

ISLE OF ANGLESEY COUNTY COUNCIL	
<b>Report to:</b>	Governance and Audit Committee
<b>Date:</b>	9 December 2021
<b>Subject:</b>	Local Code of Governance Draft
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<b>Nature and Reason for Reporting:</b> <p>The Local Code of Governance sets out the Council's approach to delivering good governance.</p> <p>The Governance and Audit Committee has the responsibility of approving the Council's Local Code of Governance.</p>	

## Introduction

1. To demonstrate good governance, the Council must show that it is complying with the core (and supporting) principles contained within the Framework for Delivering Good Governance in Local Government (CIPFA / Solace, 2016). This statement has been prepared in accordance with those principles.
2. The Isle of Anglesey County Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively.
3. The Council is also responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, which includes arrangements for the management of risk together with adequate and effective financial management.

## Recommendation

4. That the Governance and Audit Committee reviews and approves the Local Code of Governance Draft
5. That Committee Members are invited if they so wish to offer minor amendments to the Local Code of Governance Draft before it is adopted by the Isle of Anglesey County Council in March 2022.



# Local Code of Governance

Draft December 2021

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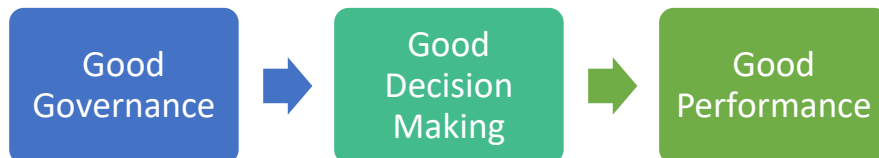
## What is Corporate Governance?

Corporate Governance is the system by which local authorities direct and control their functions and relate to their communities. It is founded on the basic principles of openness and inclusivity, integrity and accountability together with the overarching concept of leadership. It is an inter-related system that brings together the underlying set of legislative requirements, governance principles and management processes.

The Chartered Institute of Public Finance and Accountancy's (CIPFA's) International Framework for Good Governance in Local Government states that:

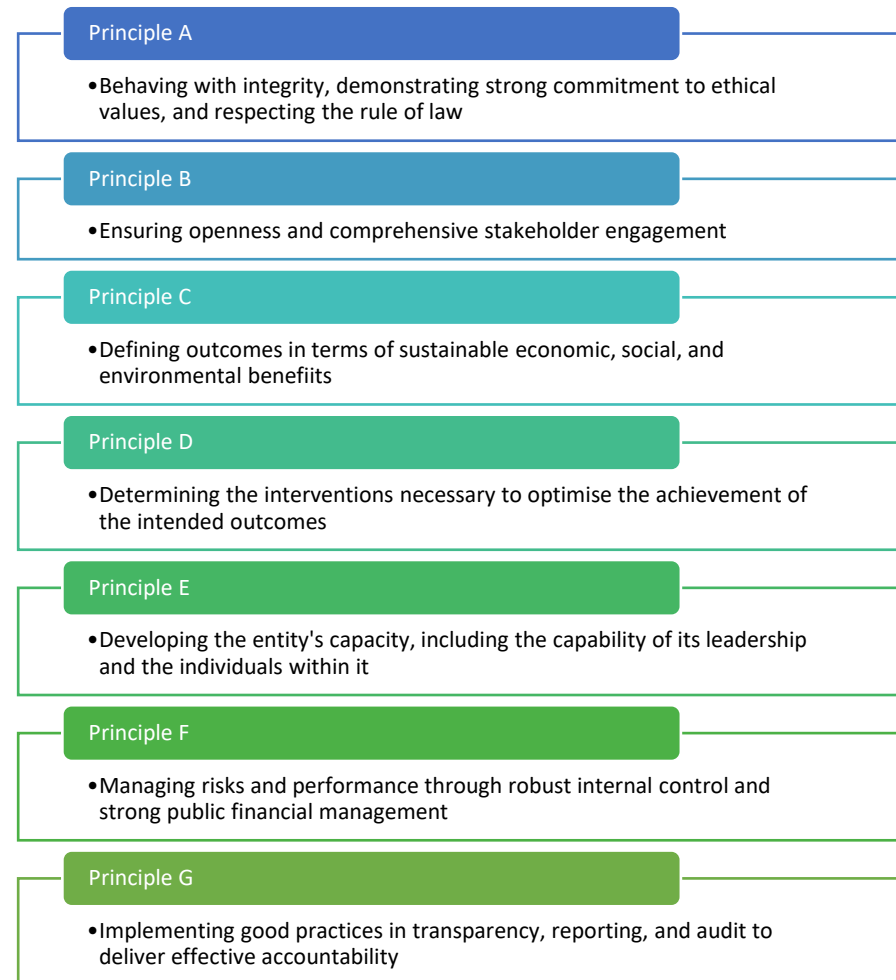
*“To deliver good governance in the public sector, both governing bodies and individuals working for the public sector entities must try to achieve their entity's objectives while acting in the public interest at all times.”*

