

# Pecyn Dogfennau



Mark James LLM, DPA, DCA  
Prif Weithredwr,  
*Chief Executive,*  
Neuadd y Sir, Caerfyrddin. SA31 1JP  
County Hall, Carmarthen. SA31 1JP

**DYDD LLUN, 15FED IONAWR 2018**

**AT: HOLL AELODAU'R Y BWRDD GWEITHREDOL**

**YR WYF DRWY HYN YN EICH GALW I FYNYCHU CYFARFOD O'R Y  
BWRDD GWEITHREDOL A GYNHELIR YN SIAMBR, NEUADD Y SIR AM  
10.00 AM, DYDD LLUN, 22AIN IONAWR, 2018 ER MWYN CYFLAWNII'R  
MATERION A AMLINELLIR AR YR AGENDA SYDD YNGHLWM**

*Mark James* DYB

**PRIF WEITHREDWR**



**AILGYLCHWCH OS GWELWCH YN DDA**

<b>Swyddog Democraidd:</b>	<b>Martin S. Davies</b>
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# Y BWRDD GWEITHREDOL AELODAETH - 10 AELOD

Cyngorydd	Portfolio
<b>Cyngorydd Emlyn Dole</b>	<b>Arweinydd</b> Arweinyddiaeth a Strategaeth Gorfforaethol; Cadeirydd y Bwrdd Gweithredol; Cynrychioli'r Cyngor ar CLIC; Datblygu Economaidd; Yn cynrychioli'r Cyngor ar Ranbarth Dinas Bae Abertawe; Cydweithio; Marchnata a'r Cyfryngau; Penodi Aelodau o'r Bwrdd Gweithredol; Penderfynu ar bortffolios ABG; Cyswllt â'r Prif Weithredwr; Bwrdd Gwasanaethau Cyhoeddus
<b>Cyngorydd Mair Stephens</b>	<b>Dirprwy Arweinydd</b> Rheolwr Busnes y Cyngor; Adnoddau Dynol; Rheoli Perfformiad; Archwilio Cymru; Hyfforddiant; T.G.Ch; T.I.C. Cynllunio strategol
<b>Cyngorydd Glynog Davies</b>	<b>Addysg a Phlant</b> Ysgolion; Gwasanaethau Plant; Anghenion Addysgol Arbennig; Diogelu; Cartrefi Seibiant; Gwasanaeth Gwella Ysgolion Integredig Rhanbarthol; Dysgu Oedolion yn y Gymuned; Gwasanaethau Ieuenctid; Gwasanaethau Arlwoyo Ysgolion, Aelod Arweiniol dros Blant a Phobl Ifanc; Llysgennad Ieuenctid
<b>Cyngorydd Cefin Campbell</b>	<b>Cymunedau a Materion Gwledig</b> Materion Gwledig ac Ymgysylltu â'r Gymuned; Diogelwch Cymunedol; Yr Heddlu; Deddf Gwrthderfysgaeth a Diogelwch 2015; Trechu Tlodi; Llesiant Cenedlaethau'r Dyfodol; Cyswllt y Trydydd Sector
<b>Cyngorydd Hazel Evans</b>	<b>Amgylchedd</b> Sbwriel; Clanhau Strydoedd; Gwasanaethau Priffydd a Thrafnidiaeth; Cynnal a Chadw Tiroedd; Gwasanaethau Adeiladu; Gofalu; Clanhau Adeiladau; Cynlluniau Argyfwng; Llifogydd
<b>Cyngorydd Linda Evans</b>	<b>Tai</b> Tai - Cyhoeddus; Tai - Preifat; Cydraddoldeb; Heneiddio'n dda
<b>Cyngorydd Peter Hughes Griffiths</b>	<b>Diwylliant, Chwaraeon a Thwristiaeth</b> Llysgennad Cyngorau Tref a Chymuned; Datblygu'r Iaith Gymraeg; Theatrau; Chwaraeon; Canolfannau Hamdden; Amgueddfeydd; Llyfrgelloedd; Parciau Gwledig; Twristiaeth.
<b>Cyngorydd Philip Hughes</b>	<b>Diogelu'r Cyhoedd</b> Safonau Masnach; Iechyd yr Amgylchedd. Gorfodaeth Amgylcheddol; Gorfodaeth Cynllunio; Gwastraff Didrwydded; Gwasanaethau Parcio; Bio amrywiaeth
<b>Cyngorydd David Jenkins</b>	<b>Adnoddau</b> Cyllid a'r Gyllideb; Effeithlonrwydd Corfforaethol; Rheoli Eiddo / Asedau; Caffael; Budd-daliadau Tai; Refeniw; Gwasanaethau Statudol (Crwneriaid, Cofrestryddion, Etholiadol, Arglwydd Rhaglaw); Hyrwyddwr y Lluoedd Arfog; Canolfannau Cyswllt a Chanolfannau Gwasanaethau Cwsmeriaid
<b>Cyngorydd Jane Tremlett</b>	<b>Gofal Cymdeithasol ac Iechyd</b> Gwasanaethau Cymdeithasol i Oedolion; Gofal Preswyl; Gofal Cartref; Anableddau Dysgu; Iechyd Meddwl; Cyswllt / Cydweithio / Integreiddio â'r GIG; Gwasanaethau Arlwoyo Cartefi Gofal, Pencampwr Gofalwyr; Llysgennad Anabledd; Pencampwr Gofal Dementia

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10. GORCHYMYN I'R CYHOEDD ADAEL Y CYFARFOD.

NI DDYLIID CYHOEDDI'R ADRODDIAD SY'N YMWNEUD Â'R MATER CANLYNOL GAN EI Fod YN CYNNWYS GWYBODAETH EITHRIEDIG FEL Y'I DIFFINIWYD YM MHARAGRAFF 14 O RAN 4 O ATODLEN 12A I DDEDDF LLYWODRAETH LEOL 1972 FEL Y'I DIWYGIWYD GAN ORCHYMYN LLYWODRAETH LEOL (MYNEDIAD AT WYBODAETH) (AMRYWIO) (CYMRU) 2007. OS BYDD Y BWRDD, AR ÔL CYNNAL PRAWF LLES Y CYHOEDD YN PENDERFYNU YN UNOL Â'R DDEDDF, I YSTYRIED Y MATER HYN YN BREIFAT, GORCHYNNIR I'R CYHOEDD ADAEL Y CYFARFOD YN YSTOD TRAFODAETH O'R FATH.
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## Y BWRDD GWEITHREDOL

Dydd Llun, 18 Rhagfyr 2017

**YN BRESENNOL:** Y Cyngorydd E. Dole (Cadeirydd)

**Y Cyngorwyr:**

H.A.L. Evans, L.D. Evans, D.M. Jenkins, L.M. Stephens, J. Tremlett, P. Hughes-Griffiths, G. Davies and C.A. Campbell

**Hefyd yn bresennol:**

Y Cyngorwyr: D.M. Cundy, J.G. Prosser, E.G. Thomas and S.L. Davies

**Yr oedd y swyddogion canlynol yn gwasanaethu yn y cyfarfod:**

M. James, Prif Weithredwr  
J. Morgan, Cyfarwyddwr y Gwasanaethau Cymunedau  
C. Moore, Cyfarwyddwr Gwasanaethau Corfforaethol  
G. Morgans, Cyfarwyddwr Addysg a Phlant  
R. Mullen, Cyfarwyddwr yr Amgylchedd  
P.R. Thomas, Prif Weithredwr Cynorthwyol (Rheoli Pobl a Pherfformiad)  
W. Walters, Cyarwyddwr Adfywio a Pholisi  
L.R. Jones, Pennaeth Gweinyddiaeth a'r Gyfraith  
G. Ayres, Rheolwr Polisi Corfforaethol a Phartneriaeth  
D. Hockenhull, Rheolwr y y Cyfryngau a Marchnata  
S. Davies, Rheolwr Gwasanaethau Moderneiddio  
I. Jones, Pennaeth Hamdden  
L. Quelch, Y Pennaeth Cynllunio  
J. Owen, Swyddog Gwasanaethau Democrataidd

**Siambr, Neuadd y Sir - 10:00am - 11:25am**

**1. YMDDIHEURIADAU AM ABSENOLDEB**

Cafwyd ymddiheuriad am absenoldeb gan y Cyngorydd P.M. Hughes.

**2. DATGAN BUDDIANNAU PERSONOL.**

Y Cyngorydd	Rhif y Cofnod	Y Math o Fuddiant
L.D. Evans	<ul style="list-style-type: none"><li>12 – Polisi Cyflogau Athrawon Enghreifftiol</li><li>13 – Polisi Cyflogau Athrawon Digyswilt Enghreifftiol 2017-18</li></ul>	Ei merch yn Athrawes.
P. Hughes Griffiths	<ul style="list-style-type: none"><li>12 – Polisi Cyflogau Athrawon Enghreifftiol</li><li>13 – Polisi Cyflogau Athrawon Digyswilt Enghreifftiol 2017-18</li></ul>	Ei ferch yn Athrawes.
C.A. Campbell	<ul style="list-style-type: none"><li>12 – Polisi Cyflogau Athrawon Enghreifftiol</li><li>13 – Polisi Cyflogau Athrawon Digyswilt Enghreifftiol 2017-18</li></ul>	Ei frawd yn Athro.

**3. LLOFNODI FEL COFNOD CYWIR COFNODION CYFARFOD Y BWRDD  
GWEITHREDOL A GYNHALWYD AR Y 27AIN TACHWEDD 2017**

**PENDERFYNWYD YN UNFRYDOL** Iofnodi cofnodion cyfarfod y Bwrdd Gweithredol a gynhaliwyd ar 27<sup>ain</sup> Tachwedd, 2017 yn gofnod cywir.

**4. CWESTIYNAU Â RHYBYDD GAN AELODAU**

**4.1. CWESTIWN GAN Y CYNGHORYDD EDWARD THOMAS I'R  
CYNGHORYDD EMLYN DOLE, ARWEINYDD Y CYNGOR**

Cafodd y Bwrdd Gweithredol y Cwestiwn â Rhybudd canlynol a gyflwynwyd gan y Cyngorydd E.G. Thomas i'r Cyngorydd E. Dole, Arweinydd y Cyngor:-

*"Mae cau Banciau, yn enwedig y cyhoeddiad diweddar y bydd canghennau'n cau yn Llandeilo a Rhydaman, yn cael effaith ar lesiant cymdeithasol y cymunedau hyn ac yn golygu bod y Menter Bach a Chanolig eu Maint sy'n gweithredu yn ein cymunedau gwledig o dan anfantais. Beth allwch chi ei awgrymu ein bod yn ei wneud i wyrdroi'r penderfyniad a hefyd i atal rhagor o fanciau rhag cau?"*

Ymateb gan y Cyngorydd E. Dole, Arweinydd y Cyngor:-

Y consensws rwy'n credu yw, hyd nes bod llywodraeth San Steffan yn cryfhau'r côd bancio, y bydd yn parhau ar yr un trywydd a bydd hyn wedyn yn golygu y bydd yn anwybyddu anghenion gwledig ein cymunedau. Mae cau'r banciau hyn yn beth da i'w wneud o'u rhan nhw.

Mae Jonathan Edwards AS ac Adam Price AC wedi gofyn ar sawl achlysur am gyfarfod ynglŷn â hyn ac maent wedi gofyn i Brif Weithredwr NatWest am gyfarfod i drafod y ffordd mae'r banciau'n anwybyddu anghenion y cymunedau gwledig hyn.

Mae Cymdeithas yr Iaith hefyd wedi galw ar Lywodraeth Cymru i sefydlu Banc i Gymru, fel bod modd, drwy'r Banc hwnnw, i gefnogi ein cymunedau gwledig yma. Deilliodd hynny wrth gwrs o ganlyniad i'r newyddion fod Barclays yn cau'r banc olaf yn Llandysul ar ddiwedd y flwyddyn hon, sy'n golygu na fydd gan Landysul yr un banc mwyach.

Dyweddodd Cadeirydd Cymdeithas yr Iaith, Bethan Williams, yng nghyd-destun cau'r banc hwn: "Yma mae gennym sefyllfa lle mae'r banc olaf yn Llandysul yn cyhoeddi y bydd yn cau ei ddrysau, a bydd y Swyddfa Bost yng nghanol y dref yn cau cyn hir ac yn symud i archfarchnad y tu allan i Landysul."

Mae Llywydd Undeb Amaethwyr Cymru, Glyn Roberts, hefyd wedi sôn am y banciau sydd wedi cau a'r effaith ar drefi ac ardaloedd gwledig cyfagos. Mae'n gwneud y pwyt fod y trethdalwyr yn dal i fod yn berchen ar nifer o'r banciau hyn ac mae'n gofyn, yn y cyd-destun hwnnw, am i amodau gael eu gosod i'w hachub a fydd yn sicrhau, drwy'r berchnogaeth honno, fod ffordd o sicrhau parhad y gwasanaeth i ardaloedd gwledig.

Elw yw diwedd y gân i'r banciau, ac o ystyried y math o elw maent yn ei gyhoeddi bob blwyddyn, mae'n gywilyddus eu bod mor barod i anwybyddu anghenion y bobl hynny sy'n dibynnu ar y gwasanaethau. Rwy'n siŵr y bydd y gwasanaeth hwn yn cael ei adolygu yng nghyd-destun y Fforwm Gwledig dan arweiniad Cefin, ac fel rhan o'u gwaith allweddol yn y maes hwnnw maent yn dweud wrth gwrs mai'r duedd yw bod pawb yn symud i fancio ar-lein, ond pan nad oes band eang digonol yng nghefn gwlad Cymru, nid yw'r ddadl honno'n dal dŵr. Felly rwy'n siŵr bod hynny'n rhywbeth fydd yn cael ei ystyried fel rhan o'r Fforwm Gwledig.

Yn bersonol, yn fy ward i, rwyf wedi gweld HSBC yn cau yn y Tymbl, ac mae gennym ni'r holl Aelodau yma yn y Siambwr yr hawl i ymateb i hynny fel rhan o'r ymgynghoriad. Cefais i ddim ymateb hyd yn oed wedi imi anfon llythyr atynt yn tynnu sylw at y ffaith, yn achos HSBC, nad oeddwn erioed wedi bod yn y banc hwnnw ar unrhyw adeg o'r dydd heb fod rhywun arall yno. Roedd y banc hwnnw yn brysur iawn bob amser. Ond eto fe'i caewyd er fy mod i wedi ymateb, bod Cyngorwyr eraill wedi ymateb, a hefyd ein bod ni fel Cyngor yn gallu ymateb i'r ymgynghoriad hwnnw. Dyna'r unig beth y gallwn ni ei wneud, ar wahân wrth gwrs i geisio edrych o ddifrif ar yr angen yng nghyd-destun y Fforwm a dod ag argymhelliad cadarn ger ein bron ni yma.

Ymddiheuriadau Edward, ond dyna'r unig ymateb y gallaf ei roi i chi heddiw, heblaw am gadw ati i annog Adam a Jonathan i roi pwysau ar y banciau, ac, o bosibl, edrych yn fanylach ar y côd bancio ac anghenion pobl ar draws Cymru, ble bynnag y maent yn cael eu gwasanaethau bancio.

## 5. CWESTIYNAU A RHYBYDD GAN Y CYHOEDD

Dyweddodd y Cadeirydd nad oedd dim cwestiynau â rhybudd wedi dod i law gan y cyhoedd.

## 6. ADRODDIAD BLYNYDDOL CYNLLUN CYDRADDOLDEB STRATEGOL 2016-17

Ystyriodd y Bwrdd Gweithredol adroddiad am Adroddiad Blynnyddol Cynllun Cydraddoldeb Strategol 2016/17, a roddai drosolwg cynhwysfawr i'r Aelodau o'r cynnydd, yr hyn a gyflawnwyd, a chynlluniau'r dyfodol. Rhoddyd diweddarriadau manwl ar bob amcan cydraddoldeb yn Atodiad 1 oedd ynghlwm wrth yr adroddiad.

Nododd y Bwrdd fod Cynlluniau Cydraddoldeb Strategol yn ddogfennau pwysig sy'n pennu sut y bydd cyrff cyhoeddus yn ystyried anghenion grwpiau â 'nodweddion gwarchodedig', fel yr amlinellir yn Neddf Cydraddoldeb 2010. Bwriad hyn oedd sicrhau bod yr holl unigolion yn cael eu trin yn gyfiawn ac yn deg mewn perthynas â darparu gwasanaethau a llunio strategaeth/polisi. At hynny, roedd Deddf Cydraddoldeb 2010 bellach yn cynnwys dyletswydd cydraddoldeb sector cyhoeddus newydd a gwmpasai'r holl nodweddion gwarchodedig. Yn unol â'r ddyletswydd gyffredinol, roedd yn ofynnol i gyrrff cyhoeddus roi sylw dyledus i'r tri nod canlynol:-

- Dileu camwahaniaethu, aflonyddu ac erledigaeth anghyfreithlon ac unrhyw ymddygiad arall a waherdir gan y Ddeddf;
- Hybu cyfle cyfartal rhwng pobl sy'n rhannu nodwedd warchodedig berthnasol a phobl nad ydynt yn ei rhannu;
- Meithrin cysylltiadau da rhwng pobl sy'n rhannu nodwedd warchodedig a phobl nad ydynt yn ei rhannu.

Nod y ddyletswydd gyffredinol oedd sicrhau bod awdurdodau cyhoeddus a'r rhai oedd yn cyflawni swyddogaeth gyhoeddus yn ystyried sut y gallent gyfrannu'n gadarnhaol at gymdeithas decach drwy hyrwyddo cydraddoldeb a pherthynas dda yn eu gweithgareddau pob dydd.

Rhoddodd y Bwrdd gydnabyddiaeth i'r cyflawniadau niferus a wnaed dros y flwyddyn ddiwethaf ac estynnwyd gwerthfawrogiad i swyddogion ac aelodau'r staff.

