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CYNGOR SIR
YNYS MÔN
ISLE OF ANGLESEY
COUNTY COUNCIL

Mr Dylan J. Williams
Prif Weithredwr – Chief Executive
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RHYBUDD O GYFARFOD	NOTICE OF MEETING
PWYLLGOR LLYWODRAETHU AC ARCHWILIO	GOVERNANCE AND AUDIT COMMITTEE
DYDD IAU, 5 RHAGFYR 2024 am 10:00 y. b.	THURSDAY, 5 DECEMBER 2024 at 10.00 am
YSTAFELL BWYLLGOR, SWYDDFEYDD Y CYNGOR AC YN RHITHIOL DRWY ZOOM	COMMITTEE ROOM, COUNCIL OFFICES AND VIRTUALLY VIA ZOOM
Swyddog Pwyllgor	Ann Holmes 01248 752518 Committee Officer

AELODAU / MEMBERS

Cynghorwyr / Councillors:-

PLAID CYMRU / THE PARTY OF WALES

Geraint Bebb, Trefor Lloyd Hughes, MBE, Sedd Wag/Vacant Seat, Eurnyn Morris (**Deputy Chair**), Margaret M. Roberts

Y GRWP ANNIBYNNOL / THE INDEPENDENT GROUP

Ieuan Williams

LLAFUR CYMRU/WELSH LABOUR

Keith Roberts

ANNIBYNNWYR MÔN / ANGLESEY INDEPENDENTS

Liz Wood

AELODAU LLEYG / LAY MEMBERS

Dilwyn Evans (**Chair**), William Parry, Sharon Warnes, Michael Wilson

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A G E N D A

1 **DECLARATION OF INTEREST**

To receive any declaration of interest by any Member or Officer in respect of any item of business.

2 **MINUTES OF THE PREVIOUS MEETING** (Pages 1 - 8)

To present the minutes of the previous meeting of the Governance and Audit Committee held on 19 September 2024.

3 **GOVERNANCE AND AUDIT COMMITTEE ACTION LOG** (Pages 9 - 12)

To present the report of the Head of Audit and Risk.

4 **TO NOMINATE TO THE NORTH WALES CORPORATE JOINT COMMITTEE** (Pages 13 - 22)

To present the report of the Director of Function (Council Business)/ Monitoring Officer.

5 **PUBLIC SERVICES OMBUDSMAN FOR WALES (PSOW) ANNUAL LETTER 2023/24** (Pages 23 - 40)

To present the report of the Director of Function (Council Business)/ Monitoring Officer.

6 **UPDATE ON THE GOVERNANCE AND AUDIT COMMITTEE'S EFFECTIVENESS REVIEW ACTION PLAN** (Pages 41 - 46)

To present the report of the Head of Audit and Risk.

7 **INTERNAL AUDIT UPDATE** (Pages 47 - 54)

To present the report of the Head of Audit and Risk.

8 **UPDATE ON THE COUNCIL'S WORK TO DELIVER THE NET ZERO STRATEGIC PLAN IN 2023/24** (Pages 55 - 72)

To present the report of the Deputy Chief Executive.

9 **ANGLESEY SCHOOLS ANNUAL INFORMATION GOVERNANCE ASSURANCE REPORT 2024** (Pages 73 - 98)

To present the report of the Director of Education, Skills and Young People.

10 **ANNUAL CORPORATE HEALTH AND SAFETY REPORT 2023/24** (Pages 99 - 120)

To present the report of the Head of Regulation and Economic Development.

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11 **EXTERNAL AUDIT - MONITORING REPORT** (Pages 121 - 136)
To present the report of the Head of Profession (HR) and Transformation.

12 **EXTERNAL AUDIT: AUDIT WALES PROGRAMME AND TIMETABLE QUARTERLY UPDATE** (Pages 137 - 152)
To present the report of Audit Wales.

13 **REVIEW OF FORWARD WORK PROGRAMME** (Pages 153 - 160)
To present the report of the Head of Audit and Risk.

14 **EXCLUSION OF THE PRESS AND PUBLIC** (Pages 161 - 162)
To consider adopting the following: -

“Under Section 100(A)(4) of the Local Government Act 1972, to exclude the press and public from the meeting during the discussion on the following item on the grounds that it may involve the disclosure of exempt information as defined in Schedule 12A of the said Act and in the attached Public Interest Test”.

15 **ANNUAL ICT SECURITY REPORT 2023/24** (Pages 163 - 178)
To present the report of the Head of Profession (HR) and Transformation.

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GOVERNANCE AND AUDIT COMMITTEE

Minutes of the meeting held in the Committee Room and on Zoom on 19 September, 2024

- PRESENT:** Mr Dilwyn Evans (Lay Member) (Chair)
Councillor Margaret M. Roberts (Deputy Chair for this meeting only)
- Councillors Trefor Lloyd Hughes, MBE, Keith Roberts.
- Lay Members: Sharon Warnes, William Parry, Michael Wilson.
- IN ATTENDANCE:** Director of Function (Resources) and Section 151 Officer
Head of Internal Audit & Risk (MP)
Head of Housing Services (NM) for item 5)
Head of Profession (HR) and Transformation (CE) (for item 4)
Business and Performance Manager (Learning) (AH) (for item 4)
Data Protection Officer and Corporate Information Governance Manager (HP) (for items 4 and 5)
Chief Public Protection Officer (TO) (for item 4)
Principal Auditor (NW)
Committee Officer (ATH)
Webcasting officer (FT)
- APOLOGIES:** Councillors Geraint Bebb, Dyfed Wyn Jones, Euryn Morris, Ieuan Williams, Liz Wood.
- ALSO PRESENT:** Councillor Robin Williams (Deputy Leader & Portfolio Member for Finance), Alan Hughes (Performance Audit Lead – Audit Wales), Rachel Freitag (Financial Audit Manager – Audit Wales), Andrew Lewis (Senior Internal Auditor)

In the absence of Councillor Euryn Morris the Deputy Chair, Councillor Margaret M. Roberts was elected to serve as Deputy Chair for this meeting of the Governance and Audit Committee.

1. DECLARATION OF INTEREST

No declaration of interest was received.

2. MINUTES OF THE PREVIOUS MEETING

The minutes of the previous meeting of the Governance and Audit Committee held on 18 July, 2024 were presented and were confirmed as correct.

3. GOVERNANCE AND AUDIT COMMITTEE ACTION LOG

The report of the Head of Audit and Risk incorporating the committee action log was presented for consideration. The report updated the Committee on the status of the actions/decisions it had agreed upon since the introduction of the action log at the 18 April 2024 meeting.

The Head of Audit and Risk referred to the action numbered eight on the log and advised that the Chief Digital Officer has been asked to arrange for a specialist from the WLGA to brief the committee on Artificial Intelligence and the measures that can be taken to mitigate the risks in relation to this developing area of technology.

With regard to the action numbered twelve on the log, the Director of Function (Resources)/ Section 151 Officer clarified the requirements regarding the General Power of Competence and advised that the Local Government and Elections (Wales) Act 2021 provides councils in Wales with a new power of competence which gives local authorities the power to do anything that an individual could lawfully do, for example to enter into commercial ventures and to innovate. This power has been available and exercised by local authorities in England for some time. The Isle of Anglesey County Council has not used the power to date and does not envisage doing so at present. A decision to do so would have to have the Executive's approval based on advice and due process. As there is no immediate intention to use the GPC it is not considered a training priority for Members.

It was resolved to note the actions detailed in the action log table and to confirm that the Committee is content that the actions have been implemented to its satisfaction.

4. INFORMATION GOVERNANCE: ANNUAL REPORT OF THE SENIOR INFORMATION RISK OWNER (SIRO) 2023/24

The report of the Director of Function (Council Business)/Monitoring Officer providing an analysis of the key information governance issues for the period 1 April 2023 to 31 March 2024 including current information risks and mitigations, was presented for the committee's consideration. The report provided the Senior Information Risk Owner's statement and overview of the Council's compliance with legal requirements in handling corporate information and compliance with the UK GDPR, Data Protection Act 2018, Freedom of Information Act 2000, Regulation of Investigatory Powers Act 2000 (Surveillance) and relevant codes of practice.

The report was introduced by the Data Protection Officer and Corporate Information Governance Manager who highlighted the key points with regard to contact with external regulators, security incidents, breaches of confidentiality and/or near misses during the period.

At the invitation of the Chair, Officers on behalf of the Learning, Public Protection, Resources and Information Technology services gave account of the reasons for their services' late responses to Freedom of Information Act (FOIA) requests during the reporting period and the remedial actions being taken to achieve the expectations of the Information Commissioner's Office that 90% of FOIA requests are answered within twenty working days. The lack of a dedicated resource to manage FOIA requests within services, the complexity of requests and having to balance retrieving and providing the information for applicants with day-to-day operational duties were cited as reasons for not responding promptly to FOIA requests in all instances.

The following were points of discussion by the committee –

- The responsibility within the Council for assigning FOI requests to various service areas and whether the timeline for responding applies from when the request is received centrally by the Council or from when it is allocated to the service and/or information holder.
- The process with regard to the twenty-nine subject access requests which are on hold pending confirmation or clarification regarding the identity of the applicants.

- Whether the Council is responsible for ensuring that the partner organisations, external bodies, and/or companies it works with, is contracted to, or operate on its behalf comply with GDPR and data protection requirements.

The Committee was further advised as follows –

- That while FOIA requests are normally received and distributed centrally by the Data Protection Officer and Corporate Information Governance Manager’s team, an FOIA request may on occasion be embedded in ongoing correspondence or a general enquiry in which case it would be forwarded to the central team. The first day of the twenty working days timeline commences the day following the day on which the FOIA request is received. The Council has been developing the CRM system as a means of hosting and managing the administration of the FOIA and complaints processes. It is envisaged that using the CRM system to manage the contact relationship between the central team and officers will result in improved performance.
- That there is no requirement on the Council to process the twenty-nine subject access requests currently on hold unless the applicant is able to prove their identity as to disclose information to an individual who is not entitled to receive it is unlawful. Most of the requests are on hold because the applicant has failed to provide the Council with evidence of identity. The requests will be deleted after a period of time as they are not valid and cannot be actioned without breaching the same law which the Council is seeking to uphold.
- That the Council is responsible for ensuring that its GDPR and data protection responsibilities extend along the chain when contracting for services. The legislation imposes a duty on the Council to ensure that in cases where it commissions another body to provide a service which involves the processing of personal data an agreement is put in place which places the same responsibilities for managing information risks and ensuring the security of the data on the body so commissioned, and on any sub-contractors which the body may engage. While there is no legal requirement for such an agreement in instances where the Council works in partnership with other councils and/or charities, there is an expectation that the same standards of data protection are adhered to. In addition, the Council should when procuring services from other providers assure itself that cyber risks have been considered and that it only procures from companies that operate to a high level of data protection and cyber security.

It was resolved to accept the report and to approve the recommendation that the SIRO and the Council’s senior leaders are provided with regular updates on cyber risks and mitigations so that informed, strategic decisions relating to the constant cyber threat to the integrity and confidentiality of the Council’s data assets can be made promptly and effectively.

5. ANNUAL CONCERNS, COMPLAINTS AND WHISTLEBLOWING REPORT 2023/2024

The report of the Director of Function (Council Business)/Monitoring Officer setting out issues arising under the Council’s Concerns and Complaints Policy along with the number of whistleblowing disclosures made under the Council’s Whistleblowing Policy for the period 1 April, 2023 to 31 March, 2024 was presented for the committee’s consideration. The report included Social Services complaints but only those where the complainant was not a service user. Social Services user complaints are dealt with separately under the Social Services Policy – Representations and Complaints Procedure for Children and Adults which are reported annually to the Corporate Scrutiny Committee.

The report was presented by the Data Protection Officer and Corporate Information Governance Manager who provided an overview of the key points from the way complaints

and concerns were dealt with by the Council's services under its formal Concerns and Complaints Policy during 2023/24. He also updated the committee on the development of the CRM as a means of hosting and managing the complaints process which will provide services with real time information regarding their performance via a dashboard that will be available to Senior Managers and Leaders thereby enabling them to access on a daily basis, data in relation to complaints, timescales and the progress of responses.

Having been invited by the Chair to account for the high number of concerns and complaints recorded against Housing Services, the Head of Service explained that the highest level of engagement with the public occurs through Housing Services by virtue of the service's function in managing the Council's housing stock which involves regular interaction with tenants and housing applicants. Given this level of contact, the potential for and volume of comments and complaints received by the Housing Service is therefore likely to be greater than for other services. The Head of Housing Services assured the committee that the service's Performance Team is focusing on complaints handling as an area where improvements can and are being made particularly with regard to communication with poor communication having been recorded as the most common cause of complaints against the service and that he was hopeful that the report for 2024/25 would reflect the improvement.

The following were points of discussion by the Committee –

- In noting that Social Services user complaints are dealt with separately under the relevant statutory processes and reported elsewhere, members suggested that it would be helpful in enabling the Governance and Audit Committee to obtain a complete council wide picture of complaints management, for the committee to be provided with and for the annual report to include, the headline figures for Social Services complaints and concerns.
- The length of time taken by the Public Services Ombudsman for Wales (PSOW) to determine complaints against elected members. A member noted that two of the five code of conduct complaints against elected members during 2023/24 continue to be investigated (the other three having been closed after initial assessment without any investigation) and was concerned by the impact of the delay and lack of resolution both on the members concerned and on the complainants. The concern was noted and following further discussion it was agreed that it would be appropriate for the concern to be brought to the attention of the Standards Committee.

With regard to Social Services user complaints the Committee was further advised by the Data Protection Officer and Corporate Information Governance Manager that in principle information about Social Services user complaints could be included in the annual report to assist the committee gain a view of the complaints position and management across the organisation with the proviso that comparison is not feasible as the Social Services complaints procedure, policy and timescales differ from those for the Council's Corporate Concerns and Complaints Policy.

It was resolved –

- **To accept the report as providing reasonable assurance that the Council is compliant with the processes required under its Concerns and Complaints Policy and Whistleblowing Policy.**
- **To note the information provided by the services to the Corporate Information and Complaints Officer in the Lessons Learnt Table at Appendix 2 to the report and to confirm that the Governance and Audit Committee is satisfied with the level of detail captured.**

Additional Actions –

- **The Annual Concerns, Complaints and Whistleblowing Report for 2024/25 to the committee to include salient information regarding Social Services service user concerns and complaints.**
- **The concern expressed with regard to the delay in the PSOW process in relation to the complaints against two elected members be referred to the attention of the Standards Committee.**

6. ANNUAL TREASURY MANAGEMENT REVIEW 2023/24

The report of the Director of Function (Resources)/Section 151 Officer which provided a review of treasury management activity in 2023/24 was presented for the Committee's consideration. The report set out the key treasury management issues in the reporting period and provided a comparison of performance against the 2023/24 Treasury Management Strategy and the Prudential Indicators.

The report was presented by the Director of Function (Resources)/Section 151 Officer who summarised the key points with regard to the external context, the Council's capital expenditure and financing during the year, its reserves and cash balances position, borrowing and investment activities, and compliance with prudential indicators confirming that the performance was in line with strategy and indicators.

The following were points of discussion by the committee –

- The reduction in school balances and the implications for schools going forward.
- The use of the present tense in the report as well as references to occurrences since the reporting period when the report is documenting activities, and performance from the previous year, 2023/24.

The Committee was further advised as follows –

- That school balances have fallen during 2023/24 from £6.7m to £5.5m with schools having used their available balances to set a balanced budget. Smaller schools with fewer pupils are more likely to experience difficulties as a result of reduced funding as they have limited flexibility as regards class sizes. Schools in deficit are required to have a financial recovery plan and for some schools the deficit will be reversed naturally as pupil numbers increase. It is envisaged that schools will further utilise their balances in 2024/25 and if the financial position and outlook remain unchanged then it is likely that school balances will continue to decrease. An aggregate deficit on school balances would show as a liability on the Council's accounts and would reduce the Council's overall balances of which they form a part.
- That some sections of the report e.g. the review of the economy derive directly from advice provided by the Council's Treasury Advisors who provide the Council with an economic update which might account for a variation in tense. The report will be reviewed ahead of its submission to the Executive and Full Council to ensure that the information is conveyed clearly and correctly and the use of tense is appropriate.

It was resolved to note the annual treasury management report for 2023/24 and to forward the report to the Executive without further comment.

Additional action – the Annual TM report to be reviewed to ensure tense consistency and clarity.

7. ANNUAL COUNTER FRAUD, BRIBERY AND CORRUPTION REPORT 2023/24

The report of the Head of Audit and Risk setting out the activity carried out by Internal Audit during 2023/24 to minimise the risk of fraud, bribery and corruption occurring within and against the Isle of Anglesey County Council was presented for the committee's consideration. The report provided an assessment of the effectiveness of the Council's arrangements to minimise the risk of fraud and its progress in responding to the Auditor General's recommendations and highlighted current areas of fraud risk and the challenges and opportunities going forward. A delivery of counter fraud, bribery, and corruption action plan 2022-2025 was included as Appendix 2 to the report.

The following were points of discussion by the committee –

- Whether the regional counter fraud working group, a sub-group of the North and Mid-Wales Audit Partnership will be replicated on Anglesey to examine fraud, bribery, and corruption issues at local level.
- The ways in which the CRM system and the STAR programme which is aimed at improving procurement processes within the Council might support counter-fraud activity.

The committee was further advised as follows –

- That the regional counter fraud working group was established to work collaboratively to address the recommendations of the Auditor General that applied to local government by way of sharing information, data, and learning. The working group has been developing a template of best practice for counter fraud arrangements which will be submitted to the next meeting of the North and Mid Wales Audit Partnership for approval. Internally within the Council, the aim is to designate counter fraud champions within each service who would work together to share experiences and raise awareness of areas where there is a risk of fraud. Using their local knowledge of each service and supported by Internal Audit's expertise, they would identify where fraud could be occurring and take appropriate action.
- That STAR Consultancy will be working to develop declaration of interest requirements to ensure that interests are declared in all procurement contracts. The Customer Relationship Management system (CRM) will host the fraud reporting tool whereby people will be able to report fraudulent activities using the Council's website after which they will be logged and tracked via the CRM.

It was resolved to note the activity carried out during 2023-24 to minimise the risk of fraud, bribery and corruption occurring within and against the Council along with the assurance provided on the effectiveness of the Council's arrangements to minimise the risk of fraud.

8. INTERNAL AUDIT UPDATE

The report of the Head of Audit and Risk providing an update as at 31 August, 2024 on the audits completed since the previous update as at 30 June 2024 was presented for the committee's consideration. The report also set out the current workload of Internal Audit and its priorities for the short to medium term going forward. Members of the committee were provided under separate cover with copies of the assurance reports finalised in the period in relation to Direct Debit Management (Reasonable Assurance) and Continuous Monitoring – Duplicate Payments (Reasonable Assurance).

The Head of Audit and Risk provided an overview of the report and referred to the progress made by the Payments Team through key improvements in internal controls, to reduce duplicate invoice payments confirming that a further review is planned in twelve months to continue monitoring improvement efforts.

A point of discussion by the committee was the treatment of duplicate payments in the Council's accounts.

The Director of Function (Resources)/Section 151 Officer advised that once a duplicate payment has been detected and confirmed, the supplier would be notified and in the case of regular suppliers the funds would be recovered by ongoing payments. Occasional suppliers to the Council might provide a credit note which would remain on the system until payments have been made equal to the value of the credit note. For a one-off supplier, an invoice would be raised and would remain on the debtors file until paid. In response to a further question about bad debts, the Section 151 Officer clarified that in instances where debts have not been paid a bad debt provision is calculated based on the age and value of the debt. The carrying value of the provision is compared with the debt and increased/decreased accordingly and then credited or debited to the revenue account and the service to which the debt relates is charged in the year. Debts are written off against the provision and if the provision is insufficient the excess is charged back to the service.

It was resolved to note the outcome of Internal Audit's work, the assurance provided and priorities going forward.

9. OUTSTANDING ISSUES, RISKS AND OPPORTUNITIES

The report of the Head of Audit and Risk which set out the Council's performance in addressing outstanding actions was presented for the committee's consideration.

The report was presented by the Principal Internal Auditor who updated the committee on the status of the outstanding risks that Internal Audit has raised.

It was resolved to note the Council's progress in addressing the outstanding Internal Audit issues/risks/opportunities as satisfactory.

10. EXTERNAL AUDIT: AUDIT WALES PROGRAMME AND TIMETABLE QUARTERLY UPDATE (Q1 2024/25)

The report of Audit Wales providing an update as of 30 June 2024 on its work programme and timetable in relation to work at the Isle of Anglesey County Council and nationally, was presented for the Committee's information. The report also provided an overview of the regulatory work being undertaken by Estyn and CIW.

Ms Rachel Freitag, Audit Wales Financial Audit Manager and Mr Alan Hughes, Audit Wales Performance Audit Lead brought the Committee up to date on the progress of the delivery of Audit Wales's work programme with regards to the financial audit work and performance audit work outlined in the report.

The Head of Audit and Risk advised with regard to the reference in the introductory report to the Thematic Review of Unscheduled Care, that the outcome of this work would now be reported to the November meeting of the Partnership and Regeneration Scrutiny Committee which representatives of the BCUHB would be attending.

It was resolved to note the report and the assurance provided.

11. REVIEW OF FORWARD WORK PROGRAMME

The report of the Head of Audit and Risk incorporating the Committee's updated Forward Work Programme and Training Programme for 2024/25 was presented for the Committee's consideration.

In response to a question about there being no scheduled meeting of the committee in the period from September to December 2024, the Director of Function (Resources)/Section 151 Officer updated the committee on the timetable and arrangements for the submission and sign-off of the audited accounts to this committee and Full Council which may require the Governance and Audit Committee to meet towards the end of November. The options are being considered dependent on when the audit of the accounts is concluded.

It was resolved to accept the Forward Work Programme 2024/25 as meeting the Committee's responsibilities in accordance with its terms of reference.

**Mr Dilwyn Evans
(Chair)**

DRAFT

ISLE OF ANGLESEY COUNTY COUNCIL	
Report to:	Governance and Audit Committee
Date:	5 December 2024
Subject:	Governance and Audit Committee Action Log
Head of Service:	Marc Jones Director of Function (Resources) and Section 151 Officer MarcJones@anglesey.gov.wales
Report Author:	Marion Pryor Head of Audit and Risk MarionPryor@anglesey.gov.wales
Nature and Reason for Reporting: This report informs the members of the Governance and Audit Committee about the status of the actions / decisions it has agreed upon.	

1. Introduction

- 1.1. This action log is updated prior to each meeting to enable the Committee to monitor the progress and completion of the actions/decisions it has agreed upon.

2. Recommendation

- 2.1. That the Governance and Audit Committee notes the actions detailed in the following table and is content that the actions have been implemented to its satisfaction.

Governance and Audit Committee Action Log

No.	Date of Meeting	Agenda Item	Action	Action Owner	Action Taken	Status
4	18/04/24	8	The format and content of future reports regarding national reviews and their related recommendations be amended as suggested.	Corporate Planning and Performance Manager	Next report due December 2024. A new shorter format with a summary of recommendations status will be presented at the meeting. Ongoing work with 4action for future reports is continuing.	Completed.
6	18/04/24	13	The Annual Cyber Security Report in future include instances (if any) where the Council's IT / cyber security defences have been penetrated and the remedial actions taken.	IT Manager	Report submitted to the meeting on 5 December 2024 includes instances where the Council's IT / cyber security defences have been penetrated and the remedial actions taken.	Completed.
8	27/06/24	7	Head of Audit and Risk to schedule a session on risk mitigation and an introduction to Artificial Intelligence within the Committee's training programme for 2024/25.	Head of Audit and Risk	The Chief Digital Officer will provide the Committee with a briefing on Artificial Intelligence and the measures that can be taken to mitigate the risks in relation to this developing area of technology. The Committee's preference for the format and timing of this briefing will be discussed with the Committee at its meeting on 5 December 2024.	To be confirmed.

No.	Date of Meeting	Agenda Item	Action	Action Owner	Action Taken	Status
9	27/06/24	7	A further update on the Committee's Effectiveness Review Action Plan be presented at the end of six months.	Head of Audit and Risk	The Head of Audit and Risk presented an update to the Governance and Audit Committee at its meeting on 5 December 2024.	Completed.
10	27/06/24	9	Monitoring the number of people in economic inactivity be included as part of the Council's population trends dataset.	Corporate Planning and Performance Manager	The Council has completed a socio - economic analysis of the island's population, this includes economic inactivity, a report for the north Anglesey region was presented to the Executive in July 2024 . A report for the whole island is also in progress and will be published shortly.	In-progress - will be completed by December 2024
11	18/07/24	4	Director of Function (Resources) / Section 151 Officer to review the use of the term capitalisation in connection with the sum of £50.574m in the table on page 4 of the Narrative Report.	Director of Function (Resources) / Section 151 Officer	The use of the term capitalisation has been considered in the final version of the Narrative Report included with the Statement of Accounts, which was submitted to the Committee meeting of 27 November 2024.	Completed.
13	18/07/24	6	Committee be provided with an update at its December 2024 meeting on progress against the governance matters identified by the 2023/24 assessment process.	Corporate Planning and Performance Manager	The Corporate Planning and Performance Manager will provide a verbal update at the Committee's meeting of 5 December 2024.	Completed.

No.	Date of Meeting	Agenda Item	Action	Action Owner	Action Taken	Status
16	19/09/24	5	The Annual Concerns, Complaints and Whistleblowing Report for 2024/25 to the Committee to include salient information regarding Social Services service user concerns and complaints.	Director of Function (Council Business) / Monitoring Officer		Next report due September 2025.
17	19/09/24	5	The concern expressed with regard to the delay in the Public Services Ombudsman for Wales (PSOW) process in relation to the complaints against two elected members be referred to the attention of the Standards Committee.	Director of Function (Council Business) / Monitoring Officer	Director of Function (Council Business) / Monitoring Officer passed the concern expressed to the Chair of the Standards Committee on 04/10/24.	Completed.
18	19/09/24	6	The Annual Treasury Management report to be reviewed to ensure tense consistency and clarity.	Director of Function (Resources) / Section 151 Officer		Next report due September 2025.

CYNGOR SIR YNYS MON / ISLE OF ANGLESEY COUNTY COUNCIL	
MEETING:	Governance and Audit Committee
DATE:	05/12/2024
TITLE OF REPORT:	To nominate to the North Wales Corporate Joint Committee
PURPOSE OF THE REPORT:	To establish a Governance and Audit Committee for the North Wales Corporate Joint Committee
REPORT BY:	Director of Function (Council Business) / Monitoring Officer
CONTACT OFFICER:	Director of Function (Council Business) / Monitoring Officer

1. RECOMMENDATIONS

- 1.1 To nominate one county councillor to serve on the Governance and Audit Committee of the North Wales Corporate Joint Committee together with one county councillor to serve as a substitute.
- 1.2 To consider whether to nominate a lay member/s to the Governance and Audit Committee of the North Wales Corporate Joint Committee.

2. INTRODUCTION / BACKGROUND

- 2.1 The North Wales Corporate Joint Committee was established on 30/06/2022.
- 2.2 The Corporate Joint Committee includes representation from the six regional principal councils and is now exercising its statutory duties in relation to strategic planning and transportation.
- 2.3 It is expected that the North Wales Growth Deal, currently under the jurisdiction of the Economic Ambition Board, will shortly become a function of the Corporate Joint Committee.
- 2.4 In the meantime, the Corporate Joint Committee must put in place corporate governance arrangements. Work is ongoing in relation to scrutiny and standards, but the six regional county councils have now been asked to make nominations to the Corporate Joint Committee’s Governance and Audit Committee.

3 INFORMATION RELEVANT TO THE COMMITTEE'S DECISIONS

- 3.1 The North Wales Corporate Joint Committee Regulations 2021 provided for the creation of the Corporate Joint Committee in accordance with the provisions of the Local Government and Elections (Wales) Act 2021.
- 3.2 The Local Government (Wales) Measure 2011 provided that every principal council in Wales must have an Audit Committee. These committees were later renamed as Governance and Audit Committees under the Local Government and Elections (Wales) Act 2021.
- 3.3 The North Wales Corporate Joint Committee Regulations 2021 provide that the Corporate Joint Committee must have its own Governance and Audit Committee. One third of the members of the Governance and Audit Committee must consist of lay members.
- 3.4 The Corporate Joint Committee has resolved to create its own Governance and Audit Committee, the Terms of Reference for which are at **Enclosure 1**. Whilst adopted, the Terms of Reference will be reviewed by the Governance and Audit Committee and will be updated in due course.
- 3.5 The Corporate Joint Committees shall consist of nine members: comprising of six county councillors, one from each of the constituent councils, and three lay members. The quorum shall be seven and shall exist where there is a councillor from each of the constituent councils plus one lay member in attendance. The Chair must be drawn from among the three lay members.
- 3.6 The Governance and Audit Committee is required to meet at least once a year but is scheduled to meet once every quarter and meetings are expected to last around two hours. They will take place remotely. As the provision for remote attendance is a statutory entitlement, even if an "in person" option is introduced in the future members of the Governance and Audit Committee shall always be entitled to attend remotely.
- 3.7 An officer appointed / seconded by the Corporate Joint Committee shall act as the advisor to the Governance and Audit Committee.
- 3.8 Training, development and support will be provided to the members of the Governance and Audit Committee. This will include role specific training as well as IT support.
- 3.9 The Corporate Joint Committee has resolved to appoint members from the existing Governance and Audit Committees of the constituent councils. Each of the constituent councils has been asked to nominate a councillor from its own Governance and Audit Committee, as its principal nominee, together with a second councillor to act as a substitute to ensure that a quorum can be achieved when the principal nominee is unavailable. County council nominees shall not receive additional remuneration.