The Council sees Corporate Governance as doing the right things, in the right way, for the right people in a timely, inclusive, open, honest and accountable manner. It comprises the systems and processes, and also the culture and values, by which the Council is directed and controlled and how it accounts to and engages with its citizens. The basic premise is:



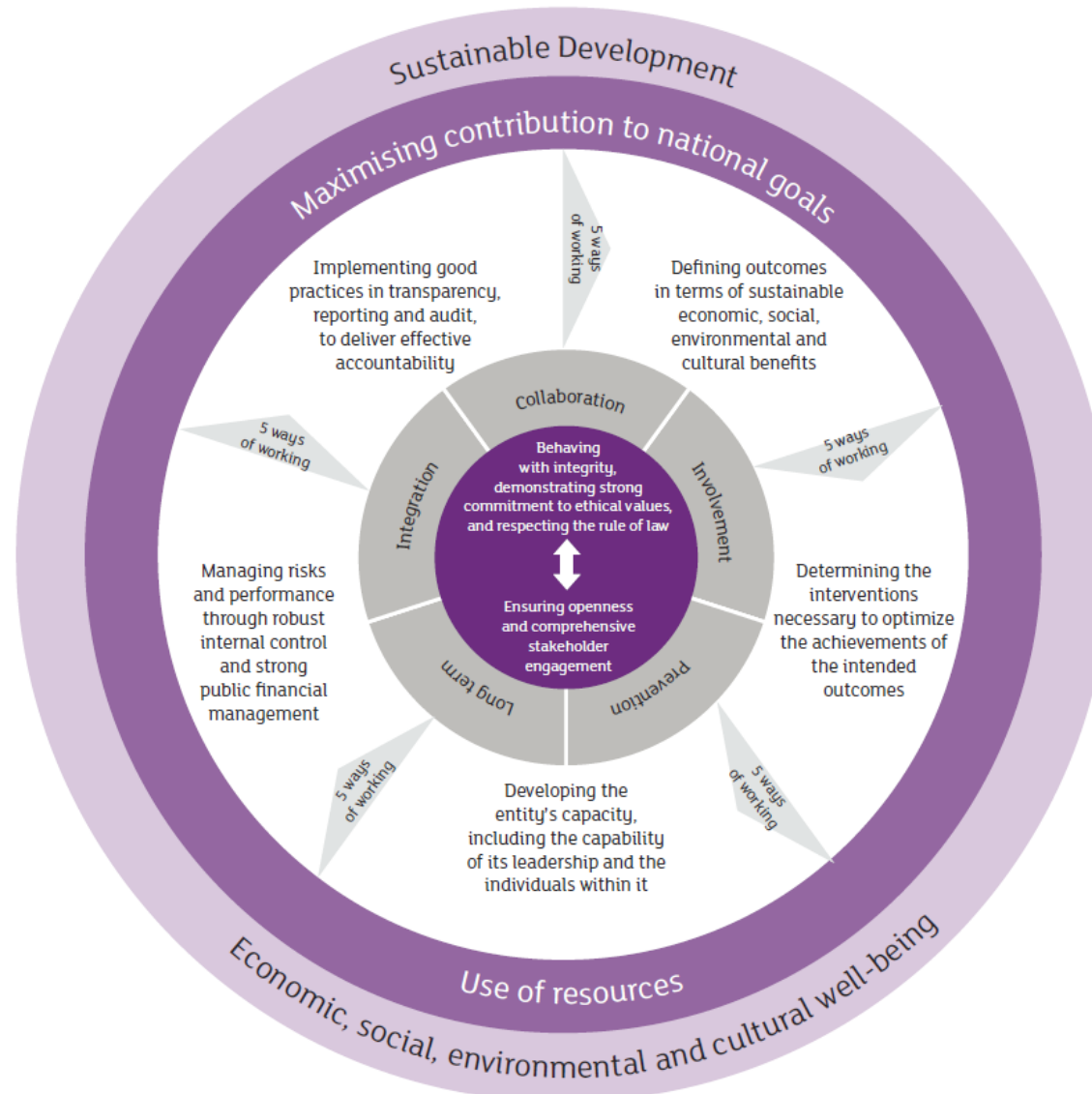
## What is the Code of Corporate Governance?

