



AUDIT COMMITTEE - 8TH MARCH 2017

**SUBJECT: AUDIT OF CAERPHILLY COUNTY BOROUGH COUNCIL'S
ASSESSMENT OF 2015-2016 PERFORMANCE**

REPORT BY: ACTING DIRECTOR CORPORATE SERVICES & S151 OFFICER

1. PURPOSE OF REPORT

- 1.1 This is an information item to inform members of the Certificate of Compliance issued by the Auditor General for Wales in November 2016 regarding Wales Audit Office assessment of our compliance with the Local Government (Wales) Measure 2009.

2. SUMMARY

- 2.1 This report presents the Wales Audit Office Certificate of Compliance for 2015-16 under the Local Government (Wales) Measure 2009. The Measure requires the Council to make arrangements to secure continuous improvement in the exercise of its functions. This involves setting Improvement Objectives and annually publishing an assessment which describes its performance.

The certificate does not give opinion on how well this is done but simply states whether we have or have not met our improvement duty.

The Auditor General's certificate attached states "As a result of my audit, I believe that the Council has discharged its duties under sections 15(2), (3), (8) and (9) of the Measure and has acted in accordance with Welsh Government guidance sufficiently to discharge its duties".

3. LINKS TO STRATEGY

- 3.1 Although the Well-being of Future Generations (Wales) Act 2015 has been introduced and replaces Part 2 of the 2009 Local Government Measure, Part 1 is still a legal requirement and this part puts a duty on an authority to 'make arrangements to continuously improve'. These arrangements and their effectiveness are assessed by the WAO.

4. THE REPORT

- 4.1 Under the Measure, the Council is required:

- To annually publish an assessment which describes its performance;
- To make arrangements to secure continuous improvement in the exercise of its functions;
- In meeting the improvement objectives it has set itself;
- By reference to performance indicators specified by Welsh Ministers, and self-imposed performance indicators; and in meeting any performance standards specified by Welsh Ministers, and self-imposed performance standards.

- 4.2 The Measure also requires the Council to publish its assessment before 31 October in the financial year following that to which the information relates, or by any other such date as Welsh Ministers may specify by order. The Measure also requires that the Council has regard to guidance issued by Welsh Ministers in publishing its assessment.
- 4.3 The Certificate of Compliance (Appendix 1) known as *Audit of Caerphilly County Borough Council's Assessment of 2015-16 Performance*, confirms the Council has complied with its duty.

5. WELL-BEING OF FUTURE GENERATIONS

- 5.1 The Well-being of Future Generations (Wales) Act 2015 is about improving the social, economic, environmental and cultural well-being of Wales. Its aim is to make public bodies listed in the Act to think more about the long term, work better with people, communities and each other. It is about preventing problems and taking a more joined-up approach. The arrangements we have in place to comply with the Act are progressing well and an update on the Council's progress is being provided separately to Audit Committee.

6. EQUALITIES IMPLICATIONS

- 6.1 An Equalities Impact Assessment is not needed because the issues covered are for information purposes only, therefore the Council's full EIA process does not need to be applied

7. FINANCIAL IMPLICATIONS

- 7.1 There are no financial implications to this report.

8. PERSONNEL IMPLICATIONS

- 8.1 There are no personnel implications to this report.

9. CONSULTATIONS

- 9.1 This report has been sent to the Consultees listed below and all comments received are reflected in this report.

10. RECOMMENDATIONS

- 10.1 The report is for information only.

11. REASONS FOR THE RECOMMENDATIONS

- 11.1 The certificate tells members and the public if the council has complied with its statutory duties therefore members need to be advised in order to gain assurance as part of their monitoring role.

12. STATUTORY POWER

- 12.1 Local Government Measure 2009 (Part 1). Well-being of Future Generations Act (Wales) 2015.