- 3.10 It should be noted that those to be nominated as principal / deputy county councillors may not be members of the Executive nor members of any other sub-committee, or coopted member, of the Corporate Joint Committee.
- 3.11 Additionally, each of the constituent councils are asked if they wish to nominate a lay member to serve on the Governance and Audit Committee of the Corporate Joint Committee. A brief introduction to the role and role description are attached at **Enclosure 2**. If there are to be more than three nominations altogether, then the Corporate Joint Committee has decided to make appointments based on merit in accordance with an application process, beginning with a written application on a form to be provided.
- 3.12 Lay members appointed to the Corporate Joint Committee will receive remuneration in accordance with any relevant determination issued, from time to time, by the Independent Remuneration Panel for Wales.

Governance and Audit Sub Committee – Terms of Reference

The terms of reference of the sub-committee are set out in the CJC Establishment Regulations which state that the Governance and Audit sub-committee must be appointed further to Section 81 of the Local Government Measure (Wales) 2011 as amended, to:

- a) review and scrutinise the CJC's financial matters
- b) make reports and recommendations in relation to the CJC's financial matters
- c) review and assess the CJC's risk management, internal control, performance assessment and corporate governance arrangements
- d) make reports and recommendations to the CJC regarding the adequacy and effectiveness of those arrangements
- e) review and assess the CJC's ability to handle complaints effectively
- f) make reports and recommendations in relation to the CJC's ability to handle complaints effectively
- g) inspect the CJC's internal and external audit arrangement
- h) review the financial statements prepared by the CJC
- i) exercise such other functions as specified by the CJC

The sub-committee must also undertake the further functions of the Governance and Audit Committee under Chapter 1 of Part 6 of the Local Government and Elections (Wales) Act 2021 (performance and governance of principal councils).

The sub- committee will also be responsible for fulfilling the following functions:

- (i) to promote internal audit, establishing a timetable to conduct review control, develop an anti-fraud culture and review financial operations;
- (ii) to consider observations and concerns on individual services at a county level, on the basis of reports by Council officers, the Audit Commission or the District Auditor and monitor the response and actions on the recommendations and findings.

Membership

Members of a CJC Governance and Audit committee cannot be a member of the CJC, a member of the executive of a constituent council or a co-opted member (co-opted member

in this case means a person co-opted on to the CJC, or to participate in activities of the CJC, other than the governance and audit committee).

Membership of the Governance and Audit Sub-Committee must be at least one third lay members, and at least two thirds membership from the constituent councils. The appointment(s) will be made by the North Wales CJC.

The Chair of the Governance and Audit Sub-Committee must be a lay member.

The Governance and Audit Sub-Committee should be established by the CJC comprising of lay members to be drawn from constituent councils governance and audit committees (or externally advertised if this is not possible) and members from each constituent council.

The Governance and Audit Sub-Committee may not exercise its functions if the membership contravenes these requirements.

Guidance of the Welsh Ministers

The governance and audit sub-committee must have regard to any guidance given by the Welsh Ministers under Section 85(1) Local Government (Wales) Measure 2011.

Quorum

The quorum for the governance and audit sub-committee shall be 7 members with at least one member present from each Constituent council and at least one Lay Member.

Standing Orders

2.22 Governance and Audit Sub-Committee

2.22.1 The CJC must establish a sub-committee (known as the Governance and Audit Sub-Committee)

2.22.2 The Terms of Reference of the Governance and Audit Sub-Committee are set out in Part 4 of this Section 5 and those terms of reference may be amended by the CJC from time to time within statutory requirements.

2.22.3 The membership of the Governance and Audit Sub-Committee shall consist of 9 Members 6 of whom shall be elected members drawn from and nominated by the Governance and Audit Committees of each of the 6 Constituent Councils and 3 of whom shall be Lay Members.

Meetings

2.23 The Governance and Audit Sub-Committee are required to meet once every calendar year as a minimum.

North Wales Governance and Audit Sub-Committee

Background information for Independent (lay) Members

The North Wales Corporate Joint Committee (NWCJC) is a new public regional body established by the North Wales Corporate Joint Committee Regulations 2021 further to the Local Government and Elections (Wales) Act 2021. The NWCJC's membership is comprised of 6 Council Members, one for each local authority in NW Wales, and a member from Eryri National Park Authority.

The NWCJC has responsibility for preparing Strategic Development Plans, Regional Transport Plans, and for doing whatever is deemed necessary to enhance or promote the economic well-being of the area.

NWCJC is looking for three independent members to join our new Governance and Audit Sub-Committee for a term of 4 years.

The Governance and Audit Sub-Committee will be a key component of NWCJC's corporate governance. The purpose of the Governance and Audit Sub-Committee will be to review and scrutinise the NWCJC's financial affairs and to provide an independent focus on the audit, assurance, performance and reporting arrangements that underpin good governance and financial standards.

The Governance and Audit Sub-Committee will have 9 members, including 6 Councillors and 3 independent (lay) members. The meetings are held quarterly in any calendar year, and are currently on-line.

Please find enclosed:

- The Sub-Committee's terms of reference - it will operate with due regard to the Chartered Institute of Public Finance and Accountancy's (CIPFA) good practice guidance.
- A role description and person specification – we are looking for independent-minded professionals, willing to support the Sub-Committee through their accumulated personal knowledge and experience in areas relevant to its role.

Whilst a detailed knowledge of local government is not necessary it would be expected that potential candidates would be interested in matters relating to the public sector and audit. Induction training will be provided to all new members. The Governance and Audit Sub-Committee will be chaired by a Lay Person, so a willingness and ability to fulfil this role is desirable.

North Wales Corporate Joint Committee

Governance and Audit Sub-Committee

Independent (Lay) Member Role Description and Person Specification

Accountabilities:

- To the CJC
- To the Chair of the Sub-Committee

General Responsibilities for Lay Members:

- Actively participate in Committee meetings and be objective, independent and impartial
- Have regard to the requirements of the Chair of the Sub-Committee and the professional advice of senior officers of the NWCJC
- To work according to the Terms of Reference of the Sub-Committee
- Contribute to the development of the forward work programme for the Sub-Committee
- Participate in any training and development required for the role
- Demonstrate independence, integrity, and impartiality in decision making according to legal, constitutional and policy requirements
- Uphold the Nolan principles of behaviour and act in accordance with the Constitution of the NWCJC and its Code of Conduct
- To report as required to the CJC
- To respond to any recommendations made by the Auditor General for Wales

Role purpose and activity

Review, scrutinise make reports and recommendations on the NWCJC's financial affairs:

- Oversee the authority's internal and external audit arrangements
- Work with internal and external auditors
- Review the financial statements prepared by the CJC

Review, assess make reports and recommendations on the NWCJC's performance management and corporate governance arrangements and its effectiveness:

- Contributing to the effective performance of the CJC
- Review the draft report of the CJC's annual self-assessment and make recommendations for changes to the conclusions or actions that the CJC intends to take
- Make recommendations in response to the draft report of the CJC's Panel Assessment

Review, assess make reports and recommendations on the NWCJC's complaints management process:

- Review and assess the CJC's ability to handle complaints effectively.
- Make reports and recommendations in relation to the authority's ability to handle complaints effectively.

Review and assess the Governance, Risk Management and Control of the CJC:

- Review and assess the risk management, internal control, and corporate governance arrangements of the CJC
- Make reports and recommendations to the CJC on the adequacy and effectiveness of those arrangements
- Review and assess the financial risks associated with corporate governance, and be satisfied that the CJC's assurance statements, including the Annual Governance Statement, reflects the risk environment and any activities required to improve it

Skills of Governance and Audit Committee Member

To provide challenge and support in your role of being an independent source of support for the Governance and Audit Sub-Committee:

- An ability to analyse complex information, question, probe and seek clarification to come to an independent and unbiased view.
- Strong interpersonal skills and the ability to work with, influence and advise diverse stakeholders
- Excellent communication skills and the ability to contribute to discussions
- Confidence to challenge and hold senior staff accountable
- Independence, objectivity, and discretion with sound judgment
- Ability to maintain strict confidentiality

Qualifications and Experience

You will ideally have experience of one or more of the following:

- A financial or audit type background and/or appropriate experience of financial management.
- Strong appreciation of governance principles, risk management and control, and their practical application
- Sound understanding of the roles of internal and external audit
- Knowledge of external reporting requirements under UK accounting standards
- Budget management and business planning experience
- Understanding of organisational structures, strategies, and objectives.
- Experience of working in or with large, complex organisations with an understanding of the political environment within which local government operates

Time Commitment

- Attending and preparing for Governance and Audit Sub-Committee meetings held virtually.
- The Sub-Committee will meet on a quarterly basis within any calendar year.
- Supporting the lay chair in their role and contributing on a regular basis as issues arise.
- Attending training/events by agreement.

Terms

- The successful candidate will be appointed for a four year term. Lay Members may spend up to a maximum of eight years on the committee.
- You will be expected to attend approximately four Sub-Committee meetings a year.
- The Sub-Committee will meet during the day, normally starting at 10am or 2pm. Meetings last 2 to 3 hours (but may be longer on occasion) and you would also need to allow for some preparation time. Formal meetings are held online and are webcast for the public to view.

- The position is a voluntary role, however you are entitled to remuneration for time preparing and attending the Sub-Committee. Lay chair of the Governance & Audit Sub-Committees hourly rate is £33.50; ordinary lay members hourly rate is £29.75.

Restrictions

You should not:

- Hold a current or prospective paid office or employment, appointment, or elected to the NWCJC or one of its sub-committees
- Be disqualified from being a Member of a constituent Council or Eryri NP
- have any criminal convictions or be an un-discharged bankrupt
- have any significant business dealings with the NWCJC or any of the six constituent councils

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Isle of Anglesey County Council	
Report to:	Executive Governance and Audit Committee
Date:	26 November 2024 5 December 2024
Subject:	Annual Letter from the Public Services Ombudsman for Wales 2023/2024
Portfolio Holder(s):	Councillor Carwyn Elias Jones
Head of Service / Director:	Lynn Ball Director of Function (Council Business) / Monitoring Officer
Report Author:	Lynn Ball Director of Function (Council Business) / Monitoring Officer
Local Members:	Relevant to all Members

A –Recommendation/s and reason/s

1. Recommendations

The Executive and the Committee to:

- note and accept the Annual Letter from the Public Services Ombudsman for Wales (PSOW) for 2023/2024
- authorise the Director of Function (Council Business)/Monitoring Officer to write to the PSOW to confirm that the Executive and the Committee have given formal consideration to her Annual Letter.
- provide assurance that the Council will continue to monitor complaints thereby providing Members with the information required to scrutinise the Council’s performance.
- continue supporting the Council’s development of its CRM system as a platform for processing complaints and providing “live” data on complaints handling performance, by service, for relevant officers, heads of service and the Leadership Team.

2. Background

Since 2006 the PSOW has published an annual report on the work undertaken by her office over the previous 12 months.

A –Recommendation/s and reason/s

The PSOW recently published her [Annual Report](#) for 2023/2024

The PSOW also publishes a separate annual summary of the performance of each council; called the annual letter.

The Annual Letter 2023/2024, for the Isle of Anglesey County Council (IOACC), is attached at **Appendix 1**.

3. The Annual Letter 2023/2024 for IOACC

The Annual Letter (the Letter) largely relates to service complaints but also includes a section on complaints made under the Members' Code of Conduct.

The Headline Data for IOACC in relation to Service Complaints:

- 38 service complaints were made to the PSOW, about IOACC, in 2023/2024 (Appendix A to the Letter). This is an increase from 25 in 2022/2023 and 28 in 2021/2022.
- However, none of the said 38 complaints was investigated by the PSOW (Appendix C to the Letter). No complaints were investigated in 2022/2023 or in 2021/2022 either.
- The number of service complaints made to the PSOW about IOACC, during 2023/2024, was the third highest per capita in Wales at 0.55 per 1000 residents (Appendix A to the Letter). This compares with IOACC's median performance of 0.36 per capita in 2022/2023 and 0.41 per capita in 2021/2022.
- 24% of the complaints about IOACC, in 2023/2024, related to IOACC's handling of complaints (9 complaints). (Appendix B to the Letter).

This is consistent with IOACC's performance in 2022/2023 when 24% of IOACC's complaints also related to complaints handling (6 complaints).

In 2021 10% of IOACC's complaints were about complaints handling (3 complaints).

- 24% of complaints about IOACC made to the PSOW, in 2023/2024, were resolved by early intervention (resolution) from the PSOW (10 complaints). (Appendix C to the Letter). At 24%, this is the highest level of interventions in Wales, against a national average of 14% in 2023/2024.

IOACC's equivalent performance in 2022/2023 was 20% (5 complaints). The average national intervention rate was 13%.

In 2021/2022 IOACC's level of early interventions by the PSOW was 11% (3 complaints), against a national average of 14%.

A –Recommendation/s and reason/s

The Headline Data for IOACC in relation to Code of Conduct Complaints

In addition to the complaints to the PSOW about services, the Letter also refers to complaints against County, Town and Community Councillors.

- The PSOW did not refer (to the Standards Committee, or the Adjudication Panel for Wales) any Code of Conduct complaints about County Council members during 2023/2024. The number of complaints referred during 2022/2023 and in 2021/2022 was also nil.
- The PSOW did not refer (to the Standards Committee, or the Adjudication Panel for Wales) any Code of Conduct complaints about Town or Community Council Members during 2023/2024. The number of complaints referred during 2022/2023 and in 2021/2022 was also nil.

Conclusions

- There has been an increase in the number of service complaints made to the PSOW but the number of investigations remains nil. This has been consistent for three years.
- There has been a deterioration in the Council's complaints handling performance and increased reliance upon intervention from the PSOW.
- While services are responsible for responding to their own complaints, including resolution where appropriate and possible, it is reasonable to conclude that a likely cause/significant contributing factor to this deterioration in complaints handling performance relates to corporate staffing issues.

One of two key posts remains vacant, despite three recruitment attempts and is now supported by agency.

The second key post will become vacant at the end of November 2024. It is therefore unlikely that the previous level of corporate support to services will be available in the near future, although recruitment to these posts remains the objective.

- The CRM project (referred to in the final recommendation in para. 1. above), continues to develop, largely thanks to support from Transformation and IT. This is expected to "go live" in early 2025 and arrangements are currently being made to train relevant officers on the new system, along with refresher training on complaints handling generally, which the PSOW has helpfully offered to provide. The CRM platform is intended to provide more automation and real time data with regard to service and corporate performance. This will be routinely monitored by Heads of Service and the Leadership Team. It is not likely, though, that services will have increased capacity to deal with complaints.

A –Recommendation/s and reason/s

- We are therefore relying on the following resolution :-
 - Filing the two vacant corporate posts
 - Introducing a new CRM system
 - Further training and development for relevant staff
 - Oversight by senior managers within the service
 - Oversight by the Leadership Team and the Executive, Scrutiny and the Governance and Audit Committee; as well as Executive members within their own portfolios
 - Publication of complaints data on the Council's website every quarter, as published to the PSOW

The PSOW requests the following:-

- *“Present my Annual Letter to the Cabinet and to the Governance and Audit Committee at the next available opportunity and notify me of when these meetings will take place”.*

This report satisfies the above request and, in addition, is published to all Members and to the public. The PSOW has been advised as to the dates of these meetings.

- *“Consider the data in this letter, alongside your own data, to understand more about your performance on complaints, including any patterns or trends and your organisation's compliance with recommendations made by my office.”*
- *“Inform me of the outcome of the Council's considerations and proposed actions on the above matters at the earliest opportunity”.*

This will be completed following the meetings of the Executive and the Governance and Audit Committee.

4. Additional Information

In addition to the Annual Letter, information on concerns, complaints and compliments are published quarterly on the Council's website at [Council complaints statistics \(gov.wales\)](#)

The Governance and Audit Committee receive an annual report on complaints. The report for 2023/2024 has been reported to the Committee on [19 September 2024](#)

B – What other options did you consider and why did you reject them and/or opt for this option?

There were no alternative options

C – Why is this a decision for the Executive?

This is a matter for both the Executive and the Governance and Audit Committee at the request of the PSOW.

Ch – Is this decision consistent with policy approved by the full Council?

Not relevant

D – Is this decision within the budget approved by the Council?

Not relevant

Dd – Assessing the potential impact (if relevant):

1	How does this decision impact on our long term needs as an Island?	The purpose of the Corporate Complaints Policy is to learn lessons when things go wrong and make changes to service delivery as required and where possible.
2	Is this a decision which it is envisaged will prevent future costs / dependencies on the Authority? If so, how?	
3	Have we been working collaboratively with other organisations to come to this decision? If so, please advise whom.	The facts presented contribute to building better services for the future
4	Have Anglesey citizens played a part in drafting this way forward, including those directly affected by the decision? Please explain how.	
5	Note any potential impact that this decision would have on the groups protected under the Equality Act 2010.	Welsh language complaints are contained within the Corporate Concerns and Complaints Policy and are dealt with if received. If complaints are received from the Welsh Language Commissioner, they will be reported in the Welsh Language Standards Report 2023/2024.

Dd – Assessing the potential impact (if relevant):	
6	If this is a strategic decision, note any potential impact that the decision would have on those experiencing socio-economic disadvantage.
7	Note any potential impact that this decision would have on opportunities for people to use the Welsh language and on treating the Welsh language no less favourably than the English language.

E – Who did you consult?		What did they say?
1	Chief Executive / Leadership Team (LT) (mandatory)	Considered by the Leadership Team on 15 October 2024. All members supportive of the Report.
2	Finance / Section 151 (mandatory)	Consulted as part of the Leadership Team.
3	Legal / Monitoring Officer (mandatory)	Author of the report
4	Human Resources (HR)	N/A
5	Property	N/A
6	Information Communication Technology (ICT)	Transformation and ICT are supporting the CRM project
7	Procurement	N/A
8	Scrutiny	N/A
9	Local Members	This report is published to all Members

F - Appendices:
Copy of the Annual Letter 2023/2024

Ff - Background papers (please contact the author of the Report for any further information):
None



Ask for: Communications



01656 641150

Date: 9 September 2024



Caseinfo@ombudsman.wales

Councillor Gary Pritchard
Isle of Anglesey County Council

By email only
garypritchard@anglesey.gov.uk
dylanwilliams@ynysmon.gov.uk

Annual Letter 2023/24

Dear Councillor Pritchard

Role of PSOW

As you know, the role of the Public Services Ombudsman for Wales is to consider complaints about public services, to investigate alleged breaches of the councillor Code of Conduct, to set standards for complaints handling by public bodies and to drive improvement in complaints handling and learning from complaints. I also undertake investigations into public services on my own initiative.

Purpose of letter

This letter is intended to provide an update on the work of my office, to share key issues for local government in Wales and to highlight any particular issues for your organisation, together with actions I would like your organisation to take.

Overview of 2023/24

This letter, as always, coincides with my Annual Report – “A New Chapter Unfolds” – and comes at a time when public services continue to be in the spotlight, and under considerable pressures. My office has seen another increase in the number of people asking for our help – a 17% increase in overall contacts compared to the previous year, with nearly 10,000 enquiries and complaints received. Our caseload has increased substantially - by 37% - since 2019.

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ombwdsmon.cymru
holwch@ombwdsmon.cymru
0300 790 0203
1 Ffordd yr Hen Gae, CF 35 5LJ
Rydym yn hapus i dderbyn ac
ymateb i ohebiaeth yn y Gymraeg.

ombudsman.wales
ask@ombudsman.wales
0300 790 0203
1 Ffordd yr Hen Gae, CF 35 5LJ
We are happy to accept and respond
to correspondence in Welsh.

During 2023/24 we considered and closed more enquiries and complaints than we ever have done before, and we reduced the average cost for each case and investigation. We started the year with a focus on reducing our aging cases, those over 12 months old, by 50% by the end of the year. These cases are often the most complex and distressing for the people making the complaint. I am extremely pleased to say we exceeded this target, reducing our aged investigations by over 70%. We are now well on track to meeting our objective to complete investigation of complaints within 12 months.

Public Services Complaints and compliance with recommendations

In total 1,108 complaints about local authorities were made to us last year – broadly the same number as the previous year. During this period, we intervened in (upheld, settled or resolved at an early stage) 14% of local authority complaints – a similar proportion to recent years.

We received 38 complaints about Isle of Anglesey County Council in 2023/24 and closed 41 – some complaints were carried over from the previous year. Isle of Anglesey County Council's intervention rate was 24%. Further information on complaints about your organisation can be found in the appendices.

We made 26 recommendations to your council during the year. To ensure that our investigations and reports drive improvement, we follow up compliance with the recommendations agreed with your organisation. In 2023/24, 24 recommendations were due and 92% were complied with in the timescale agreed. The remainder were complied with, but outside the timescales agreed, or remain outstanding as at 9 April 2024.

Recommendations and timescales for complying with recommendations are always agreed with the public body concerned before being finalised, and we therefore expect organisations to comply within the timescales agreed.

Our Code of Conduct work

My role is to investigate allegations that councillors have breached their Code of Conduct. Where an investigation finds evidence to support the complaint on a matter which is serious enough to require a referral in the public interest, these cases are referred either to the local Standards Committee or to the Adjudication Panel for Wales for consideration.

In 2023/24, we received 16% more Code of Conduct complaints than the previous year, relating to both Principal Councils and Town and Community Councils. My office made 21 referrals – to Standards Committees or the Adjudication Panel for Wales, an increase from 12 the previous year.

I am grateful to your Monitoring Officer for their positive engagement with my office over the last year. We will continue to engage with them on matters relating to the ethical standards framework, including Local Resolution Procedures this year.

Independent Review

As you will be aware, I became aware of inappropriate comments, of a political nature, made by a member of my staff via social media. These comments were widely reported in the media. The member of staff in question was suspended and subsequently resigned. However, the comments prompted questions about my office's work on councillor Code of Conduct cases.

In view of the seriousness of the matter, I commissioned Dr Melissa McCullough to conduct an independent review of our Code of Conduct work, and I have published the full [Terms of Reference](#) for that review. I and my staff are engaging closely with the Monitoring Officer Group and the National Forum for Standards Committee Chairs in relation to this matter. I will be publishing Dr McCullough's final report on completion of the review and sharing it with the Senedd's Finance Committee this Autumn.

Supporting improvement of public services

We continued our work on supporting improvement in public services last year and worked on our second wider Own Initiative investigation. The investigation includes four local authorities and considers carers' needs assessments. I am grateful to the investigated authorities for their co-operation and candour throughout the year, and we look forward to sharing our finalised report this Autumn. This will make recommendations to the investigated authorities and will ask all local authorities across Wales to make similar improvements.

We have continued our work on complaints handling standards for public bodies in Wales and now have 56 public bodies following our model complaints handling policy. These public bodies account for around 85% of the complaints we receive. We have continued our work to publish complaints statistics, gathered from public bodies, with data published twice a year.

We continued our work to publish complaints statistics into a third year, with data now published twice a year. This data allows us to see information with greater context – for example, last year 14% of complaints made to Isle of Anglesey County Council's went on to be referred to PSOW.

Action we would like your organisation to take

Further to this letter can I ask that your Council takes the following actions:

- Present my Annual Letter to the Cabinet and to the Governance and Audit Committee at the next available opportunity and notify me of when these meetings will take place.
- Consider the data in this letter, alongside your own data, to understand more about your performance on complaints, including any patterns or trends and your organisation's compliance with recommendations made by my office.

- Inform me of the outcome of the Council's considerations and proposed actions on the above matters at the earliest opportunity.

I would like to thank you, and your officers, for your continued openness and engagement with my office. Our information shows that local authorities are looking into more complaints than ever before and are using information from complaints to deliver better outcomes for the people of Wales.

Yours sincerely,

A handwritten signature in black ink that reads "M.M. Morris".

Michelle Morris
Public Services Ombudsman

Cc. Dylan Williams, Chief Executive, Isle of Anglesey County Council



Factsheet

Appendix A - Complaints Received

Local Authority	Complaints Received	Received per 1,000 residents
Blaenau Gwent County Borough Council	15	0.22
Bridgend County Borough Council	59	0.41
Caerphilly County Borough Council	56	0.32
Cardiff Council*	149	0.41
Carmarthenshire County Council	69	0.37
Ceredigion County Council	32	0.45
Conwy County Borough Council	36	0.31
Denbighshire County Council**	31	0.32
Flintshire County Council	51	0.33
Cyngor Gwynedd	38	0.32
Isle of Anglesey County Council	38	0.55
Merthyr Tydfil County Borough Council	12	0.20
Monmouthshire County Council	29	0.31
Neath Port Talbot Council	35	0.25
Newport City Council	52	0.33
Pembrokeshire County Council	40	0.32
Powys County Council	54	0.41
Rhondda Cynon Taf County Borough Council	64	0.27
Swansea Council	81	0.34
Torfaen County Borough Council	14	0.15
Vale of Glamorgan Council	77	0.58
Wrexham County Borough Council	76	0.56
Total	1108	0.36
* inc 2 Rent Smart Wales		
** inc 1 Wales Penalty Processing Partnership		



Ombwdsmon Ombudsman

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Appendix B - Received by Subject

Isle of Anglesey County Council	Complaints Received	% share
Adult Social Services	0	0%
Benefits Administration	3	8%
Children's Social Services	6	16%
Community Facilities, Recreation and Leisure	1	3%
Complaints Handling	9	24%
Covid-19	0	0%
Education	1	3%
Environment and Environmental Health	0	0%
Finance and Taxation	6	16%
Housing	3	8%
Licensing	1	3%
Planning and Building Control	6	16%
Roads and Transport	1	3%
Various Other	1	3%
Total	38	



Appendix C - Complaint Outcomes
(* denotes intervention)

Isle of Anglesey County Council		% Share
Out of Jurisdiction	4	10%
Premature	13	32%
Other cases closed after initial consideration	14	34%
Early Resolution/ voluntary settlement*	10	24%
Discontinued	0	0%
Other Reports - Not Upheld	0	0%
Other Reports Upheld*	0	0%
Public Interest Reports*	0	0%
Special Interest Reports*	0	0%
Total	41	



Appendix D - Cases with PSOW Intervention

	No. of interventions	No. of closures	% of interventions
Blaenau Gwent County Borough Council	1	16	6%
Bridgend County Borough Council	8	59	14%
Caerphilly County Borough Council	3	48	6%
Cardiff Council	28	144	19%
Cardiff Council - Rent Smart Wales	0	3	0%
Carmarthenshire County Council	8	60	13%
Ceredigion County Council	7	32	22%
Conwy County Borough Council	0	37	0%
Denbighshire County Council	2	32	6%
Denbighshire County Council - Wales Penalty Processing Partnership	0	1	0%
Flintshire County Council	8	57	14%
Cyngor Gwynedd	6	39	15%
Isle of Anglesey County Council	10	41	24%
Merthyr Tydfil County Borough Council	3	14	21%
Monmouthshire County Council	3	32	9%
Neath Port Talbot Council	5	34	15%
Newport City Council	5	51	10%
Pembrokeshire County Council	7	38	18%
Powys County Council	7	53	13%
Rhondda Cynon Taf County Borough Council	11	63	17%
Swansea Council	12	77	16%
Torfaen County Borough Council	2	14	14%
Vale of Glamorgan Council	15	71	21%
Wrexham County Borough Council	7	79	9%
Total	158	1095	14%



Appendix E – Compliance performance comparison

Local Authority	Number of recommendations made in 2023-24	Number of recommendations falling due in 2023-24	% of recommendations, complied with on time
Blaenau Gwent County Borough Council	1	1	100%
Bridgend County Borough Council	18	20	35%
Caerphilly County Borough Council	9	9	11%
Cardiff Council	74	75	92%
Carmarthenshire County Council	25	25	52%
Ceredigion County Council	23	23	78%
Swansea Council	29	32	63%
Conwy County Borough Council	0	1	0%
Denbighshire County Council	5	6	67%
Flintshire County Council	17	17	59%
Cyngor Gwynedd	12	19	74%
Isle of Anglesey County Council	26	24	92%
Merthyr Tydfil County Borough Council	11	9	56%
Monmouthshire County Council	4	4	25%
Neath Port Talbot Council	14	14	29%
Newport City Council	10	7	43%
Pembrokeshire County Council	24	23	96%
Powys County Council	18	16	31%
Rhondda Cynon Taf County Borough Council	26	26	77%
Torfaen County Borough Council	3	3	67%
Vale of Glamorgan Council	50	48	92%
Wrexham County Borough Council	16	19	42%



Appendix F - Code of Conduct Complaints

**Isle of Anglesey County
Council**

Decision not to investigate	3
Discontinued	0
No evidence of breach	0
No action necessary	0
Refer to Adjudication Panel	0
Refer to Standards Committee	0
Total	3

Investigations

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Appendix G - Town/Community Council Code of Complaints

Town/Community Council	Decision not to investigate	Investigations				Total	
		Discontinued	No evidence of breach	No action necessary	Refer to Adjudication Panel		Refer to Standards Committee
Amlwch Town Council	0	0	0	0	0	0	0
Llanddona Community Council	0	0	0	0	0	0	0
Llanddyfnan Community Council	0	0	0	0	0	0	0
Pentraeth Community Council	4	0	0	0	0	0	4
Rhosybol Community Council	0	0	0	0	0	0	0



Information Sheet

Appendix A shows the number of complaints received by PSOW for all Local Authorities in 2023/24. These complaints are contextualised by the population of each authority.