To demonstrate good governance, the Council must show that it is complying with the core (and supporting) principles contained within the Framework for Delivering Good Governance in Local Government (CIPFA / Solace, 2016). The established principles are:



Aspects of the Council's governance arrangements have been strengthened and modernised in recent years across a number of governance themes. The current [Council Plan](#) has been in place since 2017 and this places an emphasis on our governance structures to enable the outcomes of the plan to be delivered. These can be aligned to the seven core principles in the CIPFA/SOLACE framework.

The Council aims to achieve good standards of governance by adhering to the seven core principles and also adhering to the Wellbeing of Future Generations (Wales) Act 2015 principles which together form the basis of our Code of Corporate Governance.



Source: *Delivering Good Governance in Local Government: Guidance Notes for Welsh Authorities (2016 Edition)*



## How do we demonstrate compliance?

The Council reviews and reports against its governance arrangements on a regular basis. The Monitoring Officer ensures compliance with the policies, procedures, laws and regulations whilst the Section 151 officer advises on all financial matters, ensures proper financial records are kept and that a sound system of internal control is in place.

The Council conducts, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of managers within the Council who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's annual report, and also by comments made by the external auditors and other review agencies and inspectorates.

The effectiveness of the governance framework will be evaluated by a combination of:-

- the results of the regular in-year review and monitoring by officers and committees which include:
  - formal risk management activity, including specific consideration of those risks linked to governance processes;
  - internal audit, whose work includes auditing the highest risks identified in the Corporate Risk Register, including risk management, in accordance with the annual internal audit strategy, and which includes 'follow-up' work to ensure that senior officers address agreed 'Issues / Risks';
  - the annual assessment of Internal Audit by the Council's external auditors;
  - the work of the Council's Scrutiny and other Committees, including its Governance and Audit and Standards committees;
  - the opinions and recommendations of the Council's external auditors and other review agencies and inspectorates;

- the regular monitoring of improvement and performance against the Council Plan and its supporting plans and strategies by members and senior managers;
- a review of relevant documents prepared during the year or relating to the year;
- the review of progress against the Corporate Plan;
- reviews of feedback from Estyn and CIW and the related scrutiny panels;
- a series of interviews with key officers;
- discussions with, and receiving comments from, groups of officers and members including the SLT and the Executive.

Key policies, and any amendments to them, are approved by the Executive and where appropriate, formally adopted by the County Council.

The overall assessment will follow the following self-assessment grading –

Excellent	Many strengths, including significant examples of sector-leading practice
Good	Many strengths and no important areas requiring significant improvement
Satisfactory	Strengths outweigh areas for improvement
Unsatisfactory	Important areas for improvement outweigh strengths

The results of this assessment and review, which is carried out in line with the core principles of the Code, inform the production of the Council's Annual Governance Statement, which is presented as part of the Statement of Accounts.

The Council also use the 'Three Lines Model' as demonstrated in the graphic below, where each line can be used to provide assurance. A range of assurance activities from across all lines of defence is then used to provide a robust assurance picture.



