

DYDD GWENER, 4 MAWRTH 2022

AT: HOLL AELODAU'R PWYLLGOR LLYWODRAETHU AC ARCHWILIO

YR WYF DRWY HYN YN EICH GALW I FYNYCHU CYFARFOD
RHITHWIR O'R PWYLLGOR LLYWODRAETHU AC ARCHWILIO A
GYNHELIR AM **10.00 YB, DYDD GWENER, 11EG MAWRTH, 2022**
ER MWYN CYFLAWNI'R MATERION A AMLINELLIR AR YR AGENDA
SYDD YNGHLWM

Wendy Walters

PRIF WEITHREDWR

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Wendy Walters Prif Weithredwr, *Chief Executive*,
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PWYLLGOR LLYWODRAETHU AC ARCHWILIO

AELODAETH 8 AELOD O'R CYNGOR A 1 AELOD ALLANOL A PHLEIDLAIS

GRŴP PLAID CYMRU(4)

- | | | |
|----|------------|----------------|
| 1. | Cynghorydd | Kim Broom |
| 2. | Cynghorydd | Karen Davies |
| 3. | Cynghorydd | Gareth John |
| 4. | Cynghorydd | Elwyn Williams |

GRŴP LLAFUR (2)

- | | | |
|----|------------|--------------|
| 1. | Cynghorydd | Tina Higgins |
| 2. | Cynghorydd | Bill Thomas |

GRŴP ANNIBYNNOL(1)

- | | | |
|----|------------|--------------|
| 1. | Cynghorydd | Giles Morgan |
|----|------------|--------------|

GRŴP ANNIBYNNOL NEWYDD (1)

- | | | |
|----|------------|-----------------|
| 1. | Cynghorydd | Louvain Roberts |
|----|------------|-----------------|

AELOD ALLANOL A PHLEIDLAIS

(Cyfnod y penodiad - tan etholiadau Llywodraeth Leol ym Mai 2022/

- | | |
|----|-----------------|
| 1. | Mrs Julie James |
|----|-----------------|

AGENDA

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NI DDYLID CYHOEDDI'R ADRODDIADAU SY'N YMWNEUD Â'R MATERION CANLYNOL GAN EU FOD YN CYNNWYS GWYBODAETH EITHRIEDIG FEL Y'I DIFFINIWYD YM MHARAGRAFFAU 12 A 13 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 PWYLLGOR AR ÔL CYNNAL PRAWF LLES Y CYHOEDD YN PENDERFYNU YN UNOL Â'R DDEDDF, I YSTYRIED Y MATERION HYN YN BREIFAT, GORCHMYNNIR I'R CYHOEDD ADAEL Y CYFARFOD YN YSTOD TRAFODAETH O'R FATH.
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Mae'r dudalen hon yn wag yn fwriadol

Pwyllgor Llywodraethu ac Archwilio 11 Mawrth 2022

Strategaeth Llety Gofal Cymdeithasol i Oedolion

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

Y Pwyllgor Llywodraethu ac Archwilio i nodi'r cynnydd a wnaed a blaenoriaethau'r dyfodol mewn perthynas â phobl ag Anabledd Dysgu

Y Rhesymau:

Ym mis Gorffennaf 2018, derbyniodd y Pwyllgor Archwilio adroddiad ar gynlluniau i ddatblygu amrywiaeth o lety i bobl ag anabledd dysgu. Mae'r adroddiad hwn yn rhoi'r wybodaeth ddiweddaraf am ddatblygiadau hyd yma.

Ymgynghorwyd â'r pwyllgor craffu perthnasol:

Y Pwyllgor Craffu Iechyd a Gofal Cymdeithasol yn adolygu ac yn monitro'r strategaeth Gomisiynu a'r cynllun llety ar gyfer oedolion ag anabledd dysgu.

Angen i'r Cabinet wneud penderfyniad: Na

Angen i'r Cyngor wneud penderfyniad: Na

YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO: Cyng. J Tremlett

Y Gyfarwyddiaeth:

Adran Cymunedau

Enw Pennaeth y

Gwasanaeth:

Avril Bracey

Swydd:

Pennaeth Gofal

Cymdeithasol i Oedolion

Rhif ffôn:

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Awdur yr Adroddiad:

Avril Bracey

Governance & Audit Committee
11 March 2022

Adult Social Care Accommodation Strategy

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

In July 2018, the Audit Committee received for consideration a WAO report concerning the strategic commissioning of accommodation services for adults with a learning disability.

A verbal update was provided in December 2018 regarding the Authority's plans to develop accommodation services for adults with learning disability in Carmarthenshire. The Committee agreed that it would be beneficial to have an update on these developments at a future audit meeting. The attached report is an initial summary of Carmarthenshire's current position in response to the WAO report.

DETAILED REPORT ATTACHED?

YES

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: Avril Bracey – Head of Adult Social Care

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

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

Signed: Avril Bracey – Head of Adult Social Care

1. Scrutiny Committee: The Health and Social Care Scrutiny Committee will be reviewing and monitoring the Commissioning strategy and accommodation plan for adults with a learning disability.

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
WAO Report – Strategic Commissioning of Accommodation Services for Adults with Learning Disabilities (May 2018)		Strategic Commissioning of Accommodation Services for Adults with Learning Disabilities Audit Wales

Mae'r dudalen hon yn wag yn fwriadol

SUBJECT

WAO Report on accommodation for adults with a Learning Disability - May 2018

In July 2018, the Audit Committee received for consideration a WAO report concerning the strategic commissioning of accommodation services for adults with a learning disability. The report concluded that:

- The approach to commissioning accommodation for people with a Learning Disability is potentially unsustainable
- LA's generally do not have effective arrangements to commission accommodation services for people with a Learning Disability.
- Ineffective evaluation of outcomes for Learning Disability services means Local Authorities are not always able to demonstrate the positive impact of their accommodation choices.

A verbal update was provided in December 2018 regarding the authority's plans to develop accommodation services for adults with learning disability in Carmarthenshire. The Committee agreed that it would be beneficial to have an update on these developments at a future audit meeting. The following is an initial summary of Carmarthenshire's current position in response to the WAO report.

It is important to note that developing a range of accommodation options for individuals with a learning disability was a priority for the division before the WAO report. In Carmarthenshire we have had an over reliance on residential care and our vision is to have a range of accommodation to promote choice, independence, and community integration. We believe this is fundamentally the right thing to do.

The Committee will be aware from the previous report that work began during 2017 with the social work teams, to identify those individuals with accommodation needs over the next three to five years. As part of the implementation of the Social Service and Wellbeing (Wales) Act, the West Wales Care Partnership (WWCP) led the development of a Market Position Statement and Area Plan which informed the development of a commissioning strategy for adults with a learning disability in Carmarthenshire. This strategy was published in 2019.

The WWCP, also in 2017, commissioned the Housing Learning Improvement Network (LIN) to undertake an assessment of the housing and accommodation needs of people with a Learning Disability for the next 10-20 years, on a regional footprint. We have since recommissioned the Housing LIN in 2021, to refresh this document in order to reflect the impact of Covid to include individuals with complex needs and mental health issues.

Since the publication of the first Housing Lin report and the Learning Disability Commissioning Strategy, Adult Social Care and the Commissioning Team have been

working to map the accommodation and support needs of individuals with a learning disability and other population groups. We now have a four-year accommodation plan which outlines what accommodation we need and where in the County we need it. This report will be launched at the Regional Commissioning Group on March 25th, 2022. In Carmarthenshire our strategic objective is to develop models of care which promote progression and independence. Therefore, the number of people who require accommodation going forward is likely to increase.

The pandemic has impacted on our progress, but we have we are collaborated with colleagues in housing and commissioning to progress several accommodation projects and utilised external funding such as the Integrated Care (Capital) Fund to progress bespoke housing projects:

Learning Disability and Mental Health is now a priority in the councils' housing strategy. We have been able to access the council's housing stock and new builds for those who are able to live independently. Our housing department have purchased properties and made the necessary adaptations to accommodate those with complex needs.

We have developed several accommodation projects in partnership with our colleagues in housing:

- Carmarthen – four individuals moved from residential into a five bedroomed property.
- Glanamman - a three bedroomed shared accommodation plus two self-contained flats.
- Cross Hands - a three bedroomed property, offering two shared tenancies with support.
- Llanelli - a three bedroomed property, offering two shared tenancies with support.
- (In progress) Llanelli - four shared tenancies for individuals with complex needs, plus four individual flats.
- (In progress) Pembrey - a three bedroomed property offering two shared tenancies with support.

