO certified the accounting statements and the body approved the Annual Return (as evidenced by the relevant signatures), no later than 30 June 2017?		
	Do the accounts add up and does the balance carried forward from last year equal the opening balance this year?		
	Do the papers to be sent to the external auditor include an explanation of significant variations, including a quantified analysis of the changes from last year to this year?		
	Does the bank reconciliation as at 31 March 2017 agree to line 9?		
<b>All sections</b>	Have all red boxes been completed and explanations provided where needed?		
	Has all the information requested by the external auditor been sent with this Annual Return? Please refer to your notice of audit and any additional schedules provided by your external auditor.		
<b>Supporting evidence</b>	Has all the information requested by the external auditor been sent with this Annual Return? Please refer to your notice of audit and any additional schedules provided by your external auditor.		



# Accounting statements 2016-17 for:

Name of body:

inset **GELLIGAER COMMUNITY COUNCIL**

	Year ending		Notes and guidance for compilers
	31 March 2016 (£)	31 March 2017 (£)	

Please round all figures to nearest £.  
Do not leave any boxes blank and report £0 or nil balances.  
All figures must agree to the underlying financial records for the relevant year.

## Statement of income and expenditure/receipts and payments

1. Balances brought forward	32,478	89,547	Total balances and reserves at the beginning of the year as recorded in the financial records. Must agree to line 7 of the previous year.
2. (+) Income from local taxation/levy	87,514	89,841	Total amount of income received/receivable in the year from local taxation (precept) or levy/contribution from principal bodies.
3. (+) Total other receipts	68,161	9,933	Total income or receipts recorded in the cashbook minus amounts included in line 2. Includes support, discretionary and revenue grants.
4. (-) Staff costs	20,554	21,066	Total expenditure or payments made to and on behalf of all employees. Include salaries and wages, PAYE and NI (employees and employers), pension contributions and related expenses eg termination costs.
5. (-) Loan interest/capital repayments	NIL	NIL	Total expenditure or payments of capital and interest made during the year on external borrowing (if any).
6. (-) Total other payments	78,052	114,729	Total expenditure or payments as recorded in the cashbook minus staff costs (line 4) and loan interest/capital repayments (line 5).
7. (=) Balances carried forward	89,547	53,526	Total balances and reserves at the end of the year. Must equal (1+2+3) - (4+5+6).

## Statement of balances

8. (+) Debtors and stock balances	6,382	4,111	<b>Income and expenditure accounts only:</b> Enter the value of debts owed to the body and stock balances held at the year-end.
9. (+) Total cash and investments	85,053	49,415	<b>All accounts:</b> The sum of all current and deposit bank accounts, cash holdings and investments held at 31 March. This must agree with the reconciled cashbook balance as per the bank reconciliation.
10. (-) Creditors	1,888	NIL	<b>Income and expenditure accounts only:</b> Enter the value of monies owed by the body (except borrowing) at the year-end.
11. (=) Balances carried forward	89,847	53,526	<b>Total balances should equal line 7 above:</b> Enter the total of (8+9-10).
12. Total fixed assets and long-term assets	114,598	116,985	The <b>original</b> asset and investment register value of all fixed assets and any other long-term assets held as at 31 March.
13. Total borrowing	NIL	NIL	The outstanding capital balance as at 31 March of all loans from third parties (including PWLB).

14. Trust funds disclosure note	Yes	No	N/A	Yes	No	N/A	The body acts as sole trustee for and is responsible for managing (a) trust fund(s)/assets (readers should note that the figures above do not include any trust transactions).
			✓				



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Town and Community Councils in Wales

**Reference:** AJB261/DE/mh

**Date issued:** 20 April 2017

Dear Councillors

## Audit fees and other matters relating to the 2015-16 audit

A number of councils have recently written to the Wales Audit Office raising questions or concerns about the 2015-16 audit fees and allocated auditors. Therefore, I thought it would be helpful to set out an explanation for all councils that addresses the general issues raised.

### The new audit approach

Since 2011-12, the Auditor General for Wales has published an annual report setting out the overall findings from the audits of all town and community councils in Wales. These reports highlighted systemic weaknesses in community councils' financial management and governance arrangements. The reports can be found on the Wales Audit Office website at <http://www.audit.wales/publication/financial-management-and-governance-community-councils-2015-16>.

Following consultation and extensive publicity over the last three to four years, the Auditor General changed the audit approach for community councils for 2015-16 to assist in addressing the weaknesses. The new approach applies to all councils regardless of their income and expenditure. This is because the Auditor General identified that the systemic issues noted above affected councils of all sizes.

This change in approach was communicated via the Auditor General's annual reports, at One Voice Wales and Society of Local Council Clerks conferences and by local auditors following the completion of the 2014-15 audits. The new arrangements, in response to weaknesses, have increased the amount of work auditors complete in order to discharge the Auditor General's statutory responsibilities and this has a knock on impact on the audit fee.

In order to help councils to develop their arrangements, the Auditor General committed to identifying in advance of each financial year, the areas that auditors would focus on as part of the new arrangements. This is also intended to help minimise audit fees. The Auditor General's reports for the 2013-14 and the 2014-15 audits specified the areas that auditors would focus on for the 2015-16 audit. These areas specifically included budget setting and monitoring. The reports were published in sufficient time to ensure councils would be able to prepare 2015-16 budgets in accordance with the requirements of the Local Government Finance Act 1992. I attach an extract of the annual report which sets out the proposed themes for the next few years.