### **PENDERFYNWYD YN UNFRYDOL dderbyn a chymeradwyo Adroddiad Blynnyddol Cynllun Cydraddoldeb Strategol 2016/17.**

#### **7. ADRODDIAD BLYNYDDOL 2016/17 – GWEITHREDU O RAN Y GYMRAEG**

Bu'r Bwrdd Gweithredol yn ystyried Adroddiad Blynnyddol 2016/17 ar yr iaith Gymraeg sy'n angenrheidiol er mwyn cydymffurfio â threfniadau monitro Comisiynydd y Gymraeg. Roedd yr adroddiad yn cynnwys y dangosyddion statudol a lleol sy'n mesur cydymffurfiaeth â'r Cynllun. Roedd Comisiynydd y Gymraeg wedi rhoi hysbysiad cydymffurfio i Gyngor Sir Caerfyrddin ynghylch Rheoliadau Safonau'r Gymraeg ar 30 Medi, 2015, a oedd yn mynnu bod y Cyngor yn cydymffurfio â'r rhan fwyaf o'r safonau erbyn 31 Mawrth, 2016.

Nodwyd gan y Bwrdd fod y Safonau yn golygu na ddylai'r Gymraeg gael ei thrin yn llai ffafriol na'r Saesneg, a rhaid hefyd hybu neu hwyluso'r defnydd o'r Gymraeg. Roedd hyn yn unol â'r ddwy egwyddor sy'n ffurfio'r sail ar gyfer gwaith Comisiynydd y Gymraeg:

- yng Nghymru, ni ddylai'r Gymraeg gael ei thrin yn llai ffafriol na'r Saesneg
- dylai pobl yng Nghymru fod yn gallu byw eu bywydau drwy gyfrwng y Gymraeg os ydynt yn dewis gwneud hynny.

At hynny, dywedodd yr Aelod o'r Bwrdd Gweithredol dros Ddiwylliant, Twristiaeth a Chwaraeon wrth yr Aelodau, er bod yr adroddiad hwn yn rhoi manylion ynghylch y Safonau unigol, cynigiwyd symleiddio'r adroddiad ar gyfer 2017-18 er mwyn adrodd ar y grŵp o Safonau yn hytrach na meysydd unigol.

Cafodd yr adroddiad cynhwysfawr ei ganmol a diolchwyd i'r swyddogion a'r staff oedd wedi bod wrthi'n ei lunio.

### **PENDERFYNWYD YN UNFRYDOL dderbyn a chymeradwyo Adroddiad Blynnyddol 2016-17 ar yr iaith Gymraeg.**

#### **8. CYNLLUN DATBLYGU LLEOL SIR GAERFYRDDIN 2006–2021 - ADRODDIAD ADOLYGU**

Cyflwynwyd i'r Bwrdd Gweithredol Gynllun Datblygu Lleol Sir Gaerfyrddin 2006-2021 a oedd wedi'i lunio yn dilyn penderfyniad y Cyngor Sir ar 20 Medi 2017, lle rhoddwyd ystyriaeth i'r ail adroddiad Monitro Blynnyddol ar y Cynllun Datblygu Lleol a'i argymhellion.

Eglurodd y Dirprwy Arweinydd, yn unol â gofynion statudol, fod y Cyngor eisoes wedi paratoi a chyhoeddi dau Adroddiad Monitro Blynnyddol hyd yn hyn, ac mai diben pob Adroddiad Monitro Blynnyddol oedd asesu i ba raddau roedd strategaeth, polisiau a safleoedd datblygu'r Cynllun Datblygu Lleol yn cael eu cyflawni. Er mwyn sicrhau bod asesiadau cynhwysfawr a rheolaidd yn cael eu cynnal i sicrhau bod CDLI yn dal i fod yn gyfredol, roedd yn ofynnol i Gynghorau gynnal adolygiad llawn o'u CDLI mabwysiedig.

Dywedwyd wrth y Bwrdd fod yr Awdurdod wedi derbyn llythyr oddi wrth Lesley Griffiths AC a awgrymai fod y Cyngor yn ystyried paratoi CDLI ar sail ranbarthol yn y dyfodol. Hysbyswyd yr Aelodau fod dadleuon dros beidio â pharatoi CDLI rhanbarthol wedi'u cynnwys ar dudalen 12 o'r adroddiad.

Dywedwyd yn ddi-flewyn ar dafod mai Cynllun Datblygu '**Lleol**' oedd hwn ac y dylai aros yn lleol felly. Fodd bynnag, cydnabuwyd y byddai ystyriaeth yn cael ei rhoi wrth gwrs i'r siroedd a ffiniai â Sir Gaerfyrddin.

Cyfeiriwyd at sylw gan Lesley Griffiths AC yn ei llythyr ynghylch yr amser roedd y Cyngor wedi ei gymryd i lunio'r CDLI. Gwnaed sylw ei fod wedi cymryd cryn amser i Arolygwyr yn Llywodraeth Cymru gadarnhau'r cynllun, a oedd wedi ychwanegu at yr amser.

Dywedodd yr Arweinydd y byddai'r pwyntiau ychwanegol a godwyd yn cael eu cynnwys mewn ymateb i'r llythyr gan Lesley Griffiths AC.

Yn unol â Rheol 11.1 o Weithdrefn y Cyngor, dywedodd y Cyngorydd D.M. Cundy mai'r CDLI oedd un o'r setiau pwysicaf o ddogfennau y mae'r Cyngor yn eu cynhyrchu, a hynny'n strategol, yn dactegol ac yn weithredol. Hon yw'r brif ddogfen sy'n ategu'r berthynas rhwng Llywodraeth Cymru, y Cyngor, a Chynghorau Cymuned ledled Sir Gaerfyrddin, yn ogystal â'r rhngweithio a'r cydweithio gyda siroedd eraill ledled Cymru. Mae'r cynllun yn dylanwadu ar ofynion amrywiaeth eang o wasanaethau a'r holl randdeiliaid. O achos natur dechnegol y CDLI, y farn oedd mai bach iawn oedd dealltwriaeth Aelodau'r Cyngor, yn enwedig Aelodau newydd, o'r CDLI a'r dogfennau eraill oedd yn gysylltiedig â'r CDLI.

Gan ystyried argymhellion y cyfarfod o'r Pwyllgor Craffu ar 14 Rhagfyr 2017, gofynnodd y Cyngorydd Cundy a oedd y Bwrdd Gweithredol yn credu y byddai'n fuddiol rhoi cyflwyniad llawn ynghylch adroddiad adolygu y CDLI a'r fethodoleg ar ffurf seminar i'r Cyngor llawn? Roedd y Dirprwy Arweinydd yn cytuno â'r sylwadau, ac atgoffodd yr Aelodau fod pob plaid wleidyddol, ym mis Hydref 2017, wedi cael cyfreith i drafod y cynllun, ond, yn anffodus, nid oedd neb wedi achub ar y cyfreith hwnnw. At hynny, mynegwyd y gallai gweithdy anffurfiol fod yn ddull mwy addas ar gyfer trafodaeth o'r fath a chynyddu rhngweithio. Fel ffordd ymlaen, er mwyn i'r holl Aelodau gael gwell dealltwriaeth o ddogfennau'r CDLI, cytunodd yr Aelodau o'r Bwrdd Gweithredol y byddai'n fuddiol cynnal gweithdai anffurfiol ar gyfer pob un o'r grwpiau gwleidyddol.

Ychwanegodd yr Aelod o'r Bwrdd Gweithredol dros Ddiwylliant, Chwaraeon a Thwristiaeth mai'r bwriad oedd trefnu i'r CDLI gael ei gyflwyno i'r Cyngorwyr Tref a Chymuned ar y cyd ag Un Llais Cymru.

## PENDERFYNWYD YN UNFRYDOL ARGYMELL I'R CYNGOR:

- 8.1 awdurdodi cychwyn gwaith ar baratoi adolygiad llawn o Gynllun Datblygu Lleol Sir Gaerfyrddin;
  - 8.3 cyhoeddi Adroddiad Adolygu Cynllun Datblygu Lleol Sir Gaerfyrddin;
  - 8.4 rhoi awdurdod dirprwyedig i swyddogion wneud addasiadau teipograffyddol neu ffeithiol yn ôl yr angen, i wella eglurder a chywirdeb yr Adroddiad Adolygu.
9. **CYNLLUN DATBLYGU LLEOL SIR GAERFYRDDIN DIWYGIEDIG 2018 - 2033**  
**CYTUNDEB CYFLENWI DRAFFT YNGHYD Â'R FETHODOLEG ASESU**  
**SAFLEOEDD DRAFFT**

Ystyriodd y Bwrdd Gweithredol Gynllun Datblygu Lleol Diwygiedig Sir Gaerfyrddin 2018-2033, Cytundeb Cyflawni Drafft a'r adroddiad Methodoleg Asesu Safleoedd drafft a oedd yn cynnwys Cytundeb Cyflawni a gynhwysai amserlen o'r cyfnodau allweddol ar gyfer paratoi'r CDL1 diwygiedig a chynllun cynnwys cymunedau. Roedd yr amserlen yn cynnwys gwybodaeth am sut a phryd y mae rhanddeiliaid a'r gymuned yn gallu ymgysylltu a chyfrannu yn ystod y broses o baratoi'r Cynllun.

Anogodd y Dirprwy Arweinydd yr holl randdeiliaid, partïon â buddiant, a chymunedau i ystyried a chyfrannu at baratoi'r CDL1 diwygiedig yn ystod y cyfnod ymgynghori ffurfiol.

## PENDERFYNWYD YN UNFRYDOL ARGYMELL I'R CYNGOR:

- 9.1 cymeradwyo Cytundeb Cyflawni Drafft Cynllun Datblygu Lleol Diwygiedig Sir Caerfyrddin ar gyfer ymgynghoriad ffurfiol o 6 wythnos;
- 9.2 cymeradwyo'r gwaith o ddechrau camau cychwynnol proses baratoi'r Cynllun Datblygu Lleol cyn cytuno ar y Cytundeb Cyflawni terfynol;
- 9.3 cymeradwyo cynnwys y Fethodoleg Asesu Safleoedd Ddrafft;
- 9.4 rhoi awdurdod dirprwyedig i swyddogion barhau â thrafodaethau paratoi a gwneud addasiadau teipograffyddol neu ffeithiol yn ôl yr angen i wella eglurder a chywirdeb y Cytundeb Cyflawni Drafft a mireinio defnyddioldeb y Fethodoleg Asesu Safleoedd Ddrafft.

## **10. SYLFAEN TRETH Y CYNGOR - 2018-19**

Bu'r Bwrdd Gweithredol yn ystyried yr adroddiad yngylch Sylfaen y Dreth Gyngor 2018-19. Atgoffwyd y Bwrdd ei bod yn ofynnol i'r Cyngor benderfynu, yn flynyddol, ar Sylfaen y Dreth Gyngor a Sylfaen y Dreth Gyngor ar gyfer pob cymuned yn ei ardal, at ddibenion cyfrifo lefel y Dreth Gyngor am y flwyddyn ariannol oedd i ddod a bod y gwaith cyfrifo blynyddol wedi cael ei ddirprwyo i'r Bwrdd Gweithredol, o dan ddarpariaethau Adran 84 o Ddeddf Llywodraeth Leol 2003 a Rheoliadau Trefniadau Gweithrediaeth Awdurdodau Lleol (Swyddogaethau a Chyfrifoldebau) (Diwygio) (Cymru) 2004.

Roedd cyfrifiad Sylfaen y Dreth Gyngor ar gyfer y Cyngor Sir am 2018-19 wedi'i nodi yn Nhabl 1a ac wedi'i grynhoi yn Nhabl 1b, a oedd wedi'u hatodi i'r adroddiad. Roedd y cyfrifiad yng nghyswllt Cyngorau Tref a Chymuned unigol ar gyfer 2018-19 wedi'i grynhoi yn Nhabl 2 a'r manylion yn Atodiad A, a oedd hefyd wedi'u hatodi i'r adroddiad.

Nododd y Bwrdd fod adroddiad y Sylfaen Dreth yn darparu cyfrifiadau ar gyfer yr Awdurdod cyfan, yn ogystal â manylion ar gyfer pob ardal cyngor tref a chyngor cymuned at ddibenion eu praecept, ac mai Sylfaen y Dreth Gyngor ar gyfer blwyddyn ariannol 2018-19 oedd £72,153.24.

### **PENDERFYNWYD YN UNFRYDOL:**

- 10.1. bod y cyfrifiadau o ran pennu Sylfaen y Dreth Gyngor ar gyfer blwyddyn ariannol 2018-19, fel y manylwyd arnynt yn Atodiad A o'r adroddiad, yn cael eu cymeradwyo;**
- 10.2. bod Sylfaen y Dreth Gyngor o £72,153.24, fel y manylwyd arni yn Nhablau 1a ac 1b o'r adroddiad, yn cael ei chymeradwyo yng nghyswllt ardal y Cyngor Sir;**
- 10.3. bod y sylfeini treth perthnasol yng nghyswllt y Cyngorau Cymuned a Thref unigol, fel y manylwyd arnynt yn nhabl 2 o'r adroddiad, yn cael eu cadarnhau.**

## **11. Y RHAGLEN MODERNEIDDIO ADDYSG - RHAGLEN AMLINELLOL STRATEGOL (RHAS) – DIWEDDARIAD BAND B**

Ystyriodd y Bwrdd Gweithredol adroddiad am y Diweddarriad yngylch y Rhaglen Moderneiddio Addysg – Rhaglen Amlinellol Strategol – Band B, a oedd yn cynnwys y Rhaglen o Brosiectau, Cynnydd Band A hyd yn hyn, cyflwyno Rhaglen o Brosiectau ar gyfer Band B, gwybodaeth am gyllid a Model Buddsoddi Cydfuddiannol.

Cadarnhaodd yr Aelod o'r Bwrdd Gweithredol dros Addysg a Phlant fod yr awdurdod yn cael yr holl gyllid Band B a oedd yn cyfateb i £129.5m er mwyn gwella ysgolion ar draws y sir.

Egluroodd yr Aelod o'r Bwrdd Gweithredol dros Addysg a Phlant fod y paratoadau ar gyfer rhaglen genedlaethol Ysgolion yr 21ain Ganrif wedi cychwyn yn 2010 drwy wahoddiad gan Lywodraeth Cymru i awdurdodau lleol gyflwyno Rhaglen Amlinellol Strategol.

Ers 2010 roedd y Bwrdd Gweithredol wedi cymeradwyo CDLI a ddiweddarwyd deirgwaith yn 2011, 2013 a 2015, a byddid yn parhau i fonitro'r cynllun bob dwy flynedd. Yn dilyn y broses gyflwyno gychwynnol, roedd 50% o Raglen Band A Sir Gaerfyrddin yn cael ei chyllido drwy grant gan Lywodraeth Cymru a 50% o adnoddau'r Cyngor ei hun. Roedd y gwaith ar gyfer Band A i'w gwblhau erbyn 2019.

Dywedodd yr Aelod o'r Bwrdd Gweithredol dros Addysg a Phlant fod rhai newidiadau wedi bod i'r ddogfen ers llunio'r adroddiad a chyfeiriodd at Adran 8, Cais am gyllid Model Buddsoddi Cydfuddiannol. Bellach mae Cynlluniau Ardal Llandeilo a Rhydaman wedi'u disodli gan brosiectau Ysgol Gwenllian, Ysgol yr Hendy ac Ysgol Gymraeg Rhydaman. Esboniodd y Cyfarwyddwr Addysg a Phlant ymhellach fod yr adroddiad hwn wedi'i gyflwyno i Lywodraeth Cymru ym mis Gorffennaf 2017 a chadarnhaodd fod newidiadau wedi bod ers hynny o ran y cynnig i Ysgolion Cynradd Llandeilo a Rhydaman. Cadarnhawyd y byddai'r ddau gynllun yn cyflwyno cyfnod sylfaen cyfrwng Cymraeg gydag opsiwn ym mlwyddyn 3 i ddewis ffrwd Gymraeg neu Saesneg, yn amodol ar ymgynghori.

Gwnaed cyfeiriad at Adran 9 yr adroddiad, a nodai brosiectau blaenoriaeth Band B. Mewn ymateb i ymholiad yngylch y cynlluniau i ymgynghori â staff a llywodraethwyr ysgol, dywedodd Rheolwr y Gwasanaethau Moderneiddio y byddai ymgynghoriad anffurfiol gyda staff a llywodraethwyr ysgol (tebyg i'r un ar gyfer Band A) yn cychwyn ar ddechrau'r raglen, ac y byddai ymgynghoriad ffurfiol, ehangach yn cael ei gynnal fel rhan o'r broses trefnu ysgolion.

Dywedodd y Prif Weithredwr y byddai'r raglen yn cael ei chynnal dros y 7 mlynedd nesaf ac wrth i amserlenni dynhau, byddai ymgynghori'n digwydd ag aelodau lleol a'r gymuned ar gyfnodau penodol yn ystod y raglen.

Cynigiodd y Cyfarwyddwr Addysg a Phlant drefnu gweithdy ar gyfer y Cynghorwyr i gyd er mwyn cynyddu ymwybyddiaeth o'r cynlluniau a darparu cyfle i drafod. Cytunodd yr Aelodau o'r Bwrdd y byddai gweithdy'n fuddiol.