## Commitments to the Governance Principles

### Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

**Rationale:** Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

**Related Key Theme:** 1) Professional and Well Run

The Council is committed to:	Sources of assurance
<p><b>Behaving with integrity</b></p> <p>A1. Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the Council</p> <p>A2. Ensuring members take the lead in establishing specific standard operating principles or values for the Council and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the 'Nolan Principles' )</p> <p>A3. Leading by example and using the above Target Operating Model or values as a framework for decision making and other actions</p> <p>A4. Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively</p>	<ul style="list-style-type: none"> <li>• There are a number of codes of conduct and protocols in place as part of the <a href="#">Constitution</a> to ensure high standards of conduct and behaviour – these include <ul style="list-style-type: none"> <li>○ Members code of conduct</li> <li>○ Officers code of conduct</li> <li>○ Protocols for Member/Officer relations</li> <li>○ Anti-Bullying and Harassment Policy</li> <li>○ Protocols on gifts and hospitality</li> <li>○ Political management protocols</li> </ul> </li> <li>• Members receive training on the codes of conduct as soon as possible after election</li> <li>• The Monitoring Officer acts as the lead officer for the Standards Committee with seven of the nine members external appointments, and the remainder elected members.</li> <li>• Council Values Six Key Themes</li> <li>• <a href="#">Members and Officers Code of Conduct</a></li> </ul>



<p><b>Demonstrating strong commitment to ethical values</b></p> <p>A5. Seeking to establish, monitor and maintain the Council’s ethical standards and performance</p> <p>A6. Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the Council’s culture and operation</p> <p>A7. Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values</p> <p>A8. Ensuring that external providers of services on behalf of the Council are required to act with integrity and in compliance with high ethical standards expected by the Council.</p> <p><b>Respecting the rule of law</b></p> <p>A9. Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations</p> <p>A10. Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements</p> <p>A11. Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders</p> <p>A12. Dealing with breaches of legal and regulatory provisions effectively</p> <p>A13. Ensuring corruption and misuse of power are dealt with effectively</p>	<ul style="list-style-type: none"> <li>• <a href="#">Standards Committee</a></li> <li>• Financial Procedure Rules</li> <li>• Contract Procedure Rules</li> <li>• Prevention of Fraud and Corruption Policy in the Constitution with subsidiary plans in place</li> <li>• Protocol on <a href="#">gifts and hospitality</a> and a <a href="#">register of interests</a></li> <li>• Declaration of interests before every meeting</li> <li>• Staff Inductions</li> <li>• Whistleblowing Policy</li> <li>• Dedicated Monitoring Officer</li> <li>• ICT Security Policy</li> <li>• Cyber Security</li> <li>• GDPR guidance</li> </ul>
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## Principle B: Ensuring openness and comprehensive stakeholder engagement

**Rationale:** Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.

**Related Key Theme:** 3) Customer, Citizen and Community Focused, 5) Committed to Partnership

The Council is committed to:	Sources of assurance
<p><b>Openness</b></p> <p>B1. Ensuring an open culture through demonstrating, documenting and communicating our commitment to openness</p> <p>B2. Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided</p> <p>B3. Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear</p> <p>B4. Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action</p> <p><b>Engaging comprehensively with institutional stakeholders</b></p> <p>B5. Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably</p>	<ul style="list-style-type: none"> <li>• <a href="#">Executive</a> and Council meetings are held in public (with the exception of exempt items) and all papers are published on the Council website</li> <li>• <a href="#">Records of decisions</a> and supporting materials are made available.</li> <li>• All reports to committees are accompanied with a cover report, which details a summary of the report, the recommendations seeking approval and a rationale for why that recommendation has been made, in order to show the reasoning and evidence for decisions.</li> <li>• A Combined <a href="#">Forward Work Programme</a> for the Executive and Scrutiny Committees is publicly available and published on the Council's website.</li> <li>• There are clear timescales for the submission, publication and distribution of reports.</li> <li>• The webcasting of meetings of <a href="#">the Executive</a>, <a href="#">Planning &amp; Orders</a> and <a href="#">Council meetings</a>.</li> <li>• Annual reports are published by Scrutiny, the Standards Committee and the Governance &amp; Audit Committee.</li> <li>• The <a href="#">Annual Delivery Document</a> outlining what activities will be undertaken throughout the year against the Council Plan objectives is published</li> </ul>