## Audit fees

There are three main aspects to the questions and concerns raised regarding audit fees:

**1. Why is the audit fee raised by and payable to the Wales Audit Office when the audit was conducted by an audit firm and not the Wales Audit Office?**

The Public Audit (Wales) Act 2004 sets out that the Auditor General for Wales is now the statutory auditor for all town and community councils. Therefore, all audit work is carried out for and on behalf of the Auditor General. Due to complexities with VAT (the Auditor General does not charge VAT), the Wales Audit Office is raising audit fees based on information provided by the auditors. We have arrangements in place to reimburse the audit firms for the costs they incur on the Auditor General's behalf.

**2. Why is no VAT charged on the audit fee this year when it has previously been charged?**

The Auditor General does not charge VAT for the discharge of his statutory functions, including the audit of accounts.

**3. Why has the fee changed this year compared with the 2014-15 audit?**

Two factors contributed to an increase in the audit fee for 2015-16 compared with 2014-15:

- a change in the statutory framework within which fees are set; and
- the changes to the audit approach.

In previous years, auditors charged audit fees on a fixed fee scale based upon the council's income and expenditure for the year. The fees charged for the smallest councils under these arrangements did not cover the cost of the audit work. Following a change in legislation, the Auditor General now charges a fee to cover the full cost of undertaking the work but no more. The fees now being charged cover the cost of undertaking the audit at each individual council.

In 2016, the Wales Audit Office published its fee scheme which can be found at <http://www.audit.wales/publication/fee-scheme-2016-17>. The fee scheme provides an indication of the expected audit fee for town and community councils taking their size into account. For individual councils, the fee may be above or below the expected fee for a number of reasons including:

- Quality of the supporting information provided to the auditor. The better the information provided, the easier auditors will find it to review and this will usually lead to a lower audit fee;
- Timeliness and completeness of information provided. The auditors advise each council of the information needed for the audit. Where auditors have to repeat the request for information or do not receive the information, there will be an increased audit fee.

## Welsh language and appointment of auditors from England

A number of councils raised concerns over the provision of services in Welsh and whether auditors based in England would be able to provide these services.

In 2015, the Wales Audit Office engaged BDO LLP and Grant Thornton LLP to provide audit services on behalf of the Auditor General for Wales for three years. The contracts were let following a procurement process as required by the Public Contracts Regulations. The contract was advertised in the EU and any interested parties were able to express an interest. We are not legally allowed to apply a geographical restriction on potential bidders. The contract award process



involved an assessment of each potential supplier against a range of pre-published criteria. Those suppliers awarded contracts scored highest in our appraisal of all tenders.

At the prequalification stage, the suppliers were required to provide evidence of experience and ability to provide services within a bilingual (Welsh/English) environment and arrangements for meeting the needs of audited bodies whose preference is to communicate in Welsh. Both suppliers provided sufficient assurances at the pre-qualification stage.

### Next steps

Each year we undertake a quality monitoring assessment of our audit suppliers' work. As part of this exercise, we look at issues raised by councils including concerns over auditors' performance.

This year we will focus on the provision of services in Welsh. This appears to us to be the most efficient and effective way of identifying issues that may affect a number of councils and identifying any remedial action that may be required.

We will also look at audit fees which are outside our expectations in order to understand the reasons.

We expect to complete our reviews shortly and any lessons learned will be taken into account when the auditors undertake the 2016-17 audits.

Yours sincerely



Anthony Barrett

Assistant Auditor General for Wales

**Community councils in Wales hold in excess of £32 million in reserves and balances, and the 2017-18 audit will examine how councils plan to use these reserves for the public benefit**

- 8.11 Community councils hold in excess of £32m in reserves and balances. In some cases these reserves will include capital receipts which have restricted uses. However, audit work in 2015-16 identified that many councils do not take their reserves into account when setting their annual precept.
- 8.12 The 2017-18 audit will therefore consider what plans community councils have for their reserves and balances and how they manage these resources effectively.

**Looking forward to 2018-19 and beyond, the Auditor General's programme will continue to look at common issues arising during the annual audit, and will also incorporate a review of the sector's response to the Well-Being of Future Generations Act 2015**

**Each year, the Auditor General identifies a number of common or recurring issues as part of the annual audit work, and these will be considered as part of the future audit programme**

- 8.13 As reported above, auditors continue to identify recurring issues as part of their normal audit work. The Auditor General will incorporate themed governance reviews of these issues as part of his annual audit programme.
- 8.14 The issues identified for review will be those that are commonly identified, or those that have a significant potential impact on community councils and their effective use of public funds.

**For community councils, the Auditor General will discharge his responsibilities under the Well-Being of Future Generations Act 2015 in a proportionate manner by integrating his work within the statutory audit process**

- 8.15 Community councils in Wales with gross income or expenditure over £200,000 each year have a duty under the Well-Being of Future Generations Act 2015 to take all reasonable steps towards meeting the objectives included in the wellbeing plan in effect in its area. Each financial year, relevant councils must publish a report on the progress it has made in meeting the local objectives.

8.16 The Auditor general also has responsibilities under the Act to carry out an examination of each public body at least once every five years. The Auditor General's approach will be proportionate to the scale of the sector, and details have yet to be worked out. We do, however, propose that an initial examination will take place during 2020-21.