We have been able to increase the independence of several individuals by working with providers to deregister residential settings to supported living. This gives the individuals concerned greater security of tenure and more choice and control, but at the same time they can remain in a setting where they feel settled, maintaining friendships and community links. To date we have been able to do this in three settings which has improved outcomes for 16 individuals. The following is a quote from one individual who was one of the first to move into a scheme:

Feedback from Mr T, via his community nurse- "I just spoke to Mr T. It was so lovely. He is so happy - 'Joyo, Joyo', he said. He has been 'everywhere' he says. He has been playing football outside with the staff. He happily shares chores like drying and washing up with X. He is looking forward to the future and talking about returning to all his jobs and clubs. He is also looking forward to going on holiday"

Our Shared Lives Scheme enables individuals to live with a family. We are part of a regional scheme which is hosted by Carmarthenshire. Over the last year we have restructured the team and developed a marketing strategy to increase the number of 'Shared Lives' carers, which will increase the options for individuals with a learning disability.

It is also important to note that we have several forums which ensure that we are progressing our commissioning intentions and our ambitious programme of change. We have also increased our staff resource in adult social care, commissioning, and housing to support this work.

Carmarthenshire is represented on a **Regional Commissioning Group** supported by the West Wales Care Partnership. This group:

- Considers findings from accommodation needs mapping, to inform strategic commissioning plans.
- Ensures projects are developed in a collaborative way, to meet needs as efficiently and effectively as possible.
- Identifies gaps in provision and remedial action required.

An Integrated Care Fund (ICF) capital group:

- Advises on commissioning proposals and priorities
- Identifies projects for grant funding.

The Head of Adult Social Care chairs a monthly **Accommodation and Efficiency Project Board** which:

- Has oversight of the Commissioning of all accommodation projects.
- Tracks progress and identify issues for escalation.
- Receives regular highlight reports in relation to all commissioned accommodation projects.
- Tracks expenditure and savings targets.

A Project Group is set up for every accommodation scheme, to monitor progress and timelines, and collaboratively resolve any difficulties.

In conclusion, whilst the pandemic has impacted on our progress, I hope this report provides the committee with the reassurance that reducing the numbers of people in residential care and commissioning a range of accommodation options to improve outcomes for individuals with a learning disability and other population groups. This is a key priority and fundamental to the business plan going forward for the Adult Social Care Division.

Avril Bracey
Head of Adult Social Care

25th February 2022

Mae'r dudalen hon yn wag yn fwriadol

Pwyllgor Llywodraethu ac Archwilio 11 Mawrth 2022

Y Pwnc: Adroddiad Archwilio Cymru – Adolygiad o'r Gwasanaeth Gwastraff, Gorffennaf 2021; diweddariad, Mawrth 2022.

Y Pwrpas: I dderbyn a nodi diweddariad ar y camau a nodir yn y cynllun gweithredu.

Yr argymhellion / penderfyniadau allweddol sydd eu hangen:

Dim.

Y rheswm/rhesymau dros yr argymhelliad:

Diweddariad yn unig.

Angen ymgynghori â'r Pwyllgor Craffu perthnasol NAC OES

Angen i'r Cabinet wneud penderfyniad NAC OES

Angen i'r Cyngor wneud penderfyniad NAC OES

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

Y Cynghorydd Hazel Evans - yr Aelod o'r Cabinet dros yr Amgylchedd

Y Gyfarwyddiaeth:

Yr Amgylchedd

Enw Pennaeth y

Gwasanaeth:

Ainsley Williams

Awdur yr Adroddiad:

Ainsley Williams

Swyddi:

Pennaeth Gwasanaethau
Amgylcheddol a Gwastraff

Pennaeth Gwasanaethau
Amgylcheddol a Gwastraff.

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Governance & Audit Committee

11 March 2022

Audit Wales Report – Review of Waste Service, June 2021; Update position, March 2022.

Following Audit Wales' review of the Council's waste service, the outcomes and recommendations, together with a high-level action plan were brought to the Governance and Audit Committee in October 2021.

The Audit Wales review was undertaken during the period December 2020 – April 2021.

A brief summary of the findings is provided as follows:

- To date, the Council has met all the statutory recycling targets but has recognised that its current collection arrangements are not sustainable.
- The Council's Garden waste collection service has doubled its customer base in the last year and is helping to improve its recycling performance, but the service is not yet self-financing.
- The Council's governance of its arm's length waste recycling company has improved since it changed its company model, but ongoing risks need to be more clearly identified and mitigated.
- The Council maintained a safe and effective waste service during the Covid-19 pandemic
- Carmarthenshire has a high number of reported fly-tipping incidents and, although the Council is taking some action, it does not have a clear plan to tackle the problem
- The Council has recently drafted a waste strategy to make the waste service more sustainable, but it needs to be finalised and funded
- 8 key recommendations have been made as a result of the audit. These are set out in the Audit Wales Report and the Council's Action Plan in response to the audit.

An update on the progress of the actions contained in the response plan is attached in Appendix 1.

Following the request for further detail on the waste strategy plans by the Governance and Audit Committee in October 21, a synopsis of the Waste Strategy Implementation Plan is provided in Appendix 2 for information.

DETAILED REPORT ATTACHED?

Appendix 1: Update on the progress of the actions contained in the response plan
Appendix 2: Synopsis of the Waste Strategy Implementation Plan

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: **A WILLIAMS** **Head of Waste & Environmental Services**

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

Finance

Funding of the future strategy depends on drawing down significant financial contribution from Welsh Government. Funding arrangements have been agreed in principle.

Risk Management Issues

The risk of not achieving WG recycling targets are considered in the current corporate risk register.

Staffing Implications

Staffing implications in the long term will form part of the considerations for taking the new waste strategy forward as the potential change in methodology will increase the service's operational resource requirements.

Physical Assets

Vehicle and other infrastructure asset implications in the long term will form part of the considerations for taking the new waste strategy forward as the potential change in methodology will increase the service's operational vehicle and infrastructure resource requirements.

CONSULTATIONS

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

Signed: **A WILLIAMS** **Head of Waste & Environmental Services**

- 1. Scrutiny Committee: NA**
- 2. Local Member(s): NA**
- 3. Community / Town Council: NA**
- 4. Relevant Partners: NA**
- 5. Staff Side Representatives and other Organisations NA**

EXECUTIVE BOARD PORTFOLIO HOLDER(S)
AcWARE/CONSULTED

Yes – Cllr Hazel Evans and Cllr Philip Hughes are aware of the position.

Section 100D Local Government Act, 1972 – Access to Information
List of Background Papers used in the preparation of this report:

THERE ARE NONE

Mae'r dudalen hon yn wag yn fwriadol

Appendix 1:

Audit Wales Report on Waste Services – Action Plan Update March 2022

Audit Wales Report Reference: 2516A2021-22. Report Issue Date: July 2021

Table of recommendations as referenced in the Audit Wales report with corresponding actions.

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
R1: Garden Waste	The Council should identify performance measures for its garden waste service and ensure effective oversight of performance in this area by senior officers and Members.	<p>The viability and performance of the service will be reviewed annually at the end of the collection season.</p> <p>Options to be explored:</p> <ul style="list-style-type: none"> Allow unfettered expansion in terms of customers. Alternatively, consider capping the number of customers to match the available established resource. Allow surplus from “in-profit” years to be ring fenced and taken forward to the following financial year to cover any operating cost deficit in the following year. Remove the current 15% discount for a single full payment and apply a 10% discount instead. This would improve service viability and could go part way to sustaining additional resources when customer numbers grow. <p>Performance measures to consider:</p> <ul style="list-style-type: none"> No of customers retained from the previous season. Financial viability of service. 	<p>To be undertaken at the end of season.</p> <p>The options for changing the subscription charge to be considered as part of the annual budget and charges setting process.</p>	<p>December 2021</p> <p>November/December 21</p> <p>December 21</p>	<p>Shaun Lynch</p> <p>Director/HOS/EB</p> <p>Shaun Lynch</p>	<p>Completed</p>	<p>The Garden Waste collection service was self-financing for the 2021 season.</p> <p>The charges for the 2022 season reflect a 10% discount for full payment at the point of subscription. This will aid the viability of the service in the long term.</p> <p>Performance measures will include a measure of the customers retained from the previous season and an end of season review of the financial viability for the season.</p>