B6. Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively

B7. Ensuring that partnerships are based on trust, a shared commitment to change and a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit

**Engaging stakeholders effectively, including individual citizens and service users**

B8. A clear policy on the type of issues that the Council will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service provision is contributing towards the achievement of intended outcomes

B9. Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement

B10. Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs

B11. Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account

B12. Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity

B13. Taking account of the interests of future generations of tax payers and service users

- An [Annual Performance Report](#) is published to demonstrate progress against the Council Plan (Annual Delivery Document) for the previous year
- A [Quarterly Scorecard monitoring report](#) is published progress to demonstrate against Key Performance Indicators linked to the Council Plan and Service objectives.
- The Council uses the [Website](#) and [Social Media](#) to reach a growing number of residents and stakeholders.
- [Freedom of Information](#) practices are in place to publish responses to requests.
- The [Public Services Boards for Gwynedd and Ynys Môn](#) local authority areas became a statutory body under the Well-being of Future Generations (Wales) Act 2015.
- A Staff Survey is held every three years and the results are used to inform varying agendas across the council.
- Members of [North Wales Economic Ambition Board](#)
- Members of [GwE board](#)
- Partners with other Local Authorities and Health Board on the [North Wales Social Care and Well-being Regional Collaborative](#)
- [North Wales Councils - Regional Emergency Planning Service](#)
- The [Community Engagement Model](#) is used to improve the corporate approach to community engagement. This model is essential in order to identify those communities and groupings that will have an interest in taking over responsibilities for delivery of local type needs in their communities
- The Engagement and Consultation Board provides a cross Council approach to engagement and stakeholder involvement which reduces duplication, ensures a collective approach to engagement and improves our area based intelligence as a Council.

- The [Transforming Business Processes Board](#) assists the Council to contribute to its theme of achieving '*excellent customer, citizen and community focus*' (Six Key Themes) and it is responsible for all aspects of Customer Service and is used to monitor and improve the customer experience for our residents.
  - Mystery shop exercises are undertaken to audit the Council's adherence to the [Welsh Language Standards](#) and the Customer Service Charter
  - Full Council, The Executive and Planning & Orders Committee meetings are all [webcast](#) and available to view for up to six months after the meetings online.
  - Citizens are welcome to attend public meetings and arrange to speak publicly on the Scrutiny and Planning & Orders Committees
  - A [Corporate Complaints procedure](#) is in place and [statistics](#) are published quarterly on the website
  - A separate complaints procedure is in place for [Social Services](#)
- Stakeholders are able to respond to [consultations](#) on the website

## Principle C: Defining outcomes in terms of sustainable economic, social, cultural and environmental benefits

**Rationale:** The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.

**Related Key Theme:** 3) Customer, Citizen and Community Focused, 5) Committed to Partnership, 6) Achieving

### The Council is committed to:

#### Defining Outcomes

C1. Having a clear vision which is an agreed formal statement of the Council's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the Council's overall strategy, planning and other decisions

C2. Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer

C3. Delivering defined outcomes on a sustainable basis within the resources that will be available

C4. Identifying and managing risks to the achievement of outcomes

C5. Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available.

### Sources of assurance

- The Council's overall vision is reflected in the [Council Plan](#) which covers the period of the local elections of five years. It is a Plan which describes priorities clearly and explains how the priorities reflect the views of the citizen and is aligned to the ever developing medium term financial strategy.
- The [Medium Term Financial Strategy](#) is reviewed annually, in line with the corporate priorities.
- All services produce an annual [Service Delivery Plan](#) that shows clearly how they contribute towards achieving our corporate priorities. All service plans contain measures and success criteria to evidence how actions will make a difference.
- Key Performance Indicators aligned to the Council Plan are monitored on a quarterly basis through the [Corporate Scorecard](#). The Corporate Scorecard Report is reported to the Senior Leadership Team, Corporate Scrutiny and The Executive where mitigating actions against underperforming KPIs are agreed for implementation by the Services.
- Services are subject to six monthly Service Reviews – looking specifically at the budget and expenditure in June and on performance and outcomes between November and January. Members of the Senior Leadership Team and elected members, from