Appendix B shows the categorisation of each complaint received, and what proportion of received complaints represents for the Local Authority.

Appendix C shows outcomes of the complaints which PSOW closed for the Local Authority in 2023/24. This table shows both the volume, and the proportion that each outcome represents for the Local Authority.

Appendix D shows Intervention Rates for all Local Authorities in 2023/24. An intervention is categorised by either an upheld complaint (either public interest or non-public interest), an early resolution, or a voluntary settlement.

Appendix E shows the compliance performance of each Local Authority.

Appendix F shows the outcomes of Code of Conduct complaints closed by PSOW related to Local Authority in 2023/24. This table shows both the number, and the proportion that each outcome represents for the Local Authority.

Appendix G shows the outcomes of Code of Conduct complaints closed by PSOW related to Town and Community Councils in the Local Authority's area in 2023/24. This table shows both the number, and the proportion that each outcome represents for each Town or Community Council.

ISLE OF ANGLESEY COUNTY COUNCIL	
Report to:	Governance and Audit Committee
Date:	5 December 2024
Subject:	Update on the Governance and Audit Committee Effectiveness Review Action Plan
Head of Service:	Marc Jones Director of Function (Resources) and Section 151 Officer MarcJones@anglesey.gov.wales
Report Author:	Marion Pryor Head of Audit and Risk MarionPryor@anglesey.gov.wales
Nature and Reason for Reporting: This report informs the members of the Committee about the progress with implementing the recommendations made by CIPFA following its review of the Governance and Audit Committee's effectiveness in 2024.	

1. Introduction

- 1.1. At its meeting of 18 April 2024, the Governance and Audit Committee received a report regarding the outcome of a piece of work undertaken to fulfil the requirements of the Chartered Institute of Public Finance and Accountancy's (CIPFA) [Position Statement: Audit Committees in Local Authorities and Police 2022](#), which recommends that audit committees evaluate their impact and identify areas for improvement.
- 1.2. The Committee received an update on progress with implementing the recommendations at its 27 June 2024 meeting and asked for another update in six months' time.
- 1.3. This report provides an update to the Committee on the progress being made with implementing the recommendations made by CIPFA. With regards to the 10 recommendations made and 13 actions proposed to resolve the recommendations, 10 actions have been fully implemented, two have been noted and one action remains in progress, which is:
 - the provision of training for officers on reporting to Committee.

2. Recommendation

- 2.1. That the Governance and Audit Committee notes the actions detailed in the following table and is content that the recommendations have been implemented to its satisfaction.

Governance and Audit Committee Effectiveness Review Action Plan

No.	Recommendation	Action Proposed	Action Owner / Implementation Date	Progress / Status
1	Revise and streamline the Governance and Audit Committee's terms of reference to include all aspects of its work and remove any duplication.	Agreed, will be undertaken during the review of the Constitution.	Head of Audit & Risk 31 March 2024	Implemented. Governance and Audit Committee formally approved final version on 27/06/24.
2	Plan committee agendas to prioritise the items where the Committee can make an impact and to support it to do so. Ensure that reports to the Committee clearly set out why the report is being presented and the role of committee members in receiving and considering these reports.	<p>H&AR will review the draft agenda to ensure the ordering of items is appropriate, and items to be noted will be moved to the end.</p> <p>The reason for the report being presented is included in the cover report. However, the H&AR will review each to ensure they are fully and sufficiently completed.</p> <p>The Forward Work Programme also references the Committee's ToR against each item, so reports are prioritised and spaced out throughout the year.</p>	Head of Audit & Risk Immediate	Implemented.

No.	Recommendation	Action Proposed	Action Owner / Implementation Date	Progress / Status
3	Encourage officers to give brief introductions to their reports to add extra context. Consider setting a time limit for officer presentations.	As above, the HA&R will review the Governance and Audit Committee cover report to ensure adequate and is fully completed.	Head of Audit & Risk Immediate	Implemented.
		Will discuss with Chair about referring to these cover reports.	Head of Audit & Risk / Chair Immediate	Implemented.
		The HA&R will discuss with HR Training and Development Manager the provision of training for officers on reporting to Committee.	HR Training & Development Manager 31 March 2025	In progress. The HR Training and Development Manager has confirmed that training for officers reporting to committees is included in the 2024/25 training plan.
4	Reconsider the balance of committee administration roles to support the more effective working of the Committee.	Current resources within Democratic Services mean there is no capacity to support further. This is unlikely to change due to the current financial constraints.	Chief Executive and Monitoring Officer	Noted.
5	Move to action-focussed minutes that record the key elements of the discussion and conclusions reached only. Use consistent	Agreed. We will move to produce minutes that focus on actions and matters that were resolved by the Committee.	Democratic Services Next meeting.	Implemented.

No.	Recommendation	Action Proposed	Action Owner / Implementation Date	Progress / Status
	terms around decisions.			
6	Support the current lay members to be more integrated into the Committee.	Chair to consider an appraisal process for members of the Committee.	Chair	Noted. Lay members have also been reminded that they can attend the monthly members' briefing sessions.
7	Work with the Council's risk advisors to ensure that the Committee is clear about and fulfils its risk roles.	Issue will be reviewed as part of the Health check of the Council's Risk Management arrangements currently being undertaken by Zurich.	Head of Audit & Risk Immediate	Implemented. The Risk Management Policy, Strategy and Guidance have been updated to make the roles clear. A paragraph has been added in the Risk Management section of the Committee's Terms of Reference to clarify the Committee's responsibilities when acting as a risk committee.
8	Identify ways for internal audit to work more closely with the Committee, including informal meetings with the Chair both before and after meetings, to identify ways to develop the Committee.	Agreed. HA&R currently meets with the Chair on an ad-hoc basis. However, going forward will meet more formally with the Chair and Deputy Chair following each meeting.	Head of Audit & Risk / Chair and Deputy Chair Immediate	Implemented. The Chair and Head of Audit and Risk regularly meet informally before and after meetings and are discussing ways to develop the Committee.
9	Meet internal and external audit separately, formally and in private at least once a year and meet	Agreed. Will schedule a private meeting separately between Internal Audit and External Audit and the Committee, without other officers being present. This	Head of Audit & Risk Audit Wales	Implemented. The Governance and Audit Committee's Terms of Reference have been updated to make this explicit. The first private meeting was held on 18 April 2024.

No.	Recommendation	Action Proposed	Action Owner / Implementation Date	Progress / Status
	internal audit informally between meetings.	meeting will not be minuted or webcast. First private meeting has been scheduled for 18 April 2024, to be held following the formal meeting.	Chair Once a year, commencing April 2024	
10	Consider producing a short briefing note from the Chair after each meeting, summarising the key points to be shared with all members.	Action-focussed minutes will assist the Chair in preparing a briefing note, if he feels one is required.	Chair	Implemented. The first Chair's Briefing Note for the 18 April 2024 committee meeting was circulated to members of the Governance and Audit Committee on 28 May 2024.

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ISLE OF ANGLESEY COUNTY COUNCIL	
Report to:	Governance and Audit Committee
Date:	5 December 2024
Subject:	Internal Audit Update
Head of Service:	Marc Jones Director of Function (Resources) and Section 151 Officer MarcJones@anglesey.gov.wales
Report Author:	Marion Pryor Head of Audit and Risk MarionPryor@anglesey.gov.wales
<p>Nature and Reason for Reporting:</p> <p>The Governance and Audit Committee’s Terms of Reference has an explicit requirement for the Committee to oversee the Council’s internal audit arrangements as part of its legislative duties under the Local Government (Wales) Measure 2011. (3.4.8.10.1)</p> <p>The Committee is required to consider updates on the work of internal audit including key findings, issues of concern, management responses and action in hand as a result of internal audit work. It is required to consider summaries of specific internal audit reports as requested, including the effectiveness of internal controls and will monitor the implementation of agreed actions. (3.4.8.10.10)</p> <p>This report also fulfils the requirements of CIPFA’s Position Statement: Audit Committees in Local Authorities and Police 2022, specifically, in relation to the authority’s internal audit function and the Public Sector Internal Audit Standards, which require the chief audit executive to report information about progress and the results of audit activities. (Standard 2060)</p>	

1. Introduction

1.1 This report updates the Committee, as at 28 November 2024, on the audits completed since the last update as at 31 August 2024, the current workload of internal audit and our priorities for the short to medium term going forward.

2. Recommendation

2.1 That the Governance and Audit Committee considers:

- the outcome of Internal Audit’s work,
- the assurance provided and
- our priorities going forward.

Internal Audit Update

December 2024



Marion Pryor BA MA CMIIA CPFA ACFS

Head of Audit & Risk



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Summary of Assurance Work Completed Since Last Update

1. This section provides an overview of assurance reports finalised since the meeting in September 2024, including the overall assurance rating and the number of issues/risks/opportunities raised.
2. We have finalised **three** pieces of assurance work in the period, summarised below and discussed in more detail later in the report:

Title	Assurance Level	Critical	Major	Moderate
Partnerships Oversight (YM15)	Reasonable	0	0	6
Counter fraud controls within Revenues refunds	Reasonable	0	0	4
Cybersecurity Assessment Framework Review	Reasonable	0	0	12

Partnerships Oversight (YM15)

Reasonable Assurance	Issues/ Risks / Opportunities	
	0	Critical
	0	Major
	6	Moderate

3. Our review sought to answer the following key question:
Does the Council have effective governance arrangements in place for its significant partnerships and collaborations?
4. Our review concluded that the Council has established key elements of a partnership governance framework, including a policy, toolkit, and scrutiny programme. However, these controls are not consistently effective due to insufficient awareness among managers. Sample testing revealed that governance arrangements with strategic partners are often not formalised in agreements due to confusion over what constitutes a partnership and inconsistent application of controls. A lack of corporate oversight exacerbates this issue.
5. The Council maintains a partnership register to support its strategy and scrutiny activities, which is under review to ensure accuracy and relevance. Performance management needs improvement, with gaps in monitoring outcomes and conducting periodic self-assessments. Current service challenge processes also do not fully evaluate partnership effectiveness.
6. Partnership risks are acknowledged in the strategic risk register. The Council is updating its Partnership Register and Toolkit to improve risk consideration for significant partnerships. Scrutiny committees have established a 24-month review plan for key partnerships, with outcomes reported annually to Full Council to aid governance responsibilities.
7. While the review highlights areas for improvement, it provides reasonable assurance of the governance and risk management in this area and an action plan has been agreed with senior leadership.

Counter fraud controls within Revenues refunds

Reasonable Assurance	Issues / Risks / Opportunities	
	0	Critical
	0	Major
	4	Moderate

8. Our review sought to answer the following key question:
Does the Council have effective counter fraud controls in place within its Revenues refunds process to minimise the risk of internal 'insider threat' fraud?
9. A highly publicised £1m fraud in [Aberdeen City Council](#) prompted this review. We found that while the Council has some effective measures in place to mitigate the risk of internal fraud in revenue refunds, key weaknesses in controls, system functionality, and dormant credit accounts increase the risk of fraud.
10. Despite refunds requiring authorisation from an independent manager who conducts basic checks, a system weakness allows refunds to be processed even if the payee name does not match the recipient's bank account, enabling potential fraud. In addition, authorising officers can amend bank details before finalising refunds, creating a risk of redirecting payments.
11. There are numerous dormant Council Tax and Non-Domestic Rates accounts, which are particularly vulnerable to fraud, as demonstrated in the Aberdeen case. While fraud involving active accounts could be detected when customers report missing refunds, dormant accounts are less likely to prompt immediate detection, increasing the risk.
12. These were the weaknesses that allowed the fraud in Aberdeen to occur. However, while the potential for fraud exists, the overall fraud risk in this area is considered low and the Council has agreed an action plan to address the identified risks.

Cybersecurity Assessment Framework Review (YM3)

Reasonable Assurance	Issues/ Risks / Opportunities	
	0	Critical
	0	Major
	12	Moderate

13. Our review sought to answer the following key question:
Does the Council have an appropriate level of cyber resilience as prescribed by the National Cyber Security Centre's (NCSC) Cyber Assessment Framework?
14. The review, conducted by external IT audit specialists, of the Council's cybersecurity arrangements found that overall, the measures in place are reasonably effective, with several robust controls to reduce cybersecurity risks.
15. However, gaps identified mean that the Council is unlikely to achieve full compliance with the National Cyber Security Centre's (NCSC) Cyber Assessment Framework (CAF) in the short term without additional investment in technology, personnel, and processes.
16. The review identified 12 areas for improvement, reflecting the audit's comprehensive scope. Management should not be overly concerned, as the identified improvements will inform an action plan to address gaps and enhance cybersecurity arrangements further.
17. The Council is progressing toward full CAF compliance and is participating in a national project led by the Welsh Local Government Association (WLGA) to support this effort.

Work in Progress

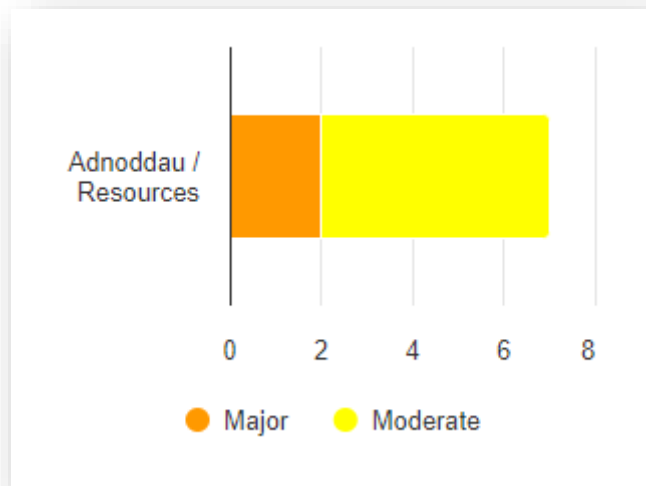
18. The following pieces of work are currently in progress:

Area	Reason for Audit	Stage
National Fraud Initiative	Counter Fraud, Bribery and Corruption Strategy 2022-2025	Data uploaded in accordance with timetable. Match reports expected end of December 2024.
Declarations of Interest	Counter Fraud, Bribery and Corruption Strategy 2022-2025	Postponed due to being included in Procurement Improvement Programme. Results of testing shared with team.
Investigation – Housing Services	Complaint	Postponed due to disciplinary process
Recruitment and Retention	Strategic Risk Register (YM2)	Draft report
The Council's Housing Strategy	Strategic Risk Register (YM9)	Draft report
Investigation – Property Services	Complaint	Draft report
Childcare and Welsh Medium Education Provision	Requested by the Chief Executive Officer	Fieldwork
Management of the Council's Assets	Strategic Risk Register (YM14)	Fieldwork
IT Audit: Purchase Card Industry Data Security Standards (PCI DSS)	Strategic Risk Register (YM3)	Fieldwork
Performance Management	Internal Audit Strategy 2024-25	Scoping
Council Tax Base	Requested by the Director of Function (Resources) / Section 151 Officer	Scoping

Outstanding Actions

19. Work is progressing to support services with addressing all 'Issues / Risks / Opportunities' raised and implementing all outstanding actions.
20. As at 28 November 2024, seven moderate-rated issue / risk / opportunities remain unaddressed beyond their target date, as can be seen below. All are within the Resources Service.
21. Six of these actions relate to an audit of the Recovery of Council Tax, Non-Domestic Rates and Sundry Debts, for which a follow up review is currently in progress.
22. The remaining action relates to an issue assessed as 'moderate' which was raised during an audit of 'Supplier Maintenance and Duplicate Payments' regarding the recovery of duplicate creditor payments, for which action is in progress.

Overdue Issues / Risks / Opportunities by Service



Priorities

Short/Medium Term Priorities

23. Our current workload can be seen in [Work in Progress](#) detailed earlier in this report.
24. We are making steady progress with our Annual Internal Audit Strategy for 2024-25 and Counter Fraud, Bribery and Corruption Strategy 2022-2025.

Longer Term Priorities

Tender for the provision of Internal Audit services

25. Local government internal audit teams across the UK are struggling with resourcing issues, due to unfilled vacancies, lack of specialist skills and budget cuts.
26. To address this locally, Wrexham County Borough Council has undertaken a tender exercise on behalf of the north and mid-Wales region for the provision of internal audit services. These include the provision of specialist roles, including IT audit.
27. The initial responses have been evaluated and found to be disappointing. Work is in progress to improve the outcome.

Counter Fraud, Bribery and Corruption Strategy 2025-2028

28. Work to develop the new Strategy for 2025-2028 has commenced, with plans to consult with internal colleagues and external peers on developing a Fraud Risk Assessment.
29. The Strategy will be submitted to the February 2025 meeting of the Governance and Audit Committee for consideration.

Other Developments

Changes to Internal Audit Standards

30. Since 2013, the Public Sector Internal Audit Standards (PSIAS), based on the International Professional Practices Framework (IPPF) of the Institute of Internal Auditors (IIA) have been mandated as the internal audit standards for the UK local government sector.
31. In January 2024, the International Internal Auditing Standards Board (IIASB) issued new Global Internal Audit Standards (GIAS).
32. Following a review, the Relevant Internal Audit Standard Setters¹ (RIASS) in the UK agreed to use the new GIAS as the basis for internal auditing for the UK Public Sector and asked the UK Public Sector Internal Auditing Standards Advisory Board (IASAB) to carry out a review of the new standards with a view to producing sector specific interpretations to make them suitable for UK public sector use.
33. At the invitation of CIPFA, the Head of Audit and Risk has been part of a working group to undertake this work.
34. The outcome (an Application Note) was issued for consultation in October 2024. The IASAB met in November 2024 to consider the 44 consultation responses received. As a result, the IASAB is refining the content and submitting for approval to all the RIASS, with an aim to complete this process and publish before Christmas.
35. If all goes to plan, from 1 April 2025, new standards – Global Internal Audit Standards (UK public sector), will be mandated consisting of:
- the IIA’s Global Internal Audit Standards (GIAS)
 - Application Note: Global Internal Audit Standards in the UK public sector

Code of Practice for the Governance of Internal Audit in UK Local Government

36. CIPFA has developed a new Code to support authorities in establishing their internal audit arrangements and providing oversight and support for internal audit.
37. The Code is designed to work alongside the new internal audit standards - GIAS (UK public sector (referred to above) and replaces the organisational responsibilities set out in the Statement on the role of the head of internal audit (CIPFA, 2019).
38. It is aimed at those responsible for ensuring effective governance arrangements for internal audit:
- the body or individual charged with governance
 - the audit committee
 - senior management, including the statutory officers, head of paid service, monitoring officer and section 151 officer.
39. The GIAS (UK public sector) do not add any UK public sector requirements in relation to governance but to achieve conformance the internal audit function must demonstrate that there are adequate and appropriate arrangements for its governance.
40. Domain III of the GIAS sets out baseline ‘essential conditions’ for governance, but these require adjustment to reflect the operation of governance within the UK local government sector. The CIPFA Code of Practice sets out the basis for suitably adjusted essential conditions, and when the Code is applied, the objectives of the GIAS conditions will be achieved.
41. The Code was subject to consultation with responses invited from those with an interest in internal audit in the UK local government sector, including audit committee members, senior managers in local government, internal auditors, those in governance roles, and stakeholders. Closing date for responses was 28 November 2024.

¹ The RIASS are: HM Treasury for central government; Scottish Government, the Department of Finance and Personnel Northern Ireland and the Welsh Government in respect of central government and the health sector in their administrations; the Department of Health in respect of the health sector in England (excluding Foundation Trusts); and the Chartered Institute of Public Finance and Accountancy in respect of local government across the UK

Review of the CIPFA and Solace Guidance on the Annual Review and Annual Governance Statements

42. The Head of Audit and Risk is part of a CIPFA Reference Group to oversee a review of the 2016 guidance on the annual review and Annual Governance Statement (AGS) in UK local government bodies and to make recommendations to CIPFA and Solace.
43. The outcome of the review will be an addendum to the guidance.
44. This is the first update of the guidance since 2016 and replaces Chapter 7 of the Framework publication. The 2016 publication and the seven principles of good governance remain unchanged.
45. Three meetings have been held and the addendum is now at final draft stage. It is planned to be issued for consultation before March 2025.
46. Authorities will be required to ensure that the AGS for 2025-26 onwards complies with the guidance and are encouraged to consider it for 2024-25.

ISLE OF ANGLESEY COUNTY COUNCIL	
Report to:	Governance and Audit Committee
Date:	5 December 2024
Subject:	Update on the Council's work to deliver the 'Towards Net Zero' Strategic Plan in 2023/24
Head of Service:	Rhys H Hughes Deputy Chief Executive RhysHughes2@anglesey.gov.wales
Report Author:	Rhys A Williams Climate Change Manager RhysWilliams3@anglesey.gov.wales
<p>Nature and Reason for Reporting: The Governance and Audit Committee's Terms of Reference has an explicit requirement for the Committee to keep up to date with significant areas of strategic risks and major operational and project risks (3.4.8.8.1). Following a report to the Committee in June 2023, the Committee requested that it be provided with annual updates on the progress towards 'net zero' to show the positive effects of from the Council's work.</p>	

Introduction

In June 2023, the Climate Change Manager provided an update on the Council's progress towards achieving its net zero ambition following the submission of documentation by Audit Wales and Zurich Municipal on the climate change response to a meeting of the Governance and Audit Committee.

It was reported at that time that one of the Council's priorities was to create a baseline to understand the Council's current position together with a dashboard to provide a visual representation of progress being made which can be updated and monitored accordingly.

The Committee requested that it be provided with annual updates on the progress towards 'net zero' so that the Members could be shown the positive effects of the investments made and the developments that have taken place in that time.

This report updates the Committee, with the presentation of the 'Towards Net Zero – Annual Report 2023/24'. The annual report shows the Council's progress in managing the risks of climate change and its progress towards achieving 'net zero' during that year. Additionally, the report includes as an appendix, analysis of the 2023/24 emissions data submitted to Welsh Government.

Recommendation

That the Governance and Audit Committee takes assurance that reasonable measures are in place to manage climate change risks to an acceptable level.



CYNGOR SIR
YNYS MÔN
ISLE OF ANGLESEY
COUNTY COUNCIL

Towards Net Zero Plan 2023 – 2024 Annual Report



Publication date: October 2024

Towards Net Zero Strategic Plan Annual Report

Overview

This is the Isle of Anglesey Council's (the Council) annual report on the progress of the Towards Net Zero Strategic Plan March 2023 - March 2025.

It evaluates how we set out to deliver the annual objectives of the plan during 2023 - 2024.

Further information

This publication is available on our website at www.anglesey.gov.wales. If you require this document in an alternative format and/or another language, or if you have any queries about its contents, please contact us using the details provided below.

Rhys Alun Williams - Climate Change Manager

E-mail: ClimateChange@anglesey.gov.wales

We welcome correspondence and phone calls through the medium of Welsh and English. Corresponding in Welsh will not lead to a delay.

Mae'r cyhoeddiad hwn hefyd ar gael yn Gymraeg / This publication is also available in Welsh.

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Background and Purpose of the Report

Climate change is the globally defining challenge of our time and for future generations. This includes Anglesey, its communities and visitors, and it is an important issue for our children and young people. We are already seeing its impact on the most vulnerable in communities across Wales and the world.

Carbon emissions released into the atmosphere have already led to an increase in global temperatures. Without a reduction in carbon emissions the Earth's temperature will continue to increase significantly.

Climate change has been identified as one of the six key strategic objectives in the Council Plan. You can read more about the Council Plan here - [Council Plan 2023 - 2028 \(gov.wales\)](https://www.gov.wales/council-plan-2023-2028).



Figure 1 - The Council's Strategic Objectives

The purpose of this report is to reflect the progress of the Towards Net Zero Strategic Plan during 2023/24 by summarising the Net Zero Annual Action Plan. Appendix 1, attached to the report, provides an analysis of the Council's annual carbon emissions as reported to the Welsh Government in September 2024.

Highlights of the Year

Carbon Emissions Outcomes

The Isle of Anglesey County Council's total Carbon Emissions in 2023/24 was 42,022 tonnes CO₂e. This is a reduction of 19.7% compared to the maximum emissions in 2021/22 (graph 1 - page 8).

Decarbonising Council properties

The Council has been successful in attracting £14M in Welsh Government grant funding to upgrade heating systems and improve energy efficiency in 27 of our assets over 3 years. The assumption is that this investment will lead to a reduction of around 66% in carbon emissions from heating assets and water. It will also form the basis for further future investment.

New homes to carbon neutral standards

The Council has added 28 new homes to its housing stock. With their high energy ratings (EPC A and B), the properties will provide homes for local people and will be affordable to maintain.

Extend the EV charging network and active travel routes

Supported by a Welsh Government grant, the Council has extended the charging network by installing new charging points in Cemaes and Rhosneigr and undertaking preliminary work at numerous additional locations across the Island.

Work has also been undertaken to improve active travel in Holyhead and Trearddur Bay, improving infrastructure for walkers and cyclists, supported by the Welsh Government Active Travel grant.

New Tree Nursery

To support the long-term objectives of planting native trees across Anglesey, a tree nursery has been established near Llangoed.

Climate Change Training

During the year, introduction to climate change training was delivered to Elected Members and senior managers across the Council. The training was provided to raise awareness of climate change, its causes and effects, and identify how to respond to the challenge.

Energy Reduction and Energy Efficiency

Reduce energy usage and improve energy efficiency across our portfolio of assets.

Implement property decarbonisation projects

During a challenging year for the Council due to complexities arising from RAAC, the Council also succeeded in securing a £14M Low Carbon Heat Grant to decarbonise our properties.

Over the next 3 years we will invest to reduce the Council's carbon footprint in 27 Council buildings, e.g., schools, leisure centres and care homes. We will upgrade heating systems, install additional energy efficiency measures and upgrade electricity infrastructure. A 66% reduction in carbon emissions is forecast from heating buildings and heating hot water.

The grant has allowed the Council to accelerate the decarbonisation of our assets by funding 90% of investment costs.

Based on the Council's annual data, there was a 8.5% reduction in carbon emissions from the use of electricity and heat across our assets between 2021/22 and 2022/24.



Figure 2 - Heat Pumps at Ysgol Rhosneigr



Figure 3 - Heat Pumps at Ysgol Kingsland

New homes to carbon neutral standards

As part of our commitment to provide affordable and sustainable housing, the Council has added 28 new homes to its housing stock. With their high energy ratings (EPC A and B), these homes will help to reduce our carbon footprint and provide cost-effective housing for our residents.



Figure 43 - Pentraeth Development



Figure 4 - Parc y Coed

Retrofitting schemes to improve the energy efficiency of our housing stock –

The Council undertook a housing retrofitting and upgrading programme with 93 homes seeing a combined investment of £9.7M to upgrade the properties, improve energy performance or upgrade heating systems.

A survey of all Council housing stock was also undertaken to develop detailed plans of the work required to meet the Welsh Quality Housing Standard and reduce carbon emissions. Delivering the housing stock renovation and upgrading programme in the long term will depend on finance, the type of housing and their potential for improvement.



Figure 5 - Maes Cynfor



Figure 6 – Tyddyn To, Menai Bridge

Transport

Reduce the Council's transport emissions and support low carbon solutions across Anglesey.

Promoting active travel

The Council has continued to invest in active travel infrastructure improvements with budgetary support from Welsh Government and Transport for Wales.

With a £1.7m programme during 2023/24, the Council has begun route improvements between Holyhead and Trearddur Bay, widening multi-use paths, installing signage and raising awareness locally.

Work was also completed in Amlwch, Malltraeth and Valley to improve user safety by way of a number of improvements e.g. improving paths and crossings, new signage and public realm improvements specifically in Malltraeth.



Figure 7 - Active Travel

Development of EV charging infrastructure

Following the establishment of a charging network development programme by the Council in 2022, the number of public charging points across Anglesey has increased.

With £385k of grant support from Welsh Government in 2023/24, 4 new charging points (rapid and fast) have been installed in Rhosneigr and Cemaes. Work is progressing at numerous locations e.g. creating an EV Hub adjacent to Plas Arthur Leisure Centre and undertaking preliminary work in additional locations.

Up to March 2024, the network has provided enough charging to save 221 tonnes of travel carbon emissions, which equates to 1327 trees - a significant contribution to improving the environment and towards net zero carbon.



Figure 8 - New Charging Points

Transforming the Council fleet

The Council's efforts to decarbonise its fleet of vehicles is going from strength to strength. A £100k grant was secured from Welsh Government to install 30 charging points and

electricity infrastructure. In addition, the Council has procured 7 new electric vehicles, bringing the total to 22 electric vehicles.

By the end of 2023/24, the Council has transitioned 10% of the fleet to electric vehicles.

Land Use and Biodiversity

Reducing carbon emissions through carbon positive projects

Improving Biodiversity and woodlands.

During 2023/24, the Council implemented its biodiversity programme in various locations across Anglesey :-

- Through the local places for nature programme, habitats have been improved across the County e.g. pollinator project in 11 schools across the County, establishing ponds to encourage biodiversity at the Breakwater Park.
- Nature restoration work was undertaken in partnership with Natural Resources Wales at the former Penhesgyn landfill site. Native trees have been planted and signage provided to educate visitors to the site about biodiversity projects.
- 2000 trees have also been planted in Holyhead, Bodorgan, Benllech, Carreglwyd and Aberffraw.
- A tree nursery has been established in Llangoed to support the long-term objective of planting native trees on Anglesey.