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
R2; CWM Environmental Ltd.	Ensure that there is a risk register for CWM.	<p>RISK Register to be approved by CWM Board by 31st December annually.</p> <p>Company Risk register to be presented to shareholder group alongside 3-year Business Plan prior to 31st March 22 and annually thereafter.</p>	<p>Action agreed with CWM MD</p> <p>Company Risk register to be presented to the Shareholder Board annually</p> <p>Shareholder reserved matters to be kept under review</p>	<p>December 21</p> <p>March 22</p>	<p>Sean Gallagher MD CWM Environmental)</p> <p>Sean Gallagher</p> <p>Director of Corporate Services/Head of Legal and Administration/ Shareholder Board.</p>	<p>Completed</p>	<p>CWM have developed a risk register that has been approved by the CWM Board.</p> <p>CWM's Business Plan including the risk register is scheduled for the Council's CWM Shareholder Board on the 16th March 2022.</p> <p>Reviewed as part of normal business.</p>
R3; CWM Environmental Ltd.	Ensure that it (Council) undertakes effective oversight of CWM's performance and associated risks, including at relevant committees such as overview and scrutiny.	Shareholder Board report to Executive board 6 monthly (together with report from Company MD as required).	Already scheduled as a regular report to Shareholder Board and to PEB/EB, that collectively provide governance of CWM from a Council perspective.	July 21	Chief Executive as chairperson representing the Shareholder Board (members of the Shareholder Board include EBM for Environment, Director of Finance, Head of Administration & Law and Director of Environment.	Complete – reports/meeting already scheduled	Last report and update received in February 2022.

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
					Supported by CWM Board Executive Directors and Head of Waste & Environmental Services.		
R4; CWM Environmental Ltd.	Develop a contingency plan for dealing with any consequences in the event CWM becomes financially unviable.	Should the company become financially unviable then as shareholder the Council could take any one of, or a mix of the following actions: <ul style="list-style-type: none"> - Provide short term financial support - Replace or augment the management of the company - Step in and deliver the services directly - Subject the service to competition <p>Council is already guaranteeing the aftercare liability for the Nantycaws site and this is supported by £1.5m cash held in a joint ESCROW account.</p>	To be kept under review by the Governance group/Executive Board	July 21	Governance Group as set out in R3.	Complete - measures identified are currently in place.	No further update.
R5: Fly-tipping	Develop and implement an agreed plan to sustainably address the high number of fly-tipping incidents.	The Council is in the process of formalising its Local Environmental Quality (LEQ) Plan. <p>There is currently full engagement with the Welsh Government led national initiative called Caru Cymru. The aim of the plan is to put measures in place from a communications, education and physical cleansing activity with the aim of preventing or reducing litter. In addition, the Council will work</p>	LEQ Plan currently progressing through the political approvals system. <p>Caru Cymru projects being progressed.</p>	Jan 22 March 22	Dan John/Gary Baxter/Geinor Lewis Geinor Lewis	Completed	The formal LEQ strategy has been adopted by the Council. This strategy is being monitored and delivered through the LEQ Strategic group which has been re-convened in December 21. This group seeks to address problematic areas of fly-tipping in a strategic co-ordinated manner. With set action plans developed for specific areas or problems based upon need. <p>Caru Cymru (CC) project current year program is underway. Initiatives include:</p> <ul style="list-style-type: none"> • engaging with local schools and community groups to facilitate local initiatives e.g. litter picks, communications packs and engagement events.

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
		<p>with community groups to remove fly-tipped waste.</p> <p>Review CCC's current fly-tipping removal gang resource levels; potentially expand to two gangs for the County - Llanelli and Carmarthen. Resource to be costed. Creation of new Waste Warden posts being considered to deal with kerbside waste transgressions. Reconvene internal LEQ group and focus action on a prioritised basis within the group.</p>		December 21	Gary Baxter & Dan John		<ul style="list-style-type: none"> • Local business engagement for "2 minute street clean" initiative. • Engaging town and community councils on green spaces initiative/dog fouling – encouraging positive LEQ behaviour in parks and green spaces • Fly-tipping – selecting a rear lane in Llanelli to create a positive LEQ messaging. Invest in area to promote local custodianship and care. • Support the delivery of the National CC Roadside Litter campaign through material delivery, installation, promotion and engagement with relevant partners <p>An LEQ Action Plan is being produced in partnership between the Council and KWT and these are updated on a quarterly basis.</p> <p>The key element in the immediate term is to remove the incidents of fly-tipping as soon as practicable. Currently all fly-tipping is removed within 4 days of reporting, unless there are ongoing investigation work that preclude removal.</p> <p>Current resources are therefore sufficient to deal with the removal of fly-tipped materials.</p>

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
R5: Fly-tipping (continued)	Develop and implement an agreed plan to sustainably address the high number of fly-tipping incidents.	Participate in Environment & Public Protection Scrutiny Committee Task and Finish Review on fly-tipping from a Council-wide perspective.	T&F Scoping is underway involving the Planning section, Environmental Health Section and Waste Section.	October 21 (postponed to July 22).	Ainsley Williams/Dan John/Michael Roberts (from Waste and Environmental Services Division)	Postponed until June 22	<p>The Fly-tipping task and finish project is meant to look at the issue of fly-tipping across all land and not only public land in the ownership of the Council.</p> <p>This is a bigger project and will be looked by the T&F group in due course.</p> <p>The original T&F project was postponed due to the departmental restructure and has now been rescheduled until after the local government election; The T&F review is anticipated to commence in June 22.</p>
R6: Fly-tipping	Report corporately on a fuller set of performance measures for fly-tipping, including the number of incidents, to enable senior officers and Members to have more effective oversight of the problem and to drive improvement.	Develop wider performance indicators.			Dan John/Geinor Lewis/Michael Roberts in conjunction with Carly Thomas (BSU) and Contact Centre	Completed	<p>New Measure Implemented in 2022-25 Departmental Business Plan - total fly tipping service requests per annum</p> <p>As part of the Divisional Plan, we will measure Total number of fly-tipping hotspots and total number of incidents at these hotspots.</p> <p>These performance indicators will enable us to assess the current service demand and then measure our impact following behavioural change campaigns and directed enforcement activities.</p> <p>This will lead to an understanding of how to drive fly-tipping down in the longer term.</p> <p>Full suite of LEQ actions contained within Departmental Business plan and LEQ Plan.</p>
R6: Fly-tipping (continued)		<p>Review the way incidents of fly-tipping are recorded and identify all potential reporting sources to ensure multiple reports of the same incident are identifiable.</p> <p>Rationalise data capture and filter out duplicate reporting.</p>		March 2022	Dan John/Geinor Lewis/Michael Roberts in conjunction with Carly Thomas (BSU) and Contact Centre	Partially complete	We are currently developing an alternative recording and task management system to enable us to react to and record fly-tipping more accurately and effectively. The scoping and initial development of this system will be complete by end of March.

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
R7(1): Waste Strategy	All elements of the waste hierarchy need to be considered, including prevention.	A review of our waste service strategy is currently in progress and will include reference to hierarchy and circular economy (CE)	Waste collection strategy outlook and detail for future collections currently being taken through the political system	March 2022	Ainsley Williams/Dan John	Completed	<p>A new waste strategy and proposed collections methodology has been agreed and Phase 1 is in the process of being planned (see below). In addition, WG funded circular economy projects are currently being constructed. Our first a re-use shop was opened in Llanelli on the 22nd February 2022.</p> <p>Phase1 – introduction of three-weekly glass collection, three weekly residual waste collection (black bag) and weekly recycling collection (blue bag) from October/November 2022.</p> <p>Phase 2 will entail the introduction of a weekly kerbside sort collection system, weekly glass collection and continuation of a three weekly residual waste collection.</p> <p>The project synopsis, governance and high-level timeline of the project is shown in Appendix 2.</p>
R7(1): Waste Strategy (continued).		A separate CE Strategy and action plan will also be developed with a specific CE Project Officer employed.				Partially completed.	<p>A draft circular economy (CE) Strategy and action plan has been developed for implementation. The final version will be on hold pending the development of Welsh Government CE measures, so that they can be incorporated into the plan.</p> <p>A project officer is out for recruitment the role will engage with local and community projects to further develop the CE from the ground up.</p>
R7(2): Waste Strategy	It integrates its strategy with other related projects and plans e.g. regeneration, enforcement and fly-tipping.	Incorporate wider links to environmental management into the Waste Strategy Plan.	As above	March 2022	Ainsley Williams/Dan John	Completed	<p>The agreed waste strategy makes strong links with wider Council policies and plans:</p> <p>Corporate strategy and the Council's wellbeing objectives; Net Zero Carbon plan (e.g., introduction of ultra-low emissions vehicles and electric vehicles); Local Environment Quality; Regeneration ambitions for principal towns and as part of the CE</p>