The Auditor General's future programme of themed governance reviews is set out in a four year plan, although, this may be subject to change as issues emerge over time

8.17 The objective of the new audit arrangements introduced for 2015-16 is to examine and assess the effectiveness of community councils' governance arrangements over a period of years. The reviews will focus on recurring themes identified as part of the annual audit cycle and will help councils to improve their arrangements where required over time. Exhibit 13 sets out my current proposed timetable for future governance themes, although, these may change over time.

**Exhibit 13 – Future governance themes**

The Auditor General's future governance themes for community councils will broadly follow a four year plan, although, this may be subject to change as issues emerge

2017-18	2018-19	2019-20	2020-21
Effectiveness of Internal Audit Use of reserves	Compliance with Standing Orders Delegation to committees	Use of s137 Local Government Act 1972 Arrangements for making payments	Employment of staff Well-Being of Future generations

**Mae cynghorau cymuned yng Nghymru yn dal cronfeydd wrth gefn a balansau gwerth dros £32 miliwn, a bydd archwiliad 2017-18 yn ystyried sut mae cynghorau yn bwriadu defnyddio'r cronfeydd wrth gefn hyn er budd y cyhoedd**

- 8.11 Mae cynghorau cymuned yn dal cronfeydd wrth gefn a balansau gwerth dros £32m. Mewn rhai achosion, bydd y cronfeydd wrth gefn hyn yn cynnwys derbyniadau cyfalaf ac iddynt ddefnyddiau cyfyngedig. Fodd bynnag, nododd gwaith archwilio yn 2015-16 nad yw llawer o gynghorau yn ystyried eu cronfeydd wrth gefn wrth bennu eu praesept blynyddol.
- 8.12 Felly, bydd archwiliad 2017-18 yn ystyried sut mae cynghorau cymuned yn bwriadu gwario eu cronfeydd wrth gefn a'u balansau a sut maent yn rheoli'r adnoddau hyn yn effeithiol.

**Gan edrych ymlaen at 2018-19 a thu hwnt, bydd rhaglen yr Archwilydd Cyffredinol yn parhau i ystyried materion cyffredin sy'n codi yn ystod yr archwiliad blynyddol a bydd hefyd yn ymgorffori adolygiad o ymateb y sector i Ddeddf Llesiant Cenedlaethau'r Dyfodol 2015**

**Bob blwyddyn, mae'r Archwilydd Cyffredinol yn nodi nifer o faterion cyffredin neu faterion sy'n codi dro ar ôl tro fel rhan o'r gwaith archwilio blynyddol, a chaiff y rhain eu hystyried fel rhan o'r rhaglen archwilio yn y dyfodol**

- 8.13 Fel y nodir uchod, mae'r archwilwyr yn parhau i nodi materion sy'n codi dro ar ôl tro fel rhan o'u gwaith archwilio arferol. Bydd yr Archwilydd Cyffredinol yn ymgorffori adolygiadau llywodraethu thematig o'r materion hyn fel rhan o'i raglen archwilio flynyddol.
- 8.14 Bydd y materion a nodir i'w hadolygu yn rhai a nodir yn gyffredin, neu'n rhai ac iddynt effaith bosibl sylweddol ar gynghorau cymuned a'u defnydd effeithiol o arian cyhoeddus.

**O ran cynghorau cymuned, bydd yr Archwilydd Cyffredinol yn cyflawni ei gyfrifoldebau o dan Ddeddf Llesiant Cenedlaethau'r Dyfodol 2015 mewn modd cymesur drwy integreiddio ei waith â'r broses archwilio statudol**

- 8.15 O dan Ddeddf Llesiant Cenedlaethau'r Dyfodol 2015 mae dyletswydd ar gynghorau cymuned yng Nghymru y mae eu hincwm neu eu gwariant gros dros £200,000 y flwyddyn i gymryd pob cam rhesymol tuag at gyflawni'r amcanion a geir yn y cynllun llesiant sy'n weithredol yn ei ardal. Bob blwyddyn ariannol, mae'n rhaid i gynghorau perthnasol gyhoeddi adroddiad ar y cynnydd y mae wedi'i wneud i gyflawni'r amcanion lleol.



8.16 Mae cyfrifoldebau ar yr Archwilydd Cyffredinol hefyd o dan y Ddeddf i gynnal archwiliad o bob corff cyhoeddus o leiaf unwaith bob pum mlynedd. Bydd yr Archwilydd Cyffredinol yn gweithredu mewn modd sy'n gymesur â maint y sector, ac nid yw'r manylion yn derfynol eto. Fodd bynnag, cynigiwn y dylid cynnal archwiliad cychwynnol yn ystod 2020-21.

**Nodir adolygiadau llywodraethu thematig yr Archwilydd Cyffredinol yn y dyfodol mewn cynllun pedair blynedd, er y gall hyn newid wrth i faterion ddod i'r golwg dros amser**

8.17 Amcan y trefniadau archwilio newydd a gyflwynwyd ar gyfer 2015-16 yw ystyried ac asesu effeithiolrwydd trefniadau llywodraethu cynghorau cymuned dros gyfnod o flynyddoedd. Bydd yr adolygiadau yn canolbwyntio ar themâu sydd wedi codi dro ar ôl tro fel rhan o'r cylch archwilio blynyddol a byddant yn helpu cynghorau i wella eu trefniadau lle y bo angen dros amser. Noda **Arddangosyn 13** fy amserlen arfaethedig bresennol ar gyfer themâu llywodraethu yn y dyfodol, er y gall y rhain newid dros amser.