Area of Outstanding Natural Beauty Plans

The Isle of Anglesey Area of Outstanding Natural Beauty Management Strategic Plan 2023 - 2028 has been established. The purpose of the Plan is to identify the special characteristics of the area and identify the actions required to ensure that those characteristics are protected and enhanced for future generations.



Figure 9 - Tree Nursery near Llangoed



Figure 10 - Ponds, Breakwater Park

Organisation Adaptation, Data and Monitoring

Reducing the Council's emissions whilst adapting and changing the way it works and establishing internal arrangements to allow delivery of the required change.

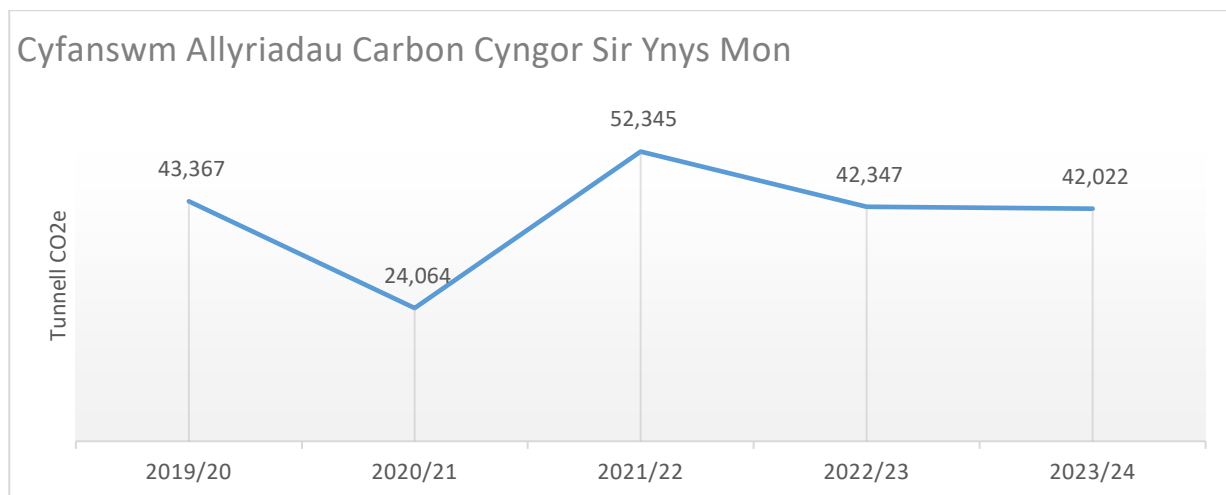
Deliver a climate change training programme

An 'Introduction to Climate Change' course was delivered to elected members, the Leadership Team and the Council's Service Management Teams. More than 60 individuals attended the presentation given by the Climate Change Manager which highlighted the causes of climate change, its impact and the Council's response. Following positive feedback, the intention is to present the course to the wider workforce in 2024/25.

Data reporting to Welsh Government and emissions dashboard

In line with Welsh Government's annual requirements, the Council reports on emissions data on an annual basis. By measuring a range of activities (e.g. use of our assets and fleet, waste, and expenditure on goods and services), the Council's annual carbon emissions can be calculated on a consistent basis.

Based on our annual data, there has been a reduction in the Council's annual carbon emissions but the reduction, in percentage terms, has been at a slower pace between 2022/23 and 2023/24.



Graph 1 - The Council's Carbon Emissions Over Time

It should be noted that steps to decarbonise assets can take up to one year to appear in carbon emissions data. There are also recognised weaknesses in the standard methodology used to calculate emissions from some activities. The task of improving data collection, data quality and reviewing data is ongoing.

It is important to note that carbon data reporting requirements in 2019/20 and 2020/21 were not the same as requirements in subsequent years, which saw additional data reporting

requirements and evolving requirements. With reporting arrangements evolving from year to year, changes in reporting arrangements and annual carbon emissions outcomes are to be expected. See appendix 1 for a further analysis of the Council's carbon emissions.

In parallel, and based on property usage data, the Council has developed a dashboard to allow officers to analyse carbon emissions from property usage. The purpose of the dashboard is to help identify decarbonisation priorities and monitor our journey towards net zero.

The dashboard is in continuous development, following internal consultation, and the main page shows a reduction in emissions from our buildings.

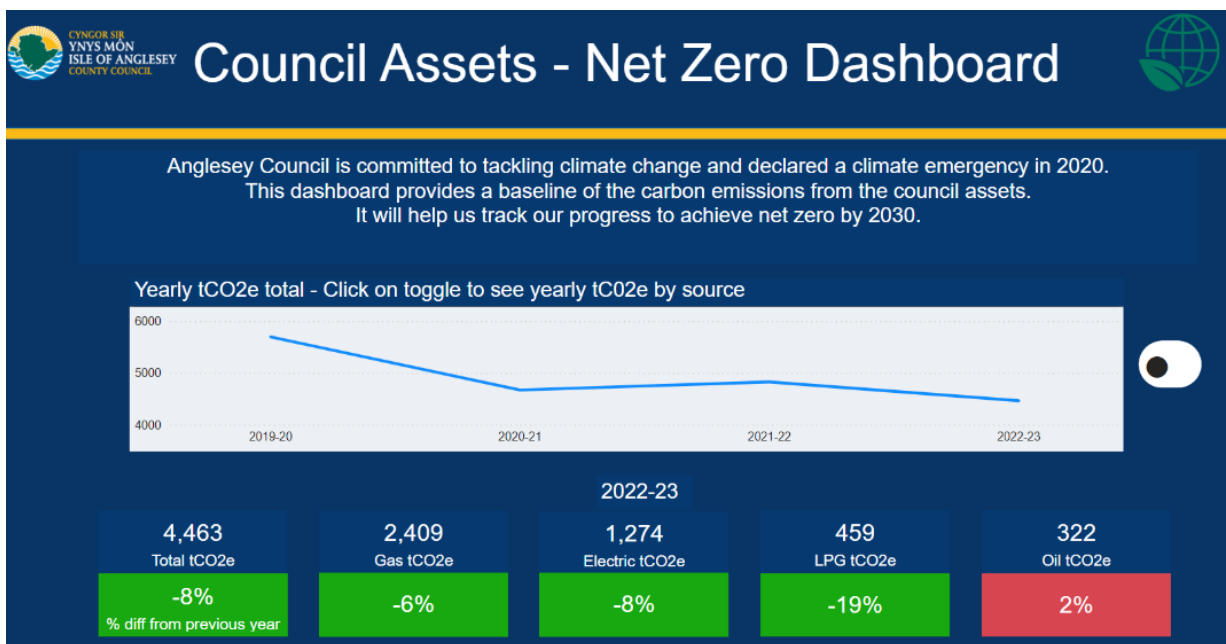


Figure 11 - Sample of the IOACC Emissions Dashboard

Looking Ahead to 2024/2024 and Conclusions

Here is a snapshot of some the developments planned for the coming year:

1. Deliver a £14M investment in low carbon heating systems and capital schemes
2. Continue to transition the Council fleet and facilitate green travel
3. Integrate Climate Change within the Council's new procurement system.
4. Create the next Net Zero Strategic Plan based on Council priorities
5. Develop the Council's awareness of carbon emissions data to support decision making
6. Increased consideration of biodiversity and land use and its role in mitigating climate change

Conclusions

1. The Council has seen an increase in the number of projects across the key priority areas of the Towards Net Zero Plan;
2. £14M of external funding to decarbonise our operational assets through the Low Carbon Heat Grant will allow us to make significant progress in terms of reducing our carbon footprint;
3. The Council continues to target transport emissions by investing in the Council's electric vehicle fleet, public charging points and the active travel programme;
4. Biodiversity and nature restoration projects continue to develop through the AONB Management Plan and Biodiversity Programmes;
5. Internally, the Council has raised awareness and shared climate change information with elected members and senior leaders;
6. Understanding of carbon emissions data continues to improve each year;
7. We can see that total carbon emissions have fallen compared to the previous year, but the rate of reduction has not met our expectations.
8. There is a clear dependency on external funding to deliver decarbonisation schemes, see appendix 2 for a further analysis. Match funding and Service capacity to manage and deliver projects has been essential to secure external grants in 23/24. Consequently, the availability of funding is a key risk to delivering the Towards Net Zero Plan and achieving the net net zero carbon target by 2030.
9. Despite an increase in the number of Council schemes within the Towards Net Zero Strategic Plan, the significant challenge that the Authority continues to face in terms of achieving the net zero carbon target by 2030 should be noted.

Appendix 1 – The Council’s Carbon Emissions 23/24

Background

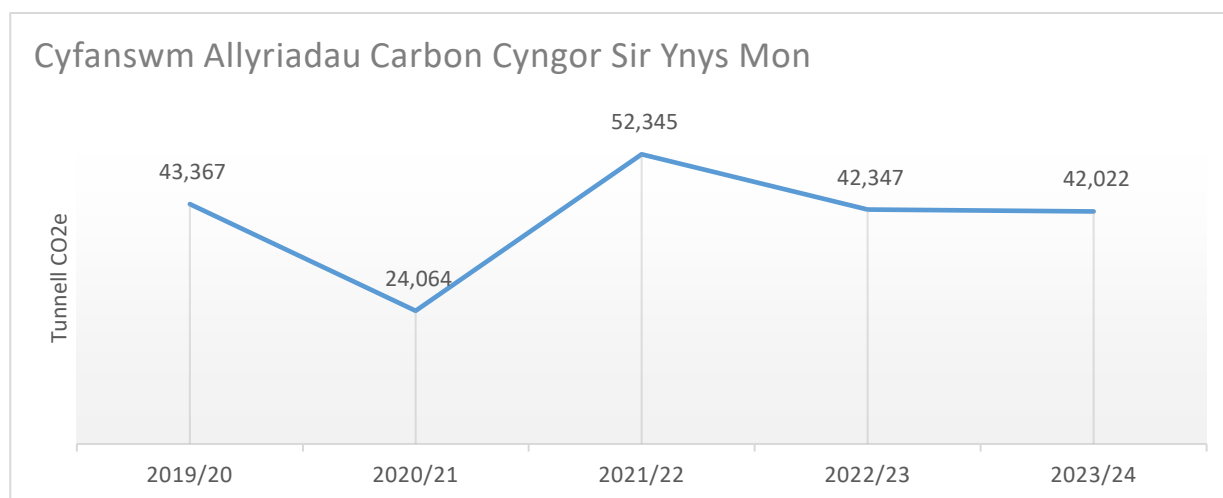
- There is a requirement for all public sector organisations to report on carbon emissions, in accordance with the Welsh Government annual net zero reporting programme.
- The measurement methodology / data requirements are adapted and changed from year to year to reflect developments in carbon measurement.
- There is a consensus within the public sector regarding the weakness of some outcomes due to the current methodology e.g. supply chain and commuting.
- A multi-service officer group gathers the data used to report the Council’s outcomes each year.
- Carbon emissions data can also be used for internal monitoring.
- Due to the annual reporting cycle, the ability to see the outcomes of our decarbonising activities is delayed until the next reporting cycle.

Challenges and Opportunities

- Changes in methodology and analysis of the data for Wales can complicate internal monitoring.
- The lack of availability of internal data can lead to outcomes based on assumptions.
- Opportunities to improve data can be identified following the annual reporting process.
- By using annual data, efforts to decarbonise activities can be prioritised according to the biggest emissions.

Carbon Emissions Outcomes

The Isle of Anglesey Council’s total Carbon Emissions in 2023/24 was 42,022 tonnes CO₂e. There has been a reduction of 19.7% compared to the maximum emissions in 2021/22 (graph 1).

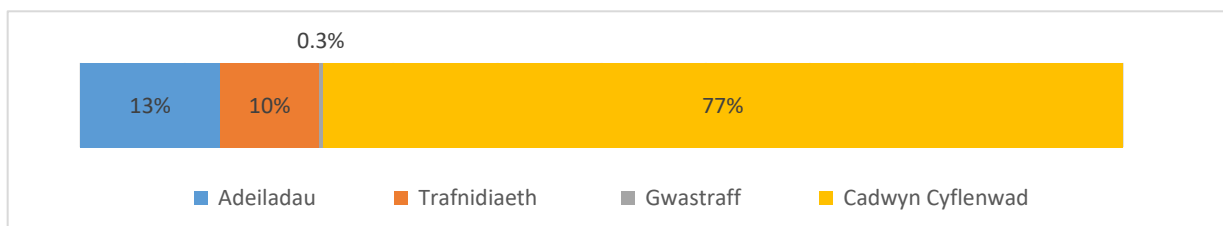


Graph 1 - The Council’s Total Emissions Over Time

Since we started reporting our emissions, Welsh Government reporting requirements have been extended and changed. By following the 23/24 requirements, land use emissions have not been included in the total annual emissions. As a result, the Council's total annual emissions in 23/24 were approx. 1.5% higher.

The total carbon emissions are broken down into 4 main categories within Welsh Government reporting arrangements, namely - Buildings, Transport, Waste and the Supply Chain.

Graph 3 shows the percentage of Council carbon emissions by category in 23/24.

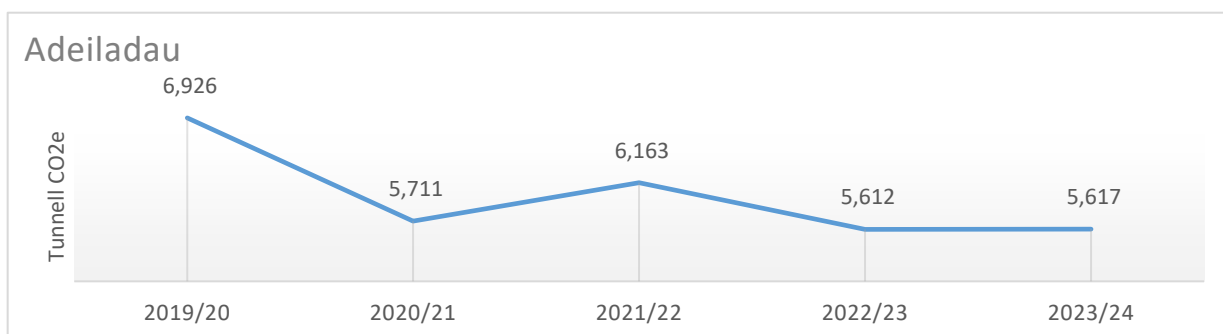


Graph 2 - IOACC Emissions Categories Percentages 23/24

The Council's use of buildings, transport and waste is equivalent to 23% of the Council's total emissions. At 77%, the supply chain, i.e. the goods and services we procure, is the main source of Council emissions.

A further breakdown of the categories is provided below.

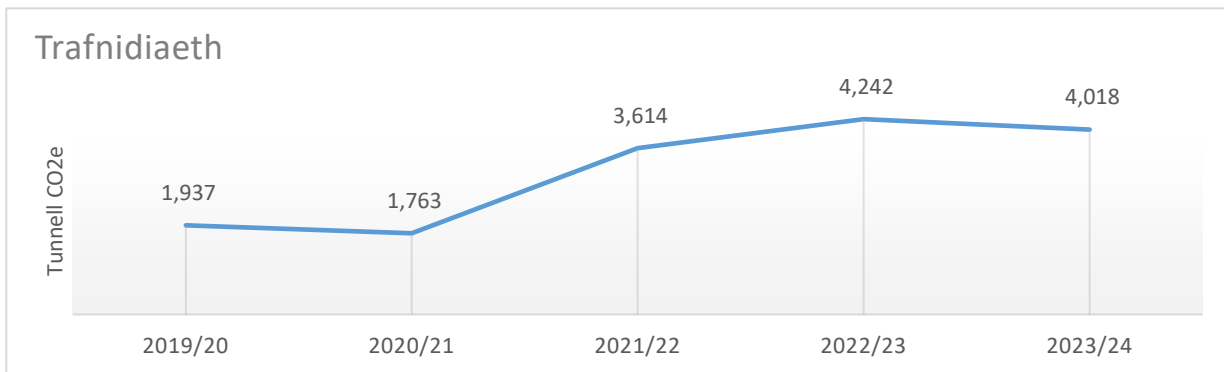
Buildings – 13% of the total carbon emissions in 23/24



Graph 3 - Annual Emissions – Use of Buildings

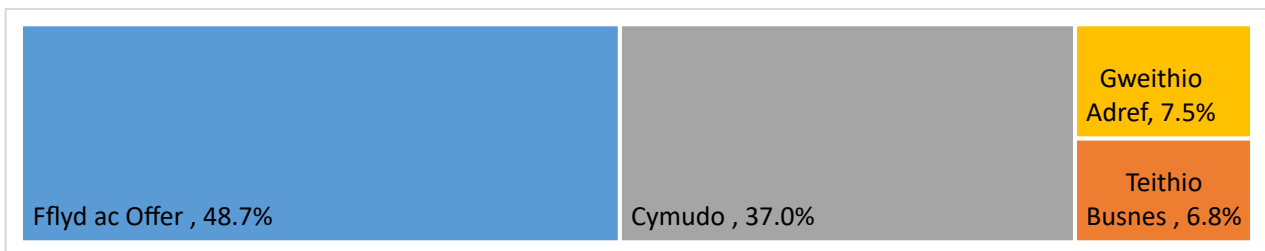
- Graph 4 shows the Buildings emissions category which includes the use of Council buildings (electricity, heat and water) and electricity for street lighting.
- The emissions in 2023/24 show a reduction of 18.8% compared to the use of buildings in 2019/20.
- However, carbon emissions increased by 5 tonnes CO2e between 2022/23 and 2023/24.
- Carbon emissions are expected to continue to fall in future years following our investment in low carbon heating systems.
- By using meters, the data in this category is considered to be of high quality.

Transport – 10% of total carbon emissions in 23/24



Graph 4 - Transport Carbon Emissions

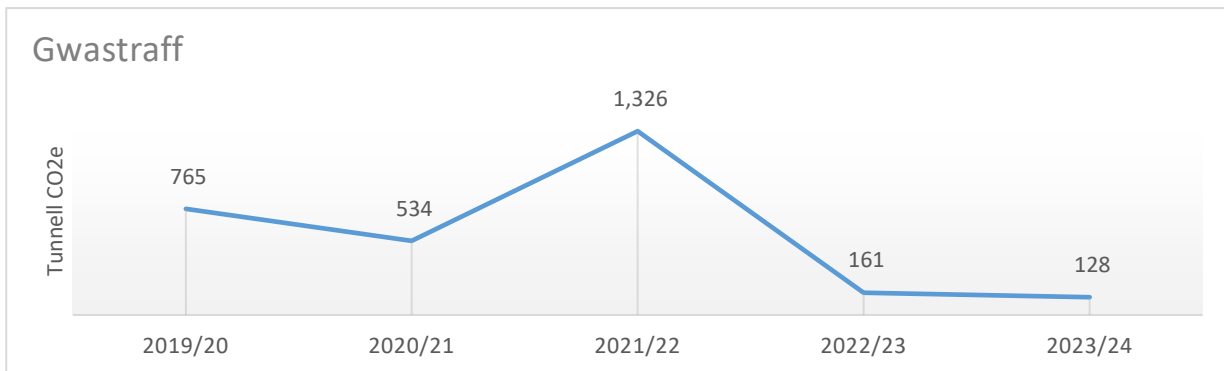
- It shows that total transport emissions have increased over time.
- Between 2022/23 and 2023/24, there has been a reduction of 5% in annual transport emissions.
- The transport category includes use of the Council fleet, staff business travel, staff commuting and working from home.
- Total emissions increased in 2021/22 due to additional activities in this category, coupled with the use of assumptions to calculate emissions.



Graph 5 - Analysis of Travel Modes

- From graph 6, we can see that use of the Council's fleet and equipment equates to 49% of emissions e.g. use of pool vehicles, commercial vehicles and refuse vehicles.
- Fleet and business travel emissions are based on high quality and dependable data.
- Since 2021/22 we also report on commuting and working from home, using national assumptions to create an annual snapshot. Because of this, the emissions data is inferior compared to other activities in this category.
- The quality of commuting and working from home data can be improved by engaging with the workforce, using questionnaires and undertaking a detailed analysis of staff behaviour.

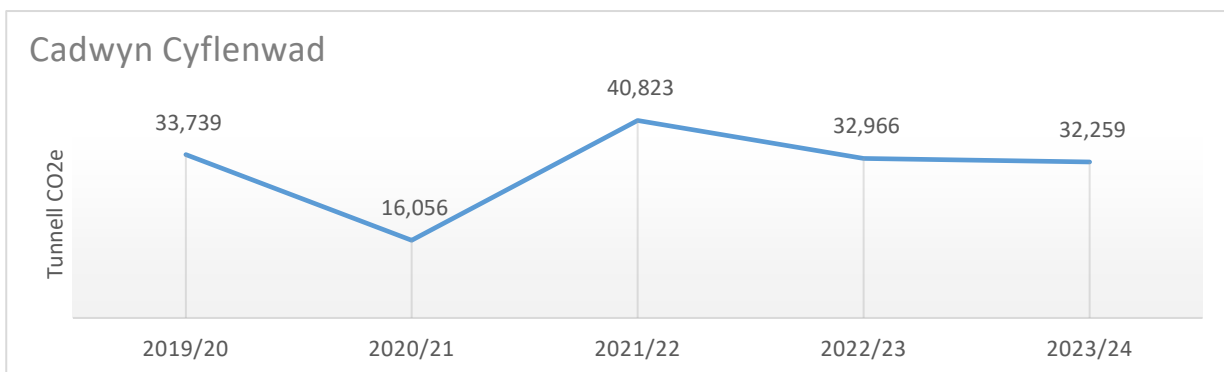
Waste – 0.3% of total emissions in 23/24



Graph - Carbon Emissions from Waste Collection

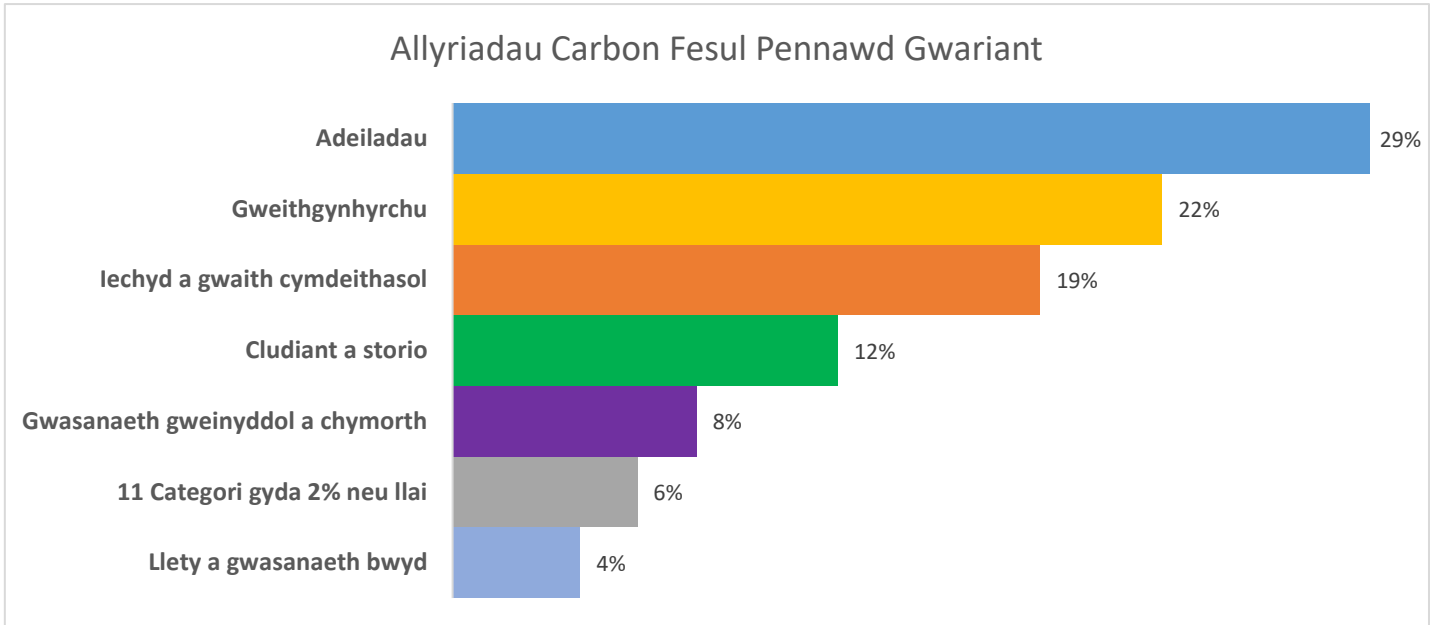
- The Council reports on carbon emissions deriving from the Council’s organisational waste and civic waste collected by the Authority.
- The total emissions from waste in 23/24 was 128 tonnes CO2e - a reduction of over 80% in carbon emissions.
- A significant variation can be seen in our emissions due to changes in collection contracts, improvements in collection processes and organisational waste monitoring systems.

Supply Chain – 75% of total carbon emissions in 23/24



Graph 8 - Carbon Emissions from the Supply Chain

- Carbon emissions from the services and goods we procure represent the majority of the Council’s annual carbon emissions.
- Graph 8 shows that the Council’s total emissions from the supply chain have fallen since 2021/22.
- It must be highlighted that emissions have been calculated based on the total expenditure under different headings. Consequently, if the Council spends more on goods due to external factors, e.g. inflation, carbon emissions will also increase.
- Despite the weakness of the data, it is useful in terms of enabling the Authority to identify which category generates the biggest expenditure and emissions.
- Graph 9 below shows carbon percentages within the supply chain based on expenditure headings. Expenditure on Buildings, Manufacturing and Health and Social Work generated the highest percentages of emissions within our supply chain in 2023/24.



Graph 6 - Emissions from the Main Expenditure Headings

Conclusions and Recommendations

- The Isle of Anglesey Council's carbon emissions have seen a reduction from 42,347tCO₂e in 2022/23, down to 42,022tCO₂e in 2023/24.
- It demonstrates that direct emissions from the use of buildings, transport and waste accounts for 23% of the Council's annual emissions.
- Emissions from the use of buildings and transport are expected to continue to reduce further as decarbonisation programmes continue to be completed.
- The majority of Council emissions can be attributed to sources from the supply chain, which equate to 77% of the annual total for 2023/24.
- It is recommended that further work is needed to improve data availability and quality to strengthen the Council's annual carbon emissions outcomes.

Appendix 2 - Towards Net Zero Budget 23/24

The table below provides a breakdown of external budgets and Isle of Anglesey Council budgets within the Towards Net Zero Action Plan 2023/2024.

Programme Area	Key Action	23/24 Funding (External Grant)	23/24 Funding (Internal Resources)
Energy Reduction and Energy Efficiency	Implementing property decarbonisation projects	£5.7M	£574,408
Energy Reduction and Energy Efficiency	New homes to carbon neutral standards	£1M (various grants)	£3.9M
Energy Reduction and Energy Efficiency	Retrofitting to improve Council housing stock	£4.45M (various grants)	£4.33M
Transport	Promoting active travel	£1.7M - Welsh Government and Transport for Wales	
Transport	Developing EV charging infrastructure	£385K - WG Grant	
Transport	Transforming the Council fleet	£100K - WG Grant	£390K
Land Use and Biodiversity	Improving Biodiversity and Woodland	£1M (various grants)	
Land Use and Biodiversity	Area of Outstanding Natural Beauty Plans	£1M (various grants)	

CYNGOR SIR YNYS MÔN / ISLE OF ANGLESEY COUNTY COUNCIL	
Meeting:	Governance and Audit Committee
Date:	5 December 2024
Title of Report:	Anglesey Schools Annual Information Governance Assurance Report 2024
Purpose of the Report:	To inform members as to the level of data protection compliance and risk in relation to schools and to summarise current priorities
Report by:	Elin Williams, Schools Data Protection Officer Ext: 1833, dpoysgolionmon@ynysmon.llyw.cymru
Contact Officer:	Elin Williams, Schools Data Protection Officer Ext: 1833, dpoysgolionmon@ynysmon.llyw.cymru

Purpose of this report

To provide the Governance & Audit Committee with the Schools Data Protection Officer's analysis of the key Information Governance (IG) issues for the period November 2023 to November 2024 and to summarise current priorities.

Introduction

This report provides the Schools Data Protection Officer's statement and an overview of the Anglesey primary, secondary and special schools' compliance with legal requirements in handling school information, including compliance with the *United Kingdom's General Data Protection Regulation (UK GDPR); Data Protection Act 2018* and relevant codes of practice.

The report also provides details of actions taken since the last report (November 2023) and provides details regarding the content of and what has been achieved under the *Schools Data Protection Development Strategy 2023-2024*.

The report also provides details of what is contained within the *Schools Data Protection Development Strategy 2024-2025* and progress to date.

Schools Data Protection Officer Statement

Since the last report, issued in November 2023, schools have the necessary **policies** and procedures in place to be compliant with requirements under data protection legislation. Schools have formally adopted the majority of policies and have been provided with tools to **monitor** and **evidence their compliance** with all data protection policies. This supports schools to ensure that they are taking necessary actions that reduce data protection risks and support schools to evidence their accountability and compliance.

The day-to-day information management **practices** within the schools remain to be good. Although many schools have not taken up the offer of refresher training or

more topic-specific training, the majority of school staff have now received data protection **training** at some stage. Action needs to be taken to formalise refresher training arrangements with schools to ensure that staff receive data protection training on a regular basis and to ask schools to provide evidence of data protection training attendance, including dates.