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
							Strategy, links to our rural towns and 10 towns initiatives.
R7(3): Waste Strategy	It has clear and sustainable plans for financing its strategy (including contingency plans if Welsh Government funding is not available).	Financial position to be clarified within the Waste Strategy Report. Continue dialogue with WG on support for future waste strategy. Detail of support to be worked through as approval in principle has been provided.	As above	March 2022	Ainsley Williams/Dan John/Chris Moore	Completed	WG funding agreed for the Phase 2 roll-out (funding profile to be refined as plan progresses). Funding of electric vehicles as part of the Phase 1 roll out has been agreed. County Council funding has been agreed for the Phase 1 interim roll out.
R7(4): Waste Strategy	It devotes sufficient time to consult the public on its proposed changes to waste collection arrangements.	Outcome of the engagement exercise to be included in the waste strategy report as part of the considerations for the new strategy	Public engagement exercise completed in July 21	October 21	Dan John/Geinor Lewis in conjunction with the Corporate Communications team.	Completed (in planning terms).	The main engagement exercise was completed in July 21, to inform the drafting of the new waste strategy. Further engagement and awareness raising will form an integral part of the future roll-out process, as is normally the case with any change to the collection regime. Resource requirements are already known and planned. Consultation with the workforce is already under way.
R7(5): Waste Strategy	It develops and implements an engagement strategy focussing on the behavioural change required for the successful launch and adoption by the public of its new strategy (the Welsh Government Blueprint collection model)4.	Identify resource requirements and programme of public engagement prior to implementation of changes.	Engagement resource identified. Recruitment to follow. Engagement plan being developed.	June 22	Dan John/Geinor Lewis in conjunction with the Corporate Communications team.	In progress	The exact details of the engagement plan is currently being developed. The current focus is on Phase 1 of the roll-out. A communications and engagement plan is being created and managed by the Communication workstream – within the waste transformation project governance structure, supported by Wrap Cymru.
R8(1): Business Plan	Set out clear accountable actions for its waste service which are specific measurable and timebound.	Specific actions to be developed in line with proposed waste strategy		March 22	Ainsley Williams/Dan John	Completed	All actions relating to the waste strategy are set out in the 2023-25 Business Plan.

Audit Wales Reference	Recommendations (the Council should):	Action	Progress	Target Completion Date	Responsible Officer	Status	Update
R8(2): Business Plan	Include performance measures that re linked to the actions which have clear targets and success actions.	As above		March 22	Ainsley Williams/Dan John	Completed	As above

Appendix 2:

Waste Strategy Implementation Plan Synopsis

Contents
1. Introduction
2. Strategy Aim and Objective
3. Governance around the Waste Service Change project
4. Resources
5. Mobilisation Plan
6. Communication Plan
7. Conclusion

1. Introduction

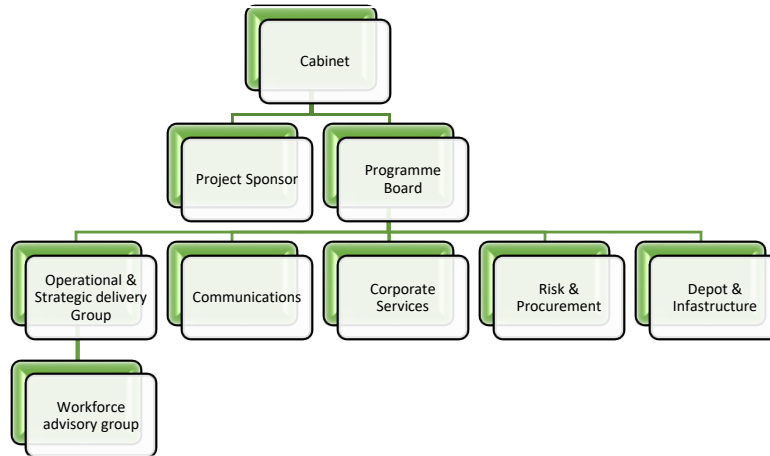
- 1.1 Carmarthenshire Waste Strategy 2021-2025 was approved by cabinet on 4th October 2021. This strategy outlines the Local Authorities objective to achieve a change in collection methodology in a phased approach by 2024. We are aiming to adopt the Welsh Government's recommended service profile for the collection of household waste, known as the Blueprint Kerbside Collection Methodology. This system achieves high rates of high-quality recycling, significant cost savings and improved sustainable development outcomes. This collection method will require Carmarthenshire's residents to separate their recycling into separate containers/bags and present on kerbside for collection.
- 1.2 Due to the magnitude of this service change, which will in time affect every household in Carmarthenshire which is over 91,000 households, and involve significant capital purchase, infrastructure development, workforce changes and HR implications it has been decided that the service change will be split into three phases:
- 1.3 **Phase 1 - Autumn 2022 [Aiming October 2022]**
 - 3 Black bags will be collected every 3 weeks from every household in Carmarthenshire, instead of fortnightly
 - Co-mingled recycling in blue bags [as currently] will be increased to be picked up weekly instead of fortnightly
 - Kerbside Glass collection will commence and will be collected every three weeks to mirror the residual waste. Some type of properties may not be included in the initial launch – these types of properties will be confirmed closer to the date, as Risk Assessments are currently being undertaken.
 - Food waste will continue to be collected weekly
- 1.4 **Phase 2 - Autumn 2024 [Aiming for October – November 2024]**
 - The 3 residual bags will continue to be collected every three weeks
 - Weekly Full kerbside sort to be launched to most of the County.
- 1.5 Full kerbside sort will include a container/sack for:
 - Paper, Newspaper and Magazines
 - Glass and jars
 - Card and cardboard
 - Plastic bottles, pots, tubs, trays and metal cans, tins and foil trays
 - Food waste
 - Batteries, textiles and small electrical items
- 1.6 **Phase 3 Post 2024 – 2025 Review**
 - Schedule removal of glass banks at current recycling sites
 - Review of specific properties that require further consideration.

2. Strategy Aim and Business objectives.

- 2.1 The Welsh Government is working to make Wales a greener, more equal, and more prosperous country. How waste is managed and the resources that are used has become even more crucial in the growing fight to tackle climate change.
- 2.2 The Welsh Government set statutory recycling targets for Local Authorities – this has increased household recycling from 5.2% (1998-99) to globally leading figures of 64% (2019-20).
- 2.3 As a County we just met the 2019/2020 recycling target of 64% with recycling Target set at 70% for 2024/2025. To achieve the 70% target, improvements need to be put in place, but as volume and recycling rates increase, we are under more demand to provide higher quality, un contaminated recycling materials to ensure that it can be used to make new products within the recycling markets. By moving to the blueprint methodology this will help us achieve these demands.
- 2.4 By increasing the recycling material collection to weekly, we will be decreasing the amount of recycling material that enters the residual waste stream.
- 2.5 Corporately, this waste service change sits within our Corporate plan where we have identified that we need to “look after the environment now and for the future” and feeds into the corporate strategy of our commitment of becoming a net zero carbon authority by 2030.

3. Governance around the Waste Service Change project

- 3.1 Given the magnitude of the project from procuring interim vehicles, finalising long term service costs, agreeing funding from Welsh Government, it has been paramount to agree a governance structure for the project.
- 3.2 This governance structure will ensure that the decision-making process regarding infrastructure investment and operational issues is clear, concise, effective, transparent and accountable. Key links will continue to be strengthened with other Strategies within the Local Authority such as the “Route towards becoming a Net Zero Carbon Local Authority Strategy by 2030.”
- 3.3 The Governance structure that has been agreed can be seen below:



3.4 Workstreams

3.5 It has been agreed that there are five workstreams as part of the governance. Each workstream will appoint its own convenor/chair and be responsible for delivering a set of actions outlined and agreed by the Programme Board. The chair of each workstream will attend the Programme Board. While the project workstreams will be fundamentally internal to the Council, there are opportunities for partner representation when it proves worthwhile or necessary (for instance WRAP Cymru, CWM, WG)

3.6 As you can see below each workstream has its remit to successfully achieve the end goal of the project, with a project manager collating and managing agenda and action logs from each of the workstreams.