Author: Ros Roberts - Corporate Performance Manager, roberr@caerphilly.gov.uk
Consultees: Nicole Scammell - Acting Director Corporate Services and Section S151 Officer
Rob Hartshorn - Head of Public Protection
Kathryn Peters – Corporate Policy Manager
Councillor David Hardacre – Cabinet Member Performance and Property

Appendices:
Appendix 1 Audit of Caerphilly County Borough Council's Assessment of 2015-16 Performance



Reference: 656A2016

Date issued: November 2016

Audit of Caerphilly County Borough Council's Assessment of 2015-16 Performance

Certificate

I certify that I have audited Caerphilly County Borough Council's (the Council) assessment of its performance in 2015-2016 in accordance with section 17 of the Local Government (Wales) Measure 2009 (the Measure) and my Code of Audit Practice.

As a result of my audit, I believe that the Council has discharged its duties under sections 15(2), (3), (8) and (9) of the Measure and has acted in accordance with Welsh Government guidance sufficiently to discharge its duties.

Respective responsibilities of the Council and the Auditor General

Under the Measure, the Council is required to annually publish an assessment which describes its performance:

- in discharging its duty to make arrangements to secure continuous improvement in the exercise of its functions;
- in meeting the improvement objectives it has set itself;
- by reference to performance indicators specified by Welsh Ministers, and self-imposed performance indicators; and
- in meeting any performance standards specified by Welsh Ministers, and self-imposed performance standards.

The Measure requires the Council to publish its assessment before 31 October in the financial year following that to which the information relates, or by any other such date as Welsh Ministers may specify by order.

The Measure requires that the Council has regard to guidance issued by Welsh Ministers in publishing its assessment.

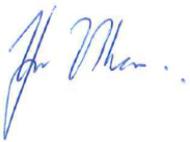
As the Council's auditor, I am required under sections 17 and 19 of the Measure to carry out an audit to determine whether the Council has discharged its duty to publish an assessment of performance, to certify that I have done so, and to report whether I believe that the Council has discharged its duties in accordance with statutory requirements set out in section 15 and statutory guidance.

Scope of the audit

For the purposes of my audit work I will accept that, provided an authority meets its statutory requirements, it will also have complied with Welsh Government statutory guidance sufficiently to discharge its duties.

For this audit I am not required to form a view on the completeness or accuracy of information. Other assessment work that I will undertake under section 18 of the Measure may examine these issues. My audit of the Council's assessment of performance, therefore, comprised a review of the Council's publication to ascertain whether it included elements prescribed in legislation. I also assessed whether the arrangements for publishing the assessment complied with the requirements of the legislation, and that the Council had regard to statutory guidance in preparing and publishing it.

The work I have carried out in order to report and make recommendations in accordance with sections 17 and 19 of the Measure cannot solely be relied upon to identify all weaknesses or opportunities for improvement.



Huw Vaughan Thomas

Auditor General for Wales

CC: Mark Drakeford – Cabinet Secretary for Finance and Local Government
Non Jenkins, Manager
Sara-Jane Byrne, Performance Audit Lead



Cyfeirnod: 656A2016

Dyddiad y'i cyhoeddwyd: Tachwedd 2016

Archwiliad o Aseiad o Berfformiad 2015-16 Cyngor Bwrdeistref Sirol Caerffili

Tystysgrif

Rwyf yn ardystio fy mod i wedi archwilio aseiad Cyngor Bwrdeistref Sirol Caerffili (y Cyngor) o'i berfformiad yn 2015-16 yn unol ag adran 17 Mesur Llywodraeth Leol (Cymru) 2009 (y Mesur) a'm Cod Ymarfer Archwilio.

O ganlyniad i'm harchwiliad, rwyf o'r farn bod y Cyngor wedi cyflawni ei ddyletswyddau dan adrannau 15(2), (3), (8) a (9) y Mesur a'i fod wedi ymddwyn yn unol â chanllawiau Llywodraeth Cymru yn ddigonol i gyflawni ei ddyletswyddau.