#### **PENDERFYNWYD:**

- 11.1 bod yr adroddiad ar Ddiweddarriad y Rhaglen Moderneiddio Addysg – Rhaglen Amlinellol Strategol – Band B yn cael ei dderbyn;**
- 11.2 bod yr argymhellion a wnaed yng nghyfarfod y Pwyllgor Craffu - Addysg a Phlant ar 27 Tachwedd yn cael eu nodi;**
- 11.3 yn amodol ar gynnwys y newidiadau, bod Rhaglen Amlinellol Strategol ddiweddaraf y Rhaglen Moderneiddio Addysg, gan gynnwys rhaglen fuddsoddi wedi'i blaenoriaethu a'i diweddar fel rhan o Fand B rhaglen Ysgolion yr 21ain Ganrif yn cael ei chymeradwyo;**
- 11.4 bod dewis prosiectau Band B i ymchwilio ymhellach iddynt o dan y Model Buddsoddi Cydfuddiannol yn cael ei gymeradwyo;**
- 11.5 cymeradwyo trefniadau ariannu ar gyfer cyflwyniad Band B.**

## **12. MODEL POLISI CYFLOGAU ATHRAWON 2017/18**

[Sylwer: Roedd y Cyngorwyr C. Campbell, L.D. Evans, a P. Hughes Griffiths wedi datgan buddiant yn yr eitem hon yn gynharach a gadawsant y Siambr.]

Cafodd y Bwrdd Gweithredol Bolisi Cyflogau Athrawon Enghreifftiol 2017/18, a oedd wedi ei ddiwygio i adleisio'r newidiadau deddfwriaethol oedd wedi cael eu cyflwyno gan Ddogfen Cyflog ac Amodau Athrawon Ysgol 2017.

Rhoddwyd gwybod i'r Aelodau gan y Dirprwy Arweinydd fod Grŵp Adnoddau Dynol Consortiw Ein Rhanbarth ar Waith (ERW), yn dilyn ymgynghoriad, wedi diweddar u'r Polisi Cyflogau cyfredol fyddai'n cael ei gynnig i'r holl ysgolion ar draws y rhanbarth. Yn ogystal, roedd cymdeithasau athrawon wedi cytuno ar y Polisi Cyflogau Athrawon Enghreifftiol ar gyfer 2017/18, yn rhanbarthol ac yn lleol.

**PENDERFYNWYD YN UNFRYDOL dderbyn a chymeradwyo Polisi Cyflogau Athrawon Enghreifftiol 2017/18.**

## **13. MODEL POLISI CYFLOGAU ATHRAWON DIGYSWLLT 2017/18**

[Sylwer: Roedd y Cyngorwyr C. Campbell, L.D. Evans a P. Hughes Griffiths wedi datgan buddiant yn yr eitem hon ac nid oeddent yn bresennol tra oedd ystyriaeth yn cael ei rhoi i'r eitem hon.]

Cafodd y Bwrdd Gweithredol Bolisi Cyflogau Athrawon Digyswllt Enghreifftiol 2017/18, a oedd wedi cael ei ddiweddar i adleisio newidiadau deddfwriaethol a oedd wedi cael eu cyflwyno gan Ddogfen Cyflog ac Amodau Athrawon Ysgol 2017.

Nododd yr Aelodau fod Grŵp Adnoddau Dynol Consortiw ERW, yn dilyn ymgynghoriad, wedi diweddar u'r Polisi Cyflogau cyfredol fyddai'n cael ei gynnig i'r holl ysgolion ar draws y rhanbarth. Yn ogystal, roedd cymdeithasau athrawon wedi cytuno ar y Polisi Cyflogau Athrawon Enghreifftiol ar gyfer 2017/18, yn rhanbarthol ac yn lleol.

**PENDERFYNWYD YN UNFRYDOL dderbyn a chymeradwyo Polisi Cyflogau Athrawon Digyswllt Enghreifftiol 2017/18.**

## **14. RHAGLEN GYFALAF PUM MLYNEDD 2018/19-2022/23**

Bu'r Bwrdd Gweithredol yn ystyried adroddiad oedd yn bwrw golwg gychwynnol ar y rhaglen gyfalaf 5 mlynedd o 2018/19 i 2022/23, a fyddai'n sail i'r broses ymgynghori yngylch y gyllideb gyda'r aelodau a phartïon perthnasol eraill. Nodwyd y byddai'r adborth o'r broses ymgynghori hon, ynghyd â chanlyniad y setliad terfynol, yn cyfrannu at yr adroddiad terfynol yngylch y gyllideb a fyddai'n cael ei gyflwyno i'r aelodau i'w ystyried ym mis Chwefror, 2018.

Dyweddodd yr Aelod o'r Bwrdd Gweithredol dros Adnoddau fod yr adroddiad hwn yn dilyn cymeradwyo'r rhaglen gyfalaf ym mis Chwefror 2017 a bod y cynigion yn yr adroddiad hwn wedi datblygu'r rhaglen am flwyddyn ychwanegol a bod addasiadau'n ofynnol yn sgil newidiadau o ran cyllid a gofynion gwasanaethau.

Roedd y prif feysydd newid wedi'u hamlinellu yn Adran 4 Cyllid o'r adroddiad, a oedd yn cynnwys buddsoddiad ychwanegol ym Mharc Gwledig Pen-bre ac mewn Cynnal a Chadw Priffyrrd a Phontydd.

Yn ogystal, roedd y Rhaglen Moderneiddio Addysg hefyd wedi newid ar gyfer blynnyddoedd 2018/19 i 2022/23, ac roedd cyllidebau wedi cael eu hail-broffilio a rhai cynlluniau newydd wedi cael eu cyflwyno yn cynnwys Ysgolion Cydweli, Pen-bre, Pump-hewl a Heol Goffa. Roedd Llywodraeth Cymru wedi cyhoeddi'n ddiweddar ei bod yn cymeradwyo rhaglen Band B a fyddai'n para tan 2024, yr oedd gwerth y cynllun i Sir Gaerfyrddin yn £129.5m. Rhagwelwyd y byddai'r cynlluniau hyn yn cael eu cylido drwy Grant Cyfalaf Llywodraeth Cymru a'r Model Buddsoddi Cydfuddiannol.

Nododd yr Aelodau fod y rhaglen gyfredol yn cynnig gwariant cyfalaf o ryw £199m dros y 5 mlynedd nesaf ac roedd y cynigion cyllido cyfredol yn cynnwys cyllid allanol o £56m. At hynny, ar hyn o bryd roedd gan y rhaglen ddiffyg cyllid o £1.6m ym mlwyddyn 4.

Dyweddodd y Cyfarwyddwr Adnoddau Corfforaethol y dylai adran Goblygiadau Ariannol yr adroddiad ddarllen fel a ganlyn 'Rhagwelir bod gan y rhaglen gyfalaf ddiffyg cyllid o £1.6m'.

### **PENDERFYNWYD YN UNFRYDOL gymeradwyo, at ddibenion ymgynghori, y rhaglen gyfalaf arfaethedig.**

#### **16. GORCHYMYN I'R CYHOEDD ADAEL Y CYFARFOD**

**PENDERFYNWYD YN UNFRYDOL**, yn unol â Deddf Llywodraeth Leol 1972, fel y'i newidiwyd gan Orchymyn Llywodraeth Leol (Mynediad at Wybodaeth) (Amrywio) (Cymru) 2007, orchymyn i'r cyhoedd adael y cyfarfod tra oedd yr eitemau canlynol yn cael eu hystyried, gan fod yr adroddiadau'n cynnwys gwybodaeth eithriedig fel y'i diffiniwyd ym mharagraff 14 o Ran 4 o Atodlen 12A i'r Ddeddf.

#### **17. HARBWR PORTH TYWYN**

Yn sgil gweithredu'r prawf budd y cyhoedd **PENDERFYNWYD YN UNFRYDOL**, yn unol â'r Ddeddf y cyfeiriwyd ati yng Nghofnod 16 uchod, ystyried y mater hwn yn breifat gan orchymyn i'r cyhoedd adael y cyfarfod, gan y byddai'r drafodaeth yn datgelu gwybodaeth eithriedig yngylch materion ariannol neu faterion busnes unrhyw unigolyn penodol (gan gynnwys yr Awdurdod oedd yn meddu ar y wybodaeth honno).

Ystyriodd y Bwrdd Gweithredol adroddiad ar y cynnig partneriaeth prydles tymor hir ar gyfer Harbwr Porth Tywyn.

Nododd yr Aelodau fod cyfle ar gael am bartneriaeth bosibl, a ddylai roi sylw i'r heriau parhaus o ran cynaliadwyedd rheoli a chynnal a chadw sy'n gysylltiedig â'r Harbwr.

Hefyd byddai'r cynnig hwn yn datblygu'r Harbwr ymhellach fel rhan o'r prif gynllun adfywio ar gyfer yr ardal. Roedd y darparwr yn ceisio prydles tymor hir â budd ariannol i'r Awdurdod, yn ogystal â chreu swyddi ychwanegol a denu buddsoddiad gwerth bron i hanner miliwn o bunnoedd i'r cyfleuster.

Cynigiwyd argymhelliaid ychwanegol, a chytunwyd arno, sef bod awdurdod dirprwyedig yn cael ei roi i'r Prif Weithredwr, Cyfarwyddwr y Gwasanaethau Corfforaethol, a'r Cyfarwyddwr Cymunedau i negodi telerau'r brydles derfynol gyda'r darparwr, gan ymgynghori â'r Aelod o'r Bwrdd Gweithredol dros Adnoddau a'r Aelod o'r Bwrdd Gweithredol dros Ddiwylliant, Chwaraeon a Thwristiaeth.

## PENDERFYNWYD YN UNFRYDOL:

**17.1 cefnogi a chymeradwyo'r cynnig ar gyfer partneriaeth prydles tymor hir  
Harbwr Porth Tywyn;**

**17.2 dirprwyd awdurdod i'r Prif Weithredwr, Cyfarwyddwr y Gwasanaethau Corfforaethol, a'r Cyfarwyddwr Cymunedau, i negodi telerau'r brydles derfynol gyda'r darparwr gan ymgynghori â'r Aelod o'r Bwrdd Gweithredol dros Adnoddau a'r Aelod o'r Bwrdd Gweithredol dros Ddiwylliant, Chwaraeon a Thwristiaeth.**

## 18. Y NEUADD SIROL, CAERFYRDDIN

**Yn sgil gweithredu'r prawf budd y cyhoedd PENDERFYNWYD YN UNFRYDOL, yn unol â'r Ddeddf y cyfeiriwyd ati yng Nghofnod 16 uchod, ystyried y mater hwn yn breifat gan orchymyn i'r cyhoedd adael y cyfarfod, gan y byddai'r drafodaeth yn datgelu gwybodaeth eithriedig yngylch materion ariannol neu faterion busnes unrhyw unigolyn penodol (gan gynnwys yr Awdurdod oedd yn meddu ar y wybodaeth honno).**

Bu'r Bwrdd Gweithredol yn ystyried adroddiad a oedd yn rhoi gwybodaeth am drefniadau prydles arfaethedig y Neuadd Sirol, Caerfyrddin.

Nododd y Bwrdd Gweithredol y byddai'r cynnig o ran y sector preifat yn arwain at fuddion sylweddol i'r dref o safbwyt adfywio ac yn sicrhau hyfywedd economaidd a chynaliadwyedd y Neuadd Sirol yn y tymor hir.

Roedd yr Aelodau'n sylweddoli bod costau sylweddol ynghlwm wrth redeg a chynnal a chadw'r Adeilad Rhestredig Gradd II ac y byddai cael sefydliadau sector preifat fel deiliaid y prif adeilad yn rhyddhau'r Cyngor o'r holl atebolwydd ariannol, ac, ar yr un pryd, yn creu incwm ac yn ychwanegu at fywiogrwydd y Clos Mawr a nifer yr ymwelwyr.

Hefyd byddai'r buddsoddiad yn yr eiddo oedd yn cael ei gynnig gan y sawl o'r sector preifat oedd â diddordeb yn sicrhau dyfodol hirdymor cynaliadwy ar gyfer y Neuadd Sirol ac yn cynnig darpariaeth genedlaethol o ansawdd a fydd yn bywiogi'r Clos, yn ogystal â chaniatáu i bobl y sir barhau i allu mwynhau'r adeilad a'i dreftadaeth.

**PENDERFYNWYD YN UNFRYDOL gymeradwyo telerau'r brydles gyda'r sawl o'r sector preifat oedd â diddordeb ar hyn o bryd a rhoi awdurdod i'r swyddogion fwrw ymlaen â'r trefniadau mewn perthynas â hynny.**

## 19. PRYNU TIR YN NANTGLAS, CROSSHANDS

**Yn sgil gweithredu'r prawf budd y cyhoedd PENDERFYNWYD YN UNFRYDOL, yn unol â'r Ddeddf y cyfeiriwyd ati yng Nghofnod 16 uchod, ystyried y mater hwn yn breifat gan orchymyn i'r cyhoedd adael y cyfarfod, gan y byddai'r drafodaeth yn datgelu gwybodaeth eithriedig ynghylch materion ariannol neu faterion busnes unrhyw unigolyn penodol (gan gynnwys yr Awdurdod oedd yn meddu ar y wybodaeth honno).**

Bu'r Bwrdd Gweithredol yn ystyried adroddiad ynghylch prynu tir yn Nantglas, Cross Hands.

Nododd yr Aelodau y byddai prynu'r tir yn cefnogi nodau datblygu strategol y Cyngor yn ardal Cross Hands ac yn hwyluso datblygu ac ehangu yn y dyfodol naill ai yn Nantglas neu mewn safleoedd strategol eraill.

**PENDERFYNWYD YN UNFRYDOL gymeradwyo prynu'r tir yn Nantglas, Cross Hands fel yr argymhellwyd yn yr adroddiad.**

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**CADEIRYDD**

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**DYDDIAD**

## Bwrdd Gweithredol 22AIN IONAWR 2018

### Adroddiad Monitro Cyllideb Refeniw y Cyngor

#### **Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:**

Sicrhau bod y bwrdd yn derbyn yr adroddiad Monitro Cyllideb ac yn ystyried y sefyllfa cyllidebol.

Bod y Prif Swyddogion a'r Penaethiaid Gwasanaeth yn adolygu eu sefyllfaoedd gyllidebol yn feirniadol ac yn rhoi ar waith gweithrediadau priodol er mwyn cado o fewn yr adnoddau a ddosbarthwyd.

#### **Y Rhesymau:**

I ddarparu'r newyddion i'r Bwrdd Gweithredol ynglyn a sefyllfa diweddaraf cyllideb 2017/18, ar 31ain Hydref 2017.

#### **Ymgynghorwyd â'r pwylgor craffu perthnasol AMHERTHNASOL**

Angen i'r Bwrdd Gweithredol wneud penderfyniad OES

Angen i'r Cyngor wneud penderfyniad NAC OES

YR AELOD O'R BWRDD GWEITHREDOL SY'N GYFRIFOL AM Y PORTFFOLIO:-

Cyng. David Jenkins

**Y Gyfarwyddiaeth:  
Gwasanaethau Corfforaethol**

**Enw Cyfarwyddwr y  
Gwasanaeth:  
Chris Moore**

**Awdur yr Adroddiad:  
Chris Moore**

**Swyddi:**

**Cyfarwyddwr y Gwasanaethau  
Corfforaethol**

**Rhif ffôn: 01267 224886  
Cyfeiriadau E-bost:**

**CMoore@sirgar.gov.uk**

**EXECUTIVE SUMMARY**  
**EXECUTIVE BOARD**  
**22<sup>ND</sup> JANUARY 2018**

**Council's Revenue Budget Monitoring Report**

The revenue budget monitoring reports for the period to 31<sup>st</sup> October 2017 are attached and indicate that:

**COUNCIL FUND REVENUE ACCOUNT( Appendix A)**

Overall, the monitoring report forecasts an end of year overspend of £685k on the Authority's net revenue budget with an overspend at departmental level of £2,263k.

**Chief Executive's Department**

The Chief Executive Department is anticipating an overspend of £165k for the year.

In relation to the application of Standby and Health & Safety training, proposed savings have yet to be fully achieved £508k. Work is ongoing with the TIC teams in relation to delivering the full efficiencies identified. There is a £26 underspend due to a vacant post in the Chief Executives division.

The Regeneration, Policy and Property Division is anticipating a £67k underspend. This consists of an £81k overspend on a counter terrorism post, £46 overspend on Un Sir Gar due to non achievement of their income target, £31k overspend on a delayed efficiency for 2017-18, a £32k income shortfall in commercial property, a non achievement of income target on both West Wales European Centre and Policy of £31k and 17k respectively. There was also an overspend of £26k on premises maintenance at the Guildhall. This was offset by a £342k underspend due to staff vacancies.

The Admin & Law division is showing a £144k underspend as a result of vacant posts.

The People Management & Performance Division is expected to underspend by £106k as a result of vacant posts during the year.

**Department for Communities**

The Department for Communities is forecasting an overspend of £874k for the year.

Services supporting Older People / Physical Disabilities are projecting an overspend of £402k; £328k on Residential Care, £105k on Group Homes / Supported Living settings, £82k on Day Services, £77k on Direct payments offset by -£118k on Domiciliary Care The Careline service is showing an overspend of £92k due to a reduction in the number of connections provided to other local authorities.

Learning Disabilities / Mental Health is projecting £473k overspend; £127k on Residential Care, £216k on Supported Living / Group Homes and £149k on Day Services.

Staffing vacancies and miscellaneous underspends are -£184k; mainly in the Reablement Service.

Leisure Services are expecting to break even and Housing & Public Protection Services are also predicting a nil variance.

#### Corporate Services

The Corporate Services Department is projecting a £334k underspend for the year. This is as a result of staff vacancies of £325k, a £60k reduction in grant audit fees. This is offset by an anticipated £47k charge for costs relating to sales of assets.

#### Department for Education and Children

The Department for Education and Children is forecasting a net overspend of £913k at year end.

The main adverse budget variations relate to: new school based EVR and redundancy costs £422k; School Modernisation property decommissioning and cost of sales £376k (which includes £254k NNDR); Special guardianship orders to keep children with their families and boarded out allowances £193k; shortfall in the Music Service SLA income from schools £185k, rurality impact on Fostering staff and client travel £54k; increased number of cases entering the Legal system £177k; Out of County Care placements £177k; increased staffing costs at Garreglwyd Residential Unit £62k and Welsh Language Support £54k.