Operational and Strategic Delivery Group	Communications Group	Corporate Services	Depot & Infrastructure	Risks & Procurement	Workforce Advisory Group
--	----------------------	--------------------	------------------------	---------------------	--------------------------

4. Resources

4.1 A waste Transformation Project Manager was employed at the beginning of October 2021, to project manage the waste service change. The project manager has been identified as the person who has the responsibility for the successful initiation, planning, design, execution, monitoring, controlling of the project by also ensuring that critical areas are controlled such as the scope, schedule, resource, finance, Quality and risks.

4.2 The project manager ensures that the governance structure is adhered to with agendas, action logs circulated to its members and ensuring that key tasks are completed and assigned to the identified key person.

4.3 Regular meetings are undertaken between the Project Manager, Head of Service, and the Director of Environment to evaluate progress and identify any key concerns.

4.4 We also have WRAP Cymru CCP team supporting us in the Waste Service Change by:

- Undertaking options modelling and business planning to support decisions taken on future of service
- Providing support and technical advice to develop detailed mobilisation plans to achieve the agreed service changes by 2024
- Supporting Waste Transfer Station/ Household Waste Recycling Centre (HWRC) development and permitting
- Providing support to market materials collected for recycling
- Providing guidance and advice on service change communications
- Specific practical support on relevant operational issues

5. Project mobilisation plan

5.1 Due to the magnitude of this waste service change the project manager has been working closely with WRAP Cymru to develop a project mobilisation plan, which provides the framework and schedule for the project to reach its goal. As the project has been split into three phases it has been agreed that there will be three separate project plans.

5.2 A project mobilisation plan has been derived to ensure phase 1 is successfully rolled out with phase 2 and phase 3 mobilisation plans in the process of being developed.

5.3 The mobilisation plan for phase 1 can be split into three stages:

5.4 Stage 1 – Vehicle Procurement

- Electric/Diesel split & number
- Glass collection vehicles
- Routing
- Delivery of vehicles
- Contingency
-

5.5 Stage 2 – Planning

- Design, planning and construction of operational arrangements.
- Design of glass boxes, procurement & delivery
- Contingency measures
- H&S and safe working practices including training
- Comms
- Glass Vehicle Routing
- Wrapping of vehicles (livery)

- Transport and tip off arrangements.
- Logistics
- Permits
- HR considerations.
-

5.6 **Stage 3 – Delivery**

- Roll Out of weekly recycled co-mingled blue bags and 3 weekly residual and glass collection - October 2022

5.7 The project plan breaks each of these stages into detailed actions, with a responsible person assigned to complete each task by an identified date. The project manager will monitor the project plan to ensure tasks are completed on time and the project is kept on track. The mobilisation plan provides guidance and direction to the service change and ensures key actions are identified, accounted for and identifies accountability for each task. It is the mobilisation plan that governs the agenda for the workstreams to ensure objectives are met and also for transparency.

6. **Communication Plan**

6.1 Due to the magnitude of this project a communication plan sits outside the project plan and again is split into three different phases. Both our internal comms team and the communication Officer from WRAP Cymru are jointly responsible for the communication plan with our project manager actively involved.

6.2 The communication plan records who must receive what specific information, when this information must be supplied and which channels must be used for this purpose, for both within the Local Authority and external.

6.3 It also holds the branding information for the waste service change including designs for kerbside boxes and wrapping of vehicles.

7. **Conclusion**

7.1 To conclude, there will be three phases to this waste service change with Phase 1 detailed planning currently under way in preparation for implementation from October 2022.

7.2 As we near completion of phase 1, the project manager, with WRAP Cymru will commence the project plan for phases 2 and 3.

Pwyllgor Llywodraethu ac Archwilio 11 Mawrth 2022

Y diweddaraf ynghylch ar Cynllun Archwilio Mewnol 2021/22		
Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen: I dderbyn yr adroddiad.		
Y Rhesymau: Cyflwynir adroddiad cynnydd yn rheolaidd bob tro mae'r Pwyllgor Llywodraethu ac Archwilio yn cyfarfod.		
Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO		
Angen i'r Cabinet wneud penderfyniad: NAC OES Angen i'r Cyngor wneud penderfyniad: NAC OES		
YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO: Cyng. David Jenkins		
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Enw Pennaeth y Gwasanaeth: Helen Pugh	Swyddi: Pennaeth Refeniw a Chydymffurfio Ariannol	Rhif ffôn: 01267 246223
Awdur yr Adroddiad: Caroline Powell	Prif Archwilydd	Cyfeiriad e-bost: HPugh@sirgar.gov.uk CaPowell@sirgar.gov.uk

Governance & Audit Committee

11 March 2022

Internal Audit Plan Update 2021/22

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

To provide Members with progress of the Internal Audit Plan. The following Reports are attached:

Internal Audit Plan Progress Reports for 2021/22

Due to the ongoing situation with the Covid-19 pandemic, and particularly the outbreak of the Omicron variant and its resultant restrictions over the Christmas period, further Internal Audit resources have been required to assist with the processing and payment of grant funds.

In particular:

- Further Internal Audit assistance has been required to undertake duplication checks to ensure fraudulent claims, or duplicate claims made in error, are not paid. This work is continuing for self-isolation payments and Winter Fuel payments, but has now also commenced for the new NDR Emergency Fund.
- Two members of Internal Audit staff have been temporarily redeployed to assist with processing the applications made for self-isolation payments and Winter Fuel payments.

In order to resource these requirements, the following Audit Assignments are proposed to be deferred to the 2022/23 Audit Plan:

- Welsh Language Standards
- Disaster Recovery & Business Continuity
- Waste

DETAILED REPORT ATTACHED?

YES

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: H L Pugh – Head of Revenues and Financial Compliance

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

Finance

Reviews carried out to ensure systems in place comply with the Authority's Financial Procedure Rules.

CONSULTATIONS

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

Signed: H L Pugh – Head of Revenues and Financial Compliance

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:

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Internal Audit Plan 2021/22	AC 26-03-21	Agenda for Governance & Audit Committee on Friday, 26th March, 2021, 2.00 pm

Mae'r dudalen hon yn wag yn fwriadol

INTERNAL AUDIT PLAN 2021/22										
2021/22	% Plan Completion to Date	78.0%								
Job No	Departments	Days Planned	Pre. Audit Meeting	Terms of Reference Issued	Commenced	Field Work Complete	Draft Report Issued	Complete / Final Report Issued	Assurance Rating / Engagement Type	
Fundamentals										
1121001	Creditor Payments	30	*	*	*					
1121002	Expenditure	30	*	*	*	*	*			
1121003	NNDR	20	*	*	*	*	*	*	Acceptable	
1121004	Payroll	30	*	*	*	*	*			
1121005	Travel & Subsistence	20	*	*	*	*	*			
	Total Audit Days for Fundamentals	130								
Corporate Governance Assurance										
2121001	Annual Governance Statement/Corporate Governance Arrangements	20	*	*	*					
2121002	Performance Management	20	*	*	*	*				
2121003	Welsh Language Standards	20	/	/	/	/	/	/	Deferred to 2022/23	
7221002	Winter Fuel Support Scheme	15	*	/	*					
	Total Audit Days for Corporate Governance Assurance	75								
COVID-19										
3121001	Covid-19 Duplication Checks (NNDR and Self-Isolation Payments)	20	*	*	*					
3121002	COVID-19 Free School Meals Payments	20	*	*	*					
3121003	COVID-19 Systems and Processes	20	*	/	*					
3121004	COVID-19 Working Groups	20	*	/	*					
3121005	COVID-19 Extra Duplication Checks January 2022	0	*	/	*					
	Total Audit Days for COVID-19	80								
Corporate Review Work										
4121001	Brexit	20	*	*	*					
4121002	External Arrangements	20	*	*	*					
4121003	Contract Management	15	*							
4121004	Procurement	15	*	*	*	*	*	*	Acceptable	
4121005	Safeguarding - Adults	10	*	*	*					
4121006	Safeguarding - Children	10	*	*	*					
4121007	Staffing Matters	20	*	*	*	*	*			
	Total Audit Days for Corporate Review Work	110								
Counter Fraud										
5121001	Fraud Prevention, Detection and Investigation	40	*	/	*					
5121002	National Fraud Initiative	30	*	/	*	*	/	*	Investigatory/Assurance	
5121003	Proactive Fraud Testing	20	*	/	*					
	Total Audit Days for Counter Fraud Work	90								
Grants & Certification										