<p><b>Sustainable economic, social and environmental benefits</b></p> <p>C6. Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision</p> <p>C7. Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the Council's intended outcomes and short-term factors such as the political cycle or financial constraints</p> <p>C8. Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs</p> <p>C9. Ensuring fair access to services</p>	<p>both the Executive and Shadow Executive, rigorously challenge service performance at the service review sessions. Actions to address issues or improve performance against set targets are then agreed at the meetings for implementation over the next 12 months</p> <ul style="list-style-type: none"> <li>• Performance and progress against the Council Plan is published annually in the <a href="#">Annual Performance Report</a>, and financial performance is published in the Statement of Accounts.</li> <li>• The Gwynedd and Anglesey Public Services Board was established in 2016, in accordance with the Well-being of Future Generations (Wales) Act 2015. The PSB provide both an Annual Report and Progress reports throughout the year.</li> <li>• Annual Governance Statement</li> <li>• Quarterly Revenue and Capital Reports</li> <li>• The Director of Social Services is required to produce an <a href="#">Annual Report</a></li> <li>• Welsh Language Annual Monitoring Report</li> </ul>
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## Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes

**Rationale:** Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.

**Related Key Theme:** 2) Innovative, Ambitious and Outward Looking

The Council is committed to:	Sources of assurance
<p><b>Determining and Planning interventions</b></p> <p>D1. Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided.</p> <p>D2. Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts.</p> <p><b>Optimising achievement of intended outcomes</b></p> <p>D3. Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets</p>	<ul style="list-style-type: none"> <li>• The <a href="#">Constitution</a> sets out clearly how the Council operates and how decisions are made and procedures need to be followed to ensure efficiency, transparency and accountability</li> <li>• <a href="#">Council Committee Structures</a> - Council, the Executive, the Governance &amp; Audit Committee, Democratic Services Committee, Planning &amp; Orders, Licensing, Corporate Scrutiny, Partnership &amp; Regeneration Scrutiny Committee, and the Standards Committee.</li> <li>• The <a href="#">Isle of Anglesey County Council</a> has responsibility for the policy and budget framework. Key governance reports are matters for Council, and Council agree the annual revenue and capital budget.</li> <li>• <a href="#">The Executive</a> is the key decision making body and consists of the leader and eight further portfolio holders.</li> <li>• The <a href="#">Governance and Audit Committee</a> is a key component of the Council's governance framework. The committee includes a lay co-opted member which serves to widen the independent knowledge and experience base.</li> <li>• The <a href="#">Corporate Scrutiny Committee</a> provides assurance regarding performance and delivery of all services, It ensures</li> </ul>

<p>D4. Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered</p> <p>D5. Considering and monitoring risks facing each partner when working collaboratively including shared risks</p> <p>D6. Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances</p> <p>D7. Establishing appropriate local performance indicators (as well as relevant statutory or other national performance indicators) as part of the planning process in order to identify how the performance of services and projects is to be measured</p> <p>D8. Ensuring capacity exists to generate the information required to review service quality regularly</p> <p>D9. Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan</p> <p>D10. Informing medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy</p> <p><b>Optimising the achievement of intended outcomes</b></p> <p>D11. Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints</p> <p>D12. Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term</p>	<p>that the council achieves its corporate and service objectives whilst supporting and making recommendations for continuous improvement.</p> <ul style="list-style-type: none"> <li>• The <a href="#">Partnership and Regeneration Scrutiny Committee</a> ensures that the interests of the citizens of the Island are promoted and that the best use is made of Council resources, in line with the Council's priorities, that demonstrate added value from working with partners.</li> <li>• All reports to committees are accompanied with a cover report, which details a summary of the report, the recommendations seeking approval and a rationale for why that recommendation has been made, in order to show the reasoning and evidence for decisions.</li> <li>• The <a href="#">Senior Leadership Team (SLT) and Y Penaethiaid</a> ensure that outcomes are monitored and achieved throughout the year.</li> <li>• Services are subject to six monthly Service Reviews – looking specifically at the budget and expenditure in June and on performance and outcomes between November and January. Members of the Senior Leadership Team and elected members, from both the Executive and Shadow Executive, rigorously challenge service performance at the service review sessions. Actions to address issues or improve performance against set targets are then agreed at the meetings for implementation over the next 12 months.</li> <li>• The Council has a <a href="#">Corporate Planning and Performance Management Framework</a> in place</li> <li>• The programmes and projects aligned to the Council Plan are monitored by the <a href="#">Corporate Governance Programme Board and Transforming Services Programme Board</a>.</li> <li>• The <a href="#">Anglesey Energy Island™ Programme</a>, established by Isle of Anglesey County Council, is a collective effort between several stakeholders within the public, private and third sectors working in partnership, putting Anglesey at the forefront of low carbon energy research and development, production and</li> </ul>
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<p>D13. Ensuring the medium-term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage</p>	<p>servicing, and bringing with it potentially huge economic rewards.</p> <ul style="list-style-type: none"> <li>• The Council works with tourism industry partners in order to create a more long-term tourism strategy for the Island. The <a href="#">Destination Anglesey Partnership Board (DAP)</a> monitor achievements against the <a href="#">Destination Anglesey Management Plan</a></li> <li>• <a href="#">Budget Consultation</a></li> <li>• <a href="#">Medium Term Financial Strategy</a></li> <li>• <a href="#">The Council's Budget Book</a></li> </ul>
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## Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it