These are partially offset by under-spends across the department in: staff vacancies and secondments -£403k, utilisation of grant income to support core spend -£326k and reduced numbers in Early years non maintained provision -£115k.

#### Environment

The department is anticipating an overspend of £645k for the year.

The Highways and Transport division is projecting a £248k overspend. This is due to a £285k overspend in car parks as a result of the non achievement of income targets and a £25k overspend on school transport following an initial assessment of demand. This is offset by underspends in Passenger transport of £23k due to tender efficiencies and a £38k underspend in Public rights of way due to vacant posts.

The Property Division, the Waste and Environmental Services division and the Business Support & Performance division are expecting to break even.

The Planning Division is anticipating a £403k overspend. This is due to a decrease in planning applications and the resultant loss of income of £526k which is partly-offset by charging out staff time as a direct cost £40k; release of prior year waste planning report underspend from reserve £16k; a reduction in planning admin expenditure £39k and additional street naming income of £11k

Capital Charges  
Reduced borrowing/interest savings

HOUSING REVENUE ACCOUNT ( Appendix B)  
The HRA is predicting a break even position at year end

Repairs and maintenance is £286k over budget due to additional spend on Minor Works. This is offset by a reduced requirement for DRF -£300k.

Supervision and Management costs are forecasted to be overspent by £81k primarily due to premises related expenses energy costs £87k and increased spend on supplies and services £22k , offset by savings on staffing costs/recharges -£28k due to vacancies.

Predicted increased costs on central recharges will result in £13k overspend on the budget.

Capital financing charges will be £75k greater than budgeted due to a slight increase in interest rates.

Reduction in the provision required for debt write-offs , based on arrears levels and age debt analysis to year end of - £156k

Lists of the main variances are attached to this report.

DETAILED REPORT ATTACHED?	YES
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## IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: Chris Moore Director of Corporate Services

Policy, Crime & Disorder and Equalities <b>NONE</b>	Legal <b>NONE</b>	Finance <b>YES</b>	ICT <b>NONE</b>	Risk Management Issues <b>NONE</b>	Staffing Implications <b>NONE</b>	Physical Assets <b>NONE</b>
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### 1. Finance

Council Fund

Overall, the Authority is forecasting an overspend of £685k.

HRA

The HRA is forecasting that it will break even at year end.

## CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below  
Signed: Chris Moore Director of Corporate Services

1. Scrutiny Committee – Not applicable
2. Local Member(s) – Not applicable
3. Community / Town Council – Not applicable
4. Relevant Partners – Not applicable
5. Staff Side Representatives and other Organisations – Not applicable

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
2017/18 Budget		Corporate Services Department, County Hall, Carmarthen

Mae'r dudalen hon yn wag yn fwriadol

**REPORT OF THE DIRECTOR OF CORPORATE SERVICES**

**PRELIMINARY EXECUTIVE BOARD 18th DECEMBER 2017**

**COUNCIL'S BUDGET MONITORING REPORT 2017/18 as at 31st October 2017**

Director and Designation <b>C Moore Director of Corporate Services</b>	Author & Designation <b>C Moore, Director of Corporate Services</b>	Telephone No <b>01267 224120</b>	Directorate <b>Corporate Services</b>
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**Table 1**

Department	Forecasted for year to 31st October 2017								Oct 17 Forecasted Variance for Year £'000	Aug 17 Forecasted Variance for Year £'000		
	Working Budget				Forecasted							
	Controllable Expenditure £'000	Controllable Income £'000	Net Non Controllable £'000	Total Net £'000	Controllable Expenditure £'000	Controllable Income £'000	Net Non Controllable £'000	Total Net £'000				
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000				
Chief Executive	24,125	-8,009	-3,192	12,923	24,434	-8,154	-3,192	13,089	165	431		
Communities	129,994	-49,813	9,706	89,888	130,703	-49,648	9,706	90,761	874	994		
Corporate Services	76,115	-51,067	-1,526	23,522	76,814	-52,100	-1,526	23,188	-334	-221		
Education & Children	159,440	-21,291	22,876	161,024	162,164	-23,103	22,876	161,937	913	1,092		
Environment	118,568	-78,302	8,808	49,073	113,974	-73,063	8,808	49,718	645	533		
<b>Departmental Expenditure</b>	<b>508,241</b>	<b>-208,483</b>	<b>36,672</b>	<b>336,430</b>	<b>508,089</b>	<b>-206,068</b>	<b>36,672</b>	<b>338,693</b>	<b>2,263</b>	<b>2,829</b>		
Capital Charges/Interest				-11,517				-12,617	-1,100	-700		
<b>Levies and Contributions:</b>												
Brecon Beacons National Park				138				138	0	0		
Mid & West Wales Fire & Rescue Authority				9,349				9,349	0	0		
<b>Net Expenditure</b>				<b>334,400</b>				<b>335,563</b>	<b>1,163</b>	<b>2,129</b>		
Transfer from Balances/Earmarked Reserves				-200				-200	0	0		
Transfers to/from Departmental Reserves				0				167	167	110		
- Corporate Services				0				-654	-645	-533		
- Environment												
<b>Net Budget</b>				<b>334,200</b>				<b>334,876</b>	<b>685</b>	<b>1,706</b>		

**Chief Executive Department**  
**Budget Monitoring as at 31st October 2017**

Division	Working Budget				Forecasted				Oct 17 Forecasted Variance for Year £'000	Aug 17 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
Chief Executive	-280	0	-322	-602	202	0	-322	-120	482	511
People Management	3,714	-1,072	-2,375	267	3,853	-1,317	-2,375	161	-106	-65
ICT	4,479	-826	-3,823	-169	4,499	-845	-3,823	-169	0	0
Admin and Law	3,919	-550	1,094	4,463	3,768	-543	1,094	4,319	-144	-18
Regen, Policy & Property										
Policy	5,331	-1,299	-1,748	2,284	5,106	-1,195	-1,748	2,163	-121	56
Statutory Services	1,107	-2	141	1,246	1,096	-3	141	1,235	-11	-16
Property	1,111	-1,269	157	-0	1,151	-1,264	157	44	44	17
Major Projects	101	-76	0	25	401	-376	0	25	0	0
Regeneration	4,643	-2,917	3,683	5,409	4,359	-2,611	3,683	5,431	22	-54
<b>GRAND TOTAL</b>	<b>24,125</b>	<b>-8,009</b>	<b>-3,192</b>	<b>12,923</b>	<b>24,434</b>	<b>-8,154</b>	<b>-3,192</b>	<b>13,089</b>	<b>165</b>	<b>431</b>

## Chief Executive Department - Budget Monitoring as at 31st October 2017

### Main Variances

Division	Working Budget		Forecasted		Oct 17 Variance for Year £'000	Notes	Aug 17 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Chief Executive</b>							
Chief Executive-Chief Officer	300	0	274	0	-26		1
Corporate Savings Target	-580	0	-72	0	508	Part year vacant post and reduction in supplies and services Efficiency proposals not yet delivered (Standby £224k and Health & Safety £285k)	509
<b>People Management &amp; Performance</b>							
Employee Well-being	808	-352	808	-447	-96	Part year vacant posts	-65
<b>ICT</b>							
Information Technology	3,426	-455	3,525	-515	40	Reduction in Fire SLA	40
Central Telephone Network	1,053	-370	974	-331	-40	Savings on supplies & services	-40
<b>Admin and Law</b>							
Land Charges Administration	81	-282	81	-270	12	Inflation increase applied to budget but fees are set therefore income target not achievable	12
Corporate Serv-Democratic	504	0	405	0	-98	Part year vacant posts	-34
Corporate Serv-Legal	1,522	-268	1,471	-273	-55	Part year vacant posts	-17
<b>Regeneration, Policy &amp; Property</b>							
<b>Policy</b>							
Marketing & Media	689	-352	594	-226	31	Delay in staffing efficiencies being delivered	-3
Corporate Serv-Translation	501	-15	387	-10	-109	Part year vacant posts	-0
Performance Management	566	-50	508	-20	-27	Vacant Post	-32
Chief Executive-Policy	527	-63	500	-19	17	Income target not achievable	46
Corporate Serv-Administration	484	-33	425	-2	-29	Vacant posts	-7
Customer Services Centres	1,093	-294	977	-295	-116	Vacant posts	-63
Safeguarding & Counter-Terrorism	0	0	81	0	81	Unfunded post	85
UN Sir Gar	166	-126	145	-59	46	Projected non-achievement of income target	45
<b>Statutory Services</b>							
Electoral Services - Staff	265	0	253	0	-11	Vacant post	-15

## Chief Executive Department - Budget Monitoring as at 31st October 2017

### Main Variances

Division	Working Budget		Forecasted		Oct 17 Variance for Year £'000	Notes	Aug 17 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Property</b>							
Commercial Property - Chief Executives	29	-404	42	-385	32	Slight shortfall in income	16
Provision Markets	534	-611	524	-592	10	Improvements required	-3
<b>Regeneration</b>							
West Wales European Centre	425	-315	287	-145	31	Projected non-achievement of income target	26
The Guildhall Carmarthen	0	0	26	0	26	CCC has recently purchased the building, but no budget has been allocated to cover any costs. Significant premises maintenance costs incurred have therefore resulted in this projected overspend	1
Parc Amanwy Ammanford	71	-47	54	-42	-11	NNDR revaluation has resulted in a rebate	0
Amman Gwendraeth Community	99	0	90	-8	-17	Mainly due to staff vacancies	0
The Beacon	134	-130	162	-143	15	Mainly due to additional cleaning costs	-2
Business Services	314	0	281	0	-33	Staff vacancies	-33
<b>Other Variances</b>					-16		-38
<b>Grand Total</b>					165		431

**Department for Communities**  
**Budget Monitoring as at 31st October 2017**

Division	Working Budget				Forecasted				Oct 17 Forecasted Variance for Year £'000	Aug 17 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
<b>Adult Services</b>										
Older People	51,421	-17,952	2,216	35,685	51,742	-17,901	2,216	36,058	373	337
Physical Disabilities	6,085	-732	74	5,427	6,123	-741	74	5,456	28	40
Learning Disabilities	30,716	-8,502	1,199	23,412	31,074	-8,421	1,199	23,852	440	612
Mental Health	9,355	-3,463	125	6,016	9,363	-3,438	125	6,050	33	0
Support	5,651	-2,461	799	3,989	5,632	-2,443	799	3,988	-0	4
<b>Public Protection &amp; CF Housing</b>										
Public Protection	2,968	-712	535	2,792	2,944	-694	535	2,785	-7	-7
Council Fund Housing	8,881	-8,074	294	1,101	9,028	-8,214	294	1,108	7	7
<b>Leisure &amp; Recreation</b>										
Leisure & Recreation	14,917	-7,916	4,464	11,465	14,796	-7,796	4,464	11,465	-0	-0
<b>GRAND TOTAL</b>	<b>129,994</b>	<b>-49,813</b>	<b>9,706</b>	<b>89,888</b>	<b>130,703</b>	<b>-49,648</b>	<b>9,706</b>	<b>90,761</b>	<b>874</b>	<b>994</b>

## Department for Communities - Budget Monitoring as at 31st October 2017

### Main Variances

Division	Working Budget		Forecasted		Oct 17 Variance for Year	Notes	Aug 17 Forecasted Variance for Year
	Expenditure	Income	Expenditure	Income			
	£'000	£'000	£'000	£'000	£'000		£'000
<b>Adult Services</b>							
<b>Older People</b>							
Older People - Commissioning	2,858	0	2,820	0	-38	Staff vacancies	-0
Older People - Private/ Vol Homes	19,022	-8,851	19,402	-8,830	400	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows downward trend overall, however the efficiency target will be met slower than anticipated whilst being largely offset by other savings.	77
Older People - LA Home Care	5,533	0	5,356	0	-177	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows downward trend overall	-0
Older People - Direct Payments	614	0	720	0	107	Direct Payments increasing across all client group linked to promoting independence	-0
Older People - Private Home Care	9,210	-2,201	9,269	-2,201	59	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows downward trend overall, however the efficiency target will be met slower than anticipated whilst being largely offset by other savings.	90
Older People - Careline	1,125	-1,394	1,216	-1,393	92	additional staffing costs in respect of new Information, Advice & Assistance requirement of SSWBA; reduction in income due to other local authorities reducing support in this area	168
Older People - Enablement	2,458	-800	2,274	-800	-183	Staff vacancies - recruitment issues being addressed.	-0
Older People - Day Services	1,073	-65	1,143	-69	67	Additional packages in private day services.	0
<b>Physical Disabilities</b>							
Phys Dis - Commissioning & OT Services	606	-80	579	-80	-27	Staff vacancies	-0
Phys Dis - Private/Vol Homes	575	-114	478	-105	-88	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows downward trend overall, however the efficiency target will be met slower than anticipated whilst being largely offset by other savings.	-0
Phys Dis - Group Homes/Supported Living	1,379	-118	1,484	-118	105	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows downward trend overall	41
Phys Dis - Community Support	90	0	154	0	63	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows downward trend overall	-0
Phys Dis - Direct Payments	1,875	0	1,845	0	-30	Client led demand	0
<b>Learning Disabilities</b>							

## Department for Communities - Budget Monitoring as at 31st October 2017

### Main Variances

Division	Working Budget		Forecasted		Oct 17 Variance for Year	Notes	Aug 17 Forecasted Variance for Year
	Expenditure	Income	Expenditure	Income			
	£'000	£'000	£'000	£'000	£'000		£'000
Learn Dis - Employment & Training	2,412	-846	2,279	-602	111	Reduction in Department for Work and Pensions grant for Workchoice programme due to changes in terms and conditions of funding.	-0
Learn Dis - Private/Vol Homes	9,828	-3,232	10,102	-3,380	127	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows downward trend overall, however the efficiency target will be met slower than anticipated whilst being largely offset by other savings.	223
Learn Dis - Direct Payments	1,306	0	1,343	-0	37	Direct Payments increasing across all client group linked to promoting independence	0
Learn Dis - Group Homes/Supported Living	5,945	-1,007	6,161	-1,007	216	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows downward trend overall, however the efficiency target will be met slower than anticipated whilst being largely offset by other savings.	227
Learn Dis - Home Care Service	145	0	180	0	36	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows downward trend overall, however the efficiency target will be met slower than anticipated whilst being largely offset by other savings.	0
Learn Dis - Day Services	3,105	-270	3,142	-269	38	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows downward trend overall, however the efficiency target will be met slower than anticipated whilst being largely offset by other savings.	161
Learn Dis - Transition Service	509	0	431	0	-78	Staff vacancies	-0
<b>Mental Health</b>							
M Health - Community Support	698	-110	742	-110	44	Work continuing to promote independent living and reduce cost of care packages accordingly. Performance data shows downward trend overall, however the efficiency target will be met slower than anticipated whilst being largely offset by other savings.	-0
<b>Other Variances - Adult Services</b>					-3		8

## Department for Communities - Budget Monitoring as at 31st October 2017

### Main Variances

Division	Working Budget		Forecasted		Oct 17 Variance for Year	Notes	Aug 17 Forecasted Variance for Year
	Expenditure	Income	Expenditure	Income			
	£'000	£'000	£'000	£'000	£'000		£'000
<b>Public Protection</b>							
Air Pollution	97	-33	97	-20	12	Underachievement of licence fee income due to changes in legislation/businesses and validation of fees	0
Animal Welfare	71	-76	71	-49	27	Underachievement of licence fee income	0
Trading Standards Services Management	117	-48	126	-42	15	Overspend in Legal fees covered by underspends elsewhere in Trading Standards	2
Food & Agricultural Standards & Licensing	119	-38	109	-38	-10	Underspend in salary costs due to reduced hours worked	-7
Fair Trading	137	-14	133	-28	-18	Overachievement of income - court fees	-13
<b>Other Variances - Public Protection</b>					-34		12
<b>Council Fund Housing</b>							
Home Improvement (Non HRA)	475	-301	447	-233	41	Underachievement of licence fee income due to changes in licencing laws	22
Benefit Reforms	12	-10	57	-66	-12	Repairs work being carried out under a grant awarded in the year - Landlord Incentive scheme	-0
Homelessness	161	-64	130	-60	-27	Underspend in Homelessness prevention payments covering the underachievement of licence fee income in Home Improvement	-19
<b>Other Variances - Council Fund Housing</b>					5		4
<b>Leisure &amp; Recreation</b>							
Pendine Outdoor Education Centre	469	-319	480	-310	20	Underachieving Board / Accommodation income	9
Pembrey Ski Slope	291	-253	339	-343	-42	Overachieving income re: new catering outlet	-41
Carmarthen Leisure Centre	1,212	-1,209	1,188	-1,163	21	Underachieving income	31
Amman Valley Leisure Centre	695	-554	693	-623	-71	Increased income forecast from Gym/Swim	-76
Sport & Leisure General	825	-59	913	-71	75	Planned delivery of play and spin projects at Carmarthen Leisure Centre	25
<b>Other Variance - Leisure &amp; Recreation</b>					-4		51
<b>Grand Total</b>					874		994

**Corporate Services Department**  
**Budget Monitoring as at 31st October 2017**

Division	Working Budget				Forecasted				Oct 17 Forecasted Variance for Year £'000	Aug 17 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
Financial Services	7,871	-3,751	-3,524	596	7,451	-3,555	-3,524	372	-224	-92
Audit Risk & Procurement	1,257	-28	-1,049	179	1,153	-18	-1,049	86	-93	-88
Performance & Development	136	0	-256	-120	136	-1	-256	-120	-0	2
Other Services	66,851	-47,288	3,303	22,866	68,074	-48,527	3,303	22,850	-16	-42
<b>GRAND TOTAL</b>	<b>76,115</b>	<b>-51,067</b>	<b>-1,526</b>	<b>23,522</b>	<b>76,814</b>	<b>-52,100</b>	<b>-1,526</b>	<b>23,188</b>	<b>-334</b>	<b>-221</b>