More specific pieces of work still need to be completed, including completing the work with schools adapting the pre-populated **ROPA and Information Asset Register** template; continue to ensure that **DPAs** are in place for all apps and programmes used; continue to create **DPIAs** where there is high risk processing; having a **Business Continuity Plan** and **Disaster Recovery Plan** in place and to up-date the **Publication Scheme Template**. Work also needs to take place to ensure that school records and documents are regularly reviewed in accordance with the **Schools Retention Schedule** document.

Schools continue to show that they understand their **responsibilities** and implications as the data controller and the legal expectations that come as a result. Schools contact the Schools Data Protection Officer much more frequently about different data protection issues and will ask for more **advice, support and guidance**.

Schools need to **self-monitor their compliance** and make sure that data protection audits are undertaken and that they have evidence of their compliance for the accountability element within the legislation. **Monitoring functions** need to be in place to monitor the effectiveness of the Schools Data Protection Officer Service by providing more opportunities for headteachers and school staff to provide feedback on training sessions and the quality and usefulness of the service, advice and guidance provided under the Service Level Agreement.

Schools Data Protection Officer Assurance Assessment (November 2024)	Reasonable Assurance
<p>Most schools have now adopted the key data protection policies and should be monitoring their compliance with individual policies. Significant progress has been made in terms of ensuring that schools have the required Data Protection Agreements for apps and programmes used. There is regular communication between the Schools Data Protection Officer and schools via newsletters and via the Learning Service’s weekly bulletins and there is an increase in the number of schools contacting the Schools Data Protection Officer for support, advice and guidance. Further work needs to be undertaken on specific pieces of work to ensure that all schools are on the same level of compliance and are closer to be fully compliant and can evidence this. More work also needs to be done to ensure that all school staff have completed data protection training/refresher training and that schools undertake more self-monitoring and audit activities to ensure compliance and accountability.</p>	

Recommendations

The Schools Data Protection Officer makes the following recommendations to the Committee, that:

- i. the Schools Data Protection Officer report, including the statement, is accepted.
- ii. the Committee endorses the Schools Data Protection Officer's proposed next steps- the *Schools Data Protection Development Strategy*- in order to enable schools to fully operate in accordance with data protection requirements.

ANGLESEY SCHOOLS ANNUAL INFORMATION GOVERNANCE ASSURANCE REPORT

**ELIN WILLIAMS
SCHOOLS DATA PROTECTION
OFFICER**

November 2024

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1. Introduction

This report provides the Schools Data Protection Officer's statement and an overview of the Anglesey primary, secondary and special schools' compliance with legal requirements in handling school information, including compliance with the *United Kingdom's General Data Protection Regulation (UK GDPR); Data Protection Act 2018* and relevant codes of practice.

The report also provides details of actions taken since the last report (November 2023) and provides details regarding the content of and what has been achieved under the *Schools Data Protection Development Strategy 2023-2024* and what has been achieved to date under the *Schools Data Protection Development Strategy 2024-2025*.

There were **45** schools on Anglesey that were signed-up to receive the support and guidance of the Schools Data Protection Officer via a Service Level Agreement at the beginning of the reporting period. Two primary schools permanently closed during the summer (Ysgol Talwrn and Ysgol Garreglefn), with the total number of schools now receiving this service being **43**:

Primary Schools			
Ysgol Gynradd Amlwch	Ysgol Esceifiog	Ysgol Llanfairpwll	Ysgol Penysarn
Ysgol Beaumaris	Ysgol Gymuned y Fali	Ysgol Llanfawr	Ysgol Rhoscolyn
Ysgol Gynradd Bodedern	Ysgol y Ffridd	Ysgol Llanfechell	Ysgol Rhosneigr
Ysgol Bodffordd	Ysgol Llandegfan	Ysgol Llangoed	Ysgol Rhosybol
Ysgol y Borth	Ysgol Goronwy Owen	Ysgol Llannerch-y-medd	Ysgol Rhyd y Llan
Ysgol Bryngwran	Ysgol y Graig	Ysgol Moelfre	Ysgol Santes Dwynwen
Ysgol Brynsiencyn	Ysgol Henblas	Ysgol Gymraeg Morswyn	Ysgol Santes Fair
Ysgol Cemaes	Ysgol Kingsland	Ysgol Parc y Bont	Ysgol Pentraeth
Ysgol Corn Hir	Ysgol Llanbedrgoch	Ysgol Pencarnisiog	Ysgol y Tywyn
Ysgol Cybi			

Secondary Schools	Special Schools
Ysgol Uwchradd Bodedern	Canolfan Addysg y Bont
Ysgol Uwchradd Caergybi	
Ysgol David Hughes	

Ysgol Gyfun Llangefni	
Ysgol Syr Thomas Jones	

2. Conclusions and Actions Identified from November 2023 Report

2.1. Conclusions Identified from the November 2023 Report

The following were the **conclusions** identified in the November 2023 Report:

- Progress continues to be made in relation to the actions within the *Schools Data Protection Development Strategy* and all schools becoming fully compliant with data protection legislation.
- Most schools have now adopted the key data protection policies and are now monitoring their compliance with individual policies.
- The majority of school staff have now received data protection training at least once with many schools having received more themed training. Many school governors have also been provided with a presentation and have improved their understanding of the school's data protection obligations.
- Schools continue to have an in-put into developments and pieces of work undertaken to progress the data protection programme via the Schools Data Protection Operational Group.
- Progress continues with upgrading and strengthening ICT systems, infrastructure and security with MFA being enabled on staff and governors' HWB accounts and with the roll out of InTune.
- Most schools have suitable and up-to-date Privacy Notices with most schools having shared these with parents and have put the general and children and young people's versions on to the school website.
- The Schools Data Protection Officer has undertaken an audit visit to individual schools to monitor compliance with data protection obligations again this year which provides an invaluable insight of where individual schools are up to in terms of compliance and in highlighting what support is needed.
- Further progress has been made, but to continue reviewing and creating suitable Data Processing Agreements for all current and new apps and programmes used by schools.

2.2. Actions Identified from November 2023 Report

The Schools Data Protection Officer identified in the November 2023 report what pieces of work needed to be completed with the schools to ensure that they comply fully with data protection legislation and achieve what is expected of them as the data controller, who is ultimately responsible for ensuring that they process personal data legally.

The following **actions** were proposed as the next steps that needed to be taken to ensure that all schools operate in accordance with requirements. Progress to date relating to the actions to be taken have been noted as well as any further work that needs to be undertaken.

RAG Status Key			
	On track to be fully completed		
	A little behind in progress, but the majority of tasks are being completed		
	Behind with progress, with some tasks being completed		
	No progress		
No	Actions from November 2023 Report	Progress to date against identified actions (up until November 2024)	Further work to be undertaken
1	To monitor that schools are monitoring their own compliance with all data protection policies.	<p>Schools have been provided with a <i>Data Protection Policies Checklist</i> document in December 2022 to support them with monitoring their compliance with key actions within the individual data protection policies.</p> <p>As a decision was made not to conduct an annual audit visit to individual schools this year, no formal monitoring arrangements have been in place and is something that needs to be developed further. Schools need to take more responsibility in monitoring their own compliance and keeping and maintaining evidence of their compliance.</p>	<p>To put measures in place to actively monitor that schools are monitoring their own compliance with all data protection policies.</p> <p>To request to see evidence of compliance by schools before the compliance audit visits will be held following the implementation of the new data protection legislation.</p>
2	To continue to create and review Data Processing Agreements for current and new apps and programmes, including agreements for apps and programmes where the Council is also involved.	<p>Significant progress has been made in terms of agreeing Data Protection Agreements (DPA) for certain apps and programmes.</p> <p>When schools request to use a new programme, the ICT Service checks with the Schools Data Protection Officer if there are any risks with using</p>	To continue to prepare Data Protection Agreements where required and to assess any agreements that schools have already signed in order to confirm that they meet expectations.

		<p>particular programmes and whether a DPA is required as part of the due diligence process.</p> <p>DPA's have been created or agreed for 11 programmes during this period. A Data Disclosure Agreement has also been created for secondary schools.</p> <p>Schools have previously been provided with a <i>Schools Data Processing Policy</i> to adopt and should be monitoring their compliance with this policy.</p>	<p>Due to the number of different apps and programmes used by schools and that schools continuously begin to use new programmes; this work will be on-going.</p>
3	<p>To continue delivering general and specific data protection training to all school staff and governors as this has contributed to ensuring that everyone within the school structure is aware of their data protection responsibilities.</p>	<p>Training sessions have been held during this period (<i>please see item 3.1.2 for more information regarding training</i>).</p> <p>The uptake of data protection training has been low during this period and more needs to be done to ensure that all school staff receive regular data protection training/refresher training.</p> <p>The need for individual schools to maintain a central register of which members of staff have attended data protection training and the date attended has been discussed with headteachers/data protection leads.</p>	<p>Regular training sessions need to be held so that staff and governors of every school has received data protection training/refresher training or specific training as required for specific job roles.</p> <p>To formalise refresher training arrangements with schools to ensure that staff receive training on a regular basis going forward.</p> <p>Schools Data Protection Officer to ask schools to provide evidence of data protection training attendance, including dates.</p>

4	<p>To continue to monitor that all schools have safely disposed of historical documents to ensure that there is no information kept past its retention period.</p>	<p>The message that disposing of historical documents and the importance of complying with the <i>Schools Retention Schedule</i> document has continued to be shared with schools.</p> <p>No formal monitoring has taken place as there have been no audit visits to individual schools this year.</p>	<p>Schools Data Protection Officer to continue to monitor that schools are reviewing their records and are adhering to the <i>Schools Retention Schedule</i> document. To ensure formal monitoring mechanisms are in place.</p>
5	<p>Some progress has been made but further work still needs to be carried out to ensure that data protection risks are effectively managed, and that Data Protection Impact Assessments are completed for high-risk processing activities.</p>	<p>A general DPIA template has been created for relevant schools to adapt for their CCTV system. This has been accepted and approved by the Schools Data Protection Operational Group and meetings are in the process of being held to support schools to amend the template for their own individual circumstances.</p>	<p>To continue holding and arranging meetings with all individual schools that have an operational CCTV system in place to adapt the CCTV DPIA template for their own individual circumstances.</p> <p>To continue until all relevant schools have a DPIA for their CCTV system and to then monitor that schools are keeping it current and up to date.</p> <p>The development of other general DPIA templates needs to be completed and the Schools Data Protection Officer will need to continue to support schools with completing any other DPIAs as required.</p>

6	<p>A pre-populated ROPA and Information Asset Register template for primary and secondary schools have been created and need final approval so that schools can adapt for their individual needs. Sessions to be held to support schools to adapt the template.</p>	<p>A combined ROPA and Information Asset Register template that has been pre-populated has been developed for primary schools and a template for the secondary schools is a work in progress.</p> <p>The primary schools version has been accepted and approved by the Schools Data Protection Operational Group. Work is on-going with 1 catchment area, in supporting them to amend the template. Meetings need to be arranged with other catchment areas/individual schools.</p> <p>More work is being undertaken on completing the secondary schools template as this is more complex as there are so many different apps and systems being used within different secondary schools.</p>	<p>The Schools Data Protection Officer to complete the work with supporting primary schools in adapting the pre-populated ROPA and Information Asset Register template for their individual needs.</p> <p>To complete the work in creating a pre-populated ROPA and Information Asset Register template for secondary schools.</p>
7	<p>To finalise the <i>Business Continuity Plan</i> and <i>Disaster Recovery Plan</i> and share with schools to adopt.</p>	<p>A draft <i>Business Continuity Plan</i> and <i>Disaster Recovery Plan</i> have been created following discussions in the Schools Data Protection Operational Group.</p> <p>More work has since been completed, but this still needs to be finalised and be presented to the Schools Data Protection Operational Group for approval.</p>	<p>Following the approval of the <i>Business Continuity Plan</i> and <i>Disaster Recovery Plan</i>, these will be shared with schools to adopt, and they will need to be adapted to meet the needs of individual schools. The Schools Data Protection Officer will support schools with adapting the plans.</p>
8	<p>To finalise and adopt monitoring functions to monitor the effectiveness of the Schools Data Protection Officer Service by providing more</p>	<p>The corporate CRM system is used to document what support is provided to schools and the time spent providing the support (e.g. the amount of time spent on creating a DPA is documented as well as</p>	<p>Following approval of the training questionnaire, to start using this to gain feedback on training sessions provided</p>

	<p>opportunities for headteachers and school staff to provide feedback on training sessions and the quality and usefulness of the service, advice and guidance provided under the Service Level Agreement.</p>	<p>time spent on delivering training). This is used as an internal monitoring tool within the Learning Service.</p> <p>A questionnaire has been developed for headteachers, schools staff and governors to provide feedback on training. This needs to be finalised and be presented to the Schools Data Protection Operational Group for approval.</p> <p>A link is provided to school governors who have attended the data protection training as part of the school governor training programme to complete a feedback form.</p>	<p>by the Schools Data Protection Officer.</p> <p>To continue using the corporate CRM system as a monitoring tool.</p> <p>To include feedback and monitoring functions within the new SLA when this is created.</p>
9	<p>To complete a piece of work to confirm which records need to be transferred from primary to secondary school to ensure there is a clear and uniform process for all schools to use.</p>	<p>Work has started on confirming which records need to be transferred from primary and secondary schools via initial discussions in the Schools Data Protection Operational Group. More work needs to be completed on this.</p>	<p>To continue and to complete a piece of work to confirm which records need to be transferred from primary to secondary school to ensure there is a clear and uniform process for all schools to use.</p>
10	<p>To create a new <i>Publication Scheme</i> template for schools to adapt and to adopt.</p>	<p>Work has already begun on reviewing the current <i>Publication Scheme</i> template as it needs to focus more on the actual documents and information that schools publish.</p> <p>A draft version has been developed but still needs to be shared with the Schools Data Protection Operational Group for their input and for their approval.</p>	<p>Following approval of the template, this will be shared with schools to adapt to reflect their individual circumstances and will need to be adopted and be publicly available (to be shared on school websites or via other appropriate means).</p>

			The Schools Data Protection Officer will be offering support for schools to adapt the template.
11	To review the current Service Level Agreement for the Schools Data Protection Officer service that is due to end on the 31 March 2024.	A decision was taken to extend the SLA that was in place due to the changes in the legislation and that a new version of the SLA was created after the legislation came into force, which was expected to take place during the summer of 2024. Schools were provided with the opportunity to state if they did not wish to continue with the current SLA.	To review if the current SLA will be extended in light of the new Bill being introduced to Parliament in October 2024.
12	To re-score the answers for the GDPR questions on the School Management Review in order to provide a current picture following actioning the actions within the Schools Data Protection Development Strategy. Schools Data Protection Officer to hold sessions to provide support to headteachers to re-score the answers.	This has not taken place due to other priorities. Evidence of progress is captured within the reports that schools have received following their individual data protection audits, but sessions will need to be arranged to complete this work for a more current position.	Schools Data Protection Officer to hold sessions to provide support to headteachers to re-score their answers for the GDPR questions on the School Management Review.
13	To prepare for the changes that will occur as a result of the <i>Data Protection and Digital Information Bill (DPDI)</i> being passed and replacing the <i>UK GDPR</i> and <i>Data Protection Act 2018</i> . To make changes required to policies, key documents and training and ensure that schools are fully aware of the changes and are compliant.	The <i>Data Protection and Digital Information Bill</i> did not become law before the general election and a new bill, the <i>Data (Use and Access) (DUA) Bill</i> was introduced to Parliament in late October 2024. This has had an impact in terms of this action as no changes were made to policies, key documents and training as the current law is still in place.	To prepare for the changes that will occur as a result of the <i>Data (Use and Access) (DUA) Bill</i> being passed and replacing the <i>UK GDPR</i> and <i>Data Protection Act 2018</i> . To make changes required to policies, key documents and training and ensure that schools are fully aware of the changes and are compliant.

3. Schools Data Protection Development Strategy

3.1. Schools Data Protection Development Strategy 2023-2024

A Schools Data Protection Development Strategy for the school year 2023-2024 has been developed (please see copy of the strategy in APPENDIX A).

All action points within the *Schools Data Protection Development Strategy 2023-2024* are discussed under the following headings or have already been discussed under item 2.2 above:

3.1.1. Schools to adopt the latest versions of the data protection policies and guidance that have been reviewed

Schools have received all mandatory and key data protection policies (the final pack of new policies was shared with schools in December 2022). The majority of schools have now adopted all 14 data protection policies.

A new policy has been created and shared for relevant schools to adopt- the '*Use of Unencrypted Two-Way Radio Policy*'. A piece of work is taking place to look at what encrypted two-way radios products are available and are suitable for schools to use. For schools that need to continue using two-way radios that are not encrypted, this policy has been developed for them to adopt to ensure that data protection expectations are met.

The intention was to review the data protection policies that were due to be reviewed during this time period, but it was decided to put this on-hold and to review all policies once the new data protection legislation was in force (this was expected to come in to force during the summer of 2024). Any changes to current policies were to be made in line with the new legislation (*Data Protection and Digital Information Bill*). This decision was taken to ensure that schools did not have to adopt a policy that would be reviewed again within a short period of time.

However, the *Data Protection and Digital Information Bill* did not become law before the general election and a new bill, the *Data (Use and Access) Bill* was introduced to Parliament in October 2024. Policies will now be reviewed once the *Data (Use and Access) Bill* becomes law.

Schools have been provided with the *Data Protection Policies Checklist* document to support them with reviewing their compliance with the data protection policies. This document supports schools to confirm that they have actioned the main requirements within all of the data protection policies, which supports schools to demonstrate accountability and that they are compliant with data protection legislation.

3.1.2. Data Protection Audit

No data protection audits took place in 2024 except for 1 school that had not been visited in 2023. The Schools Data Protection Officer visited every school to review data protection compliance and arrangements between March 2023 and October 2023 and to the final school in March 2024.

A decision was taken not to hold audits during 2024 as the schools were in a good place in terms of basic compliance and schools had been visited three times since 2019.

Also, it was felt that it would be more beneficial to hold an audit once the new data protection legislation was in place. This would be an opportunity to monitor compliance with any new requirements and to provide guidance to ensure schools were compliant.

This decision was made on the basis that the *Data Protection and Digital Information Bill* was in the process of becoming law during 2024 and that resources should be focused elsewhere in the meantime on ensuring schools have appropriate agreements in place.

The intention now is to hold data protection audit visits once the *Data (Use and Access) Bill* becomes law and schools have had time to implement any changes. Other measures will need to be put in place to ensure that schools are monitoring their own compliance and can evidence their compliance.

3.1.3. Support the Schools that are Permanently Closing to Sort Personal Data
Significant support was provided to both Ysgol Talwrn and Ysgol Garreglefn to go through the personal data and other records and documentation held by the schools as part of the permanent closure of the schools.

3.2. Schools Data Protection Development Strategy 2024-2025

A *Schools Data Protection Development Strategy 2024-2025* has been developed for the current school year (*please see copy of the strategy in APPENDIX B*). This is a draft version and will need to be approved by the Schools Data Protection Operational Group.

The following contains details regarding progress so far regarding actions that are additional to those contained under items 3.1 and 2.2:

3.2.1. To adopt the new 'Policy on Sharing Personal Information in a Mental Health Emergency'

This is a new policy that has been created following guidance by the ICO.

The policy will provide more certainty to schools as employers about sharing information about workers in the event of a mental health emergency.

This is currently in draft form and needs to go through the process of being checked and accepted before it will be shared with schools to adopt as a policy.

4. On-going Developments and Activities

4.1. Schools Data Protection Operational Group

The Schools Data Protection Operational Group was established in April 2022 and has continued to meet.

The group is a forum where schools can provide input and feedback on data protection matters and developments.

A representative from each catchment area forms membership of the group, with representatives from both primary and secondary schools. There is also representation from the Local Authority with the Schools Data Protection Officer chairing meetings with the Learning Service Contracts and Services Manager and a representative from Human Resources Service and IT Service being members.

The group is working on specific pieces of work that will support further developments. This group is an important forum so that schools are a part of developments and can provide feedback and input. Policies and procedures are shared and accepted by the group.

4.2. Termly Schools Data Protection Up-Date and Newsletter

The Schools Data Protection Officer provides regular up-dates to schools which includes sharing a termly newsletter. To date, schools have received **10** newsletters, with **3** being received during this reporting period (March, July and November).

There is also a schools data protection section within the school governors' bulletin.

The Schools Data Protection Officer continues to be a member of the Schools ICT Forum and the Improving Systems & Processes Working Group.

The Schools Data Protection Officer also provides regular up-dates and information relating to data protection via the Learning Service weekly bulletin.

4.3. Map the Data Flows between the Schools and the Council

Work has continued with mapping out the data flows between the schools and the Council to identify where an agreement is required. More work is required to complete this work, but this will be an on-going task as more services and systems are used.

5. Data Protection Training

The following training has been provided to schools by the Schools Data Protection Officer between November 2023 and November 2024:

Nature of Training	Number of Sessions Held
Data protection training for new headteachers	1 (20.09.24)
Dealing with Information Requests (from Individuals and the Police) and Sharing Personal and Sensitive Information Safely	1 (15.05.24)
Data protection training for school governors	1 (07.05.24)
General data protection training for school staff	Catchment area- 1 (03.06.24) Individual school- 2 (08.04.24) & (03.09.24)
Data Protection webinar training for HMS, focused on the 'Accountability' element of the UK GDPR, including presentation prepared by the ICO, for school management teams and leaders	1 (available to view from 02.09.24).
Total	7

A data protection presentation has been provided to **2** governing bodies during this period. The presentation highlights the main requirements and expectations on schools regarding data protection obligations.

Many schools are also completing the data protection module as part of their subscription to the Educare programme.

Training sessions have continued to be held and are offered to schools either in person or on-line. The up take by schools of offers to hold training sessions are low, despite reminding schools that data protection training should be provided on a regular basis. Will begin to formalise refresher training arrangements with schools to ensure that staff receive training on a regular basis going forward.

Schools have been told that they need to maintain a central register of which members of staff have attended data protection training and the date for accountability purposes. The Schools Data Protection Officer will ask schools to provide evidence of data protection training attendance, including dates going forward.

6. Number of Data Breaches, Data Subject Access Requests, Education Records Requests and Data Protection Complaints

The following are the number of data breaches, data subject access requests, education records requests and data protection complaints by schools that the Schools Data Protection Officer has provided support and guidance to schools to deal with:

	December 2023- November 2024	February 2023 – November 2023
Number of reported data breaches	13 (with 2 being reported to the ICO)	15 (with 3 being reported to the ICO)
Number of data subject access requests	11 (with 5 being advice only and 6 involving preparing/checking data)	18 (with 9 being advice only and 9 involving preparing/checking data)
Number of education records requests	5 (with 1 being advice only and 4 involving preparing/checking data)	Did not report on figures last year
Number of data protection complaints	5 (with 4 being received by individuals and 1 via the ICO)	0

There are less reported data breaches in this period than the previous reported period (it is to be noted that the reporting period this year is longer than the last reporting period). The ICO has confirmed that no further action is required for the reported breaches.

The number of data subject access requests received has decreased during this period, but more education records requests have been received. Some schools have asked for advice, and some have asked for support with preparing the relevant personal data or checking that the school has correctly redacted or has applied the correct exemptions within their responses.

There are more complaints during this period than the last period (no complaints were received in the last period). Out of the **5** complaints, only **1** was received via the ICO as the others were made directly by individuals themselves.

7. Schools Data Protection Officer Statement- November 2024

Since the last report, issued in November 2023, schools have the necessary **policies** and procedures in place to be compliant with requirements under data protection legislation. Schools have formally adopted the majority of policies and have been provided with tools to **monitor** and **evidence their compliance** with all data protection policies. This supports schools to ensure that they are taking necessary actions that reduce data protection risks and support schools to evidence their accountability and compliance.

The day-to-day information management **practices** within the schools remain to be good. Although many schools have not taken up the offer of refresher training or more topic-specific training, the majority of school staff have now received data protection **training** at some stage. Action needs to be taken to formalise refresher training arrangements with schools to ensure that staff receive data protection training on a regular basis and to ask schools to provide evidence of data protection training attendance, including dates.

More specific pieces of work still need to be completed, including completing the work with schools adapting the pre-populated **ROPA and Information Asset Register** template; continue to ensure that **DPAs** are in place for all apps and programmes used; continue to create **DPIAs** where there is high risk processing; having a **Business Continuity Plan** and **Disaster Recovery Plan** in place and to up-date the **Publication Scheme Template**. Work also needs to take place to ensure that school records and documents are regularly reviewed in accordance with the **Schools Retention Schedule** document.

Schools continue to show that they understand their **responsibilities** and implications as the data controller and the legal expectations that come as a result. Schools contact the Schools Data Protection Officer much more frequently about different data protection issues and will ask for more **advice, support and guidance**.

Schools need to **self-monitor their compliance** and make sure that data protection audits are undertaken and that they have evidence of their compliance for the accountability element within the legislation. **Monitoring functions** need to be in place to monitor the effectiveness of the Schools Data Protection Officer Service by providing more opportunities for headteachers and school staff to provide feedback on training sessions and the quality and usefulness of the service, advice and guidance provided under the Service Level Agreement.

Schools Data Protection Officer Assurance Assessment (November 2024)	Reasonable Assurance
<p>Most schools have now adopted the key data protection policies and should be monitoring their compliance with individual policies. Significant progress has been made in terms of ensuring that schools have the required Data Protection Agreements for apps and programmes used. There is regular communication between the Schools Data Protection Officer and schools via newsletters and via the Learning Service’s weekly bulletins and there is an increase in the number of schools contacting the Schools Data Protection Officer for support, advice and guidance. Further work needs to be undertaken on specific pieces of work to ensure that all schools are on the same level of compliance and are closer to be fully compliant and can evidence this. More work also needs to be done to ensure that all school staff have completed data protection training/refresher training and that schools undertake more self-monitoring and audit activities to ensure compliance and accountability.</p>	

8. Conclusions and Next Steps

8.1. Conclusions

- There is an increase in the number of schools and in the number of data protection questions, queries and requests for support that the Schools Data Protection Officer receives from schools with **591.85** hours recorded within the corporate CRM for data protection support between 01.11.23 a 27.11.24.

- There is regular communication between the Schools Data Protection Officer and schools via newsletters and via the Learning Service's weekly bulletins.
- Significant progress has been made in reviewing and creating suitable Data Processing Agreements for current and new apps and programmes used by schools.
- Progress has been made in ensuring that schools that have CCTV systems have a suitable Data Protection Impact Assessment (DPIA) in place.
- Schools continue to have an in-put into developments and pieces of work undertaken to progress the data protection programme via the Schools Data Protection Operational Group.
- More work needs to be undertaken to ensure that all school staff have received refresher data protection training and ensure that schools keep a register of which members of staff have received training and the date.
- More work needs to be done in monitoring that schools are monitoring and auditing their own compliance with all data protection policies and can evidence compliance.
- More work needs to be undertaken to ensure that all schools have an appropriate and up-to-date ROPA and Information Asset Register.
- Need to finalise and adopt monitoring functions to monitor the effectiveness of the Schools Data Protection Officer Service .
- Progress continues to be made in relation to the actions within the *Schools Data Protection Development Strategy* and all schools becoming fully compliant with data protection legislation.

8.2. Next Steps

- To actively monitor that schools are monitoring their own compliance with all data protection policies. To request to see evidence of compliance by schools before the compliance audit visits will be held following the implementation of the new data protection legislation.
- To continue to create and review Data Processing Agreements for current and new apps and programmes, including agreements for apps and programmes where the Council is also involved.
- To continue offering and delivering general and specific data protection training to all school staff and governors. To formalise refresher training arrangements with schools to ensure that staff receive training on a regular basis and to ask schools to provide evidence of data protection training attendance, including dates.
- To continue to monitor that all schools have safely disposed of historical documents to ensure that there is no information kept past its retention period and that schools are adhering to the *Schools Retention Periods* document.
- To continue with the work in ensuring that data protection risks are effectively managed, and that Data Protection Impact Assessments are completed for high-risk processing activities, including a DPIA for schools with a CCTV system.
- The Schools Data Protection Officer to complete the work with supporting schools in adapting the pre-populated ROPA and Information Asset Register template for their individual needs. To include completing the work in creating a

pre-populated ROPA and Information Asset Register template for secondary schools.

- To finalise the *Business Continuity Plan* and *Disaster Recovery Plan* and share with schools to adopt.
- To finalise and adopt monitoring functions to monitor the effectiveness of the Schools Data Protection Officer Service by providing more opportunities for headteachers and school staff to provide feedback on training sessions and the quality and usefulness of the service, advice and guidance provided under the Service Level Agreement.
- To complete the piece of work to confirm which records need to be transferred from primary to secondary school to ensure there is a clear and uniform process for all schools to use.
- To complete the work in creating a new *Publication Scheme* template for schools to adapt and to adopt.
- To review the current Service Level Agreement for the Schools Data Protection Officer service.
- Schools Data Protection Officer to hold sessions to provide support to headteachers to re-score their answers for the GDPR questions on the School Management Review.
- Schools Data Protection Officer to finalise the '*Policy on Sharing Personal Information in a Mental Health Emergency*' and to share with schools to adopt.
- To prepare for the changes that will occur as a result of the *Data (Use and Access) (DUA) Bill* being passed and replacing the *UK GDPR* and *Data Protection Act 2018*. To make changes required to policies, key documents and training and ensure that schools are fully aware of the changes and are compliant.