Priod gyfrifoldebau'r Cyngor a'r Archwilydd Cyffredinol

Dan y Mesur, mae'n ofynnol i'r Cyngor gyhoeddi aseiad yn flynyddol sy'n disgrifio ei berfformiad o ran y canlynol:

- cyflawni ei ddyletswydd i wneud trefniadau i sicrhau gwelliant parhaus wrth gyflawni ei swyddogaethau;
- cyflawni'r amcanion gwella y mae wedi'u pennu iddo'i hun;
- trwy gyfeirio at ddangosyddion perfformiad a nodwyd gan Weinidogion Cymru a dangosyddion perfformiad a bennwyd gan y Cyngor ei hun; a
- chyflawni unrhyw safonau perfformiad a nodwyd gan Weinidogion Cymru a safonau perfformiad a bennwyd gan y Cyngor ei hun.

Mae'r Mesur yn ei gwneud yn ofynnol i'r Cyngor gyhoeddi ei aseiad cyn 31 Hydref yn ystod y flwyddyn ariannol yn dilyn y flwyddyn ariannol y mae'r wybodaeth yn ymwneud â hi, neu erbyn unrhyw ddyddiad arall a allai gael ei bennu trwy orchymyn gan Weinidogion Cymru.

Mae'r Mesur yn ei gwneud yn ofynnol i'r Cyngor ystyried canllawiau a gyhoeddir gan Weinidogion Cymru, wrth gyhoeddi ei aseiad.

Fel archwilydd y Cyngor, mae'n ofynnol dan adrannau 17 ac 19 y Mesur i mi gynnal archwiliad er mwyn penderfynu a yw'r Cyngor wedi cyflawni ei ddyletswydd i gyhoeddi aseiad o berfformiad, ardystio fy mod i wedi gwneud hynny ac adrodd ynghylch a wyf o'r farn bod y Cyngor wedi cyflawni ei ddyletswyddau'n unol â'r gofynion statudol a eglurir yn adran 15 ac mewn canllawiau statudol.

Cwmpas yr archwiliad

At ddibenion fy ngwaith archwilio byddaf yn derbyn, os yw awdurdod yn bodloni ei ofynion statudol, y bydd hefyd wedi cydymffurfio â chanllawiau statudol Llywodraeth Cymru yn ddigonol i gyflawni ei ddyletswyddau.

Ar gyfer yr archwiliad hwn, nid yw'n ofynnol i mi ffurfio barn ynghylch pa mor gyflawn neu gywir yw'r wybodaeth. Mae'n bosibl y bydd gwaith asesu arall y byddaf yn ymgymryd ag ef dan adran 18 y Mesur yn ystyried y materion hynny. Felly, roedd fy archwiliad o asesiad o berfformiad y Cyngor yn cynnwys adolygu cyhoeddiad y Cyngor er mwyn gweld a oedd yn cynnwys yr elfennau a bennir mewn deddfwriaeth. Euthum ati hefyd i asesu a oedd y trefniadau ar gyfer cyhoeddi'r asesiad yn cydymffurfio â gofynion y ddeddfwriaeth, ac a oedd y Cyngor wedi ystyried canllawiau statudol wrth baratoi a chyhoeddi ei asesiad.

Nid yw'r gwaith yr wyf i wedi'i gyflawni er mwyn adrodd a gwneud argymhellion yn unol ag adrannau 17 ac 19 y Mesur yn waith y gellir dibynnu'n gyfan gwbl arno i nodi pob gwendid neu bob cyfle i wella.



Huw Vaughan Thomas

Archwilydd Cyffredinol Cymru

CC: Mark Drakeford, Ysgrifennydd y Cabinet dros Gyllid a Llywodraeth Leol
Non Jenkins, Rheolwr
Sara-Jane Byrne, Swyddog Arweiniol Archwilio Perfformiad