## Corporate Services Department - Budget Monitoring as at 31st October 2017

### Main Variances

Division	Working Budget		Forecasted		Oct 17 Variance for Year £'000	Notes	Aug 17 Forecasted Variance for Year £'000
	Expenditure	Income	Expenditure	Income			
	£'000	£'000	£'000	£'000			
<b>Financial Services</b>							
Chief Officer	334	-43	323	-43	-11		-0
Accountancy	1,665	-302	1,656	-352	-60	Vacant Posts	-63
Local Taxation	881	-720	826	-690	-25	Vacant Posts	-12
Housing Benefits Admin	1,416	-749	1,361	-746	-51	Vacant Posts	-0
Revenues	850	-144	790	-144	-60	Vacant Posts	-0
Payments	486	-83	471	-83	-15	Part year vacant post	-13
<b>Audit Risk &amp; Procurement</b>							
Audit	610	-21	496	-11	-105	Part year vacant posts	-101
Risk Management	132	-2	143	-2	11	Maternity cover	14
<b>Other Services</b>							
Audit Fees	373	-86	319	-84	-52	Reduction in grant audit fees	-60
Bank Charges	63	0	52	0	-11	Savings in bank tender in 2013/14	-11
Miscellaneous Services	3,869	-112	3,854	-51	47	Projected overspend due to cost of sales of assets being a charge to revenue	29
<b>Other Variances</b>					-4		-2
<b>Grand Total</b>					-334		-221

**Department for Education & Children**  
**Budget Monitoring as at 31st October 2017**

Division	Working Budget				Forecasted				Oct 17 Forecasted Variance for Year £'000	Aug 17 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
Director & Strategic Management	888	0	-148	739	750	0	-148	601	-138	-25
Education Services Division	117,447	-1,701	19,152	134,898	118,326	-1,899	19,152	135,580	681	637
Strategic Development	9,199	-7,431	881	2,649	9,124	-7,367	880	2,637	-11	26
School Improvement	4,143	-1,842	504	2,805	5,060	-2,722	504	2,842	37	2
Learner Programmes	4,973	-3,867	384	1,490	5,251	-4,066	384	1,569	79	147
Children's Services	22,790	-6,451	2,103	18,443	23,653	-7,048	2,103	18,708	266	305
<b>GRAND TOTAL</b>	<b>159,440</b>	<b>-21,291</b>	<b>22,876</b>	<b>161,024</b>	<b>162,164</b>	<b>-23,103</b>	<b>22,876</b>	<b>161,937</b>	<b>913</b>	<b>1,092</b>

## Department for Education & Children - Budget Monitoring as at 31st October 2017

### Main Variances

Division	Working Budget		Forecasted		Oct 17 Variance for Year £'000	Notes	Aug 17 Forecasted Variance for Year £'000
	Expenditure	Income	Expenditure	Income			
	£'000	£'000	£'000	£'000			
<b>Director &amp; Strategic Management</b>							
Director & Management Team	888	0	750	0	-138	Part year vacant post. Increased budget (£100k) relating to transfers from other areas of the department in readiness to meet a departmental efficiency proposal in 2018-19.	-25
<b>Education Services Division</b>							
School Redundancy & EVR	1,838	0	2,259	0	422	Budget utilised on existing commitments. Schools are supported and challenged on staffing structure proposals.	258
School Modernisation	93	-5	493	-29	376	Maintenance and other premises costs relating to closed schools £336k, of which £254k relates to NNDR. Transport recharges outside of Transport Policy for former pupils of closed schools £40k	330
Early Years Non-Maintained Provision	469	0	354	0	-115	Reduced take-up of 10 hours per week free entitlement for 3 year olds in non-maintained settings.	-73
Special Educational Needs	2,908	-1,484	2,971	-1,518	29	Statementing costs £18k, cost of hydrotherapy pool SLA and maintenance £22k. Utilisation of grants to offset additional salary costs -£11k.	166
Sensory Impairment	362	0	345	0	-17	Part year vacant posts	-16
Educational Psychology	898	0	919	-51	-29	Part year vacant posts	-34
<b>Strategic Development</b>							
Business Support	448	0	424	0	-24	Part year vacant posts	-29
School Meals & Primary Free Breakfast Services	7,968	-7,151	7,849	-7,005	28	Sales lower than projected April - October, possibly due to price increase.	68
<b>School Improvement</b>							
National Model for School Improvement	1,154	-56	1,254	-177	-21	Challenge advisor part year vacancy	0
Welsh Language Support	459	-176	507	-170	54	Contingency of £65k relating to potential repayment to Swansea University relating to previous year which has been referred to Legal Services.	0

**Department for Education & Children - Budget Monitoring as at 31st October 2017**  
**Main Variances**

Division	Working Budget		Forecasted		Oct 17 £'000	Variance for Year	Notes	Aug 17 Forecasted Year
	Expenditure	Income	Expenditure	Income				
	£'000	£'000	£'000	£'000				£'000
<b>Learner Programmes</b>								
Music Services for Schools	1,083	-984	1,271	-986	185		Reduced take-up of school Service Level Agreements (SLA), due to school budgetary pressures.	200
Behaviour Management	141	0	85	0	-56		Part year vacant post for Behaviour and Wellbeing manager	-53
Youth Offending & Prevention Service	1,625	-785	1,614	-821	-47		Proceeds from sale of vehicles and additional staffing recharge to Youth Justice Board grant	0
<b>Children's Services</b>								
Commissioning and Social Work	6,444	-20	6,600	-266	-90		High Legal costs projected due to a high number of cases £177k. This is offset by secondment and part year vacancy savings -£116k and utilisation of additional grant and recharge income to support other pressures -£151k.	-25
Fostering Services & Support	3,696	0	3,874	-30	147		The taxi's budget faces ongoing pressure £54k due to the high number of placement moves, some away from school areas. The Fostering Support Team have increased transport costs, boarding out payments and residence orders (even though CCC current rates are set at the minimum allowed by Welsh Government) £193k. This is offset by part year vacancies in the Fostering Team -£70k and additional grant -£30k	178
Out of County Placements	739	-54	916	-54	177		More use of independent fostering agencies that are more expensive to use due to a lack of in house foster placements including two young people being accommodated out of county due to their complex needs requiring 24 hour support.	136
Residential and Respite Units	937	-55	916	0	34		Additional staffing levels required to meet the needs of young people at the units	-2
Children's/Family Centres and Playgroups	160	-4	199	-29	15		Lower referrals than anticipated which reduces grant funding	3
Flying Start Grant	3,606	-3,601	3,621	-3,604	11		Ineligible costs such as audit fees	12
Aids & Adaptions	13	0	25	0	12		Additional demand for appliances	7
Family Aide Services	212	0	180	0	-32		Part year vacancies	-70
Other Family Services incl Young Carers and ASD	422	-229	442	-296	-47		Utilising grant enabling core budget to support other pressures	0
Gwylfa Residential Unit	541	-159	666	-222	62		Additional staffing costs to cover periods of sickness and a young person being moved in which reduces the out of county placement costs.	60
Education Welfare	409	0	451	-82	-40		Utilising grant enabling core budget to support other pressures	12
<b>Other Variances</b>					16			-11
<b>Grand Total</b>					913			1,092

**Environment Department**  
**Budget Monitoring as at 31st October 2017**

Division	Working Budget				Forecasted				Oct 17 Forecasted Variance for Year £'000	Aug 17 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000	Expenditure £'000	Income £'000	Net non- controllable £'000	Net £'000		
Buisness Support & Performance	2,304	-35	36	2,305	2,301	-32	36	2,305	-0	-0
Waste & Environmental Services	24,096	-7,797	1,608	17,907	24,086	-7,793	1,608	17,902	-5	0
Highways & Transportation	50,593	-32,630	8,328	26,291	45,809	-27,598	8,328	26,539	248	238
Property	37,839	-35,532	-1,595	712	38,132	-35,825	-1,595	712	-0	-98
Planning	3,736	-2,308	429	1,858	3,646	-1,815	429	2,261	403	392
<b>GRAND TOTAL</b>	<b>118,568</b>	<b>-78,302</b>	<b>8,808</b>	<b>49,073</b>	<b>113,974</b>	<b>-73,063</b>	<b>8,808</b>	<b>49,718</b>	<b>645</b>	<b>533</b>

## Environment Department - Budget Monitoring as at 31st October 2017

### Main Variances

Division	Working Budget		Forecasted		Oct 17 Variance for Year £'000	Notes	Aug 17 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Waste &amp; Environmental Services</b>							
Green Waste Collection	0	0	133	-101	32	The green waste collection service is not yet self-financing.	27
Closed Landfill Sites Nantycaws	144	0	128	0	-16	Reduced licence fee premiums from NRW and reduced operational activity that reflects the reduction in environmental risks associated with leachate control and treatment as a result of the sustained success of the new leachate treatment plant.	-15
Closed Landfill Sites Wernddu	87	0	73	0	-14	As per estimated works to be conducted on site this year – budget review to be undertaken.	-15
<b>Highways &amp; Transportation</b>							
Passenger Transport	4,355	-2,957	5,003	-3,628	-23	Tender and service efficiencies.	-41
School Transport	10,392	-1,077	10,324	-984	25	Estimated overspend based on an initial assessment of demand.	41
Car Parks	1,772	-3,311	1,790	-3,045	285	Unachievable income target as the income target is increased every year but parking fees have not been increased. £36k Change in John/St Peters short/long delayed due to major works affecting the car park in 2016/17. PCN income also lower than anticipated.	274
Public Rights Of Way	237	-11	199	-11	-38	Underspend due to vacant posts, recruitment process underway	-38
<b>Property</b>							
Building Maintenance Operational	22,765	-24,459	23,102	-24,715	80	On-going review of Building maintenance cost recovery, with a view to breakeven by year end.	0
Strategic Asset Management							
Business Unit	580	-80	578	-116	-38	Vacant posts	-39
Industrial Premises	368	-1,290	325	-1,291	-44	Based on high occupancy levels which could vary throughout the year	-30

## Environment Department - Budget Monitoring as at 31st October 2017

### Main Variances

Division	Working Budget		Forecasted		Oct 17 Variance for Year £'000	Notes	Aug 17 Forecasted Variance for Year £'000
	Expenditure £'000	Income £'000	Expenditure £'000	Income £'000			
<b>Planning</b>							
Planning Admin Account	327	-3	407	-132	-50	Reduced expenditure £39k to partly offset under-achievement of Planning Application Fee income. Also projected over-achievement of Street naming and numbering income £11k.	-39
Minerals	259	-122	276	-179	-40	Underspend mainly due to charging out of staff to projects as a 'direct cost'.	-24
Development Management	1,392	-1,251	1,312	-645	526	Ongoing shortfall in income	482
Waste planning monitoring report (E)	25	-25	25	-41	-16	2016/17 underspend was held in reserves, pending WG confirmation that specific outcomes have been achieved and that there will be no clawback of grant. This has now been confirmed, so surplus released back into revenue account.	-16
<b>Other Variances</b>					-23		-34
<b>Grand Total</b>					645		533

## Housing Revenue Account - Budget Monitoring as at 31st October 2017

	Working Budget £'000	Forecasted Actual £'000	Oct 2017 Variance for £'000	Notes	Aug 2017 Previous period forecasted variance for £'000
<b>Expenditure</b>					
<b>Repairs &amp; Maintenance</b>					
Responsive	1,720	1,720	0		18
Minor Works	2,749	3,048	299		0
Voids	2,297	2,307	10		0
Servicing	1,575	1,550	-25		0
Drains & Sewers	125	126	1		0
Grounds	715	715	0		0
Unadopted Roads	100	100	0		0
<b>Supervision &amp; Management</b>					
Employee	3,959	3,925	-34	Underspend mainly due to vacant posts not being filled in the first few months of the year	-32
Premises	1,327	1,416	89	Overspend in utilities £41k mainly as a result of transferring from British Gas (Elec) and Corona Gas. Plus overspends in Rent payments £29k and in adhoc premises costs £19k	104
Transport	67	65	-2		-10
Supplies	1,431	1,453	22	Overspend in legal costs £37k, misc payments £37k and other £3k netted off underspends in admin, office & operational consumables -£36k and compensation payments -£19k	17
Recharges	1,127	1,133	6		5
	0				
Provision for Bad Debt	472	316	-156	Provision for bad debt adjustment includes an estimate for write offs based on current data available	-248
Capital Financing Cost	13,940	14,015	75	The interest rate on borrowing was budgeted at 4.57% whereas the actual rate is currently 4.61%.Also reduction in borrowing due to underspend on Capital programme.	137
Central Support Charges	1,560	1,573	13	Budget to be adjusted to accommodate the 1% increase in Central Recharges	13
Subsidy	0	0	0		0
DRF	3,793	3,493	-300	Reduce DRF to accommodate additional revenue R&M required in Minor Works	4
<b>Total Expenditure</b>	<b>36,957</b>	<b>36,954</b>	<b>-3</b>		

### Housing Revenue Account - Budget Monitoring as at 31st October 2017

	Working Budget £'000	Forecasted Actual £'000	Oct 2017 Variance for Year £'000	Notes	Aug 2017 Previous period forecasted variance for Year £'000
<b>Income</b>					
Rents	-37,739	-37,774	-35		-44
Service Charges	-739	-706	33	Void loss prediction at budget setting of 2.1% currently forecast at 2.05%	21
Supporting People	-135	-135	0	Forecast small underachievement of service charge income	0
Mortgage Interest	-3	-3	0		0
Interest on Cash Balances	-46	-46	0		0
Grants	0	0	0		0
Insurance	0	0	0		0
Other Income	-584	-580	4		-2
<b>Total Income</b>	<b>-39,245</b>	<b>-39,243</b>	<b>3</b>		<b>-25</b>
<b>Net Expenditure</b>	<b>-2,288</b>	<b>-2,288</b>	<b>-0</b>		<b>-21</b>

HRA Reserve	£'000
Balance b/f 1/4/17	14,011
Budgeted movement in year	2,288
Variance for the year	0
Balance c/f 31/3/18	16,299

## Y BWRDD GWEITHREDOL 22ain IONAWR 2018

### Diweddaru Rhaglen Gyfalaf 2017-18

Y Pwrpas: I adrodd y trosglwyddiadau arian a'r amrywiant cyllidebol yn y rhaglen gyfalaf.

### YR ARGYMHELLION / PENDERFYNIADAU ALLWEDDOL SYDD EU HANGEN:

I dderbyn adroddiad diweddaru'r rhaglen gyfalaf.

### Y RHESYMAU:

I ddarparu diweddarriad o'r sefyllfa gyllidebol ddiweddaraf ar gyfer y rhaglen gyfalaf 2017/18 ar 31ain Hydref 2017

**Ymgynghorwyd â'r pwylgor craffu perthnasol Amherthnasol**

**Angen i'r Bwrdd Gweithredol wneud penderfyniad OES**

**Angen i'r Cyngor wneud penderfyniad NAC OES**

### YR AELOD O'R BWRDD GWEITHREDOL SY'N GYFRIFOL AM Y PORTFFOLIO:- Cyng. David Jenkins

**Y Gyfarwyddiaeth:**

**Gwasanaethau Corfforaethol**

**Enw Cyfarwyddwr y**

**Gwasanaethau Corfforaethol:**

**Chris Moore**

**Awdur yr Adroddiad:**

**Chris Moore**

**Swydd:**

**Cyfarwyddwr Gwasanaethau Corfforaethol**

**Rhif ffôn: 01267 224120**

**Cyfeiriad E-bost:**

**CMoore@sirgar.gov.uk**

# EXECUTIVE SUMMARY

## Executive Board

22<sup>ND</sup> JANUARY 2018

This report provides members with an update on the Capital programme spend against budget for 2017/18 as at the 31<sup>st</sup> October 2017.

**MEMBER APPROVED VIREMENTS** – for information, specific report approves the funding.

### **ENVIRONMENT**

**Land at Nantglas, Cross Hands £300k** – purchase of land at Cross Hands to be funded from an under-spend within the capital programme.

### **Variances**

**Appendix A** which is shown departmentally, shows a forecasted net spend of £49,154k compared with a working net budget of £53,249k giving a **£-4,095k** variance. The variance will be slipped into future years, as the funding will be required to ensure that the schemes are completed.

**Appendix B** details the main variances within each department.

DETAILED REPORT ATTACHED	YES
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## IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to below, there are no other implications associated with this report:

Signed: C. Moore

Director of Corporate Resources

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
NONE	NONE	YES	NONE	NONE	NONE	YES

### **Finance**

The capital programme shows an in year under spend of **£-4,095k** for 2017/18 which will be incorporated into future years of the programme.

### **Physical Assets**

The capital programme will have an impact on the physical assets of the Authority.

# CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below  
Signed: C. Moore Director of Corporate Services

**1. Scrutiny Committee**

Relevant Scrutiny Committees will be consulted.