6121001	Burry Port Harbour	10	*	/	*	*	/	*	Accounts Return
6121002	Children & Communities Grant	25	*	/	*	*	/	*	Certification
6121003	Education Improvement Grant - EOY	15	*	*	*	*	*	*	Certification
6121004	Education Improvement Grant - Q3	15	*	/	*	*	/	*	Certification
6121006	Enable Grant	10	*	/	*	*	/	*	Certification
6121007	HSG - Homelessness	12	*	/	*	*	/	*	Certification
6121008	HSG - Rent Smart Wales	10	*	/	*	*	/	*	Certification
6121009	HSG - Supporting People	13	*	/	*	*	/	*	Certification
6121010	Local Authority Education Grant	20	*	/	*	*	*	*	Assurance for Sign Off
6121011	Other Grants (where assurance is required for sign-off)	20	*	/	*	*	/	*	Assurance for Sign Off
6121012	Wales Pension Partnership	5	*	/	*	*	/	*	Accounts Return
6121013	Post 16 Grant	10	*	/	*	*	/	*	Certification
6121014	Pupil Deprivation Grant - EOY	15	*	*	*	*	*	*	Certification
6121015	Pupil Deprivation Grant - Q3	15	*	/	*	*	/	*	Certification
6121017	Trust Funds - Arbour Stephens	5	*	*	*	*	/	*	Certification
6121018	Trust Funds - Dyfed Welsh Church Fund	5	*	*	*	*	*	*	Acceptable
6121019	Trust Funds - Minnie Morgan	5	*	*	*	*	/	*	Certification
6121020	Trust Funds - Oriol Myrddin	5	*	*	*	*	/	*	Certification
6121021	Regional Development Co-ordinator Grant	5	*	/	*	*	/	*	Certification
	Total Audit Days for Grants & Certification	220							
	Chief Executive's Department (not incl IT)								
7121001	Civil Registrations Service	10	*	*	*				
7121002	People Management & Performance	20	*						
7121003	Regeneration Kickstart	10	*	*	*	*	*	*	Consultation
7121003	Regeneration & Economic Development	10	*	*	*	*	*		
7121004	Surplus Properties	15	*	*					
	Total Audit Days for Chief Executive's Department (not incl IT)	65							
	Chief Executive's Department: IT								
7221001	Cloud Solutions	15	*	*	*	*	*	*	Acceptable
7221003	Disaster Recovery and Business Continuity	15	*	/	/	/	/	/	Deferred to 2022/23
	Total Audit Days for Chief Executive's Department: IT	30							
	Communities								
7321001	Appointeeships	15	*	*	*				
7321002	Housing Voids	15	*	*	*				
7321003	Affordable Homes	15	*	*	*				
7321004	Leisure Centres	20	*	*	*	*			
7321005	Pembrey Ski Centre	5	*	*	*	*	*	*	High
7321006	Social Care (Assignment to be agreed)	20							
	Total Audit Days for Communities	90				% Complete to Date		37.2%	
	Corporate Services								
7421001	Financial Management Other	15	*	*	*	*	*		
7421002	Insurance	15	*	*	*				

	Total Audit Days for Corporate Services	30								
	Education & Children									
7521001	Residential Units	15	*	*	*					
7521002	School Meals Allergens	15	*	*	*	*	*			
7521003	Schools (incl School Questionnaires)	40	*	/	*	*	*	*		Assurance
7521004	Welfare Cards Follow Up	10	*	/	*	*	*	*		Consultation
7521005	Welsh For Adults	10	*	*	*					
	Total Audit Days for Education & Children	90								
	Environment									
7621001	Building Control	15	*	*	*	*	*	*		High
7621002	Climate Change	15	*	*	*	*				
7621003	Environmental Enforcement	10	*	*	*	*	*	*		High
7621004	Fleet Management	10	*	*	*	*	*	*		Acceptable
7621005	Highway Maintenance/Road Safety	10	*	*						
7621006	Property	15	*	*	*	*	*			
7621007	Waste	15	/	/	/	/	/	/		Deferred to 2022/23
	Total Audit Days for Environment	90								

Mae'r dudalen hon yn wag yn fwriadol

Pwyllgor Llywodraethu ac Archwilio 11 Mawrth 2022

Argymhellion Archwiliad Mewnol		
Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen: I dderbyn yr adroddiad.		
Y Rhesymau: Cyflwynir adroddiad cynnydd yn rheolaidd i'r Pwyllgor Archwilio yn flynyddol.		
Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO		
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Awdur yr Adroddiad: Caroline Powell	Prif Archwilydd	Cyfeiriad e-bost: HLPugh@sirgar.gov.uk CaPowell@sirgar.gov.uk

Governance & Audit Committee 11 March 2022

Internal Audit Recommendations

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

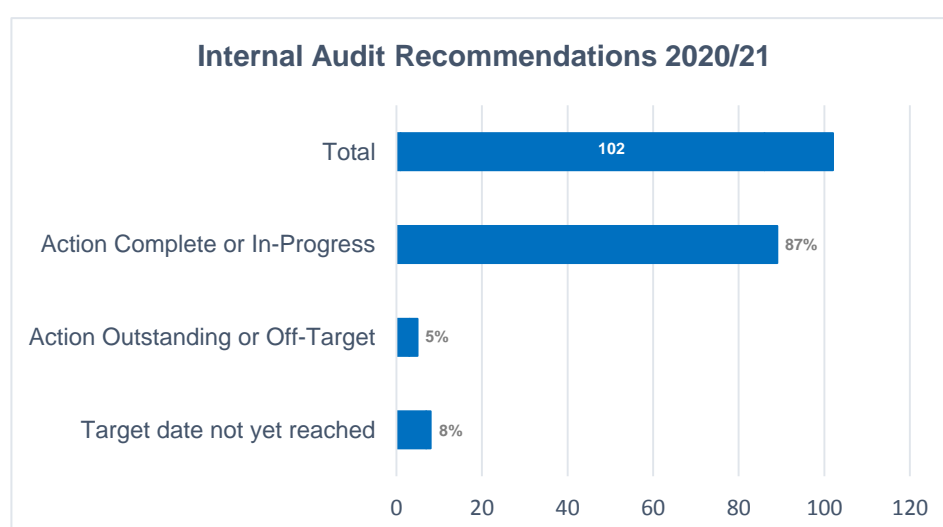
The Internal Audit division maintains a log of all Internal Audit Reports issued. The recommendations made as part of these Reports are uploaded onto the Council's Performance Information Monitoring System (PIMS).

The responsible officer for each recommendation is required to update PIMS with the actions taken to address the identified issues.

This information below details the progress status of Internal Audit recommendations relating to the 2020/21 financial year.

Update on 2020/21 Internal Audit Recommendations

Recommendation Ratings	Total Recommendations Made	Action Complete or In-Progress	Action Outstanding or Off-Target	Target date not yet reached	% Complete or In-Progress per Recommendation Rating
3*	1	1	0	0	100%
2*	85	75	3	7	88%
1*	16	13	2	1	81%
	102	89	5	8	
		87%	5%	8%	



DETAILED REPORT ATTACHED?

NO

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: H L Pugh – Head of Revenues and Financial Compliance

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

Finance

Reviews carried out to ensure systems in place comply with the Authority's Financial Procedure Rules.

CONSULTATIONS

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

Signed: H L Pugh – Head of Revenues and Financial Compliance

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

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Title of Document	File Ref No.	Locations that the papers are available for public inspection
Internal Audit Plan 2021/22	AC 26-03-21	Agenda for Governance & Audit Committee on Friday, 26th March, 2021, 2.00 pm

Mae'r dudalen hon yn wag yn fwriadol

Pwyllgor Llywodraethu ac Archwilio 11 Mawrth 2022

Cynllun Archwiliad Mewnol Blynyddol 2022/23 & Bwriedir ei gynnwys yn 2022-25.

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

I gymeradwyo'r Cynllun Archwiliad Mewnol Blynyddol ar gyfer 2022/23 ac i gadarnhau'r hyn y bwriedir ei gynnwys yn 2022-25.