APPENDIX A

SCHOOLS DATA PROTECTION DEVELOPMENT STRATEGY 2023-24

KEY DATES FOR SCHOOLS TO ACTION

VERSION 1

Month action begins	Action	Date action needs to be completed by
<p>October 2023</p>	<ul style="list-style-type: none"> • Amend Schools Record of Processing Activities (ROPA) and Information Asset Register Template (pre-populated) in order to reflect the school’s specific data protection arrangements. Group/individual sessions will be held where the Schools Data Protection Officer will be providing support to schools to adapt the template. • (If relevant)- Complete CCTV DPIA- the Schools Data Protection Officer to hold meetings with individual schools to complete CCTV DPIA amended from the standard CCTV DPIA template. 	<p>Each individual school with a ROPA and Information Asset Register and has confirmed this on the School Management Review by 09.02.24</p> <p>All schools that have a CCTV system with a current CCTV DPIA for their individual school by 09.02.24</p>
<p>February 2024</p>	<ul style="list-style-type: none"> • Schools to adopt the latest versions of the data protection policies and guidance that have been reviewed: <ul style="list-style-type: none"> ○ Schools Data Protection Policy ○ Schools Information Security Policy ○ Schools Data Breach Policy ○ Schools Governing Body Data Protection Guidance ○ Schools Data Breach Guidance 	<p>Schools have adopted and confirmed on the School Management Review by 24.05.24</p>

April 2024	<ul style="list-style-type: none"> • Schools to accept the new version of the Service Level Agreement for the Schools Data Protection Officer service (current agreement expires on the 31 March 2024) • To re-score Answers for the GDPR Questions on the School Management Review in order to provide a current picture following actioning the actions within the Schools Data Protection Development Strategy. Schools Data Protection Officer to hold sessions to provide support to headteachers to re-score the answers. 	<p>Schools to accept and sign the new Service Level Agreement by 24.05.24</p> <p>Sessions held and every school re-scored by 28.06.24</p>
March 2024 - June 2024	<ul style="list-style-type: none"> • Conduct Annual Data Protection Audit- Schools Data Protection Officer to visit each individual school to review data protection arrangements and compliance. To focus if schools can evidence that they are monitoring their compliance with all of the data protection policies. 	<p>Schools Data Protection Officer completed every visit to each individual school by 28.06.24</p>

APPENDIX B

SCHOOLS DATA PROTECTION DEVELOPMENT STRATEGY 2024-25

KEY DATES FOR SCHOOLS TO ACTION

DRAFT 1

Month action begins	Action	Date action needs to be completed by
October 2024	<ul style="list-style-type: none"> • Amend Schools Record of Processing Activities (ROPA) and Information Asset Register Template (pre-populated) in order to reflect the school’s specific data protection arrangements. Group/individual sessions will be held where the Schools Data Protection Officer will be providing support to schools to adapt the template. • (If relevant)- Complete CCTV DPIA- the Schools Data Protection Officer to hold meetings with individual schools to complete CCTV DPIA amended from the standard CCTV DPIA template. 	<p>Each individual school with a ROPA and Information Asset Register and has confirmed this on the School Management Review by 23.05.25</p> <p>All schools that have a CCTV system with a current CCTV DPIA for their individual school by 11.04.25</p>
February 2025	<ul style="list-style-type: none"> • To re-score Answers for the GDPR Questions on the School Management Review in order to provide a current picture following actioning the actions within the Schools Data Protection Development Strategy. Schools Data Protection Officer to hold sessions to provide support to headteachers to re-score the answers. • To adopt the <i>Business Continuity Plan and Disaster Recovery Plan</i> and ensure that these have been amended to reflect the individual needs of the school. 	<p>Sessions held and every school re-scored by 23.05.25</p> <p>All schools to ensure that they have an individualised <i>Business Continuity Plan</i> and <i>Disaster Recovery Plan</i> by 20.06.25</p>

March 2025	<ul style="list-style-type: none"> • To adopt the new ‘Policy on Sharing Personal Information in a Mental Health Emergency’. This is a new policy that needs to be adopted following guidance by the ICO. 	All schools to adopt policy and confirm on the School Management Review by 18.07.25
April 2025	<ul style="list-style-type: none"> • To adopt and adapt the new Publication Scheme template- to ensure that the template is adapted specifically to reflect the school’s individual publications and to ensure that it is publicly available (to be shared on school websites or via other appropriate means). The Schools Data Protection Officer can provide support. 	All schools to ensure that the new <i>Publication Scheme</i> template has been adapted and adopted and is made available publicly by 18.07.25
September 2024 - July 2025	<ul style="list-style-type: none"> • To ensure that all school staff have received training/refresher training suitable for their job role during the year and that a record is maintained of who has completed the training and when. The Schools Data Protection Officer will contact individual schools to ensure that all school staff have received recent data protection training. • To ensure that mechanisms are in place to monitor the school’s compliance with data protection requirements, including compliance with policies and that regular monitoring and compliance audits are taking place. To use tools provided such as the ‘<i>Data Protection Policies Checklist</i>’ document, ‘<i>Schools Information Security Audit Form</i>’ and School Management Review. The Schools Data Protection Officer can provide support. • To implement a process to ensure that all physical and digital documents and records are retained in line with the Schools Retention Schedule document. The Schools Data Protection Officer can provide support. 	<p>All schools to ensure that relevant data protection training has been completed by all school staff by 18.07.25</p> <p>All schools to ensure that mechanisms are in place to monitor and audit the school’s compliance with data protection legislation requirements (on-going)</p> <p>All schools to ensure that a process is in place to retain all documents and records in line with the <i>Schools Retention Schedule</i> document (on-going)</p>

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ISLE OF ANGLESEY COUNTY COUNCIL	
Report to:	Governance and Audit Committee
Date:	5 December 2024
Subject:	Annual Corporate Health & Safety Report 2023-24
Head of Service:	Christian Branch Head of Regulation and Economic ChristianBranch@anglesey.gov.wales
Report Author:	Stephen Nicol Principal Corporate Health & Safety Advisor StephenNicoll@anglesey.gov.wales
<p>Nature and Reason for Reporting: The Governance and Audit Committee’s Terms of Reference has an explicit requirement for the Committee to receive an annual assurance report regarding Corporate Health and Safety (3.4.8.7.3) as part of its wider consideration of the Council’s assurance framework (3.4.8.7.1). As part of its considerations, the Committee is required to ensure there is clarity of what assurance is provided, that there is a clear allocation of responsibility for providing assurance and duplication is avoided (3.4.8.7.2). The Committee is also required to keep up to date with significant areas of strategic risks and major operational and project risks (3.4.8.8.1).</p>	

1. Introduction

- 1.1 This report updates the Committee, as at 31 March 2024, on the Council’s activities with regards Corporate Health and Safety during 2023-24.
- 1.2 The report provides an overview of the health and safety activity at the Council during the period, including an analysis of accident and incidents and key achievements. It also sets out an action plan for the following year.

2. Recommendation

- 2.1 That the Governance and Audit Committee:
 - Considers whether the Council’s activities regarding Corporate Health and Safety adequately address the risks and priorities of the Council
 - Takes assurance that reasonable measures are in place to manage health and safety risks to an acceptable level.



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ISLE OF ANGLESEY
COUNTY COUNCIL

Council Health and Safety Annual Report 2023 / 24

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Executive Summary

This report provides an overview of Isle of Anglesey County Council's health and safety performance during 2023/24.

There were two adverse issue which needed significant actions to address during 2023/24. The revised instruction from Welsh Government on the actions to take with buildings where Reinforced autoclaved aerated concrete (RAAC) which was delivered a few days before the start of the new academic term had a significant impact.

As the Property Section had been proactive with the monitoring of the material the locations were known. This enable immediate action to be taken and allowed Isle of Anglesey County Council to be the first to inform Welsh Government of the situation locally.

Collaboration between Property, Education and Health and Safety enabled plans to instigate remedial work and methods of providing teaching in a safe manner very quickly.

Property devised a remedial plan for the materials. Education working with the schools in question devised plans for continued education to be provided to pupils. The lessons learned from COVID were applied to the management of this issue.

Bird Flu had a significant impact during 2023 – 2024. The Isle of Anglesey County Council Maritime, Waste and Public Protection – Animal Health and Health and Safety - sections worked in collaboration to develop a safe method of removing dead "infected" birds from public areas. Due to the risk from bird flu and possible transmission to humans or other animals tight controls were required. The implementation of these controls were done effectively and efficiently.

The number of accident / incidents reported to the council has seen a significant increase from previous year. In isolation this rise could be a cause for concern however there are several factors which have contributed and are detailed later in the report.

1 Introduction

The Isle of Anglesey County Council's Health and Safety Policy includes a commitment to the preparation and publication of an Annual Health and Safety Report.

The Welsh Local Government Association (WLGA) have developed a framework and guidance for the production of an Annual Health and Safety Performance Report. The framework and guidance provides a series of headings to assist with the reporting of health and safety performance. This framework was not intended to be a comprehensive analysis of health and safety but should assist in identifying the commitment, ability and direction of the management of occupational health and safety. This report follows the format provided by WLGA.

Key Achievements

There have been four key achievements. As stated previously two significant issues impacted the normal day to day operations of the Council in 2023 – 2024 – RAAC and bird flu. Both these issues were addressed efficiently and effectively due to cross section work within the Council.

- **RAAC**

The revised instruction from Government on the actions to take with buildings where Reinforced autoclaved aerated concrete (RAAC) was part of the structure required immediate action. As the Property Section had been proactive with the monitoring of the material the locations were known. Property, Education and Health and Safety acted immediately, and plans were in place very quickly.

Property devised a remedial plan for the materials. Education working with the schools in question devised plans for continued education to be provided to pupils. The two schools effected were possible the largest two in the County. Without the efficient work done by the Council this would have had even more of an adverse effect on the teaching and daily routine of the communities involved.

- **Bird Flu**

The outbreak of bird flu had a severe effect on Ynys Mon. This resulted in numerous dead birds being found on beaches and other areas controlled by the Yns Mon Council. Due to the increased risk from bird flu an alternative method of collecting the dead birds had to be devised. This required compliance with various legislation and controls on handling the dead animals

The Waste, Maritime and Animal Health Sections devised working arrangements to address this issue. This appeared to work efficiently. This avoided possible bad publicity relating to the issue. This also avoided significant risk to staff and public.

- **Learning Pool**

The continued provision of the Learning Pool as a method of providing information and training should be considered a key achievement. This has enabled staff and external partners to access relevant information which should assist with their health and safety.

- **Staff**

Due to new working arrangements, staff have shown flexibility and commitment to provide continued services in a safe manner.

2 Corporate Management

The Leadership Team (LT) has continued to provide continuity and governance of the council with regard to general management and actions, with decisions still taken by the Executive. This was supported by meetings of the Tim Rheoli Corfforathol Group to enable escalation of any issues to LT to ensure appropriate action can be taken to resolve matters.

The Corporate Health and Safety Plan for 2022/23 was devised with a view to aid recovery to “business as usual” post Covid19 restrictions. Whilst this plan enabled many work systems to be reintroduced, due to various changes in working practises some work systems may require review.

3 Statistical Information

The data presented below includes all accidents and incidents reported during 2023/24. The internal classification of accidents and incidents has been in three categories - Minor, Serious and RIDDOR.

Minor accidents and incidents would have been accidents / incidents where the resulting injury or loss was insignificant. This includes accident and incidents which resulted in no injury or loss and the potential outcome may be insignificant if injury or loss had occurred.

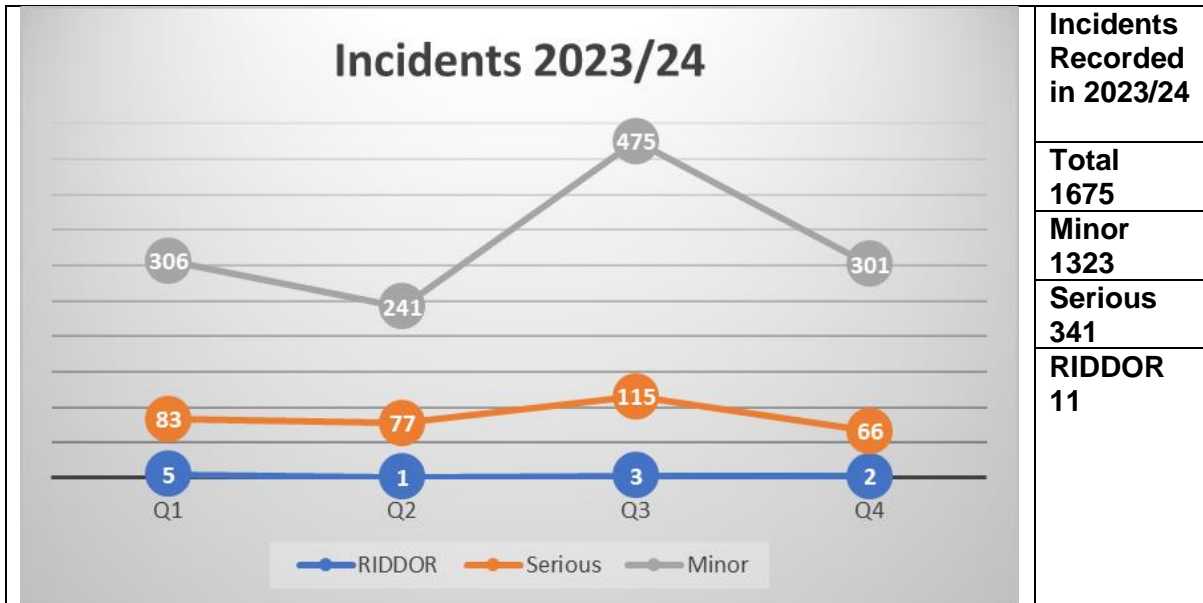
Serious accidents / incidents are classified where the outcome resulted in significant injury or loss or where there was potential for significant injury or loss. This includes accidents and incidents which resulted in no injury or loss but the potential outcome may be significant if injury or loss had occurred.

RIDDOR accidents and incidents are those which met specific criteria that required reporting to the HSE. The criteria for reporting these types of accidents and incidents are provided within the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations.

The table below presents the number of accidents and incidents for the whole authority. This includes incidents involving members of the public, service users, school pupils, contractors, facilities as well as employees.

All incidents reported

Table 1 – All incidents 2023/24



Incidents Recorded in 2023/24

Total 1675

Minor 1323

Serious 341

RIDDOR 11

Table 2 – All incidents 2022/23



Incidents Recorded in 2022/23

Total 1237

Minor 884

Serious 240

RIDDOR 11

Table 3 – All incidents 2021/22



Analysis of Tables 1, 2 and 3 shows there is an increase in the number of accidents and incidents reported in 2023/24 over the previous two years. This is considered to be the result of returning to normal business practise post the COVID19 crisis.

As the Council has a duty of care for members of the public as part of the undertaking, incidents recorded for members of public are included in the overall total figures. Members of the public include, school pupils, pre-school pupils, Youth Club members, Clients in care homes and Leisure facility users.

Incidents for this group can include playground incidents, slip, trip and falls of clients due to mobility, sporting incidents and medical conditions. These are recorded for legal reason should further actions be required

The number for these incidents is presented below in Table 4

Table 4 – non work activity incidents

Type of location	Total
Schools (Pupils)	529
Dechrau'n Deg & Cylch Meithrin and Youth Club incidents (Pupils and Members)	158
Leisure Centres (Users)	97
Care Homes (Clients)	217

The above would indicate there were 1001 incidents reported regarding Members of Public in facilities run by the Council.

Employee only incidents

The tables below presents the number of accidents and incidents involving employees only.

Table 5 – Incidents relating to employees only 2023/24

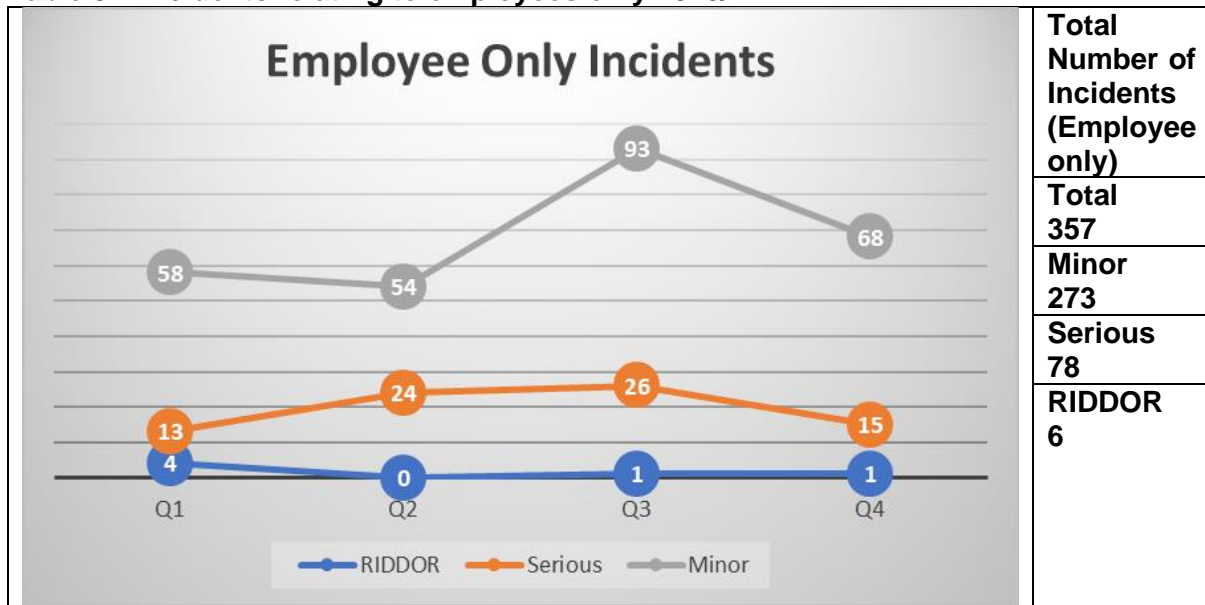
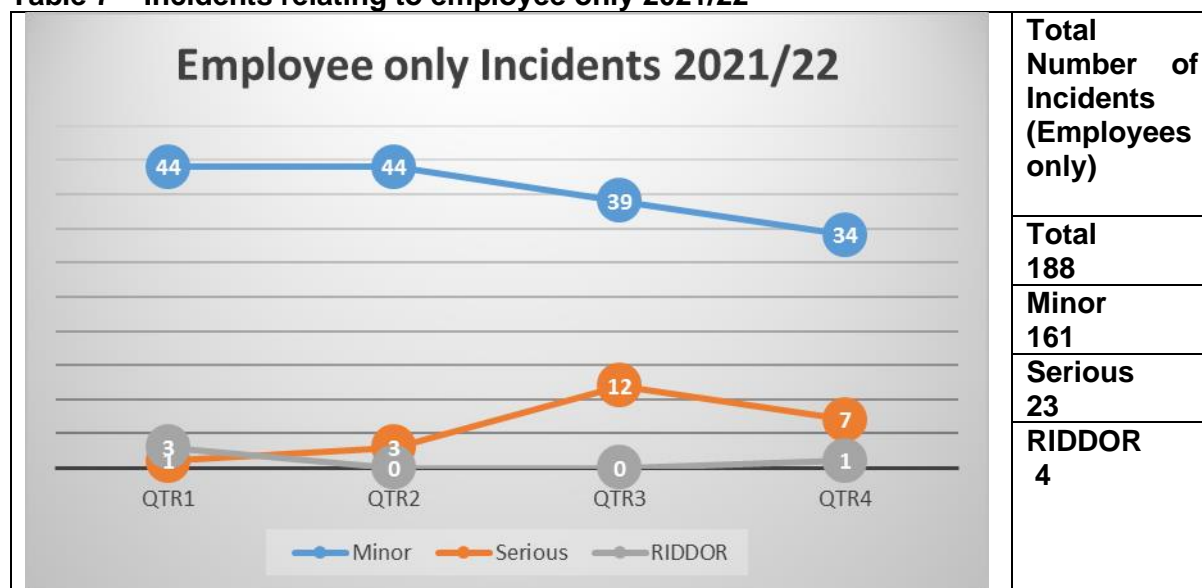


Table 6 – Incidents relating to employees only 2022/23



Table 7 – Incidents relating to employee only 2021/22



Analysis of Tables 5, 6 and 7 show an increase in the number of incidents in 2023/24 compared to the previous years.

Types of incidents

The most significant incidents are presented in a table below, Table 8

Table 8

Type of incident	Total
Physical assault Learning Difficulty	171
This type of incident involves clients or pupils lashing out where possibly there is no intent. There may not be capacity to recognise potential to cause harm.	
Physical assault	22
This type of incident considers the person’s intention could be to cause harm. The type of incident varies from pushing to striking a person, there has been physical contact	
Violent incident / Abuse	76
This type of incident involves members of staff receiving abusive or threatening comments from members of public. This may include members of public complaining about issues but in a volatile manner	
Challenging behaviour	90
This involves clients / pupils behaving in a possibly disruptive manner but due to mental capacity issue there may not be intent to cause distress	
Manual Handling	14
Manual Handling incidents occur due to lifting objects or assisting clients	
Slip, Trip and Falls	367
Incidents recorded where an employee has fallen resulting in injury. This could include slippery surfaces or over obstruction	

Physical assault Learning Difficulty

These incidents mainly occurred in Education and Care Section. These related to incidents where the person may have lashed out without the intention of causing injury.

Of the 171 incidents, 121 incidents resulted in a member of staff being struck. Within the Care section this would have resulted in a client risk assessment being undertaken to address the safety needs of both client and staff members. A similar process would be undertaken in specialist education environments.

In general education environment these incidents may have resulted in support from the Early Intervention Team.

Physical assault

These incidents were mainly in the Education sector. This does include pupil on pupil incidents. Local level disciplinary action would be implemented.

Violent incident / Abuse

These incidents occurred in a cross section of the council. Incidents of verbal abuse over the phone were included in these figures. The Managing Contact – Unacceptable Actions by Customers Policy has considered these types of actions and allows for staff to inform the client the behaviour is unacceptable and terminate the phone call. This would then result in an incident form being completed. Where the behaviour is face to face a risk assessment may be undertaken. If it is a public building such as a Leisure Centre the possible exclusion from entry may be imposed on the perpetrator.

Challenging behaviour

These incidents occurred in Education and Care. The incidents related to pupils or client behaviour being disruptive to the persons present or work being undertaken. This may have resulted in review of the risk assessment.

Manual Handling

Manual Handling incidents occurred mainly in the care section. This would relate to assisting clients rather than lifting objects. Specific training is provided to enable assisting and lifting clients in line with national guidance.

Slip, Trip and Falls

367 incidents of slip, trip and falls were recorded. The fall categories do split further into fall from object and fall from heights. 166 of the slip, trip and falls were recorded for school pupils. This were considered within the acceptable boundaries of general school play. Within the Care Homes and Care Section 160 falls were recorded. This related to clients falling, possibly due to medical conditions and frailty. When a client fall occurs in Care Homes, as fall risk assessment is carried out specific to the client. This would be to identify the risk of future falls and possible controls to reduce the risk. General slip, trip and falls where employees were the injured party equated to 17 incidents.

Another Type of incident is listed as a type of incident on the recording system. This is used for incident where it is difficult to class an incident. This may be where a member of staff has reported something as a concern. A total of 300 incidents were recorded under this heading.

Other types of incidents such as Medical Condition recorded 20 incidents. Of these, 4 were employee related. These incidents were considered low and possible no apparent pattern to raise significant concern.

There was 58 incidents of property damage or loss recorded.

Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)

RIDDOR is the law that requires employers, and other people in control of work premises, to report and keep records of work-related accidents which cause death;

work-related accidents which cause certain serious injuries (reportable injuries), diagnosed cases of certain industrial diseases; and certain 'dangerous occurrences' (incidents with the potential to cause harm).

Work-related accidents involving members of the public or people who are not at work must be reported if a person is injured and is taken from the scene of the accident to hospital for treatment to that injury. There is no requirement to establish what hospital treatment was provided and no need to report incidents where people are taken to hospital purely as a precaution when no injury is apparent.

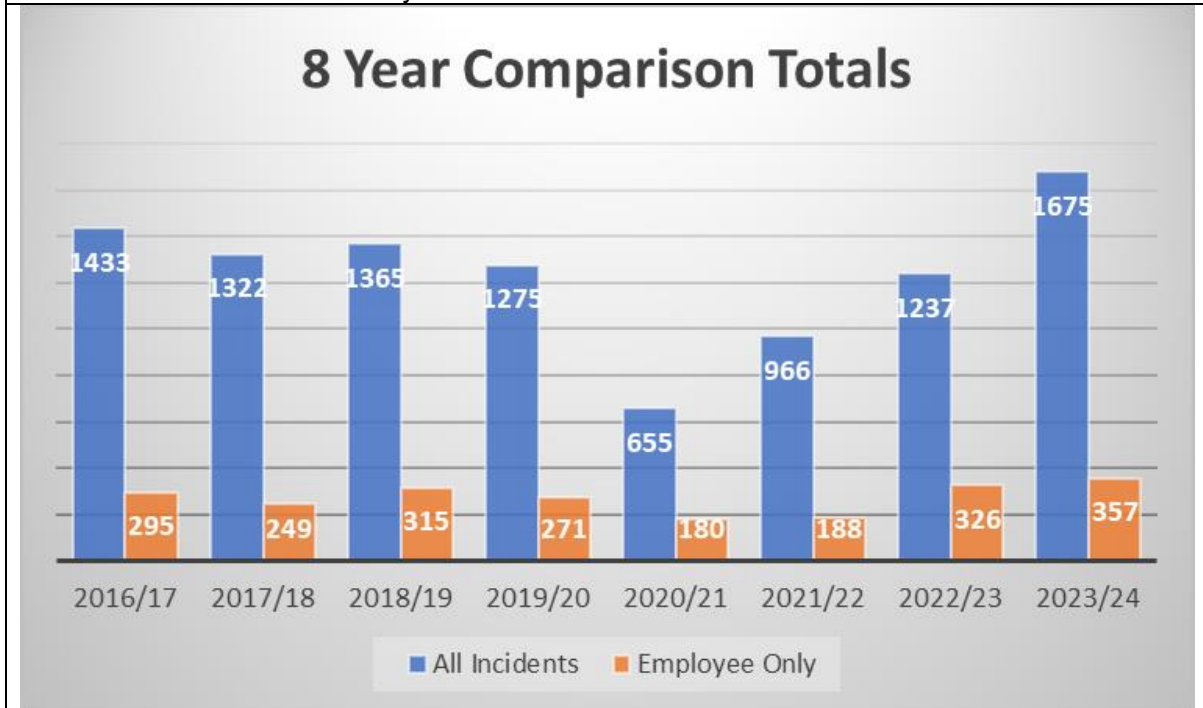
A breakdown of the RIDDOR reports is presented below Table 9

Table 9 RIDDORs reported

Date	Incident	Reason for report
19/05/2023	Slip Trip Fall, Same level - Pupil fell during sports activity, due to defect at site.	Member of Public direct to hospital from site
12/06/2023	Another kind of accident – one staff member fell and pulled another down as the fell. Injury to the second member of staff	Over 7 day injury
22/06/2023	Property Loss/damage – failure of load bearing part of equipment	Failure of lifting equipment
22/06/2023	Property Loss/damage – failure of load bearing part of equipment	Failure of lifting equipment
26/06/2023	Sporting Injury – Member of staff fell during activity	Over 7 day injury
11/09/2023	Slip Trip Fall, Same level - member of public slip on water indoors at a site	Member of Public direct to hospital
12/10/2023	Fall from a height under 2m – contractor fell from ladder	Member of Public direct to hospital
11/12/2023	Injured Handling/Lifting – employee carrying out manual handling task injured back	Over 7 day injury
15/12/2023	Burn - member of staff burnt hand on hot water	Over 7 day injury
06/02/2024	Glass/sharps – pupil injured arm with glass window	Member of public direct to hospital
06/03/2024	Fall from a height under 2m - member of staff fell whilst putting up display	Specified injury – fracture

Table 10 - Long Term Comparison

Record available on current systems from 2016 to 2024



Due to the Covid19 crisis many work practises were restricted during the period 2019 to 2022. A request was made at a previous Audit Committee meeting to provide a long-term comparison of figures.

The table above illustrates the drop in figures during the period of restriction. The year 2022/23 shows an increase from the period 2020/21 and 2021/2022. This increase was to be expected with the increase of activity. The figures remained below those of pre-Covid years.

There has been an increase during the 2023/24 period over previous years. In 2023/24 there was an increase of 242 over the previous high in 2016/17 for all incidents. An increase of 42 Employee Only Incidents was seen in 2023/24 over the previous high in 2018/19.

A number of factors may have contributed to the increase. Raised awareness of the need to report incidents may be a factor. During the Covid period awareness of the need to report incidents was highlighted to staff. Due to the seriousness of the pandemic this reporting culture may have been installed in staff.

The increase working operations may have been a factor in the increase in incidents reported. As many working practises have changed post-covid these may be a factor in the increased report. This indicates a need to review all current working practises and controls to ensure they are sufficient. This would be the basis of the Corporate Action Plan for 2024/25.

4 Partnerships

The North Wales Health and Safety Teams

There has been consultation work between the Corporate Health and Safety Teams in North Wales. This has been on specific topics to enable a similar approach on health and safety controls.

HSE

The HSE has carried out a proactive inspection on RAAC work at a school on Ynys Mon. This was to assess the works carried out and arrangements for asbestos control during the work. Assessment was made of alternative working arrangements for the school during these works.

5 Joint Consultation

Health and Safety Group

Virtual Corporate Health and Safety Group meetings have been held during 2022/23. The meeting allowed Health and Safety Co-ordinators from services across the whole of the council to share information.