**2. Local Member(s) N/A**

**3. Community / Town Council N/A**

**4. Relevant Partners N/A**

**5. Staff Side Representatives and other Organisations N/A**

**Section 100D Local Government Act, 1972 – Access to Information**

**List of Background Papers used in the preparation of this report:**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
2017-18 Capital Programme		Corporate Services Dept., County Hall, Carmarthen

Mae'r dudalen hon yn wag yn fwriadol

<b>Capital Programme 2017/18</b>							
<b>Capital Budget Monitoring - Report for October 2017</b>							
	<b>Working Budget</b>			<b>Forecasted</b>			<b>Variance for Year £'000</b>
<b>DEPARTMENT</b>	<b>Expenditure £'000</b>	<b>Income £'000</b>	<b>Net £'000</b>	<b>Expenditure £'000</b>	<b>Income £'000</b>	<b>Net £'000</b>	
<b>COMMUNITIES</b>							
- Public Housing	21,087	-6,170	<b>14,917</b>	19,375	-6,215	<b>13,160</b>	<b>-1,757</b>
- Private Housing	2,930	-273	<b>2,657</b>	3,333	-676	<b>2,657</b>	<b>0</b>
- Social Care	2,664	-1,887	<b>777</b>	2,495	-1,896	<b>599</b>	<b>-178</b>
- Leisure	4,315	-1,405	<b>2,910</b>	2,039	-150	<b>1,889</b>	<b>-1,021</b>
<b>ENVIRONMENT</b>	16,852	-5,201	<b>11,651</b>	15,137	-4,155	<b>10,982</b>	<b>-669</b>
<b>EDUCATION &amp; CHILDREN</b>	24,975	-10,559	<b>14,416</b>	24,099	-9,989	<b>14,110</b>	<b>-306</b>
<b>CHIEF EXECUTIVE</b>	1,894	0	<b>1,894</b>	1,894	0	<b>1,894</b>	<b>0</b>
<b>REGENERATION</b>	4,059	-32	<b>4,027</b>	5,448	-1,585	<b>3,863</b>	<b>-164</b>
<b>TOTAL</b>	<b>78,776</b>	<b>-25,527</b>	<b>53,249</b>	<b>73,820</b>	<b>-24,666</b>	<b>49,154</b>	<b>-4,095</b>

Mae'r dudalen hon yn wag yn fwriadol

Capital Programme 2017/18							
Capital Budget Monitoring - Report for October 2017 - Main Variances							
DEPARTMENT/SCHEMES	Working Budget			Forecasted			Variance for Year £'000
	Expenditure £'000	Income £'000	Net £'000	Expenditure £'000	Income £'000	Net £'000	
<b>COMMUNITIES</b>							
- Public Housing	21,087	-6,170	14,917	19,375	-6,215	13,160	-1,757
Sheltered Housing Investment	173	0	173	3	0	3	-170
Housing Minor Works (HMO)	603	0	603	703	0	703	100
Adaptations and DDA Works (Building Services)	900	0	900	1,299	0	1,299	399
Stock Condition Survey 2017/18 - Cost Certainty Gaps and Verification	150	0	150	0	0	0	-150
Housing Development Programme (New builds & Stock Increase Programme)	11,337	0	11,337	9,394	0	9,394	-1,943
Other Projects with Minor Variances	7,924	-6,170	1,754	7,976	-6,215	1,761	7
- Private Housing	2,930	-273	2,657	3,333	-676	2,657	0
- Social Care	2,664	-1,887	777	2,495	-1,896	599	-178
Learning Disabilities Developments	228	0	228	50	0	50	-178
Other Projects with Minor Variances	2,436	-1,887	549	2,445	-1,896	549	0
- Leisure	4,315	-1,405	2,910	2,039	-150	1,889	-1,021
Rights of Way Bridge Strengthening Programme	622	-200	422	250	0	250	-172
Strategic Open Spaces - Site Development & Linkages	800	-400	400	0	0	0	-400
Closed Circuit Track	499	0	499	50	0	50	-449
Other Projects with Minor Variances	2,394	-805	1,589	1,739	-150	1,589	0

Capital Programme 2017/18								
Capital Budget Monitoring - Report for October 2017 - Main Variances								
Tudalen 40 DEPARTMENT/SCHEMES	Working Budget			Forecasted			Variance for Year £'000	Comment
	Expenditure £'000	Income £'000	Net £'000	Expenditure £'000	Income £'000	Net £'000		
<b>ENVIRONMENT</b>	<b>16,852</b>	<b>-5,201</b>	<b>11,651</b>	<b>15,137</b>	<b>-4,155</b>	<b>10,982</b>	<b>-669</b>	
Coastal Protection Works	407	0	407	207	0	207	-200	Scheme delayed due to change in contract specification. Budget required for future years.
Murray Street Car Park, Llanelli - Exp	198	0	198	98	0	98	-100	Expenditure profile being planned in accordance with whole of life care plan. Funding required for future year maintenance.
Property maintenance	3,295	0	3,295	3,108	0	3,108	-187	One particular scheme delayed due to ecological issue.
East Gate Development	241	0	241	119	0	119	-122	Savings on scheme due to external funding secured.
Other Projects with Minor Variances	12,711	-5,201	7,510	11,605	-4,155	7,450	-60	
<b>EDUCATION &amp; CHILDREN</b>	<b>24,975</b>	<b>-10,559</b>	<b>14,416</b>	<b>24,099</b>	<b>-9,989</b>	<b>14,110</b>	<b>-306</b>	
Dinefwr Project - Dyffryn Aman	131	0	131	280	0	280	149	Issues with playing fields being discussed with contractor .
Llangadog - Major Redevelopment	1,955	0	1,955	250	0	250	-1,705	Delay with planning permission, therefore delayed start on site.
Ysgol Trimsaran - New School Building	1,813	0	1,813	3,200	0	3,200	1,387	Ahead of schedule, re-profile required - no overall overspend
Llandeilo Primary - New School	203	0	203	50	0	50	-153	Timeline slipped - re-profile required.
Ammanford Primary - New School	173	0	173	50	0	50	-123	Timeline slipped - re-profile required.
Llanelli Vocational Village	132	0	132	47	0	47	-85	Scheme saving
Rhydygors - Refurbishment/Re-configuration	568	0	568	20	0	20	-548	Scheme development delayed pending outcome of Behavioural Services Review
Laugharne VCP Works	283	0	283	20	0	20	-263	Scheme delayed pending resolution of land issues
Pontyberem CP - Refurbishment/Re-configuration	1,088	0	1,088	1,388	0	1,388	300	Ahead of schedule, re-profile required - no overall overspend
Carmarthen West New School - Phase 1	570	-570	0	570	0	570	570	Purchase of school site to be funded from future S106 payments
Rhys Pritchard Relocation	505	0	505	50	0	50	-455	Delay due to scheme development issues
MEP - Future Projects	329	0	329	1,001	0	1,001	672	Accelerated scheme - No overall overspend projected
Other Projects with Minor Variances	17,225	-9,989	7,236	17,173	-9,989	7,184	-52	

Capital Programme 2017/18								
Capital Budget Monitoring - Report for October 2017 - Main Variances								
DEPARTMENT/SCHEMES	Working Budget			Forecasted			Variance for Year £'000	Comment
	Expenditure £'000	Income £'000	Net £'000	Expenditure £'000	Income £'000	Net £'000		
CHIEF EXECUTIVE	1,894	0	1,894	1,894	0	1,894	0	No major variances
REGENERATION	4,059	-32	4,027	5,448	-1,585	3,863	-164	
Laugharne Car park	208	0	208	0	0	0	-208	Discussion are ongoing with the developer regarding the remedial works for the proposed development.
Other Projects with Minor Variances	3,851	-32	3,819	5,448	-1,585	3,863	44	
<b>TOTAL</b>	<b>78,776</b>	<b>-25,527</b>	<b>53,249</b>	<b>73,820</b>	<b>-24,666</b>	<b>49,154</b>	<b>-4,095</b>	

Mae'r dudalen hon yn wag yn fwriadol

## Y BWRDD GWEITHREDOL 22 Ionawr 2018

### PWNC:

#### SEFYDLU CWMNI MASNACHU AWDURDOD LLEOL AR GYFER LLINELL GOFAL A ELWIR YN LLESIANT DELTA WELLBEING'

#### Yr argymhellion / penderfyniadau allweddol sydd eu hangen:

1. Sefydlu Cwmni Masnachu Awdurdod Lleol ar gyfer Llinell Gofal a elwir yn Llesiant Delta Wellbeing er mwyn creu incwm ychwanegol i'r Awdurdod a diogelu'r gwasanaeth presennol.
2. Rhoi awdurdod dirprwydиг i Gyfarwyddwr y Gwasanaethau Cymunedol a Chyfarwyddwr y Gwasanaethau Corfforaethol i sefydlu'r Cwmni Masnachu Awdurdod Lleol, ei strwythurau llywodraethu a datblygu cynllun busnes manwl.
3. Bod y Cwmni yn cael ei ymgorffori'n gwmni cyfyngedig ac mai'r Cyngor fyddai'r unig gyfrannadaliwr.
4. Bod Bwrdd y Cwmni yn paratoi ac yn cytuno ar Gynllun Busnes y Cwmni ac yna'n ei gyflwyno i'w gymeradwyo'n ffurfiol i Fwrdd Gweithredol yr Awdurdod cyn ei roi ar waith.
5. Bod costau sefydlu'r Cwmni yn cael eu hadennill (yn dilyn cytundeb y Bwrdd Gweithredol i lunio cwmni) drwy drefnu benthyciadau ar gyfradd llog masnachol i'w gymeradwyo gan y Cyngor Llawn dros gyfnod y cytunir arno yn y cynllun busnes manwl. Os na sefydlir y Cwmni, telir y costau gweithredu allan o arian wrth gefn.
6. Cael cytundeb y Cyngor Llawn i warantu rhwymedigaethau pensiwn y staff a gyflogir gan y Cwmni

#### Y Rhesymau:

1. Sicrhau cynaliadwyedd ariannol tymor hir y gwasanaeth Llinell Gofal drwy ddatblygu ffynonellau newydd o incwm.
2. Diogelu'r swyddi presennol a chreu cyfleoedd newydd am waith
3. Gwella argaeledd a mynediad i fathau newydd o Ofal drwy Gymorth Technolegol sy'n galluogi trigolion Sir Gaerfyrddin i fyw yn annibynnol yn eu cartrefi eu hunain am gyfnod hirach.
4. Bod yn ganolfan ragoriaeth o ran Gofal trwy Gymorth Technolegol ar draws Cymru
5. Cefnogi amcanion ehangach y Cyngor o ran iechyd a llesiant.

#### Angen ymgynghori â'r Pwyllgor Craffu perthnasol:OES - Gofal Cymdeithasol ac Iechyd

23 Tachwedd 2017

Cafodd aelodau'r Pwyllgor Craffu - Gofal Cymdeithasol ac Iechyd gyflwyniad ar y cynigion a chawsant gyfle i wneud sylwadau.

Angen i'r Bwrdd Gweithredol wneud penderfyniad OES – 22 Ionawr 2018

Angen i'r Cyngor wneud penderfyniad OES – 14 Chwefror, 2018

#### YR AELOD O'R BWRDD GWEITHREDOL SY'N GYFRIFOL AM Y PORTFFOLIO:-

Jane Tremlett, yr Aelod o'r Bwrdd Gweithredol sy'n Gyfrifol am y Portffolio Gofal Cymdeithasol ac lechyd

<b>Y Gyfarwyddiaeth: Cymunedau</b>  Enw Pennaeth y Gwasanaeth: Rhian Dawson  Awduron yr Adroddiad: Gareth Miller  Samantha Watkins	 Swyddi:  Pennaeth y Gwasanaethau Integredig  Rheolwr Trawsnewid Busnes a Rhaglenni  Rheolwr Gwybodaeth, Cyngor a Chymorth	 Rhifau ffôn:  01267 228900 Rhian Dawson@sirgar.gov.uk  01554 899300 <a href="mailto:GAMiller@sirgar.gov.uk">GAMiller@sirgar.gov.uk</a>  01554 899748 <a href="mailto:SJWatkins@sirgar.gov.uk">SJWatkins@sirgar.gov.uk</a>
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**EXECUTIVE SUMMARY  
EXECUTIVE BOARD  
22<sup>ND</sup> JANUARY 2018**

**SUBJECT:**

**THE ESTABLISHMENT OF A LOCAL AUTHORITY TRADING COMPANY CALLED 'LLESIANT DELTA WELLBEING LTD' FOR CARELINE**

**The Purpose**

1. This Executive Summary sets out the reasoning behind, and practicalities of, setting up a wholly owned Local Authority Trading Company (LATC) for Careline known as 'Llesiant Delta Wellbeing Ltd'. The summary report can be found in Appendix 1.

**The Context**

2. Careline, based within the Communities Department, is the Authority's established 24/7 response service for vulnerable and elderly residents across Carmarthenshire. In addition to this, it also forms a single point of access for the public and professionals for all matters in relation to social care and delivers the Authority's out of hours call handling and lone working services. The Careline service has a whole time equivalent staffing complement of 49 staff.
3. Whilst being a prominent in-house service it also contracts with numerous other corporate customers including other Local Authorities, Housing Associations, Swansea University, Pembrokeshire National Park and Welsh Government. The result being that work outside of the Authority equates to approximately **86%** of its business.
4. The service's current business model is facing significant challenges. This is due to changes in strategic direction by corporate customers and restrictions on the Authority's ability to expand its client base through trading with private individuals and organisations. Some Local Authorities we contract with are decommissioning their current Technology Enabled Care services and moving towards a direct payment route for service users rather than providing these services in-house. Our current business model does not allow us to deal with residents of other counties directly.
5. The service currently provides telecare services to 27,000 homes across 8 Local Authority areas. Carmarthenshire represents 3,853 homes, with numbers on the decline. With the whole Hywel Dda region equating to 6,776 homes. As a general rule a monitoring centre of this type would require a minimum of 10,000 connections to be viable. Whilst the service currently comfortably meets this threshold a number of the contracts are due to expire in March 2019 and will need to be re-tendered. If we are not able to change the business model, we anticipate that next year the service will reduce by a minimum of 5 staff.

**Development of a Local Authority Trading Company**

6. To address this challenge, the service has developed a detailed business case for a Local Authority Trading Company (LATC). This would essentially mean that a company would be set up that is wholly owned by the Local Authority but would have the ability to access far wider markets and income streams than the current Careline service is able to do. (Appendix 1)
7. The business case outlines what the drivers for change are and what alternative service delivery models have been considered before deciding on the LATC option.
8. Specifically the rationale for the development of an LATC was on the basis that it could be 100% owned and controlled by the Local Authority with any surpluses generated being reinvested into Social Care services. The Council will also be responsible for managing any financial liabilities that the LATC incurs.

### **Teckal Compliance\***

There are legal implications in relation to the development of a Local Authority Trading Company. These are in relation to the ability to trade and ‘Teckal’ compliance which grants the LATC exemption from competitive tendering as long as it delivers the same service and has at least 80% of its income generated from the provision of its services to the Council.

This exemption enables a public body (typically a Council) to award a contract to provide services directly to another legal entity without any need for a formal procurement process - provided the new body is ‘Teckal compliant’. To be ‘Teckal compliant’, that other legal entity must be subject to a level of control by the Council (similar to the control the Council holds over its own departments) and the entity must also derive at least 80% of its work streams from the Council.

If Careline is transformed into a single Company, therefore, the Council will be able to award contracts directly to that body without any formal procurement process - provided it is formed to be, and remains, ‘Teckal compliant’. Put simply, this means the body will be subject to significant degree of control by the Council, but will be a separate legal entity. Importantly, the Company will be free to trade externally - securing up to 20% of its income from external sources.

The Company (Llesiant Delta Wellbeing Ltd) would:

- Employ all the TUPE’d staff
- Have a contract with the Council for the delivery of services
- Be controlled by the Council through the Llesiant Delta Wellbeing Governance Group (see Figure 1 below)

\* ‘Teckal’ is a piece of European Union law allowing Councils to deliver services through externally managed entities without having to follow competitive tendering rules and procedures. To qualify for “Teckal exemption” two conditions must be met:

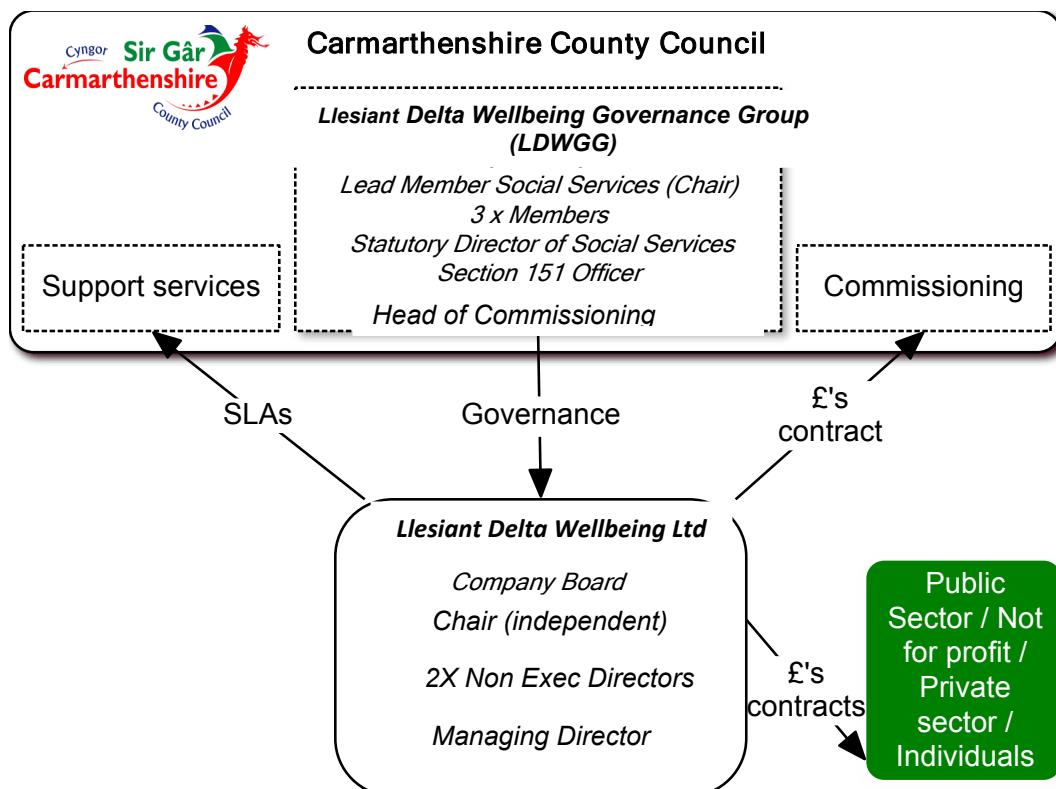
- the control condition - the local authorities must control the entity, and;
- The economic dependence condition - case law has stated the condition is met if the activities of the entity are devoted principally to the local authority with any other activities being only of ‘marginal significance’ which means the Company must have at least 80% of its income derived from the provision of services to the Council.