Y Rhesymau:

Mae Safonau Archwilio Mewnol y Sector Cyhoeddus (PSIAS) yn ei gwneud yn ofynnol i Gynllun Archwilio Mewnol ar sail risg gael ei baratoi bob blwyddyn i bennu blaenoriaethau Archwilio Mewnol a sicrhau eu bod yn gyson â nodau ac amcanion y Cyngor.

Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO

Angen i'r Cabinet wneud penderfyniad: NAC OES

Angen i'r Cyngor wneud penderfyniad: NAC OES

YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO:

Cyng. David Jenkins

Y Gyfarwyddiaeth:

Gwasanathau Corfforaethol

**Enw Pennaeth y
Gwasanaeth:**

Helen Pugh

Awdur yr Adroddiad:

Helen Pugh

Swyddi:

Pennaeth Refeniw a
Chydymffurfio Ariannol

Rhif ffôn: 01267 246223

Cyfeiriad e-bost:

HLPugh@sirgar.gov.uk

Governance & Audit Committee 11 March 2022

Internal Audit Plan 2022/23 & Planned Coverage for 2022-25

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

The Internal Audit Plan for 2022/23 has been compiled considering the Authority's Corporate Risk Register and Service Risk Registers, thus ensuring appropriate coverage and consideration of the Authority's highest risks. In addition to this, Internal Audit has liaised with the Corporate Management Team and Heads of Service in devising the plan and also taken account of any changes in services.

The Plan assumes full staffing within the section.

The Internal Audit Plan includes coverage of:

- Fundamental Audits
- Corporate Governance Assurance
- COVID-19 Assurance
- Corporate Reviews
- Grants and Certification
- Departmental Reviews

The following reports are attached:

Internal Audit Plan 2022/23

Internal Audit Planned Coverage 2022 - 2025

DETAILED REPORT ATTACHED?

YES

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: H L Pugh – Head of Revenues and Financial Compliance

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

Finance

Reviews carried out to ensure systems in place comply with the Authority's Financial Procedure Rules.

Risk Management

The Internal Audit Plan for 2022/23 has been compiled considering the Authority's Corporate Risk Register and Service Risk Registers.

CONSULTATIONS

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

Signed: H L Pugh – Head of Revenues and Financial Compliance

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:

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Strategic Audit Plan 2021-2024	AC 26-03-21	Agenda for Governance & Audit Committee on Friday, 26th March, 2021, 2.00 pm

Mae'r dudalen hon yn wag yn fwriadol

Carmarthenshire County Council - Internal Audit Plan 2022/23

Required Assurance - Fundamental Audits	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Capital Accounting including Fixed Asset Register	Assurance	Fundamental	20
Cash & Bank	Assurance	Fundamental	15
Creditor Payments	Assurance	Fundamental	30
Debtors System	Assurance	Fundamental	20
Housing Benefits	Assurance	Fundamental	20
Payroll System	Assurance	Fundamental	30
Pensions Payroll System	Assurance	Fundamental	20
VAT	Assurance	Fundamental	15
Total			170

Corporate Governance Assurance	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Annual Governance Statement/Corporate Governance Arrangements	Assurance	Corporate Risk Register	20
Regulatory Recommendations	Assurance	CMT identified	10
Data Protection	Assurance	Service Risk Register	20
Welsh Language Standards	Assurance	Corporate Risk Register	20
Freedom of Information	Assurance	Corporate Risk Register	20
Risk Management Arrangements	Assurance	Corporate Risk Register	10
Total			100

COVID-19	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Covid-19 Duplication Checks and Payments	Assurance	Corporate Risk Register	40
COVID-19 Systems and Processes	Consultation	Corporate Risk Register	20
COVID-19 Working Groups	Consultation	Corporate Risk Register	10
Total			70

Corporate Review Work	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
CCC Companies	Assurance	Corporate Risk Register	30
Contract Management	Assurance	Corporate Risk Register	20
Procurement	Assurance	Corporate Risk Register	20
Safeguarding	Assurance	Corporate Risk Register	20
Staffing Matters	Assurance	Corporate Risk Register	20
Total			110

Counter Fraud	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Fraud Prevention, Detection and Investigation	Investigatory	Corporate Risk Register	40
Proactive Fraud Testing	Assurance	Corporate Risk Register	20
Total			60

Grants and Certification	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Burry Port Harbour	Accounts Return	Certification	10
Children & Communities Grant	Certification	Corporate Risk Register	25
Education Improvement Grant	Certification	Corporate Risk Register	30
Enable Grant	Certification	Corporate Risk Register	10
Housing Support Grant	Certification	Corporate Risk Register	40
Local Authority Education Grant	Assurance for Sign Off	Corporate Risk Register	20
Other Grants (where assurance is required for sign-off)	Assurance for Sign Off	Corporate Risk Register	20
Wales Pension Partnership	Accounts Return	Certification	5

Post 16 Grant	Certification	Corporate Risk Register	10
Pupil Deprivation Grant	Certification	Corporate Risk Register	30
Trust Funds	Certification	Certification	20
Total			220

Departmental Reviews	Type of Engagement	Risk Consideration	Audit Plan Days 2022/23
Chief Executive's Department (not including IT)			
Departmental Income	Assurance	IA identified	15
Local Government & Elections Act	Assurance	CMT identified	10
Net Zero Carbon	Assurance	Corporate Risk Register	20
Regeneration & Economic Development	Assurance	Corporate Risk Register	20
PMP: Workforce Planning	Assurance	Service Risk Register	20
Chief Executive's Department: IT			
Cyber Security	Assurance	Corporate Risk Register	15
Disaster Recovery and Business Continuity	Assurance	Corporate Risk Register	15
Communities			
Departmental Income	Assurance	IA identified	15
Disabled Facilities Grants (DFGs)	Assurance	Corporate Risk Register	15
Disrepair Claims	Assurance	IA identified	15
Health, Fitness & Dryside portfolio	Assurance	Department identified	20
Social Care (Assignment to be agreed)	Assurance	Department identified	20
Corporate Services			
Departmental Income	Assurance	IA identified	15
Corporate Credit Card	Assurance	IA identified	15
Education & Children			
Departmental Income	Assurance	IA identified	15
Youth Support Service Pre-paid Cards	Assurance	IA identified	15
Schools Expenditure	Assurance	Corporate Risk Register	30
Schools (incl School Questionnaires)	Assurance	Corporate Risk Register	40
Welfare Cards	Assurance	IA Low Assurance	10
Environment			
Departmental Income	Assurance	IA identified	15
Fleet Management	Assurance	Service Risk Register	10
Waste	Assurance	Corporate Risk Register	15
Planning: Development Management	Assurance	Corporate Risk Register	20
Property	Assurance	Service Risk Register	15
Asset Management	Assurance	Service Risk Register	15
Total			430

TOTAL DAYS	1160
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Additional Work	Days
Departmental Advisory Work	40
Various Departmental Working Groups	40
Total	80
TOTAL DAYS	1240

Mae'r dudalen hon yn wag yn fwriadol

Carmarthenshire County Council - Internal Audit 3 Year Plan 2022/23

	2022/23	2023/24	2024/25
Required Assurance - Fundamental Audits			
Budget Setting and Monitoring		✓	
Capital Accounting including Fixed Asset Register	✓		
Cash & Bank	✓		
Council Tax		✓	
Creditor Payments	✓	✓	✓
Debtors System	✓		
Deputyships		✓	
Expenditure			✓
Housing Benefits	✓		
Income		✓	
Main Accounting		✓	
NNDR			✓
Payroll System	✓	✓	✓
Pensions Payroll System	✓		
Petty Cash / Sundry Expenses		✓	
Travel & Subsistence System			✓
Treasury Management - Loans & Investments (CCC and DPF)		✓	
VAT	✓		
Corporate Governance Assurance			
Annual Governance Statement/Corporate Governance Arrangements	✓	✓	✓
Corporate Strategy/Policy Making		✓	
Data Protection	✓		
Declaration of Interests		✓	
Ethics		✓	
Freedom of Information	✓		
Performance Management			✓
Regulatory Recommendations	✓	✓	✓
Risk Management Arrangements	✓		
Wellbeing of Future Generations Act		✓	
Welsh Language Standards	✓		
Whistleblowing			✓
COVID-19			
Covid-19 Duplication Checks and Payments	✓		
COVID-19 Systems and Processes	✓		
COVID-19 Working Groups	✓		