6 Occupational Health Provision

A bilingual Occupational Health Service is provided by Gwynedd County Council, which is managed by the HR Service. There are just over 450 appointments made available to staff each year. These are allocated via line manager referral or self-referral by the member of staff. There are approximately 200 appointments made available to staff who feel they will benefit from physiotherapy these appointments are made by referral from Occupational Health following a consultation.

7 Safety Performance

Corporate Health and Safety Support

The Corporate Health and Safety Policy identifies a structure of support for the Council. The Corporate Health and Safety Team are located within Public Protection, which is located within Regulatory and Economic Development Service.

The Corporate Health and Safety Team is managed by the Licensing and Corporate Safety Manager. The Licensing and Corporate Safety Manager reports to the Chief Public Protection Officer who reports to the Head of Service Regulation and Economic Development.

The Corporate Health and Safety Team consists of three core members, Principal Advisor and two Health and Safety Advisors. This has been achieved due to the Assistant Advisor and Trainee Advisor attaining the NEBOSH General Diploma in Health and Safety qualification. The qualification is recognised as the requirement to provide competent health and safety advice. Having the two Health and Safety

Advisors in post should assist with supporting the Council to comply with relevant legislation and provide competent advice.

The Corporate Health and Safety Team's work plan is part of the Licensing & Corporate Health & Safety Service Plan. This forms part of the Public Protection Service Plan and the Service Plan for Regulatory and Economic Development. The Corporate Health and Safety Team's actions are presented below.

Table 11 Corporate Health and Safety Team Actions

Key Actions	Success Criteria (How do we know when you have achieved the Key Action?)	2022 / 2023 Quarterly Targets				Resources Other than own	
		Q1	Q2	Q3	Q4		
Ensure the Council effectively undertakes its (internal & external) statutory health & safety duties and responsibilities	Develop Corporate H&S action plan	Q1	Q2	Q3	Q4		
		1			1 draft		
	Review Policies – Policy Portal update. Online intranet policies up to date	Q1	Q2	Q3	Q4		4Policy system. Assistance from ICT provide links from Monitor
		Target					
		8	7	9	7		
		Completed					
	Potential Violent Person/Accidents Risk register. Monitor PVP marker system. Review on a quarterly basis	Q1	Q2	Q3	Q4		ICT work with CRM system
		Target					
		1	1	1	1		
		Completed					
	Percentage response to Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) accidents within Local Authority Premises within 5 days	Q1	Q2	Q3	Q4		
		100%	100%	100%	100%		
		Number of RDDORs					
		5	1	3	2		
	Service management meetings. Attend meetings to report on H&S matters as and when required/requested	Q1	Q2	Q3	Q4		Services to arrange meeting and venues
100% when requested or required							
2		2	3	10			

HS Group meetings. Quarterly meetings. Agendas topic lead.	Q1	Q2	Q3	Q4		
	Target					
	1	1	1	0		
	Completed					
Quarterly Health and Safety Bulletins on live topics. Aiming to create a H&S culture	Q1	Q2	Q3	Q4		
	1	1	1	0		
Provide Health and Safety section of Corporate Induction	Q1	Q2	Q3	Q4	HR to arrange dates and provide venue	
	100% on request					
	2	2	1	0		
Reactive work to a service level target of an initial response within 1 working day.	Q1	Q2	Q3	Q4		
	Requests per Quarter					
	80	191	207	129		
	A total of 607					
Corporate H&S Annual Report to audit Committee scheduled meeting	Q1	Q2	Q3	Q4		
				1		
Number of planned health & safety interventions at Council premises. This is an overall target for the range of activities that are carried out across the local authority. This will include proactive monitoring, inspections and audit, also reactive inspection activities such as incident investigation.	Q1	Q2	Q3	Q4		
	Target					
	10	10	10	10		
	Completed					
Eye Care DSE Implementation with new service providers and monitor	Q1	Q2	Q3	Q4	Action was to implement new system with provider for eye care relating to tests and provision of glasses for DSE users as required by the DSE Regulations	

		Q1	Q2	Q3	Q4	
Accident stats	Quarterly reports	1	1	1	1	

8 Strategic Action Plan

This will detail the high-level objectives and actions that support continuous improvement in the management of health and safety, and compliance with health and safety legislation.

Strategic Action Plan	
PLAN	<p>Consider current level of compliance with Health and Safety and the desired standard.</p> <p>Decide what wants to be achieved, who will be responsible for what, how to achieve the aims, and how they will be measured.</p> <p>Revise Corporate Health and Safety Policy to reflect the above</p> <p>Decide how performance be measured. This should go beyond looking at accident figures; look for leading indicators as well as lagging indicators.</p> <p>Consider fire and other emergencies. This should include co-ordination in shared workplaces.</p> <p>Plan for changes and identify any specific legal requirements that Apply.</p>
DO	<p>Identify risk profile</p> <p>Assess the risks, identify what could cause harm in the workplace, who it could harm and how, and what is required to manage the risk.</p> <p>Decide what the priorities are and identify the biggest risks.</p> <p>Organise activities to deliver the plan</p> <p>Involve workers and communicate, so that everyone is clear on what is needed and can discuss issues – develop positive attitudes and behaviours.</p> <p>Provide adequate resources, including competent advice where needed. Implement your plan</p> <ul style="list-style-type: none"> • Decide on the preventive and protective measures needed and put them in place. • Provide the right tools and equipment to do the job and keep them maintained. • Train and instruct, to ensure everyone is competent to carry out their work. • Supervise to make sure that arrangements are followed.
ACT	<p>Measure your performance</p>

	<p>Ensure plan has been implemented – ‘paperwork’ on its own is not a good performance measure.</p> <p>Assess how well the risks are being controlled and if achieving desired outcome.</p> <p>In some circumstances formal audits may be useful.</p> <p>Investigate the causes of accidents, incidents or near misses</p>
Check	<p>Review performance</p> <p>Learn from accidents and incidents, ill-health data, errors and relevant experience, including from other organisations.</p> <p>Revisit plans, policy documents and risk assessments to see if they need updating.</p> <p>Take action on lessons learned, including from audit and inspection reports</p>

9 Conclusion

2023/24 has been the first year after recovery from the Covid19 crisis. This has seen “normal working” arrangements fully introduced. There have been many new methods of working implemented. This has included a more flexible method of work as defined in the Hybrid Working Policy.

The reactive work carried out by relevant sections in the Council to address the two major issues of RAAC and Bird Flu should be recognised for the effort involved. The ability to devise and implement plans at short notice to effectively address both issues demonstrates the commitment the Council has to ensure health and safety even in adverse circumstances.

As work continues to progress there will be a need to quantify and review all working arrangements. As this year has been a period of return to “normal working” it should be used as an assessment of current working arrangements.

During this year there have been uncontrolled events which have required reactive work to be carried out. The Reinforced Autoclaved Aerated Concrete (RAAC) issues in schools required urgent action. This was addressed by forming a strategic group to assess the actions required. This included remedial action on the buildings and alternative arrangements for teaching. It would appear both were done successfully. It is worth while noting on the day of the revised guidance from Welsh Government, the Council could provide a list of properties with RAAC. This may not have been the case in other organisations.

Bird flu during the summer months required alternative arrangements to be implemented to ensure collection of dead birds in a timely and safe manner.

The number of incidents of violence and aggression has increased over the past year. This may be due to pressures on society post Covid19 crisis and the pressure on the economy. The Council is possibly the front line for dealing with social issues and

therefore may have come under increased pressure to deliver the required services. This appears to have been carried out and could account for the increase in reports of violence and aggression due to these conditions.

It is considered the year 2024/25 should be a period of quantifying current arrangements and controls and reviewing to ensure suitability.

10 Recommendation

The Council should follow the strategic plan for management of Health and Safety and implement the Corporate Health and Safety Action Plan.

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ISLE OF ANGLESEY COUNTY COUNCIL	
Report to:	Governance and Audit Committee
Date:	4 December 2024
Subject:	External Audit – Monitoring Report
Head of Service:	Carys Edwards Head of Profession HR and Transformation 01248 752502 CarysEdwards@ynysmon.gov.uk
Report Author:	Gwyndaf Parry Programme, Business Planning & Performance Manager 01248 752511 GwyndafParry@ynysmon.gov.uk
<p>Nature and Reason for Reporting: The Governance and Audit Committee is receiving this report in line with its Terms of Reference –</p> <ul style="list-style-type: none"> • 3.4.8.11.3 The Committee will oversee external audit arrangements, comment on the scope and depth of external audit work and ensure it gives value for money. It will consider external audit reports and will monitor their recommendations; and • 3.4.8.13.1 The Committee will receive and consider reports from any other regulators or inspectors, which will be a useful source of assurance. <p>The purpose of this report is to assure the Committee that the recommendations attached to the external audit reports have been given due consideration by the Council Services and that the relevant ones are being implemented in a meaningful way.</p>	

Introduction

1. In order to demonstrate good governance, this report details the council’s response to external audit reports and associated recommendations published by regulators.
2. Updates are provided against the work the council has undertaken since the last report that was presented to this committee in April 2024.
3. This report has been streamlined and redesigned to ensure that it is more concise and easier to navigate than the previous version.

Recommendation

4. That the Governance and Audit Committee:
 - a. Considers the report and accepts the responses and updates as an accurate reflection of the Council’s work against the related recommendations.



External Audit – Monitoring Report

Prepared by: Transformation Service

Publication date: November 2024

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

Introduction

This report outlines the council's progress in responding to recommendations from local and national regulatory reports over the past 24 months that are yet to be implemented. Monitoring and reporting on progress against these recommendations is a cornerstone of effective governance.

Our [Local Code of Governance 2023-2028](#) demonstrates how the Council follow the core (and supporting) principles contained within the Framework for Delivering Good Governance in Local Government (CIPFA / Solace, 2016). The established principles are:



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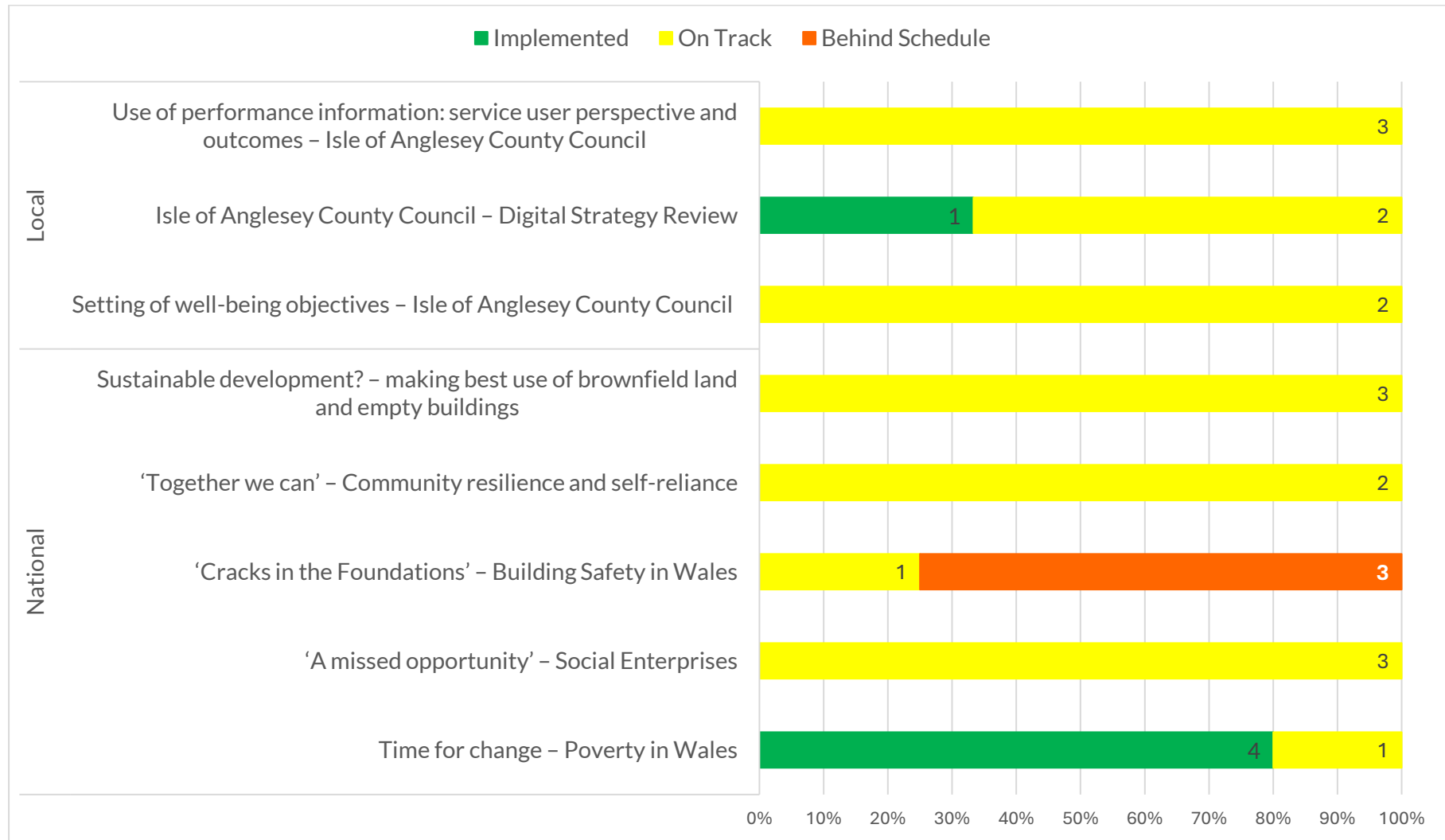
External audit and regulatory reports and how the council respond to the recommendations align closely with **Principle G** and **Principle F**.

These reports are critical tools for ensuring that the council operates transparently and is held accountable for its decisions, resource use, and service delivery. By evaluating the council's adherence to statutory obligations and identifying areas for improvement, they support evidence-based governance and enable the council to demonstrate its commitment to continuous improvement.

By actively reviewing and addressing the recommendations, the council demonstrates its commitment to delivering high-quality services and meeting its statutory obligations.

Summary

As at the end of October 2024, the council have implemented 20% of the recommendations, 68% of responses are on track, and 12% are behind schedule. The chart below notes the local and national regulator report titles and the evaluation of the response to their recommendations.



The numbers in the bar chart identify how many recommendations there are that are relevant to Local Authorities from each regulatory report.

Detailed Overview

Time for change – Poverty in Wales - National

Recommendations	Update	RAYG
<p>R2 Use Wellbeing Plans to provide a comprehensive focus on tackling poverty to co-ordinate their efforts, meet local needs and support the revised national plan targets and actions.</p>	<ul style="list-style-type: none"> • The Council Plan objectives and wellbeing objectives have a focus on Poverty. • Tackling Poverty Strategic Plan has been approved by the Executive in March 2024. • Key priority areas in tackling poverty on the Island over the next five years are monitored monthly and reported to the Leadership team. In developing the Plan, the financial constraints on the Council have been considered with it being recognised that more has to be achieved with less • PowerBI Dashboard with Poverty linked indicators has been developed and is updated quarterly 	<p>Implemented</p>
<p>R3 Designate a cabinet member as the council’s poverty champion and designate a senior officer to lead and be accountable for the anti-poverty agenda.</p>	<ul style="list-style-type: none"> • The Council Leader is the Poverty designated Poverty champion from the Executive. 	<p>Implemented</p>
<p>R5 Improve their understanding of their residents’ ‘lived experience’ through meaningful involvement in decision-making using ‘experience mapping’ and/or ‘Poverty Truth Commissions’ to review and improve accessibility to and use of council services.</p>	<ul style="list-style-type: none"> • This work is considered business as usual for the work that the council undertake with residents. All teams who work with residents are aware of how to access information and support on Poverty and the cost of living crisis. • We update our Council web page regularly with important cost of living information. • The Financial Inclusion Team is very good at promoting through the Tai Môn Facebook page and works together with local partners. They continue to send updates about the drop-in sessions. Posters are updated weekly on social media accounts. • Work closely with our partners, Citizens Advice, Medrwn Mon and Menter Mon to understand and gain better knowledge of what’s needed on the Island. 	<p>Implemented</p>

Recommendations	Update	RAYG
	<ul style="list-style-type: none"> • With the recent Shared Prosperity Fund (SPF) we have conducted numerous sessions within our community's island wide to raise awareness of the support available 	
R6 Optimise their digital services by creating a single landing page on their website	<ul style="list-style-type: none"> • Webpage in place which is regularly monitored and updated including links to work undertaken by partners 	Implemented
R7 We recommend that councils <ul style="list-style-type: none"> • establish corporate data standards and coding that all services use for their core data; • undertake an audit to determine what data is held by services and identify any duplicated records and information requests; • create a central integrated customer account as a gateway to services; • undertake a data audit to provide refresher training to service managers to ensure they know when and what data they can and cannot share; and • review and update data sharing protocols to ensure they support services to deliver their data sharing responsibilities. 	<ul style="list-style-type: none"> • The council is working on a data maturity assessment and will develop an action plan to identify any weaknesses or opportunities to strengthen business processes • The council have a CRM in place which is being developed in line with the Data Strategy to improve customer focused processes. The CRM forms already available on the system use personal details, inputted by the resident and stored on the CRM, to fill out common aspects of application forms. • Data sharing protocols are in place and are updated when improvements are identified 	On Track

'A missed opportunity' – Social Enterprises - National

Recommendations	Update	RAYG
<p>R1 To get the best from their work with and funding of Social Enterprises, local authorities need to ensure they have the right arrangements and systems in place. We recommend that local authority officers use the checklist in Appendix 2 to:</p> <ul style="list-style-type: none"> • self-evaluate current Social Enterprise engagement, management, performance and practice; • identify opportunities to improve joint working; and • jointly draft and implement an action plan with timeframes and responsibilities clearly set out to address the gaps and weaknesses identified through the self-evaluation. 	<p>Social enterprises are of significant importance on Anglesey and are key partners in delivery across services. This is highlighted within the Council Plan 2023-2028 and collaboration is recognised as one of the Council's values.</p> <p>'Collaborate: We work as a team, with our communities and partners to deliver the best outcomes for the people of Anglesey.'</p> <p>Key partners include Medrwn Môn, Menter Môn, Môn Communities Forward and Ynys Môn Citizens Advice.</p> <p>Place Shaping continues to progress across the Island and 8 alliances are now in place.</p> <p>SPF grants continue to enhance and support social enterprise activity.</p> <p>The local authority has representation at the North Wales Social Enterprise Network which includes members from other North Wales Council's, Cwmpas, Menter Môn, Medrwn Môn. The network discuss any issues that social enterprises are facing including future funding requirements.</p> <p>The Council is preparing a new Procurement Strategic Plan which builds upon the Wellbeing of Future Generations (Wales) Act, the Procurement Act 2023, Social Partnership and Public Procurement (Wales) Act 2023 and Health Service Procurement (Wales) Act 2024.</p>	<p>On Track</p>

Recommendations	Update	RAYG
<p>R2 To drive improvement we recommend that the local authority:</p> <ul style="list-style-type: none"> formally approve the completed Action Plan; regularly report, monitor and evaluate performance at relevant scrutiny committees; and revise actions and targets in light of the authority's evaluation and assessment of its performance. 	<p>The checklist has been completed in order to self- evaluate engagement, management, performance and practice and an action plan is being developed.</p> <p>The key partners noted above have all reported to the Council's Partnership and Regeneration Scrutiny Committee.</p>	On Track
<p>R3 To ensure the local authority delivers its S.16 responsibilities to promote Social Enterprises we recommend that it reports on current activity and future priorities following the evaluation of its Action Plan including the Annual Report of the Director of Social Services.</p>	<p>This will be considered as part of the development of an action plan.</p> <p>Current activity and future priorities will be reported on in the next Annual Report of the Director of Social Services.</p>	On Track

'Cracks in the Foundations' – Building Safety in Wales - National

Recommendations	Update	RAYG
<p>R5 Local authorities should develop local action plans that articulate a clear vision for building control to be able to plan effectively to implement the requirements of the Act. The Plans should:</p> <ul style="list-style-type: none"> • be based on an assessment of local risks and include mitigation actions; • set out how building control services will be resourced to deliver all their statutory responsibilities; • illustrate the key role of building control in ensuring safe buildings and be linked to well-being objectives and other corporate objectives; and • include outcome measures that are focused on all building control services, not just dangerous structures. 	<p>No progress has been possible to date, due to ongoing recruitment difficulties and an increased workload.</p> <p>Currently, it is difficult to recruit qualified staff to specialist planning positions and this is not unique to Anglesey.</p> <p>The Council have plans in place to respond to this challenge, including adapting job descriptions and being open to providing opportunities for staff to gain the necessary qualifications within their roles. Recruitment packs have also been designed which outline the benefits of working for the Service and Council.</p>	<p>Behind Schedule</p>
<p>R6 Local authorities should urgently review their financial management of building control and ensure they are fully complying with Regulations. This should include:</p> <ul style="list-style-type: none"> • establishing a timetable of regular fee reviews to ensure charges reflect the cost of services and comply with the Regulations; • annually reporting and publishing financial performance in line with the Regulations; • ensuring relevant staff are provided with training to ensure they apply the Regulations and interpret financial reporting correctly; and • revise fees to ensure services are charged for in accordance with the Regulations. 	<p>Some initial exploratory meetings have been held with colleagues from Finance, but meaningful progress has not been possible due to ongoing recruitment difficulties and the increased workload identified above.</p>	<p>Behind Schedule</p>

Recommendations	Update	RAYG
<p>R7 Local authorities should work with partners to make better use of limited resources by exploring the potential for collaboration and regionalisation to strengthen resilience through a cost benefit analysis of partnering with neighbouring authorities, establishing joint ventures and/or adopting a regional model where beneficial.</p>	<p>Regional planning was discussed with other North Wales Local Authorities during June of this year to establish a Corporate Joint Committee for the North. However, no further communication has been received.</p>	<p>Behind Schedule</p>
<p>R8 Local authorities should review risk management processes to ensure that risks are systematically identified, recorded, assessed, mitigated and subject to regular evaluation and scrutiny.</p>	<p>The Service Risk Register is updated regularly and supports strategic decision making.</p>	<p>On Track</p>

‘Together we can’ – Community resilience and self-reliance - National

Recommendations	Update	RAYG
<p>R1 To strengthen community resilience and support people to be more self-reliant, local authorities need to ensure they have the right arrangements and systems in place. We recommend that local authorities use the evaluation tool in Appendix 2 to:</p> <ul style="list-style-type: none"> • self-evaluate current engagement, management, performance and practice; • identify where improvement is needed; and • draft and implement an action plan with timeframes and responsibilities clearly set out to address the gaps and weaknesses identified in completing the evaluation tool. 	<p>Place Shaping continues to progress across the Island with 8 community alliances now established across 11 of Anglesey’s electoral wards.</p> <p>Community alliances are collaborative partnerships that bring together diverse voices, including residents, community groups, town and community councils, local businesses, and more. Working together, they develop creative, community-led solutions to address local priorities and respond to consultations from organisations like the Health Board, Ynys Môn County Council, and North Wales Police.</p> <p>A number of Shared Prosperity Fund grants are being delivered by the Council and partners to enhance and improve community resilience.</p>	<p>On Track</p>
<p>R2 To help local authorities address the gaps they identify following their self-evaluation, we recommend that they:</p> <ul style="list-style-type: none"> • formally approve the completed Action Plan arising from the evaluation exercise; • regularly report, monitor and evaluate performance at relevant scrutiny committees; and <p>revise actions and targets in light of the authority’s evaluation and assessment of its performance</p>	<p>The checklist has been completed in order to self- evaluate engagement, management, performance and practice and consideration is being given to the development of an action plan.</p> <p>The key partners noted above have all reported to the Council’s Partnership and Regeneration Scrutiny Committee.</p>	<p>On Track</p>

Sustainable development? – making best use of brownfield land and empty buildings - National

Recommendations	Update	RAYG
<p>R1 To enable stakeholders to assess potential sites councils should create a systematic process to find and publicise suitable sites for regeneration:</p> <ul style="list-style-type: none"> • this should draw on data already held by councils, as well as external data sources to develop a composite and more complete picture of sites; and • where known, key barriers should be named to help efforts to overcome them 	<p>The Regulation and Economic Development Service has a programme in place to tackle Brownfield sites, where possible, in partnership with stakeholders and partners.</p>	<p>On Track</p>
<p>R2 To help ensure that regeneration activity and the shaping of the environment is informed by the needs of communities Councils should increase opportunities for community based involvement in regeneration, both in plan-making and actual development.</p>	<p>The Regulation and Economic Development Service always seek to engage with residents and communities to inform our regeneration activities. There is currently (November 2024) an Anglesey Town Centres Consultation to inform our Place Making Plans.</p>	<p>On Track</p>
<p>R3 To provide focus and impetus to developing brownfield sites Councils should review their current regeneration approaches and where appropriate set clearer, more ambitious regeneration policies and targets. Together these should:</p> <ul style="list-style-type: none"> • set out the approach and expectations of the council; • set out how their approach will be resourced; and • set out how the approach aligns with national policy goals and regional planning priorities. 	<p>We believe, especially given the scale of our limited resources (people and funds), that our regeneration policies and targets are sufficiently ambitious. Whilst we will always strive to do more, we must also be realistic and pragmatic.</p>	<p>On Track</p>

Digital Strategy Review - Local

Recommendations	Update	RAYG
<p>R1 Strengthening the evidence base To help ensure that its next digital strategy is well informed and that its resources are effectively targeted, in developing its strategy the Council should draw on evidence from a wide range of sources, including</p> <ul style="list-style-type: none"> • involving stakeholders with an interest in the digital strategy as well as drawing on the views of stakeholders from existing sources; • the objectives and strategies of other public bodies, and identifying opportunities to collaborate; • further analysis of current and future trends (see our audit criteria for Q.1.1 and Q1.2 in Appendix 1 for some examples of what this might include) 	<p><u>Digital Strategy</u> is now in place. The Strategic Plan sets out how the council will:</p> <ul style="list-style-type: none"> • Support the work of implementing the Council Plan so that we continue to improve and provide the best possible service • Provide a clear framework to progress digital priorities following external engagement and internal consultation • Recognise and support the implementation of the Wellbeing of Future Generations Act • Support modern ways of working and operating and the Council's aspiration to be flexible when offering services to improve efficiency <p>Follow the direction of the Digital Strategy for Wales – joint vision.</p>	<p>Implemented</p>
<p>R2 Identifying resource implications To help ensure that its next digital strategy is deliverable, the Council should identify the short- and long- term resources implications of delivering it together with any intended efficiency savings.</p>	<p>Annual plan developed based on service requirements and available budget</p>	<p>On Track</p>
<p>R3 Arrangements for monitoring value for money To be able to monitor the value for money of its next digital strategy, the Council should strengthen its arrangements for monitoring both its progress and impact over the short, medium and longer term.</p>	<p>The digital strategy is monitored quarterly in the Transformation Programme Board (Modernising). The Board includes the Council Leader, Deputy Leader, Party Leaders, Chief Executive and Deputy Chief Executive.</p> <p>An annual report on the progress will also be made available.</p>	<p>On Track</p>

Use of performance information: service user perspective and outcomes - Local

Recommendations	Update	RAYG
<p>R1 The Council should strengthen the information it provides to its senior leaders to enable them to understand how well services and policies are meeting the needs of service users.</p>	<ul style="list-style-type: none"> • New Corporate Scorecard in place for 24-25. • Resident Survey completed and will be analysed and reported to senior leadership and committees in Q4 • PowerBI dashboards have been developed to monitor trends including a Population and Demographics Dashboard, Poverty Dashboard, Net Zero Dashboard and others in development 	On Track
<p>R2 The Council should strengthen the information provided to senior leaders to help them evaluate whether the Council is delivering its objectives and the intended outcomes.</p>	<ul style="list-style-type: none"> • Senior leaders are provided with updated information in respect to the completion of the Council Plan objectives and outcomes. Programme boards in place to facilitate discussions and improvements where needed. • PowerBI Dashboards in place • Resident Survey results will be analysed, and a response will be implemented 	On Track
<p>R3 The Council needs to assure itself that it has robust arrangements to check the quality and accuracy of the data it provides to senior leaders relating to service user perspective and outcomes.</p>	<ul style="list-style-type: none"> • The implementation of new PowerBI Dashboards and Scorecard has identified weaknesses with regards to the robustness and quality of some data sources. These have or are being improved. • User perspective is important and many customer surveys have been developed or are being developed to help strengthen our knowledge of user perspectives and outcomes 	On Track

Setting of well-being objectives - Local

Recommendations	Update	RAYG
<p>R1 To deliver its well-being objectives in line with the sustainable development principle, the Council should ensure the future iterations of its Medium Term Financial Plan clearly show:</p> <ul style="list-style-type: none"> • how the Council’s resources will be prioritised to deliver its well-being objectives; and • how current and future savings targets or known future financial risks might impact the delivery of its well-being objectives. 	<p><u>MTFP</u> for 25/26 was discussed by the Executive in September. It identified that an additional £0.5M is needed to complete the Council Plan’s Objectives.</p> <p>Work continues to identify future savings before setting the budget. Some of which will be consulted upon in the new year.</p>	<p>On Track</p>
<p>R2 The Council should give more detailed consideration to relevant future trends, needs, risks and opportunities in order to build on the progress it has made in applying the sustainable development principle when setting future well-being objectives.</p>	<p>PowerBI dashboards have been developed to monitor trends including a Population and Demographics Dashboard, Poverty Dashboard, Net Zero Dashboard and others in development.</p> <p>Risks are monitored on a quarterly basis whilst opportunities are explored when identified.</p>	<p>On Track</p>

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ISLE OF ANGLESEY COUNTY COUNCIL	
Report to	Governance and Audit Committee
Date	5 December 2024
Subject	FOR INFORMATION ONLY: Audit Wales Work Programme and Timetable – Quarterly Update 30 September 2024
Head of Service	Marc Jones Director of Function (Resources) and Section 151 Officer MarcJones@anglesey.gov.wales
Report Author	Marion Pryor Head of Audit and Risk MarionPryor@anglesey.gov.wales
<p>Nature and Reason for Reporting</p> <p>The Governance and Audit Committee’s Terms of Reference require it to oversee the external audit arrangements (3.4.8.11.3) and oversee the effectiveness of relationships between external and internal audit and other inspection agencies or relevant bodies (3.4.8.11.4). The Committee is also required to receive and consider reports from any other regulators or inspectors, which will be a useful source of assurance (3.4.8.13.1).</p>	

1.0 INTRODUCTION

- 1.1 This report sets out the status of the delivery of Audit Wales’s work programme with regards:
- the delivery of the Annual Audit Summary, which is planned for issue in January 2025 and which will commence on completion of the Audit of the Council’s 2023-24 statement of accounts
 - financial audit work on the 2023-24 Statement of Accounts, which is currently in progress and planned to be completed by 30 November 2024
 - ongoing Certification of Grant Returns (for 2022-23 and 2023-24), including Teachers’ Pension Contributions, Non-domestic Rates, and Housing Benefit Subsidy, which the majority are planned to be completed by November 2024
 - 2022-23 performance audit work, including the Thematic Review of Unscheduled Care which was submitted to a special meeting of the Partnership & Regeneration Scrutiny Committee on 13 November 2024
 - 2023-24 performance audit work, which includes thematic reviews of Commissioning, which is at fieldwork stage, and Financial Sustainability, which is at report clearance stage and will be submitted to the February 2025 meeting of the Committee. A local project following up on the

Welsh Housing Quality Standard (WHQS) audit from 2018 has been removed following changes to WHQS arrangements.