**Arddangosyn 13 – Themâu llywodraethu yn y dyfodol**

Bydd themâu llywodraethu'r Archwilydd Cyffredinol yn y dyfodol ar gyfer cynghorau cymuned yn dilyn cynllun pedair blynedd yn fras, er y gall hyn newid wrth i faterion ddod i'r golwg

2017-18	2018-19	2019-20	2020-21
Effeithiolrwydd gwaith Archwilio Mewnol Defnyddio cronfeydd wrth gefn	Cydymffurfiaeth â Rheolau Sefydlog Dirprwyo i bwyllgorau	Defnyddio a137 o Ddeddf Llywodraeth Leol 1972 Trefniadau ar gyfer gwneud taliadau	Cyflogi staff Deddf Llesiant Cenedlaethau'r Dyfodol

## GETTING READY FOR THE 2017/18 AUDIT

1. The Auditor General for Wales in his publication 'Financial Management and Governance in Community Councils 2015-16' highlighted those matters that would feature in future thematic audit inspections. They are as follows:-

2017/18 – Effectiveness of Internal Audit and Use of Reserves

2018/19 – Compliance with Standing Orders and Delegation to Committees

2019/20 – Use of S137 Local Government Act 1972 and Arrangements for Making Payments

2020/21 – Employment of Staff and Well Being of Future Generations

2. In getting ready for the 2017/18 audit round it seems likely that the focus will be on the effectiveness of Internal Audit and it is possible that the external auditors will be looking for evidence of the work undertaken by Internal Auditors such as the checks they undertook, the documentation they inspected and the recommendations they submitted to the Council. It would be sensible in my view for the Council to request that the Internal Auditor provide a written report of the work undertaken which would represent good evidence of the work performed. The size and complexity of the report would obviously be dependent on the annual income and expenditure of the Council. One Voice Wales would suggest that the Internal Auditor should be provided with a schedule of duties which is included in this month's bulletin.

3. In relation to the use of reserves, Councils will need to have regard to the following guidance that is contained in the Practitioner's Guide to Governance and Accountability (Update). This Guide can be accessed on our website – the link is <http://www.onevoicewales.org.uk/OVWeb/UserFiles/Files/Governance/Practitioners%20Guide%202011.pdf>

**'Councils have no legal powers to hold revenue reserves other than those for reasonable working capital needs or for specifically earmarked purposes. Earmarked reserves, which are set aside for specific purposes and for savings for future projects, should be realistic and approved by the Council. It is generally accepted that general (un-earmarked) revenue reserves usually lie within a range of three to twelve months of gross expenditure. However, the amount of general reserve should be risk assessed and approved by the Council.'**

## GELLIGAER 2016/2017

<b>TOTAL 2016/2017</b>	<b>£83,003.18</b>	<b>£83,003.18</b>	<b>£0.00</b>	<b>£12,450.48</b>
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Date Received	Application No.	Description	Address	Total Amount Received	CIL	Surcharge	Comm / Town Council payment	No. of Council Tax properties @ 1st April 2016
03/06/2016	15/0675/FULL	Remediate the site and develop 32 residential dwellings (C3), associated vehicular and pedestrian access from the existing Cwm Calon site, formal landscaping, drainage, related infrastructure, engineering works and the relocation of an existing bus gate (Instalment 1 of 4 - 32 dwellings in total)	Land To The North Of Cwm Calon Penallta Hengoed	24768.81	24768.81	0.00	3715.32	
04/10/2016	15/0675/FULL	Remediate the site and develop 32 residential dwellings (C3), associated vehicular and pedestrian access from the existing Cwm Calon site, formal landscaping, drainage, related infrastructure, engineering works and the relocation of an existing bus gate	Land To The North Of Cwm Calon Penallta Hengoed	24768.80	24768.80	0.00	3715.32	7989
							0.00	
							0.00	
15/02/2017	15/0773/RM	Approve the matters of appearance, landscaping, layout and scale reserved under outline planning permission 15/0028/OUT (Erect a 3 or 4 bedroom detached dwelling)	Sheen Court, The Walk, Ystrad Mynach	8,696.77	£ 8,696.77	0.00	1304.52	
24/03/2017	15/0675/FULL	Remediate the site and develop 32 residential dwellings (C3), associated vehicular and pedestrian access from the existing Cwm Calon site, formal landscaping, drainage, related infrastructure, engineering works and the relocation of an existing bus gate	Land To The North Of Cwm Calon Penallta Hengoed	24,768.80	24,768.80	0.00	3715.32	

## Gelligaer Community Council CIL Expenditure Spreadsheet

Date	Full Description	CIL receipts received	Total Infrastructure Expenditure	CIL expenditure	Other Funding	Balance	Council in receipt of confirmation of CIL spend
30/06/2016	CIL Payment 2015/2016	800.00				800.00	
02/09/2016	Additional CIL payment 2015/2016	2,712.78				3,512.78	
	Welfare Playground, Cefn Road, Hengoed - Installation of pathway for access			3,512.78		0.00	Confirmation awaited
30/06/2017	CIL Payment 2016/2017	12,450.48				12,450.48	