**Rationale:** Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind-set, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

**Related Key Theme:** 4) Valuing and Developing our People

The Council is committed to:

Sources of assurance

### Developing the entity's capacity

E1. Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.

E2. Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness,

E3. Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the Council's resources are allocated so that outcomes are achieved effectively and efficiently,

E4. Recognising the benefits of partnerships and collaborative working where added value can be achieved

### Developing the capability of the entity's leadership and other individuals

- Workforce Development Strategy
- Workforce Development Plans for each Service
- People Strategy
- Annual Appraisal (PDR)
- Equalities Plan 2020-24
- Member briefing sessions
- Managers Forum
- Staff Awards
- WLGA Charter for Member Support
- [Member Development and Training Programme](#)
- Trainee Scheme
- Denu Talent (Attracting Talent Scheme)
- Learning Pool / E-Learning
- Internal Training Programme – including Arweinyddion Môn, Academi Môn, and 'Twf a Datblygu' (Growth and Development)

E5. Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained

E6. Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body

E7. Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure, whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority

E8. Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the Council to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:

- ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged,
- ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis,
- ensuring personal, organisation and system-wide development through shared learning, including
- lessons learnt from both internal and external governance weaknesses

E9. Ensuring that there are structures in place to encourage public participation

E10. Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections

E11. Holding staff to account through regular performance reviews which take account of training or development needs

E12. Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing



## Principle F: Managing risks and performance through robust internal control and strong public financial management

**Rationale:** Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.

A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery, and accountability.

It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

**Related Key Theme:** 1) Professional and Well Run

The Council is committed to:	Sources of assurance
<p><b>Managing Risks</b></p> <p>F1. Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making</p> <p>F2. Implementing robust and integrated risk management arrangements and ensuring they are working effectively</p> <p>F3. Ensuring that responsibilities for managing individual risks are clearly allocated</p> <p><b>Managing Performance</b></p> <p>F4. Monitoring service delivery effectively including planning, specification, execution and independent post-implementation review</p>	<ul style="list-style-type: none"> <li>• Risk Management Policy and Framework</li> <li>• Risk management software 4risk</li> <li>• Performance Management Framework</li> <li>• <a href="#">Council Plan</a></li> <li>• <a href="#">Annual Delivery Plan</a></li> <li>• <a href="#">Annual Performance Report</a></li> <li>• Self-Assessment (Internal)</li> <li>• Service Reviews – Financial and Performance</li> <li>• Corporate Programme Boards</li> <li>• Internal Audit's self-assessment against the Public Sector Internal Audit Standards (PSIAS)</li> <li>• Internal Audit reports</li> <li>• Internal Audit action tracking software (4action)</li> <li>• SIRO Annual Report</li> <li>• Information Governance Training</li> <li>• Information Governance Policy</li> </ul>