### **Governance arrangements**

9. The structure of ‘Llesiant Delta Wellbeing’ LATC will reflect a number of key relationships, governance and contractual arrangements for the Council and the new company. There are four main relationships that the Council will have with the Company:

- As the 100% owner with monitoring arrangements via the Llesiant Delta Wellbeing Governance Group (LDWGG)
  - As the commissioner with a contract for service delivery by Llesiant Delta Wellbeing Ltd
  - As an operational partner with Llesiant Delta Wellbeing Ltd in the delivery of strategically important services that form part of the Council's access pathway
  - As a contract holder for delivering business support services to the company
10. The LATC would include a governance structure to meet legal and financial compliance. (see Figure 1 LATC Structure below) The structure would be overseen by a 'Llesiant Delta Wellbeing' Governance Group (LDWGG), which would be chaired by the Executive Board Member (EBM) for Social Care and include 3 elected members, the Statutory Director for Social Services, Section 151 Officer and Head of Commissioning.
11. The LDWGG has the responsibility for setting out the expectations and ambitions of the Council as owners of 'Llesiant Delta Wellbeing Ltd' at a strategic level e.g., for ensuring performance is in line with the agreed business plan for the company and that the provisions of the Shareholder's Agreement are observed by the LATC.

**Figure 1 (LATC Structure)**



12. The Shareholder/Membership Agreement is a legal document allowing the shareholder/owner, in this instance the Council, to restrict what shareholders/owners and Directors can do on behalf of 'Llesiant Delta Wellbeing Ltd.' As there is only one shareholder/owner, the aims of this agreement are to restrict the abilities and

authorities of the Company Directors, so that the Council and Members are satisfied that the assets and employees of the Company are adequately protected.

13. There is the opportunity in this agreement to add further “Restricted Matters” that prevent Directors from making and implementing specific decisions or policies, without the explicit consent of the LDWGG. For example:

- Directors cannot give themselves any form of payment or benefit outside that agreed in the ratified Business Plans
- Directors cannot commit the Company to any form of loan or credit agreement without express approval from the LDWGG

14. The summary business case (Appendix 1) sets out the boundaries of decision making for the company and when it should defer to the Council.

15. The ‘Llesiant Delta Wellbeing Ltd’ LATC is managed by a Company Board which is made up of an Independent Chair, a Managing Director and 2 Non-Executive Directors. This Board is the executive board of the company and responsible for:

- a. Day to day management of the business
- b. Making strategic and operational decisions
- c. Ensuring that the company meets its statutory obligations

## **Staffing Implications**

16. The setting up of the Company will involve the transfer of the existing 49 staff into the new organisation under Transfer of Undertakings (Protection of Employment) TUPE regulations with all existing terms and conditions being maintained and protected at transfer. These terms and conditions will include:

- Pay
- Sickness
- Holiday entitlement
- Other time off provision
- Continuity of employment
- Pension
- Grievance
- Disciplinary
- Behavioural Standards
- Code of Conduct etc.,

17. The company will be applying for admitted body status into the Local Government Pension Scheme and will also recognise trade unions. The company will not operate a two-tier system and new staff employees taken on by the company will be on the same terms and conditions as the former Carmarthenshire County Council staff in the company (including pensions) which are listed above.

18. The company, will have its registered office address as County Hall to keep costs down and utilise existing council support (although over time the company could choose to procure support services from elsewhere)

## **Financial Implications**

19. The company’s initial start-up costs will be funded via a loan from the Authority, which will be repaid over an agreed timeframe with appropriate interest charges.

20. It is anticipated that the Llesiant Delta Wellbeing Ltd LATC will generate a trading surplus over a 5 year period.

21. A detailed 5-year business plan will be completed and agreed by the LDWGG group and then receive formal approval from the Council's Executive Board before the new company is formed.

## **Consultation**

A consultation programme is underway with service users and staff. This is included in the project plan (Appendix 2) attached with this report.

Preliminary feedback from the service user consultation indicated that the majority of service users agreed with the option to create a company wholly owned and controlled by the Council (LATC).

Initial feedback from the ongoing dialogue from staff indicate that they accept the need to change the current business model in order to further develop future business opportunities.

## **Next steps**

A project plan outlining the next steps in the establishment of the 'Llesiant Delta Wellbeing Ltd' LATC has been attached for information. (Appendix 2).

## **Recommendations**

That a Local Authority Trading Company for Careline called 'Llesiant Delta Wellbeing Ltd' be established.

<b>DETAILED REPORT ATTACHED?</b>	Yes. A summary business case is attached at Appendix 1 together with a Project Plan at Appendix 2
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# IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: Rhian Dawson

Head of Integrated Services

Policy, Crime & Disorder and Equalities YES	Legal YES	Finance YES	ICT YES	Risk Management Issues YES	Staffing Implications YES	Physical Assets YES
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## 1. Policy, Crime & Disorder and Equalities

A full Equalities Impact Assessment (EIA) has been developed which outlines the potential impact of the LATC on the protected characteristics. Risk levels identified remain low and there is no negative impact identified that would adversely affect the service delivered to clients.

## 2. Legal

There are legal implications in relation to the development of a Local Authority Trading Company. These are in relation to the ability to trade and "Teckal" compliance which grants the LATC exemption from competitive tendering as long as it delivers the same service and has at least 80% of its income generated from the provision of its services to the Council. There are also "contractual" issues that will need to be considered in relation to the support services provided to the company on behalf of the Council. These are covered in the business case and legal services have been involved in the development of the document.

It should be noted, however, that Teckal companies may offer different models of delivery and governance arrangements to reflect the key drivers in setting up and establishing the company.

## 3. Finance

The company will require a loan facility from the Authority of up to £250k to meet initial cash flow requirements and setup costs. The loan will be at a commercial rate of interest to be approved by Full Council, with the duration to be agreed within the detailed business plan. In the event that the Company is not established, then the costs of implementation will be met from reserves.

The current pension liabilities for staff employed by the company will be underwritten by the Authority.

The Council will provide a guarantee to the Dyfed Pension Fund that it will meet any outstanding pension scheme liabilities should it be liabilities will not revert to the fund.

The five year financial model contained within the business plan has been developed in conjunction with the consultants, and current projections indicate that the LATC will realise a net surplus of £824,754 over the first 5 years. This surplus will be returned to the Council in the form of a rebate or a reduced contract price, thus leaving the Company with no retained reserves.

## 4. ICT

There are ICT implications in relation to the development of an LATC. The company would be provided with ICT support by the Council in the same way that this is currently provided

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[www.sirgar.llyw.cymru](http://www.sirgar.llyw.cymru)

YOUR COUNCIL doitononline  
[www.carmarthenshire.gov.wales](http://www.carmarthenshire.gov.wales)

to departments across the authority now. The company would have access to the same hardware which would be replaced as per the Council's refresh programme. The company would also have access to its own website which would be hosted by the Council as well as existing software file directories.

## **5. Risk Management Issues**

The business case has identified risks associated with its development as well as those in relation to implementation and trading. Each risk has been categorised as being either high, medium or low and all have mitigating action identified in order to control and where appropriate reduce the risk. These risks will be monitored throughout the project and will be reported to Project Board.

## **6. Staffing Implications**

There are staffing implications in relation to staff that would TUPE across to the LATC from the Council. There would be an estimated 49 FTE's (full time equivalent) staff who would transfer across. Assurances have been included in the business case to guarantee that in accordance with TUPE regulations, staff terms and conditions will be protected at transfer, and that the company will be applying for admitted body status for into the Local Government Pension Scheme. The company will also recognise trade unions and new staff employees taken on by the company will be on the same terms and conditions as the former CCC staff in the company (including pensions). These issues are covered in the business case and HR advice has been sought in the development of the document.

## **7. Physical Assets**

Llesiant Delta Wellbeing Ltd will continue to utilise the office accommodation currently utilised, with the future arrangements being formalised by Property Services. There should not be any additional costs incurred in this arrangement.

# CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: Rhian Dawson

Head of Integrated Services

## 1. Scrutiny Committee

Social Care & Health – 23<sup>rd</sup> November, 2017 - Members of Scrutiny Committee received a presentation on the proposals and were given the opportunity to comment.

**2. Local Member(s)** N/A at present time, but will be consulted as part of the political approval process

**3. Community / Town Council** N/A

**4. Relevant Partners** N/A

## 5. Staff Side Representatives and other Organisations

Discussions have taken place at the Departmental Trade Union representatives on 9<sup>th</sup> October 2017 and with staff and their Trade Union representatives on 10<sup>th</sup> October 2017. “Drop-in” sessions have been held with staff, HR and Trade Unions on 17<sup>th</sup> & 19<sup>th</sup> October and 5<sup>th</sup> and 6<sup>th</sup> December 2017. A meeting has been held with the unions for initial feedback on the business case on 27<sup>th</sup> November and a further meeting has been arranged for 26<sup>th</sup> January. Further dialogue with staff and trades union will continue throughout the implementation process should political approval be granted to establish an LATC.

Formal consultation on the business case with stakeholders has taken place and was concluded at the beginning of January 2018.

## Section 100D Local Government Act, 1972 – Access to Information

### List of Background Papers used in the preparation of this report:

A copy of the following documentation can be obtained from the Project and Programmes Team in 3 Spilman Street:

- Full Business Case
- Service User Feedback Report
- Staff Feedback Report
- Equality Impact Assessment



## Carmarthenshire County Council

**'Llesiant Delta Wellbeing Ltd Local Authority Trading Company'**

**Summary Business Case  
January 2018**

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## 1. Background

Like all other Councils, Carmarthenshire County Council faces considerable financial challenges. As adult social care is often one of the biggest budget spend areas, year on year efficiency savings fall heavily in this area. In response, the Council wished to explore the opportunities offered by new delivery models, with the expressed intention of ensuring quality, cost effectiveness and the ability to respond to current and future demand.

There is recognition that new service models for individuals, communities and partners have the potential to deliver benefits and improve outcomes for citizens, and this need for new service models is magnified by the continual government drive towards increasing take up of direct payments.

## 2. Drivers for change

The list of drivers below outlines the need for change that the Council is facing in this area of Social Care. The increasing age profile of the population as reflected in local demographics is putting a greater demand for services and care from a sector that is facing year on year savings demands from central and local government. Added to this the Technology Enabled Care (TEC) agenda is gaining prominence.

The principal drivers for change are:

- Demographic growth
- Quality (e.g. Choice/Legislative requirements/partnerships/outcomes)
- Service
- Income (e.g. Savings/Income/Growth)
- Governance and flexibility (e.g. accommodate new services/respond quickly to market changes)
- Acceptability to stakeholders (e.g. service users, carers, staff, partners and Members)
- Ability to transform services
- Technology
- Employment

## 3. Options Appraisal

An Options Appraisal for Careline was completed with the remit to:

*“Explore the opportunities offered by new delivery models, with the expressed intention of ensuring quality, cost effectiveness and the ability to respond to current and future demand”.*

The options appraisal compared 4 principal options and then marked them against a set of agreed criteria. These options were:

- **Remain in-house** - Retain current in-house provision
- **Outsource** - Outsource to the independent sector
- **LATC** - Develop a Local Authority Trading Company (LATC)
- **CIC** - Develop a Community Interest Company (CIC)

The summary results of the scoring were:

Max Score	How well does the new model satisfy the following requirements	Remain In-house	Outsource	LATC	CIC
180	Quality	131	73	155	128
120	Cost	72	55	102	56
90	Governance and Flexibility	66	25	69	43
120	Acceptability to Stakeholders	86	30	93	64
60	Ability to Transform Services	39	29	53	41
	Overall Rating	394	212	472	332

The result of the appraisal was that the LATC met more of the criteria than the other models, and the recommendation was that a Full Business Case should be developed to fully explore and evaluate the costs and benefits of establishing an LATC.

## 4. The new organisation

### 4.1 Vision for Llesiant Delta Wellbeing Ltd

The vision for the new Llesiant Delta Wellbeing Ltd is to set it up as a commercial enterprise in a Carmarthenshire owned Local Authority Trading Company. This will allow Llesiant Delta Wellbeing Ltd to sell its services to:

- Local Authorities
- Not for profit organisations
- Commercial businesses
- Private individuals

It will be able to make a profit and plough this back as investment in additional services, or pass back to the Council as dividend/contract rebate to be used to support other social care services.

### 4.2 Brand

Llesiant Delta Wellbeing Ltd will set themselves up as:

***Professional experts in technology related care and support, helping people to maintain their independence and quality of life*** and will deliver

***High quality, reliable, multi-lingual response services.***

### 4.3 Benefits

The key benefits for Carmarthenshire in the development of a larger, commercial, Llesiant Delta Wellbeing Ltd operating through a Local Authority Trading Company are that it will offer to the residents of Carmarthenshire greatly enhanced:

- **Service**  
With a wider customer base, Llesiant Delta Wellbeing Ltd will be a larger organisation and have more resilience in its teams as a result. It will be able to afford to employ people with wider skills (such as Occupational Therapist's) over longer periods of time, that will be available to Carmarthenshire residents as an enhanced offer
- **Employment**  
Developing the business in Carmarthenshire will create a larger workforce, which will have a positive impact for all staff, providing greater opportunities for professional development in a larger organisation. In addition, recruitment and retention should be easier through offering good career opportunities and progression to existing and potential staff
- **Income**  
Growing the business will allow for greater efficiencies, for example spreading management overheads across more customers. It will also enable the Council to generate profits which can be reinvested into Llesiant Delta Wellbeing Ltd or passed back to the Council as dividends to be used to support other social care services.

#### 4.4 Customers

The focus for Llesiant Delta Wellbeing Ltd will be on the following customer groups:

**Public Sector:**

- Councils, Universities, Welsh Government, NHS

**Not for profit:**

- Housing associations, Registered Social Landlords (RSLs)

**Private sector:**

- Housing developments, Retirement developments, Care homes, Childrens Homes, Secure institutions, LD semi-independent organisations

**Individuals:**

- Direct purchase by individuals

#### 4.5 Services

The core services that Llesiant Delta Wellbeing Ltd will offer are:

- **Alarm monitoring:**
  - 24 hours a day, 365 days a year
- **Information advice and assistance (IAA):**
  - The front door for Social Care and Health services for the Council  
24 hours a day, 365 days a year
  - Integrated with related service eg Social Workers, Occupational Therapist's, Nurses and safeguarding officers
- **Out of hours response:**
  - Operating a call handling system for various organisations out of normal working hours

Offering intelligent routing/action of contacts

- **Equipment and technology:**

Supply and installation of equipment and technology:

- **Consultancy:**

- Advice on the planning of technology related care and support to organisations

#### **4.6 Unique Selling Points**

- Llesiant Delta Wellbeing Ltd's unique selling points will be:
- **Local authority owned and operated:**
  - Public sector brand with associated values such as quality and trust
- **Social Care DNA:**
  - Embedded knowledge, skills and experience in all aspects of social care with access to other Social Care and Health services
- **Welsh-speaking:**
  - The ability to offer Welsh-speaking services, 24 hours a day, 365 days a year

### **5. What is a Local Authority Trading Company?**

A Local Authority Trading Company (LATC) is a limited company 100% owned by a local Authority, hence the name. It is registered with Companies House and must follow all the statutory obligations of a limited company.

A company can be “limited by shares” or can be “limited by guarantee”, the Council establishing their company can choose which type of company it should create.

The recommendation is that the LATC is owned by Carmarthenshire County Council and will be “limited by shares”. This recommendation has been given because the Council recognises the need for creating a LATC and this ownership is simpler to manage through share ownership.

One of the reasons for this recommendation is the Members’ and Officers’ view that the long-term future of the LATC will always be as a company owned by the Council.

The company has objectives other than making money. These other objectives are:

- Providing services to the benefit of residents of Carmarthenshire
- Increasing the provision of existing services without necessarily increasing the cost of that provision
- Diversifying its services to meet changing demand from service users

## **6. Llesiant Delta Wellbeing Ltd LATC characteristics**

The proposed new Llesiant Delta Wellbeing Ltd LATC for Carmarthenshire will have the following key characteristics:

### **6.1 Ability to trade**

Llesiant Delta Wellbeing Ltd will be able to trade in the open market and charge for those services that currently, as an in-house provider, it cannot do. This ability will allow Llesiant Delta Wellbeing Ltd to market and sell its services to customers, including Direct Payment holders, and private payers. Llesiant Delta Wellbeing Ltd will also be able to sell services to residents of other Authorities and other public bodies including neighbouring authorities, the NHS and Clinical Commissioning Groups etc. On top of this, Llesiant Delta Wellbeing Ltd will be able to trade with private organisations. In all its activities Llesiant Delta Wellbeing Ltd will also be legally allowed to make a surplus.

### **6.2 Rebate surpluses and benefits back to the council**

As 100% shareholder, the Council has total control over the treatment and destination of all surpluses generated by Llesiant Delta Wellbeing Ltd. This could mean deciding to invest in additional new Llesiant Delta Wellbeing Ltd services, or rebating the surpluses back to the Council for redistribution within Social Care related services.

### **6.3 A contractual / commercial relationship with the Council for the provision of services**

In order to protect the Council's current high-level of quality in service delivery, it will establish and enforce a supply contract with Llesiant Delta Wellbeing Ltd for all the social care and other services that the company will provide. This contract will have quality requirements and Key Performance Indicators (KPIs) that will need to be achieved on a monthly basis. This contract could have financial penalties included to ensure that the Council does receive best value for the services it commissions.