# Gelligaer Community Council

Project Summary 2017/18

21st June 2017

Project No.	Project name	Description and comments	Date	Amount Pledged	Amount Paid	Amount Not Paid
366	Memorial Mr Graham Moore	Supply & install memorial at Cascade on grassed area, Pengam Rd near bus stop  Consent required from planning. Design to be confirmed  Trophy in his memory for " Player of the year" with local club  Change of name from Cascade Playing Field	2016/17	1,500		1,500
363	Bus shelter o/s Derwendeg Primary	Supply & install bus shelter o/s St Annes  <i>Local Government (miscellaneous Provision) Act 1953, s. 4</i>	2016/17	5,000		5,000
362.1	Solar Panel Installation	Remaining 2 schools in 2016: Derwendeg Primary & Tiryberth Primary p/fund CB362  <i>LGA 1972 s.137 / LG (Wales) Measure 2011 (well-being power)</i>	2016/17 estimate	10,622		10,622
358	Glan y Nant      Dec-16	Install 240 metres green fencing near Glan y Nant Memorial Hall Quote £13.5K GCC to fund £9,272 (AF sum rec'd £4228) Remaining 115 metres to be undertaken from underspend £3272 - Quote Received £9963 - Resolved additional £6,691  <i>LGA 1972 s.137 / LG (Wales) Measure 2011 (well-being power)</i>	2016/17  9,963	  9,963		  9,963
355	Christmas Lighting 2017 throughout the area of Gelligaer CC	Erect Christmas lighting throughout all wards  <i>LGA 1972 s.144 (encourage tourism/visitors)</i>	2017/18	10,000		10,000
353	Ystrad Mynach Christmas Market 2017	Contribution towards the Christmas Market to ensure its continuity  <i>LGA 1972, s.145 (provision of entertainment, festivals &amp; support of the arts)</i>	2017/18	2,000		2,000
348	Youth Club Cefn Hengoed	Rebuild/ Refurbishment of centre Technical services fees  <i>Local Government (Miscellaneous Provisions) Act 1976 s.19</i>	2016/17	3,520		3,520
342	Hanging Baskets at Ystrad Mynach	14.5 summer hanging basket throughout the town plus a planter of flowers attached to railings to the front of pier head building  <i>LGA 1972 s.144 (encourage tourism/visitors)</i>	2017/18	3,650		3,650
335	Family Day Trip Community 1st Areas Leaving at 9.30am £295 per coach for 2017	Fund 7 x 49 seater coaches for a family day trip to beach leaving at 9.30 o/s: Gelligaer Comm Centre (x2) Sat 5th Aug TYB Primary (x2) Sun 6th Aug 2017 (x1) Hengoed Comm Centre & (x1) Lindsay Club Sat 12th Aug 2017 (x1) Sat Penybryn Aug 19th 2017  <i>LGA 1972 s.137 / LG (Wales) Measure 2011 (well-being power)</i>	2017/18	2,065		2,065

<b>228</b>	Pantomimes throughout Gelligaer CC 2017 Cinderella	(1) Penybryn Village Hall (stage£100) Wed 06/12/17 6.30pm (2) Gelligaer Comm Centre Mon 11/12/17 Dec 6.00pm (3) Lyndsey Club Wed 13/12/17 5.30pm (4) TYB Primary Thurs 14/12/17 6.30pm (5) Lewis Girls Sunday Sun 17/12/17 2.30pm (6) Glanynant Memorial Hall Sun 17/12/17 7.00pm (7) Hengoed Community Centre Mon 18/12/17 Dec 5.30pm (8) Cascade Community Centre Thurs 21/12/17 5.30pm <i>LGA 1972, s.145 (provision of entertainment, festivals &amp; support of the arts)</i>	2017/18	4,680 100		4,680 100
<b>218</b>	Wild flower seed mix	Sowing at (1)Tiryberth park banking (2)by The Cross P/H (3) on triangular section near Derwendeg School (4)in the verge past Brynsiriol R/A <i>LGA 1972 s.137 / LG (Wales) Measure 2011 (well-being power)</i>	2017/18	1,250		1,250
<b>212</b>	Gelligaer Young Citizens (funded with Chairman)	A bi-annual event - awards presentation Cert's & £20-30 vouchers (max 10) <i>LGA 1972 s.137 / LG (Wales) Measure 2011 (well-being power)</i>	2017/18 certs & frames	120 75		0 0
<b>167</b>	Community Newsletter	Next issue - no. 10 (Summer/Autumn) Distribution <i>LGA 1972 s.142</i>	2017/18	1300 480		1,300 480
New Project	Cefn Hengoed Memorial	Install a memorial County member to contact planning & Mike Headington <i>War Memorials (LA Powers) Act 1923, s.1; as extended by LGA 1948 s.133</i>	2016/17	Quote Required		
New Project	Footpath next to no.16 The Walk Ystrad Mynach	Supply & installation of motobike inhibitor to replace kissing gate on path	2016/17	Quote Required		

**TOTAL**      **Pledged**    **Paid**    **Not Paid**  
56,325      0    56,130

### CIL Projects

Project No.	Project name	Description and comments	Date CIL	Amount Pledged	Amount Paid	Amount Not Paid
<b>367</b>	(i)Welfare Playground Cefn Road Hengoed	CIL 2015/16 Rec'd £3513-(i)1819= £1,694	2015/16			
		CIL 2016/17 £12,450	2016/17			
		Installation of pathway to access welfare	2015/16	1,819		1,819
		Quote agreed £1,819.24 Work to proceed				
(ii) Bryn Tce towards Alexander Road	Improve grassed parking area on Alexander Rd	2015/16				
	Awaiting quote					
<b>TOTAL</b>				<b>Pledged</b> 1,819	<b>Paid</b>	<b>Not Paid</b> 1,819