<p>F5. Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the Council's financial, social and environmental position and outlook</p> <p>F6. Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made, thereby enhancing the Council's performance and that of any organisation for which it is responsible</p> <p>F7. Providing members and senior management with regular reports on progress towards outcome achievement.</p> <p>F8. Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)</p> <p><b>Robust Internal Control</b></p> <p>F9.Aligning the risk management strategy and policies on internal control with achieving objectives</p> <p>F10.Evaluating and monitoring risk management and internal control on a regular basis</p> <p>F11.Ensuring effective counter fraud and anti-corruption arrangements are in place</p> <p>F12.Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor</p> <p>F13.Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body:</p>	<ul style="list-style-type: none"> <li>• Corporate Information Governance Board</li> <li>• ICT Security</li> <li>• Quarterly Revenue Reports</li> <li>• Quarterly Capital Reports</li> <li>• Statement of Accounts</li> <li>• The Council's Treasury Management arrangements follow professional practice and are subject to regular review by the Audit &amp; Governance Committee, the Executive and the Full Council.</li> <li>• Medium Term Financial Plan</li> <li>• Procurement Strategy</li> <li>• The Annual Certificate of Compliance confirmed that the Council complied with its responsibilities relating to financial reporting, use of resources, improvement planning and performance management.</li> </ul>
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- provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment
- that its recommendations are listened to and acted upon

### **Managing Data**

F14. Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data

F15. Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies

F16. Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring

### **Strong Public Financial Management**

F17. Ensuring financial management supports both long-term achievement of outcomes and short-term financial and operational performance

F18. Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls

## Principle G: Implementing good practices in transparency, reporting, and audit to deliver

**Rationale:** Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

**Related Key Theme:** 1) Professional and Well Run

The Council is committed to:	Sources of assurance
<p><b>Implementing good practices in transparency and reporting</b></p> <p>G1. Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate</p> <p>G2. Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand</p> <p>G3. Reporting at least annually on performance, value for money and the stewardship of resources</p> <p>G4. Ensuring owners and senior management own the results</p> <p>G5. Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)</p> <p>G6. Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate</p>	<ul style="list-style-type: none"> <li>• All agendas and reports are available on the Council Website</li> <li>• Governance &amp; Audit Committee</li> <li>• Annual Report of the Governance and Audit Committee – Chair's Report</li> <li>• Members register of interest</li> <li>• Town and Community Council register of interest</li> <li>• Internal Audit Reports</li> <li>• Monthly Member briefing sessions</li> <li>• External Audit reports including Estyn, Welsh Audit, Care Inspectorate Wales</li> <li>• Inspectorate Reports</li> <li>• Annual Scrutiny Report</li> <li>• Annual Internal Audit Report</li> </ul>

<p>G7. Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations</p> <p><b>Assurance and effective accountability</b></p> <p>G8. Ensuring that recommendations for corrective action made by external audit are acted upon</p> <p>G9. Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon</p> <p>G10. Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations</p> <p>G11. Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement</p> <p>G12. Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met</p>	
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## Appendix 1

### The Six Key Themes

The Six Key Themes have been developed by staff and management to support our aims and objectives in the Council Plan. They are used as a basis to everything we do and tie in with the Core Principles and the Wellbeing of Future Generations (Wales) Act 2015 principles –

**1. Professional and Well Run**

*We are committed to developing a democratic and professional partnership that will deliver effective, strong leadership and establish the necessary professional, and organisational behaviours required, to secure improvement*

**2. Innovative, Ambitious and Outward Looking**

*We will establish an environment and culture that encourages and nurtures, innovative and creative, ideas and solutions looking beyond the organisation to seek ambitious solutions that benefit our customers, citizens and communities*

**3. Customer, Citizen and Community Focused**

*We will actively engage with communities, citizens and customers, seek their views, understand their needs and respond accordingly fully explaining and communicating our actions*

**4. Valuing and Developing our People**

*We will value and develop our people, so that they are skilled and motivated, and always professional in the way that they work. We will recognise success, innovation and a commitment to providing exceptional customer service*

**5. Committed to Partnership**

*We understand that we cannot deliver the required transformation on our own and are committed to working in partnership with public, voluntary and private sector partners in order to deliver sustainable growth and development*

**6. Achieving**

*We are results and outcome orientated and strive to improve our performance in the important areas of our work.*