### **6.4 Use of the Council's current corporate services**

This includes services such as ICT, HR and Financial Transactions processing. Llesiant Delta Wellbeing Ltd will need to maintain the support services that it currently enjoys, to ensure that services are provided as they are now. There will need to be a service contract between the Council and Llesiant Delta Wellbeing Ltd, where Llesiant Delta Wellbeing Ltd agrees and defines the range of services and service levels that the Council's corporate services should deliver. Just as in the service contract described above, this

contract should allow Llesiant Delta Wellbeing Ltd to receive good value for money and high quality services.

## 7. Property and Finance

### 7.1 Property

Llesiant Delta Wellbeing Ltd will continue to utilise the office accommodation currently utilised, with the future arrangements being formalised by Property Services. There should not be any additional costs incurred in this arrangement.

### 7.2 Finances

The Council will be transferring all operating budgets that relate to the Llesiant Delta Wellbeing Ltd operation. This will include both income and expenditure.

As with all expanding businesses, there can be a period when the investment in new functions and resources does not immediately deliver financial benefit or increased turnover.

#### 7.2.1 Financial benefits

The summary table below shows that Llesiant Delta Wellbeing Ltd could generate new additional turnover and surpluses over the first five years.

Llesiant Delta Wellbeing Ltd					
Five Year Profit and Loss Account with additional income					
Llesiant Delta Wellbeing Ltd	Year 1	Year 2	Year 3	Year 4	Year 5
<b>Income</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>
Existing Income	1,669,678	1,669,678	1,669,678	1,669,678	1,669,678
Total Additional Income	359,308	836,373	1,319,218	1,494,545	1,639,629
<b>Total Income</b>	<b>2,028,986</b>	<b>2,506,051</b>	<b>2,988,896</b>	<b>3,164,223</b>	<b>3,309,307</b>
<b>Total Expenditure</b>	<b>2,090,505</b>	<b>2,455,773</b>	<b>2,803,679</b>	<b>2,882,788</b>	<b>2,939,964</b>
Interest on Loan	(13,500)	(10,500)	(7,500)	(4,500)	(1,500)
<b>Profit/(Loss in year)</b>	<b>(75,019)</b>	<b>39,778</b>	<b>177,717</b>	<b>276,935</b>	<b>367,844</b>

The above surpluses could be used to develop new services or could be allocated back to the Council to be used to support other social care services.

The company will be supported by a commercial loan from the Council. This loan has been included in the financial forecast at £250k and will be provided by the Council over five years at a commercial interest rate. The loan is designed to fund all implementation costs and short term cash flow requirements in the first year.

Llesiant Delta Wellbeing Ltd does not provide any regulated social care services, so it follows the standard VAT regime. This means that the company can claim all its VAT input and will charge output VAT on all its invoices to customers. There is no financial implication or cost as a result of the transfer from the Council.

## **8. How will Llesiant Delta Wellbeing Ltd operate internally?**

### **8.1 Llesiant Delta Wellbeing Ltd internal governance**

It is recommended that the Company will be managed internally by one Board:

- The Company Board:
  - The formal, statutory, Company Board, legally responsible for the day to day management of the Company

The governance mechanisms that are recommended for the Council to adopt in managing Llesiant Delta Wellbeing Ltd through the DWGG can be found in a later section.

### **8.2 The Company Board**

This Board is designed to manage and control the operational and financial performance of the company. The size of the organisation in the early years (49.06) staff, does not warrant a fully formed company board and so Llesiant Delta Wellbeing Ltd would be managed by the following positions:

- **Independent Chair** – Appointed by the Council
- **Non Exec Directors** x 2 – externally recruited selected with appropriate backgrounds to provide a creative contribution to the Board by providing independent oversight and constructive challenge to the Executive Directors
- **Managing Director** – the current senior service manager for Careline would TUPE into this role

Operational matters will be dealt with by the MD and HR resource will be provided by the Council's corporate services, as they are now.

The Company Board would meet officially once every month and would deal with all aspects of the management of the company.

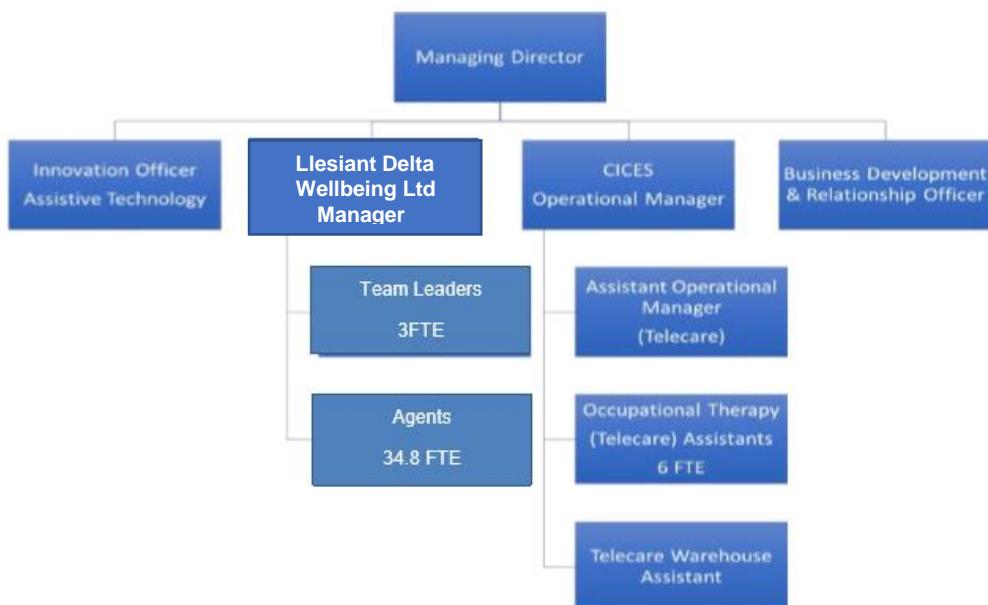
The Management team would be expected to meet on a very regular basis, as one of the significant advantages for this type of organisation is its small size relative to the Council. This enables the Managers to be based in the same building and so working together formally and informally on a daily basis. The key areas of responsibility for each Management post includes the following:

- **Managing Director** – operational efficiency, business strategy and planning; culture change, including transformation; interface and reporting with management board and with Llesiant Delta Wellbeing Ltd Governance Group
- **Finance Manager** – (bought in from the Council) Financial reporting, cashflow management; I.T.; Property; Procurement; commercial contracts

- **Business Development Manager** – overall responsibility for the delivery of new business and customers in line with the strategic goals of the shareholder

The proposed Company Management Team structure and reporting lines on transfer are set out in the diagram below:

## Staff structure



## 9. Governance

Effective governance is an essential component in creating Llesiant Delta Wellbeing Ltd in order to ensure that the requirements of the Teckal Exemption are satisfied. For example, the need for the Council to exert control and influence over the company.

It is anticipated that the company will have a structure and relationship to the Council as set out in the following sections:

### 9.1 Teckal Compliance

This exemption enables the Council to award a contract to provide services directly to another legal entity without any need for a formal procurement process - provided the new body is “Teckal compliant”. To be Teckal compliant, that other legal entity must be subject to a level of control by the Council (similar to the control the Council holds over its own departments) and the entity must also derive at least 80% of its work streams from the Council.

If Llesiant Delta Wellbeing Ltd is transformed into a single Company, therefore, the Council will be able to award contracts directly to that body without any formal procurement process - provided it is formed to be, and remains, Teckal compliant. Put simply, this means the body will be subject to significant degree of control by the Council, but will be a separate legal entity. Importantly, the Company will be free to trade externally - securing up to 20% of its income from external sources.

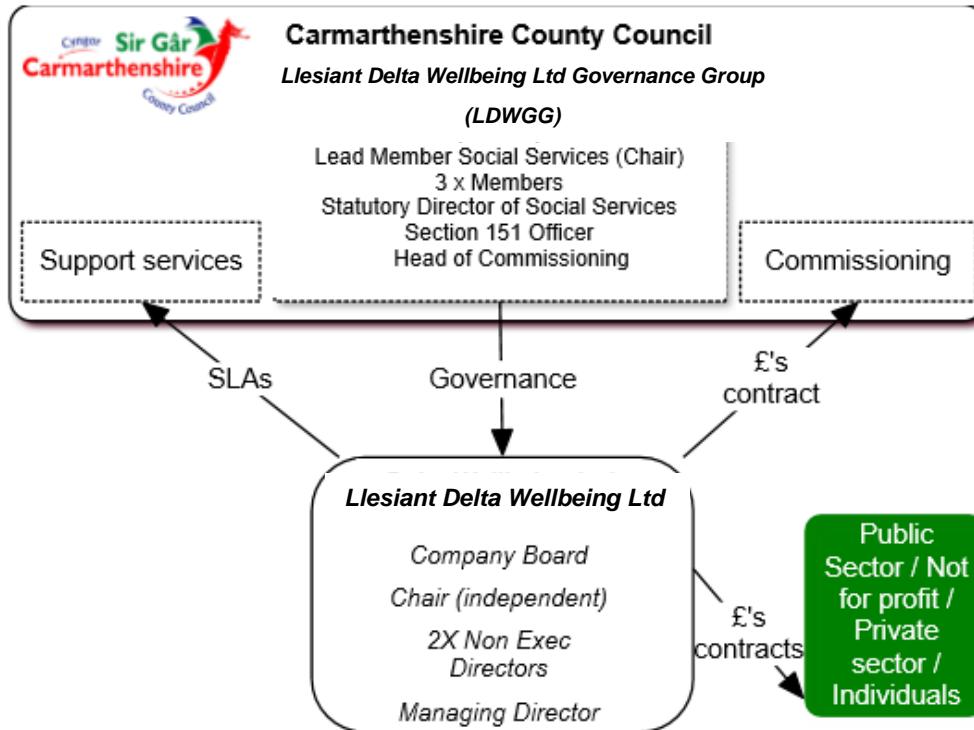
## **9.2 The Llesiant Delta Wellbeing Ltd Group Governance structure**

The structure of Llesiant Delta Wellbeing Ltd will reflect a number of key relationships, governance and contractual arrangements for the Council and the new company.

There are four main relationships that the Council will have with the Company:

- As the 100% owner with monitoring arrangements via the Llesiant Delta Wellbeing Ltd Governance Group (LDWGG)
- As the commissioner with a contract for service delivery by Llesiant Delta Wellbeing Ltd
- As an operational partner with Llesiant Delta Wellbeing Ltd in the delivery of strategically important services that form part of the Council's access pathway
- As a contract holder for delivering business support services to the Company

It is recommended that the Company has a structure and relationship to the Council as set out in the diagram below:



Some of the key responsibilities of the boards are:

- **Llesiant Delta Wellbeing Ltd Governance Group**  
The Board has the responsibility for setting out the expectations and ambitions of the Council as owners of Llesiant Delta Wellbeing Ltd at a strategic level and ensuring that the provisions of the Shareholder's Agreement are observed by Llesiant Delta Wellbeing Ltd
- **Llesiant Delta Wellbeing Ltd, Company Board**  
This Board is the executive board of the company and responsible for:
  - Day to day management of the business
  - Making strategic and operational decisions
  - Ensuring that the company meets its statutory obligations

### 9.3 Council relationship with Llesiant Delta Wellbeing Ltd

This business case recommends the Council exert control and influence through the Llesiant Delta Wellbeing Ltd Governance Group (LDWGG). In the

diagram above it can be seen that the DWGG sits in the middle of the Carmarthenshire County Council area representing its central role in the Council – Llesiant Delta Wellbeing Ltd relationship.

The purpose of the DWGG is to act on behalf of the Council (shareholder) to scrutinise Llesiant Delta Wellbeing Ltd performance against its service contract and Business Plan, and to review investment plans and risks.

The Llesiant Delta Wellbeing Ltd Governance Group will typically have the following membership:

- Lead Member for Social Services (Chair)
- Three other Members (politically balanced)
- Statutory Director of Social Services
- Section 151 Officer
- Head of Commissioning

Selecting Members with business experience and commercial acumen on the DWGG will help to provide scrutiny and constructive challenge to the Company Board. It is suggested that the DWGG meets every quarter with the Llesiant Delta Wellbeing Ltd Company Board reporting on the following:

- Financial performance – matched against the latest Business Plan
- Service and Quality performance – matched against contractually agreed service levels, using Key Performance Indicators (KPIs) as a summary guide
- New and additional income returns and plans
- Annual presentation in November/December of the next year's Business Plan and strategic direction of Llesiant Delta Wellbeing Ltd

One of these quarterly meetings will act as the Annual General Meeting (AGM).

#### **9.4 Contractual relationships between the Council and Llesiant Delta Wellbeing Ltd**

In the structure diagram, there are two other boxes on the Carmarthenshire County Council side that represent contractual relationships with the Company:

##### **1. The Commissioner**

This is where Council commissioners of adult services monitor on a monthly basis contractual performance of the Company. This allows continual scrutiny of service delivery levels and gives commissioners significant ability to fully understand their commissioned services and the factors that affect performance

##### **2. The Council Support Services**

This is where the Council is the provider of business support services to the Company, including:

- a. HR providing transactional processing, payroll and advice
- b. Business Administration Support

- c. ICT providing all hardware, networks and software on an on-going basis including daily support
- d. Financial transaction processing providing systems and processing for purchase orders, purchase invoices, payments, sales invoicing and receipts

The contractual relationship between the Council and Llesiant Delta Wellbeing Ltd will also be supported by the following legal documents;

### **9.5 Articles of association**

Both a **Memorandum of Association** and **Articles of Association** are required for a company formed in the UK under the Companies Act 2006 and previous Companies Acts. The **Memorandum of Association** is the document that sets up the company and the **Articles of Association** set out how the company is run, governed and owned.

The **Articles of Association** is a document that defines and records clearly the purpose of the company as well as the duties and responsibilities of its members. It is an important document which needs to be filed with the Registrar of Companies.

### **9.6 Shareholder Agreement**

The Shareholder/Membership Agreement is a legal document allowing the shareholder/owner, in this instance the Council, to restrict what shareholders/owners and Directors can do on behalf of Llesiant Delta Wellbeing Ltd. As there is only one shareholder/owner, the aims of this agreement are to restrict the abilities and authorities of the Company Directors, so that the Council and Members are satisfied that the assets and employees of the Company are adequately protected.

## **10. Risks**

A number of potential medium level risks have been identified as part of the Business Case. These could occur if the Company goes live. Should approval to progress the LATC be given, mitigating actions will be developed to manage and reduce the risks.

Potential risks identified are as follows:

- Delayed income generation due to service disruption
- Not achieving targeted savings and benefits
- Llesiant Delta Wellbeing Ltd is uncompetitive due to the cost of its workforce
- New entrants move into market more quickly than Llesiant Delta Wellbeing Ltd anticipated and offer competitive rates
- Llesiant Delta Wellbeing Ltd will not have the staff or resources to develop and sell new services

## **10.1 Failure of Llesiant Delta Wellbeing Ltd to deliver the proposed business plan**

In the event of business failure or poor performance, the Council would need to consider alternative arrangements. This would only be considered after the company had been given the necessary time that any new venture needs to find its feet. There are three solutions:

- Replace the senior management team. This would typically involve replacing the directors after consistent underperformance and after the failure of their response initiatives to the initial poor service or financial performance
- *Bringing the services back into the Council.* This would be a relative quick and inexpensive solution. Whilst it would be a retrograde step it may provide confidence to customers, staff and unions and help to manage risk
- *Move services to the independent sector.* Alternatively, the Council could look to the market to take on these services although this would take some time to achieve and incur significant procurement costs. The reasons for the potential failure of the Company as a business may also have an impact on the interest and response of the market and push up the costs. Therefore, an analysis of the costs of either bolstering the services or the Board versus making them attractive to independent providers would need to be undertaken

The level of scrutiny of the performance of a Council owned independent organisation is much greater than that of any other independent provider and as partner the Council would have plenty of warning if the Company is not achieving its planned performance or is likely to become unviable. There will therefore be an opportunity to implement an improvement plan to bring the performance back in to line or if it is felt that this is unlikely, to look at the other alternatives discussed above

## **10.2 Breaching the conditions of the Teckal Exemption**

Should Llesiant Delta Wellbeing Ltd begin to generate significant income from private sector customers, it may be necessary to review the business model, to mitigate the risk of breaking the Teckal exemption.

It is unlikely that the Council would breach the other main condition of the Teckal exemption, i.e. it is unable to demonstrate that it has effective control of the organisation.

## **11. Conclusion**

There is a net financial and service benefit to the Council establishing and running Llesiant Delta Wellbeing Ltd as a wholly owned Company limited by shares over a five-year period.

## **12. Recommendation**

The Council proceeds with the appropriate level of Public Consultation and takes the necessary decisions to incorporate and to establish Llesiant Delta Wellbeing Ltd as Local Authority Trading Company.

## **13. Implementation**

Subject to approval from the Council, the establishment of the new Llesiant Delta Wellbeing Ltd LATC would go-live on April 1st 2018.





## Appendix 2

### Llesiant Delta Wellbeing Ltd LATC PROJECT BUSINESS CASE PLAN

LATC Milestones	NOVEMBER 2017																						DECEMBER 2017												JANUARY 2018							FEB 2018
	1st	2nd	3rd	6th	7th	8th	9th	10th	13th	14th	15th	16th	17th	20th	21st	22nd	23rd	24th	27th	28th	29th	30th	5th	6th	7th	8th	11th	12th	13th	14th	15th	18th	19th	20th	10th	11th	12th	15th	19th	22nd	14th	
Political Approval																																										
KEY																																										
DMT																																										
CMT: Corporate Management Team																																										
PEB: Preliminary Executive Board																																										
CS: Community Scrutiny																		Presentation																								
EB: Executive Board																																										
Full Council																																										
Consultation with Service Users																																										
Consultation with Staff																																										
Finalising HR, Legal and Finance issues prior to implementation																																										

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