### Community Benefit Projects

Project No.	Project name	Description and comments	Date	Amount Pledged	Amount Paid	Amount Not Paid
362	Community Benefit	Glyngaer, Hengoed, YGG Bro Allta, YGG Penalltau & Ystrad Mynach Primary (including surveys on all 7 schools) Remaining 2 schools in 2016: Derwendeg Primary & Tiryberth Primary see 362.1 Plus part payment of remaining 2 schools project no.362.1  <i>LGA 1972 s.137 / LG (Wales) Measure 2011 (well-being power)</i>	2015/16 2016/17	32,822  2,378	32,822	0  2,378
361	Project (ii) Children's book Community Benefit	Children & parents to work with author, illustrator, publisher & printer to produce local history book (bilingual) for children in our area  Additional book launches & workshops £300  <i>LGA 1972 s.137 / LG (Wales) Measure 2011 (well-being power)</i>	2016/17 CB  2016/17	5,000  300	4,914  300	86  0
360	Project (iii) Compost toilet Community Benefit	Provide a disabled compost toilet at Parc Penallta  <i>LGA 1972 s.137 / LG (Wales) Measure 2011 (well-being power)</i>	2016/17 CB	8,000	8,000	0

**Total available £48,200**

<b>TOTAL</b>	Pledged <b>48,500</b>	Paid <b>46,036</b>	Not Paid <b>2,464</b>
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#### Ystrad Mynach Partnership donation to community council due to dissolution

Project No.	Project name	Description and comments	Date	Amount Pledged	Amount Paid	Amount Not Paid
111	Ystrad Mynach	Events & other projects £3161+ £341.50 fayre 2015 - tree	2016/17	3,503	640	2,863

<b>TOTAL</b>	<b>3,503</b>	<b>2,863</b>
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**From:** Tamplin Natalie [mailto:Natalie.Tamplin@gwent.pnn.police.uk]

**Sent:** 17 May 2017 13:09

**To:** Cllr. Angel, Alan; Cllr. Blackman, Mrs Anne; Cllr. Bolter, D; Cllr. Pritchard, Judith A.; Cllr. James, Martyn; Cllr. Woodyatt, R; Cllr. Morgan, Sean; Cllr. Higgs, Alan; Cllr. Carter, David; Cllr. Poole, David; Cllr. Price, Mrs Dianne; Cllr. Hughes, Graham; Harry Andrews; Cllr. David, Hefin; Cllr. Reynolds, K.V; Cllr. Dawson, Kevin; Cllr. Davies, D.T; Cllr. David, Wynne; Cllr. Cuss, Carl J.; Cllr. Hardacre, David; Cllr. Harse, David; Cllr. Stenner, Eluned; Cllr. Oliver, Gaynor D.; Cllr. Bevan, J; Cllr. Evans, Mark; Bargoed town Council Clerk; Darren Communit Council; Mortimer, Ceri (Gelligaer); Maesycwmmmer Community Council; Nelson Community Council; Rhymney Community Council

**Subject:** Gwent Police Update

Dear All

Gwent Police has recently undergone a promotion process for its Inspectors and Chief Inspectors. A number of staff in West Gwent were successful, and as a consequence I have made a number of changes to our staffing structure at Inspector level.

You will be aware that Insp James Neesam was asked to step into the role of Inspector in Caerphilly North in a temporary capacity following the promotion of Inspector Muirhead. James has worked incredibly hard over the past few weeks to ensure stability and consistency in our service, and I would like to thank him for all his efforts.

However, Inspector Andy O'Keefe will be taking up the position on a permanent basis from the 5<sup>th</sup> of June. Andy is a highly experienced Inspector who is moving to the North from his current position in Caerphilly South. He has a good knowledge of our County Borough and has excellent links with staff in the Local Authority and other partners. He has previously worked at Caerphilly North as a Sergeant and so has a good local knowledge of the area. I am sure he will be in touch with you once he takes up his position on the 5th of June.

Please be assured that the change in personalities does not alter our strategic focus to deliver the policing priorities set by the Police and Crime Commissioner, or our determination to continue protecting and reassuring the communities of the Bargoed and Rhymney areas.

Kind regards

Nick

Uwch-arolygydd, Superintendent Nick McLain  
Gorsaf Heddlu Coed Duon, Blackwood Police Station,  
Rhodfa Coed Duon, Blackwood Road,  
Pontllanfraith,  
Coed Duon, Blackwood,  
NP12 2XA  
Int: 7302000  
Ext: 01495 232200

**From:** Nesling, Carl

**Sent:** 18 May 2017 14:34

**To:** Highway, Andrew; Cllr. Angel, Alan; Cllr. James, Martyn; Wallen, Paul; Reed, Margaret; Claire Young; Ian Muirhead ([Ian.Muirhead@gwent.pnn.police.uk](mailto:Ian.Muirhead@gwent.pnn.police.uk)); Jenna Price; Nicholas. Mancino@gwent.pnn. police. uk ([Nicholas.Mancino@gwent.pnn.police.uk](mailto:Nicholas.Mancino@gwent.pnn.police.uk)); Rebacca Chivers; Richard Williams; Wayne Powles

**Subject:** Ystrad Mynach CCTV System

Hi

The Surveillance Camera Commissioner has put a responsibility on Local Authorities to justify any deployment of surveillance cameras via a Privacy Impact Assessment (P.I.A). Such assessments are now required before deploying any new cameras and for assessing the continuing need for existing cameras. PIA's consider whether there is a justified need for the deployment of cameras, for example serious, frequent antisocial behaviour. It also considers the impact on those subjected to the surveillance, whether such actions are proportionate to the problem they aim to address and if other less intrusive measures have been considered e.g., improved lighting, gating, warden patrols, increased police patrols etc.