- For 2024-25, two local projects regarding the Council's cyber security arrangements and the arrangements for establishing a Port Health Authority are planned, along with ongoing work to assess the level of audit assurance required.

- 1.2 The Update also provides an overview of the local government national studies that are planned and in progress and whether fieldwork is planned at the Isle of Anglesey County Council. Currently, there is no confirmed fieldwork at the Council for any of the national studies.
- 1.3 Additionally, the report provides an overview of the work being undertaken by Estyn and the Care Inspectorate Wales across Wales. This does not detail any specific work relating to the Council.
- 1.4 The report provides a list of the Audit Wales national reports published since September 2023, along with work in progress and planned. Since publication of the Update, one of these, the [National Fraud Initiative in Wales 2022-23](#) has been published and includes a case study from the Isle of Anglesey County Council.
- 1.5 Finally, the report provides the details of Good Practice Exchange events and resources. It provides details of an event titled "Audit Committees: Effective practices and a positive impact" that was held in the Conwy Business Centre on 9 October 2024.

2.0 RECOMMENDATION

- 2.1 That the Governance and Audit Committee:
 - Considers the report and notes the assurance it provides.

Audit Wales Work Programme and Timetable – Isle of Anglesey County Council

Quarterly Update: 30 September 2024

Annual Audit Summary

Description	Timetable	Status
A report summarising completed audit work since the last Annual Audit Summary, which was issued in February 2024.	January 2025	Drafting will commence on completion of the Audit of the Council's 2023-24 statement of accounts.

Financial Audit work

Description	Scope	Timetable	Status
Certification of 2022-23 Grant Claims and Returns	Certify each claim according to Certifying Instructions agreed with the awarding body.	November 2024	Housing Benefit testing certification is outstanding with testing to be completed in November 2024.
Audit of the Council's 2023-24 statement of accounts	Statutory audit of the Council's annual statement of accounts.	Audit to be completed by 30 th November 2023	Audit work ongoing

Description	Scope	Timetable	Status
Certification of 2023-24 Grant Claims and Returns	Certify each claim according to Certifying Instructions agreed with the awarding body.	Teacher's Pension and NNDR audit work ongoing and to be certified in November 2024. Housing Benefit audit to follow certification of the 2022-23 claim.	Audit work started

Performance Audit work

2022-23 Performance Audit work	Scope	Timetable	Status
Thematic Review – Unscheduled Care	A cross-sector review focusing on the flow of patients out of hospital. This review will consider how the Council is working with its partners to address the risks associated with the provision of social care to support hospital discharge, as well as prevent hospital admission. The work will also consider what steps are being taken to provide medium to longer-term solutions.	August 2022 – November 2024	Report to be considered by the November meeting of the Partnership & Regeneration Scrutiny Committee

2023-24 Performance Audit work	Scope	Timetable	Status
Thematic review – commissioning	A review focusing on how councils' arrangements for commissioning, apply value for money considerations and the sustainable development principle.	March 2024– March 2025	Fieldwork planning stage
Thematic review – Financial Sustainability	A review of councils' financial sustainability including a focus on the actions, plans and arrangements to bridge funding gaps and address financial pressures over the medium term.	March – July 2024	Report in clearance stage National Summary Report indicative publication date: November 2024
Local project – Follow-up on WHQS 2018	Due to changes in WHQS arrangements, our planned follow-up is no longer considered appropriate therefore work will not take place, and the Council will be issued a refund following completion of the 23/24 work.	N/A	N/A

2024-25 Performance Audit work	Scope	Timetable	Status
Assurance and Risk Assessment	Project to identify the level of audit assurance and/or where further audit work may be required in future years in relation to risks to the Council putting in place proper arrangements to secure value for money in the use of resources and acting in accordance with the sustainable development principle.	On-going	Fieldwork ongoing
Local project work – Review of Cyber Security Arrangements	A review of the arrangements that the Council's has in place to provide cyber security.	April – July 2025	Scoping
Local project work – Establishing a Port Health Authority	A review of the arrangements that the Council's has in place to establish a port health authority.	tbc	Scoping

Local government national studies planned/in progress

Study	Scope	Timetable	Status	Fieldwork planned at Isle of Anglesey County Council
Temporary Accommodation	Examining the costs, demand and how services are working together to progress the response to temporary accommodation.	Report publication planned for early 2025	Fieldwork underway	Surveys will also be issued to Heads of Housing and Section 151 Officers at each principal council.
Capital Planning in Local Government	Examining whether capital investment in the asset base in local government is able to keep pace with demand	tbc	Scoping	Tbc
Financial constraints / discretionary local government services	Examining the potential impacts and councils' decision making processes in the context of the sustainable development principle.	tbc	Not started	tbc

Estyn

We inspected Caerphilly and Ceredigion local government education services (LGES) during the summer term. The reports were published in early September. We identified strong practice in both local authorities.

During the autumn term we will be inspecting Newport LGES. We have also scheduled a standalone inspection of the local authority’s youth work a few weeks prior to the LGES inspection. Although these are two separate pieces of work, the findings of the youth inspection will inform the LGES inspection. We piloted this arrangement in the Vale of Glamorgan last spring, and our evaluation of this arrangement indicates that stream-lining the inspection process works well and adds value to our work overall.

Our link inspectors are continuing to work with Torfaen as part of our follow-up process for an authority causing significant concern. We will be carrying out a monitoring visit in Torfaen in October to consider their progress against the recommendations from their core inspection.

We will also carry out an enhanced link visit to Denbighshire in October, with the focus being on specific aspects of attendance and additional learning needs. The outcome letter from this visit will be published on our website.

We will be carrying out field work in a sample of local authorities to support two thematic reports. We will be visiting 10 LAs to learn about their approaches to promoting positive behaviour in secondary schools; and another five LAs to evaluate their support for mathematics and numeracy AOLE in their schools.

In early September, we trained a new cohort of peer inspectors who will be deployed on our inspection teams as well as running an update session for our current peer inspectors.

Care Inspectorate Wales (CIW)

CIW planned work 2023-25	Scope	Timetable	Status
<p>Thematic reviews</p> <p>Community Learning Disability Team (CLDT)</p>	<p>Working jointly with HIW we completed an assurance check inspection in Rhondda Cynon Taff focusing on Community Learning Disability Teams (CLDT). RCT CLDT Joint inspection</p>	<p>2024-25</p>	<p>Published April 2024</p>

CIW planned work 2023-25	Scope	Timetable	Status
	<p>A second single agency assurance check inspection in Blaenau Gwent</p> <p>We will continue an annual programme of joint work focusing on CLDT and Community Mental Health Team (CMHT)</p>	March 2024	Published
<p>Joint Inspection Child Protection Arrangements (JICPA)</p>	<p>Overview report for Joint Inspections of Child Protection Arrangements (JICPA) 2019 – 2024 Overview report for Joint Inspections of Child Protection Arrangements (JICPA) 2019 – 2024 Healthcare Inspectorate Wales (hiw.org.uk).</p> <p>The findings from Bridgend County Borough Council - Joint Inspectorate Review of Child Protection Arrangements (JICPA): Bridgend 2023 Care Inspectorate Wales</p> <p>Our findings from the Cardiff County Council Cardiff Joint Inspection Report</p> <p>The findings from Denbighshire County Council Joint Inspectorate Review of Child Protection Arrangements (JICPA): Denbighshire 2023 Care Inspectorate Wales</p> <p>The findings from Powys County Council - Joint Inspectorate Review of Child Protection Arrangements (JICPA): Powys 2023 Care Inspectorate Wales</p>	<p>September 2024</p> <p>June 2024</p> <p>7 May 2024</p> <p>Feb 2024</p> <p>October 2023</p>	<p>Published</p> <p>Published</p> <p>Published</p> <p>Published</p> <p>Published</p>

CIW planned work 2023-25	Scope	Timetable	Status
Performance review of Local Authorities	<p>We continue to inspect Local Authorities in line with our updated Code of Practice for our local authority inspection activity Care Inspectorate Wales How we inspect local authority services and CAFCASS Cymru</p> <p>We are currently reviewing our Code of Practice and will be publishing shortly.</p> <p>Inspection of Flintshire County Council children and adult services in February 2024 - Inspection report for Flintshire County Council's adults and children's services published Care Inspectorate Wales</p> <p>We published Monmouthshire County Council children's services Inspection report PEI Care Inspectorate Wales</p> <p>We published Pembrokeshire - Improvement check inspection Improvement-check Pembrokeshire-county-council-adult services</p> <p>We published Swansea adult service PEI 240711-swanea-pei-report-en.pdf (careinspectorate.wales)</p>	<p>October 2024</p> <p>22 Feb 2024</p> <p>2 May 2024</p> <p>13 June 2024</p> <p>May 2024</p>	<p>Due to be published</p> <p>Published</p> <p>Published</p> <p>Published</p> <p>Published</p>
Her Majesty's Inspectorate of Probation – Youth Offending Inspection	<p>We supported the delivery of HMIP's Youth Offending Services Inspection in Denbighshire and Conwy. A joint inspection of youth justice services in Conwy & Denbighshire (justiceinspectorates.gov.uk)</p>	<p>8 May 2024</p>	<p>Published</p>

Audit Wales national reports and other outputs published since September 2023

Report title	Publication date and link to report
Active travel (report and data tool)	September 2024
Governance of Fire and Rescue Authorities	September 2024
Affordable housing	September 2024
NHS finances – and data tool update to 31 March 2024	August 2024
Digital by design? - Lessons from our digital strategy review across councils in Wales	August 2024
Councils use of performance information: service user perspective and outcomes - A summary of findings from our review at Welsh councils	July 2024
The Welsh Government's support for TVR Automotive Ltd	July 2024
A465 Section 2 – update	June 2024
Community Pharmacy data matching pilot	May 2024
Governance of National Park Authorities	April 2024
Supporting Ukrainians in Wales	March 2024
From firefighting to future-proofing – the challenge for Welsh public services	February 2024

Report title	Publication date and link to report
Betsi Cadwaladr University Health Board – board effectiveness follow up	February 2024
Local Government Financial Sustainability Data tool update uses data from the draft 2022-23 accounts	January 2024
Planning for sustainable development – Brownfield regeneration	January 2024
Corporate Joint Committees – commentary on their progress	November 2023
Governance arrangements relating to an employment dispute at Amgueddfa Cymru – National Museum Wales	November 2023
Failures in financial management and governance and losses incurred – Harlech Community Council	November 2023
Putting out the false alarms: Fire and Rescue Authorities’ responses to Unwanted Fire Signals	October 2023
Covering teachers’ absence – follow-up (letter to the Public Accounts and Public Administration Committee)	October 2023

Audit Wales national reports and other outputs (work in progress / planned)^{1, 2}

¹ We will continue to keep our plans under constant review, taking account of the evolving external environment, our audit priorities, the context of our own resourcing and the capacity of audited bodies to engage with us. Follow up work could also lead to other outputs, as may other local audit work where we consider there is merit in a national summary output of some kind.

² Our [Annual Plan 2024-25](#) also lists work in progress, some of which has since been published, or work planned to start during 2024-25. [Our work programme for 2023-2026](#) –

Title	Indicative publication date
National Fraud Initiative – bi-ennial report	October 2024
Cancer services	November 2024
Local Government Financial Sustainability Data tool update uses data from the draft 2023-24 accounts	November 2024
Findings from GP registration data matching pilot	November / December 2024
Unscheduled care (national messages – patient flow in hospital and delayed discharge)	November / December 2024
Financial management and governance in town and community councils	November / December 2024
NHS workforce planning (national messages)	November / December 2024
Addressing biodiversity decline (pan-public sector and at Natural Resources Wales)	Pan-public sector review – November / December 2024 NRW to be confirmed (scoping)
Welsh Government capital and infrastructure investment	December 2024 / January 2025
Challenges for the cultural sector	By end of 2024 (for most local reporting – any national messaging in early 2025)

also provides some additional detail about certain topics and will continue to inform our work programme planning for 2025-26.

Title	Indicative publication date
New Velindre Cancer Centre	Early 2025
Further and higher education funding and oversight – Commission for Tertiary Education and Research	By March 2025 (for initial phase of work on setting of well-being objectives)
Findings from sustainable development examinations (statutory report under the WFG Act)	By early May 2025
The senior public service	Scoping underway, delivery planned early summer
Rebalancing care and support	To be confirmed (scoping)
Tackling NHS waiting lists (local audit work at health boards)	To be confirmed (local work at each Health Board started in May 2024)
Access to education for children with Additional Learning Needs	To be confirmed (scoping)
Support for business	To be confirmed (starting in 2024-25)
Support for bus and rail services	To be confirmed (starting in 2024-25)
Progress with investment in school and college buildings through the Sustainable Communities for Learning Programme	To be confirmed (starting in 2024-25)
NHS bodies' approaches to digital transformation (local audit work)	To be confirmed (local audit work rolling out from October 2024)

Title	Indicative publication date
NHS bodies' cost savings arrangements	To be confirmed (local audit reporting nearing completion)

Good Practice Exchange events and resources

Title	Link to resource
<p>Audit Committees: Effective practices and a positive impact</p> <p>Good governance arrangements are a critical part of how public service organisations function effectively and deliver value for money services for the citizens and communities of Wales. Audit Committees are one of the foundation stones that support good governance. With significant current and future pressures on public sector finances, there is an increasing need for effective practices and a positive impact. Audit Committees play a vital role in this. This event provides an opportunity to share experiences, learn, and network with peers across the public sector in Wales.</p>	<p>9 October 2024, 10:30 – 15:30 Conwy Business Centre</p> <p>The resources from our event in Cardiff on 22 May are available here.</p>
<p>GPX Blog: 100 Stories Project</p>	<p>https://www.audit.wales/blog/gpx/2024/7/11/good-practice-exchange-100-stories-project</p>
<p>GPX Blog: A multiagency approach to falls</p>	<p>https://www.audit.wales/blog/gpx/2024/8/19/good-practice-exchange-multi-agency-approach-falls</p>
<p>GPX Blog: The councillors and care research project</p>	<p>https://www.audit.wales/blog/gpx/2024/9/11/good-practice-exchange-councillors-and-care-research-project</p>

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ISLE OF ANGLESEY COUNTY COUNCIL	
Report to	Governance and Audit Committee
Date	5 December 2024
Subject	Review of Forward Work Programme for 2024-25 v4
Head of Service	Marc Jones Director of Function (Resources) and Section 151 Officer MarcJones@anglesey.gov.wales
Report Author	Marion Pryor Head of Audit and Risk MarionPryor@anglesey.gov.wales
<p>Nature and Reason for Reporting A Forward Work Programme for 2024-25 is provided to the members of the Governance and Audit Committee to assist them in fulfilling the Committee’s Terms of Reference.</p>	

1.0 INTRODUCTION

- 1.1 A Forward Work Programme is attached at [Appendix A](#), along with a training programme at [Appendix B](#).
- 1.2 The programme has been developed considering the Committee’s terms of reference and its responsibilities under the Local Government and Elections (Wales) Act 2021.

2.0 RECOMMENDATION

- 2.1 That the Governance and Audit Committee:
 - considers whether the Forward Work Programme proposed for 2024-25 meets the Committee’s responsibilities in accordance with its terms of reference.

Appendix A – Forward Work Programme 2024-25

Core Function	27 June 2024	18 July 2024	19 September 2024	27 November 2024	05 December 2024	11 February 2025	May 2025
Composition and arrangements (3.4.8.2)	Review of Committee's Terms of Reference (3.4.8.2.1)						Annual Review of Committee's Terms of Reference (3.4.8.2.1) Private meeting with internal and external audit without officers present (3.4.8.2.6) (3.4.8.10.15) (3.4.8.11.5)
Accountability arrangements (3.4.8.3)	Action Log Review of Forward Work Programme 2024-25 (3.4.8.3.2) Annual Chair's Report 2023-24 (3.4.8.3.1/2) Update on the Governance and Audit Committee Effectiveness Review Action Plan (3.4.8.3.2)	Action Log Review of Forward Work Programme 2024-25 v2 (3.4.8.3.2)	Action Log Review of Forward Work Programme 2024-25 v3 (3.4.8.3.2)		Action Log Review of Forward Work Programme 2024-25 v4 (3.4.8.3.2) Update on the Governance and Audit Committee Effectiveness Review Action Plan (3.4.8.3.2)	Action Log Review of Forward Work Programme 2024-25 (3.4.8.3.2)	Action Log Review of Forward Work Programme 2024-25 (3.4.8.3.2)

Core Function	27 June 2024	18 July 2024	19 September 2024	27 November 2024	05 December 2024	11 February 2025	May 2025
Governance (3.4.8.4)		Draft Annual Governance Statement 2023-24 (3.4.8.4.1/2/3) (3.4.8.6.1/2/3) (3.4.8.8.2)		Final Annual Governance Statement 2023-24 (3.4.8.4.1/2/3) (3.4.8.6.1/2/3) (3.4.8.8.2)	Annual Report of the Partnership and Regeneration Scrutiny Committee 2023-24 (3.4.8.4.4) (provisional)		Annual Scrutiny Report 2024-25 (3.4.8.4.4)
Treasury Management (3.4.8.5)			Annual Report 2023-24 (3.4.8.5.1/2/3/4)		Mid-year Report (3.4.8.5.3)	Strategy and Prudential Indicators 2025-26 (3.4.8.5.1/3/4) Mid-year Report (3.4.8.5.3)	
Value for money (3.4.8.6)	Annual Internal Audit Report 2023-24 (3.4.8.10.6/7/8/9/12/14/15) (3.4.8.6.3)	Draft Annual Governance Statement 2023-24 (3.4.8.4.1/2/3) (3.4.8.6.1/2/3) Draft Statement of Accounts 2023-24 (3.4.8.12.1/2) (3.4.8.6.1/2/3)		Final Annual Governance Statement 2023-24 (3.4.8.4.1/2/3) (3.4.8.6.1/2/3) Final Statement of Accounts 2023-24 (3.4.8.12.1/2) (3.4.8.6.1/2/3) Audit of Accounts Report (3.4.8.11.2/3) (3.4.8.6.3)		Annual Audit Summary 2024 (3.4.8.11.2/3) (3.4.8.6.3) Financial Sustainability Review (Local Report) (3.4.8.11.2/3) Financial Sustainability Review (National Study) (3.4.8.11.2/3)	

Core Function	27 June 2024	18 July 2024	19 September 2024	27 November 2024	05 December 2024	11 February 2025	May 2025
Assurance Framework (3.4.8.7)			Annual Information Governance (SIRO) Report 2023-24 (3.4.8.7.1/2/3) Annual ICT Security Report 2023-24 (3.4.8.7.1/2/3) Annual Health & Safety Report 2023-24 (3.4.8.7.1/2/3)		Annual Information Governance in Schools Report 2023-24 (3.4.8.7.1/2/3) Annual ICT Security Report 2023-24 (3.4.8.7.1/2/3) Annual Health & Safety Report 2023-24 (3.4.8.7.1/2/3)		
Risk Management (3.4.8.8)			Climate Change Update (3.4.8.8.3) (provisional)		Strategic Risk Register Update (3.4.8.7.1/2) (3.4.8.8.1) Managing the Risks of Climate Change and Becoming Net Zero Update (3.4.8.8.3)		Annual Review of Risk Management Framework (3.4.8.7.1/2) (3.4.8.8.1) Strategic Risk Register Update (3.4.8.7.1/2) (3.4.8.8.1)
Countering Fraud and Corruption (3.4.8.9)		Annual Counter Fraud, Bribery and Corruption Report 2023-24 (3.4.8.9.4/5/6)	Annual Counter Fraud, Bribery and Corruption Report 2023-24 (3.4.8.9.4/5/6)			Counter Fraud, Bribery and Corruption Strategy 2025-28 (3.4.8.9.2/3)	

Core Function	27 June 2024	18 July 2024	19 September 2024	27 November 2024	05 December 2024	11 February 2025	May 2025
		National Fraud Initiative 2022-24 Outcomes – Progress Report (3.4.8.9.6)	<i>Annual Concerns, Complaints & Whistleblowing Report 2023-24</i> (3.4.8.9.1) (3.4.8.14.2)				
Internal Audit (3.4.8.10)	Annual Internal Audit Report 2023-24 (3.4.8.10.5/6/7/8/11/14/15) (3.4.8.6.3) Internal Assessment of Conformance with the Public Sector Internal Audit Standards (3.4.8.10.1/8/11/13)	Internal Audit Update Report (3.4.8.10.9/10) (3.4.8.6.3)	Internal Audit Update Report (3.4.8.10.9/10) (3.4.8.6.3) Outstanding Issues / Risks / Opportunities (3.4.8.10.9/10)		Internal Audit Update Report (3.4.8.10.9/10) (3.4.8.6.3)	Internal Audit Update Report (3.4.8.10.9/10) (3.4.8.6.3)	Internal Audit Update Report (3.4.8.10.9/10) (3.4.8.6.3) Outstanding Issues / Risks / Opportunities (3.4.8.10.11) Annual Internal Audit Strategy 2025-26 (3.4.8.10.1/2/4/5) Review of Internal Audit Charter (3.4.8.10.2/12)
External Audit (3.4.8.11)	Work Programme and Timetable – Quarterly Update (Q4 2023) (3.4.8.11.2/3)		Work Programme and Timetable – Quarterly Update (Q1 2024) (3.4.8.11.2/3)	Audit of Accounts Report (3.4.8.11.2/3) (3.4.8.6.3) (3.4.8.12.4)	Work Programme and Timetable – Quarterly Update (Q2 2024) (3.4.8.11.2/3)	Work Programme and Timetable – Quarterly Update (Q3 2024) (3.4.8.11.2/3)	Work Programme and Timetable – Quarterly Update (Q4 2024) (3.4.8.11.2/3)

Core Function	27 June 2024	18 July 2024	19 September 2024	27 November 2024	05 December 2024	11 February 2025	May 2025
	Annual Audit Plan 2024 (3.4.8.11.1/3)				<i>National Reviews and their Related Recommendations</i> (3.4.8.11.3) (3.4.8.13.1)	Annual Audit Summary 2024 (3.4.8.11.1/2/3) (3.4.8.6.3) Financial Sustainability Review (Local Report) (3.4.8.11.2/3) Financial Sustainability Review (National Study) (3.4.8.11.2/3)	
Financial Reporting (3.4.8.12)		Draft Statement of Accounts 2023-24 (3.4.8.12.1/2/3/5) (3.4.8.6.1/2/3)		Final Statement of Accounts 2023-24 (3.4.8.12.1/2/3/5) (3.4.8.6.1/2/3)			
Other regulators and inspectors (3.4.8.13)					<i>National Reviews and their Related Recommendations</i> (3.4.8.11.3) (3.4.8.13.1)		
Complaints Handling (3.4.8.14)			Annual Concerns, Complaints & Whistleblowing Report 2023-24 (3.4.8.14.1/2)		Annual Letter of the Public Services Ombudsman for Wales 2023-24 (3.4.8.14.1)		

Core Function	27 June 2024	18 July 2024	19 September 2024	27 November 2024	05 December 2024	11 February 2025	May 2025
			Annual Letter of the Public Services Ombudsman for Wales 2023-24 (3.4.8.14.1)				
Self-assessment (3.4.8.15)		Review of the Draft Annual Corporate Self-assessment report 2023-4 (3.4.8.15.1/2/3)					
Performance Panel Assessment (3.4.8.16) ¹							
Auditor General Special Inspection (3.4.8.17) ²							

¹ At least once during an electoral cycle a panel performance assessment will take place in the period between ordinary elections of councillors to the council. The council may choose to commission more than one panel assessment in an electoral cycle, but it is not a requirement of the legislation. (The Local Government and Elections (Wales) Act 2021). The council must make a draft of its response to the panel performance assessment available to its Governance and Audit committee, which must then review the draft response and may make recommendations for changes to the response to the panel assessment.

² If the Auditor General carries out a special inspection (as it considers the Council is not, or may not, be meeting its performance requirements, and a report is sent to Council, as soon as reasonably practicable after receiving such report, the Council must make it available to the Governance and Audit Committee.

Appendix B – Training Programme (3.4.8.2.10)

Committee-specific training

Area	Date last provided	Medium	Provider	Date provided / scheduled	Attendance
Introduction to Artificial Intelligence and Risk Mitigation	Not applicable	Briefing Session	Mathew Henshaw, Chief Digital Officer	To be agreed	
Understanding Local Authority Accounts for Councillors	June 2023 August 2023				
Treasury Management (3.4.8.5.2)	September 2023				
Effective Chairing Skills	October 2023				
Countering Fraud and Corruption	December 2023				
Risk Management	March 2024				

Mandatory training

Area	Medium	Provider	Date Provided / Scheduled
General Data Protection Regulations (GDPR)	eLearning	Internal	Available any time
Cyber Ninjas for Councillors ³	eLearning	Internal	Available any time
Basic Safeguarding Awareness (Group A)	eLearning	Internal	Available any time
Violence Against Women, Domestic Abuse and Sexual Violence (optional for lay members)	eLearning	Internal	Available any time
Prevent (optional for lay members)	eLearning	Internal	Available any time
Modern Slavery (optional for lay members)	eLearning	Internal	Available any time

³ The Cyber Ninjas module is again live on the Members Dashboard of Learning Pool. As a requirement of the grant funding, the Training & Development team will be required to report on quarterly progress, and will be raising further awareness with members shortly.

DDIM I'W GYHOEDDI NOT FOR PUBLICATION

Adroddiad Blynyddol Diogelwch Seiber 2023/24 Annual Cyber Security Report 2023/24

PRAWF BUDD Y CYHOEDD PUBLIC INTEREST TEST

<p>Paragraff(au) Paragraph(s)</p>	<p>Atodlen 12A Deddf Llywodraeth Leol 1972 Schedule 12A Local Government Act 1972</p> <p>14: Information relating to the financial or business affairs of any particular person (including the authority holding that information).</p> <p>18: Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.</p>
<p>Y PRAWF – THE TEST</p>	
<p>Mae yna fudd y cyhoedd wrth ddatgan oherwydd / There is a public interest in disclosure as:-</p> <p>Information relating to the effectiveness of the Council’s cyber security arrangements indirectly relates to the security of the public’s personal and confidential data. There is a public interest in access to the information as the public may be considered to be stakeholders in the Council’s cyber security.</p>	<p>Y budd y cyhoedd wrth beidio datgelu yw / The public interest in not disclosing is:-</p> <p>Mae'r mater yn cyfeirio at materion busnes y Cyngor a all niweidio buddiannau'r Cyngor yn fasnachol, ariannol ac yn gyfreithlon.</p> <p>Gall hefyd ddatgelu gwybodaeth sy'n ymwneud â chamau gweithredu'r Cyngor a gymerwyd mewn cysylltiad ag atal troseddu.</p> <p>Placing information about the Council’s cyber security arrangements into the public domain would be likely to increase the risk to the security of the Council’s network and the integrity of its data. The information could be exploited by criminals and other parties who seek to undermine the Council’s security measures. The likelihood of harm to the business affairs of the Council, arising from disclosure is high resulting in prejudice to the commercial and financial interests of the Council. The public interest in ensuring the security of data holdings is strong.</p>
<p>Argymhelliad: *Mae budd y cyhoedd wrth gadw'r eithriad yn fwy o bwys/hai o bwys na budd y cyhoedd wrth ddatgelu'r wybodaeth [* dilewch y geiriau nad ydynt yn berthnasol]</p> <p>Recommendation: *The public interest in maintaining the exemption outweighs/does not outweigh the public interest in disclosing the information. [*delete as appropriate]</p>	

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