The system at Ystrad Mynach are now due for its annual review and I am contacting all relevant / interested parties for their views on CCTV to enable us to make an assessment on the continued use of CCTV. Attached are some statistical information for your area in previous 12 months 01/04/16 to 31/03/17.

Please note the PIA is a document published on the CCBC website under the CCTV section and will include your comments. Email addresses and phone numbers will be removed.

CCTV Control Room – Ystrad Mynach

2076 targeted CCTV patrols carried out by operators  
8 incidents reported to police by CCTV  
109 incidents monitored by CCTV not requiring police attendance  
66 police requests for assistance for live incidents  
9 police requests to view retrospective CCTV footage after incident has already occurred.  
16 DVD's provided for evidential purposes.  
96% Persons in favour of CCTV (Survey Ystrad Mynach November 2016)

Police.uk website

For period 01/04/16 to 31/03/17 there were 682 recorded incidents in the ward of Ystrad Mynach with 82 incidents in or near the area of the cameras.

I would appreciate if you could confirm by return email your views on the requirement for CCTV.

Thanks

**Carl Nesling**

Swyddog Diogelwch Cymunedol Cynorthwyol | Assistant Community Safety Officer  
Cyngor Bwrdeistref Sirol Caerffili | Caerphilly County Borough Council

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☎ 01443 873770

✉ [neslic@caerphilly.gov.uk](mailto:neslic@caerphilly.gov.uk)

Dear Clerk

19<sup>th</sup> April 2017

### Motions for 2017 Annual General Meeting

Member councils are invited to propose a **maximum of two** motions for debate at the AGM on Saturday 30<sup>th</sup> September 2017, which must arrive at this office **no later than noon on Friday 30<sup>th</sup> June 2017** for consideration by the Conference Agenda Committee.

#### Please note the following:

#### For motions to be acceptable, the following requirements must be met

A motion must reflect a national issue or problem – One Voice Wales cannot take forward motions that are only relevant to one particular area. (Local issues/matters can be dealt with at Area Committee meetings.)

Each motion **must** be accompanied by a short explanatory note (not exceeding 150 words) in order that the Agenda Committee can fully understand the points being made.

The Motions Committee will sit in early July and councils will be notified of the Committee's decisions by the middle of July.

If a motion is accepted but amendments to it are proposed by the Committee, the relevant council(s) will be contacted. There will be a three week period for the council either to accept the recommendations or submit a new version; otherwise the amended motion will be put forward.

If your Council's motion is accepted then you must provide the name of both your proposer and a seconder (who must be from another council) no later than three weeks prior to the AGM taking place. We will remind councils in early September of this requirement.

Both the proposer and seconder must be present at the AGM for the motion(s) to be debated. Please note that they will be allowed a **maximum of 3 minutes** each to both propose and second your motion.

The final list of agreed motions will be issued to councils in time for their September 2017 meetings in order for councils to have time to consider whether they wish their delegates to adopt a particular stance in relation to the vote (or whether to allow them to arrive at a judgement following the appropriate debate).

Yours sincerely



Mr Lyn Cadwallader  
Chief Executive, One Voice Wales

*Llais Cyngorau Cymuned a Thref yng Nghymru - The Voice of Community and Town Councils in Wales*

Ebost/Email: [gweinydd@unllaiscymru.org.uk](mailto:gweinydd@unllaiscymru.org.uk) / [admin@onevoicewales.org.uk](mailto:admin@onevoicewales.org.uk)  
Gwefan/Website: [www.unllaiscymru.org.uk](http://www.unllaiscymru.org.uk) / [www.onevoicewales.org.uk](http://www.onevoicewales.org.uk)

**Llywydd Anrhydeddus / Honorary President: Caerwyn Roberts OBE JP FRAGS**



Un Llais Cymru



One Voice Wales

**Model Local Resolution Protocol  
for Community and Town Councils**







# **ONE VOICE WALES**

## **Model Local Resolution Protocol for Community and Town Councils**

### **Background**

The Public Service Ombudsman has agreed to the principle of referring some complaints against Members back to Community and Town Councils for a local resolution. However to date there has not been a common process for Community and Town Councils to follow in dealing with such matters. To assist the sector, One Voice Wales has drawn up the following as a model protocol which any Community and Town Council can use in dealing with such complaints.

This model protocol is meant as a starting point for Community and Town councils. Individual councils may wish to add or amend this model to suit their particular needs. Councils wishing to use this process should first of all be clear about its purpose and intention, formally adopt it in its current or in a revised form and ensure that all Councillors are provided with a copy for their attention. The Council should then determine the framework through which it is operated which may require the establishment of a Committee or Panel or an extension of the terms of reference of an existing Panel or Committee such as a Complaints Panel or Committee. In the case of establishment of a new Panel it is important that terms of reference are prepared and approved by the Council. In either case it will be important for Councils to document in the terms of reference as to what will happen if there is a lack of co-operation shown by the member concerned or a breakdown occurring during the operation of the process. For example, in such cases the default position might be that the matter is referred to the Public Ombudsman for Wales.

### **The Local Resolution Process**

#### **Issues which should be considered under this process**

Low level complaints about Members, including:

- Minor complaints from Members about Members
- Minor complaints from Officers about Members
- Members alleged to have not shown respect and consideration for others – either verbally or in writing

## **Issues which should not be considered under this process**

Complaints which must be directed to the Public Services Ombudsman for Wales, including:

- Complaints instigated by a member of the public
- Serious complaints – breaches of the Code of Conduct/failure to disclose interests/bullying/abuse of position or trust/repeated breaches
- Complaints made by the Clerk/Proper Officer
- Vexatious, malicious or frivolous complaints
- Members' complaints about officers which should be dealt with using the Council's internal complaints process
- Repetitive low level complaints

## **The Process**

### **The complaint**

The complaint would need to be sent to the Clerk/Proper Officer of the Council to undertake a first sift to ensure that the complaint is at a low level and should not be dealt with by way of a complaint to the Ombudsman. If appropriate, therefore, the Clerk/Proper Officer should firstly seek an early resolution of any such dispute by liaising informally with the individual members concerned prior to the resolution process described below. It is vitally important that the 'accused' member is given full details of the complaint against them so that in the interests of natural justice they are in a position to prepare their response to the accusation.

### **Resolution Process**

The involvement of the Chair/Vice Chair of the Council in the following process is not to adjudicate on the complaint, but to attempt to get the members/officers involved to come to an agreement as to how the issue(s) could be resolved on an amicable basis.

The Clerk/Proper Officer will act as a facilitator for the resolution process below.

If the complaint is between Members other than the Chair of the Council, the Clerk/Proper Officer and the Chair will meet individually with the complainant and Member subject of the complaint to seek an agreed resolution.

If the complaint is between Members, one of whom is the Chair of Council, but not the Vice Chair, the Clerk/Proper Officer and the Vice Chair will meet with the complainant and Member subject of the complaint to seek an agreed resolution.

If the complaint has been made by an officer/employee, but not the Clerk/Proper Officer, against a Member other than the Chair of Council, the Clerk/Proper Officer and the Chair of Council will meet with the officer and the Member subject of the complaint to seek an agreed resolution.

If the complaint has been made by an officer/employee, but not the Clerk/Proper Officer, against the Chair of Council, the Clerk/Proper Officer and the Vice Chair of Council will meet with the officer and the Chair to seek an agreed resolution.

If the complaint has been made by the Clerk/Proper Officer, then it is likely to be best practice that this complaint is forwarded by way of a complaint to the Ombudsman.

### **Possible results of the process**

If an agreement is reached by Members and/or officers during this Stage then no further action is required.

If agreement cannot be reached the aggrieved Member/officer would always have the opportunity of referring the matter to the Ombudsman.

Examples of agreements might include issue of a letter of apology, a written undertaking or commitment not to breach the Code of Conduct in the future, a commitment to undertake training or an agreement that on the basis of the evidence that no further action should be taken and the matter be closed.

### **Time for the process**

It is the intention that all of the processes can be completed as quickly as possible to resolve the issue. However exact timing will depend on the availability of individuals to attend the meetings.

## ***Important Points to Note in preparing a process for use by the Council***

*The Clerk/Proper officer, Chair and Vice Chairs of Councils should consider receiving appropriate training in facilitation and mediation to be in a position to maximise the benefit of this process. Councils wishing to pursue this route should contact One Voice Wales for guidance.*

*Councils might want to include some guidance where complaints which are most appropriately dealt with under this process are referred back to the Council by PSOW. The PSOW could actively do this if the Council has an approved process.*

*It is suggested that any meetings held with a view to discussing the issues of complaints and/or resolving matters are at the very least minuted, if not recorded. This is to ensure that agreements are captured. This will also be useful in the event that matters break down or escalate and need to be referred to the PSOW. It may also be useful as evidence in the event of further similar breaches of the conduct and future conduct.*

*Councils need to be clear on their powers in respect of code of conduct matters. The Ombudsman has seen examples of councils who have deemed it appropriate to fully investigate a code complaint, decide that there has been a breach and some have even thought it appropriate to consider the issue of a sanction. Investigations of possible breaches of the Code are matters for the Ombudsman. The Local Government Act 2000 gives him the authority to carry out such investigations. The Council has no legal authority to undertake such investigations or to make findings of a breach of the Code of Conduct, which are decisions that can only be reached by a Standards Committee or the Adjudication Panel for Wales.*



## **ABOUT ONE VOICE WALES**

One Voice Wales is the national representative organisation for Community and Town Councils throughout Wales. The vision subscribed to by One Voice Wales is:

***“Working with local councils in Wales to shape places communities want to live in”***

One Voice Wales aims to support Community and Town Councils in achieving this vision and has adopted the following Mission Statement to guide its work:

***“To represent the interests of Community and Town Councils; raise awareness and understanding of this primary tier of government; and work collaboratively with our partners to ensure the sector contributes fully to the goal of developing dynamic and sustainable communities in Wales.”***

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