Corporate Review Work			
CCC Companies	✓	✓	✓
Contract Management	✓	✓	✓
Procurement	✓	✓	✓
Safeguarding	✓	✓	✓
Staffing Matters	✓	✓	✓
Counter Fraud			
Fraud Prevention, Detection and Investigation	✓	✓	✓
National Fraud Initiative		✓	
Proactive Fraud Testing	✓	✓	✓
Grants and Certification			
Burry Port Harbour	✓	✓	✓
Children & Communities Grant	✓	✓	✓
Education Improvement Grant	✓	✓	✓
Enable Grant	✓	✓	✓
Housing Support Grant	✓	✓	✓
Local Authority Education Grant	✓	✓	✓
Other Grants (where assurance is required for sign-off)	✓	✓	✓
Wales Pension Partnership	✓	✓	✓
Post 16 Grant	✓	✓	✓
Pupil Deprivation Grant	✓	✓	✓
Trust Funds	✓	✓	✓
Departmental Reviews			
Chief Executive's Department	✓	✓	✓
Communities	✓	✓	✓
Corporate Services	✓	✓	✓
Education & Children	✓	✓	✓
Environment	✓	✓	✓

Pwyllgor Llywodraethu ac Archwilio 11 Mawrth 2022

Blaenrhaglen Gwaith y Pwyllgor Llywodraethu ac Archwilio		
Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen: I dderbyn yr adroddiad.		
Y Rhesymau: Blaenrhaglen Blynyddol i hysbysu'r Aelodau o'r Pwyllgor Llywodraethu ac Archwilio am yr eitemau agenda yw trafod am y flwyddyn 2022/23.		
Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO		
Angen i'r Cabinet wneud penderfyniad: NAC OES Angen i'r Cyngor wneud penderfyniad: NAC OES		
YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO: Cyng. David Jenkins		
Y Gyfarwyddiaeth: Gwasanathau Corfforaethol		
Enw Pennaeth y Gwasanaeth: Helen Pugh	Swyddi: Pennaeth Refeniw a Chydymffurfio Ariannol	Rhif ffôn: 01267 246223
Awdur yr Adroddiad: Caroline Powell	Prif Archwilydd	Cyfeiriad e-bost: HPugh@sirgar.gov.uk CaPowell@sirgar.gov.uk

Governance & Audit Committee 11 March 2022

Governance & Audit Committee Forward Work Programme

To provide Members with a Forward Work Programme for the 2022/23 Governance & Audit Committee cycle to ensure that all appropriate Committees have a published up to date programme owned by the Committee Members.

The following Report is attached:
Forward Work Programme

DETAILED REPORT ATTACHED?

YES

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: H L Pugh – Head of Revenues and Financial Compliance

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

CONSULTATIONS

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

Signed: H L Pugh – Head of Revenues and Financial Compliance

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:

THERE ARE NONE

Title of Document	File Ref No.	Locations that the papers are available for public inspection

Mae'r dudalen hon yn wag yn fwriadol

Subject area and brief description of nature of report	Lead Department	Responsible Officer	Mar-22	Jul-22	Sep-22	Dec-22
Appointment of Audit Committee: - Chair - Vice Chair	Corporate Services	Governance & Audit Committee		✓		
Annual Audit Report	Corporate Services	Head of Revenues and Financial Compliance		✓		
Forward Work Programme	Corporate Services	Head of Revenues and Financial Compliance	✓	✓	✓	✓
Internal Audit Plan Update	Corporate Services	Head of Revenues and Financial Compliance	✓	✓	✓	✓
Internal Audit indicative three year plan	Corporate Services	Head of Revenues and Financial Compliance	✓			
Assurance Reviews: - Fundamental financial systems - 3* reports	Corporate Services	Head of Revenues and Financial Compliance	As Required			
Progress Report - Delivery of External Audit Recommendations	ICT & Policy	Performance Planning Section				✓
Progress Report - Delivery of Internal Audit Recommendations	Corporate Services	Head of Revenues and Financial Compliance	✓			
Internal Audit Progress Updates requested by Audit Committee:	Corporate Services	Head of Revenues and Financial Compliance	As Required			
Progress reports as requested by Audit Committee						
- Strategic Commissioning of Accommodation Services for Adults with Learning Disabilities	Communities	Head of Mental Health and Learning Disabilities	✓			
- Review of Planning Services	Environment	Interim Head of Planning		✓	✓	✓
- Review of Waste Services	Environment	Head of Waste and Environmental Services	✓	✓	✓	✓
- Schools' Deficits and Surpluses	Education & Children	Head of Education and Inclusion Services		✓		
Approval of Audit Charter	Corporate Services	Head of Revenues and Financial Compliance	As Required			
Approval of Strategies / Rules & Regulations	Corporate Services	Head of Revenues and Financial Compliance	As Required			
Annual Anti-Fraud and Corruption Report	Corporate Services	Head of Revenues and Financial Compliance		✓		
Receive the Corporate Risk Register	Corporate Services	Head of Revenues and Financial Compliance	✓		✓	
Opportunity for Members to discuss Risks	Corporate Services	Risk owners	✓		✓	
Receive the Corporate Annual Report	ICT & Policy	Corporate Policy & Partnership Manager		✓		
Receive the Annual Complaints Report	ICT & Policy	Corporate Policy & Partnership Manager		✓		
Statement of Accounts including Annual Governance Statement for Carmarthenshire County Council - To be received - To be approved	Corporate Services	Head of Financial Services		✓		✓
Statement of Accounts including Annual Governance Statement for Dyfed Pension Fund - To be received - To be approved	Corporate Services	Head of Financial Services				✓ ✓
Burry Port Harbour Accounting Statement - To be received - To be approved	Corporate Services	Head of Financial Services		✓		✓
Audit enquiries to those charged with governance and management for: - Carmarthenshire County Council - Dyfed Pension Fund	Corporate Services	Head of Financial Services			✓	
Single Tender Action	Corporate Services	Director of Corporate Services	As Required			
Minutes for noting: - Grants Panel - Corporate Governance Group - Risk Management Steering Group	Corporate Services	Head of Revenues and Financial Compliance Head of Financial Services	✓	✓	✓	✓
Audit Wales: - Audit Plan Update				✓	✓	✓
- Financial Statements – ISA260 Report presented to those charged with Governance in relation to the Statement of Accounts for: o Carmarthenshire County Council o Dyfed Pension Fund					✓ ✓	
- Annual returns – Reports re independent examination for: o Burry Port Harbour Authority					✓	
- Letter of Representation o Carmarthenshire County Council o Dyfed Pension Fund					✓ ✓	
- Annual Audit Letter o Carmarthenshire County Council	Corporate Services	Audit Wales	✓			
- Audit Plans, including information on fees o Carmarthenshire County Council o Dyfed Pension Fund			✓			

Mae'r dudalen hon yn wag yn fwriadol

Governance & Audit Committee Training / Informal Sessions

Subject area and brief description of session	Lead Department	Responsible Officer(s)														
			Summer 2019	Autumn 2019	Winter 2019	Spring 2020	Summer 2020	Autumn 2020	Winter 2020	Spring 2021	Summer 2021	Autumn 2021	Winter 2021	Spring 2022	Summer 2022	Autumn 2022
Meeting with Auditors	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance		✓		✓		✓				✓				✓
Governance & Audit Committee - Self Assessment	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance												✓		
Risk Register	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance			✓	✓		✓		✓		✓		✓		✓
Risk Management & Risk Appetite	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance											✓			
Statement of Accounts & Annual Governance Statement	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance	✓				✓				✓				✓	
Fraud Awareness	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance						✓								
Local Authority Trading Companies	Corporate Services	Director Corporate Services Head of Revenues and Financial Compliance												✓		

Mae'r dudalen hon yn wag yn fwiadol

Pwyllgor Llywodraethu ac Archwilio 11 Mawrth 2022

Cofrestr Risg Corfforaethol 2021/22 Cyngor Sir Caerfyrddin

Yr argymhellion / penderfyniadau allweddol sydd eu hangen:

- I dderbyn Cofrestr Risg Corfforaethol.

Rhesymau:

I sicrhau fod y Pwyllgor Llywodraethu ac Archwilio wedi eu hysbysu o'r Risgiau Corfforaethol.

Angen ymgynghori â'r pwyllgor craffu perthnasol:	Oes – Pwyllgor Archwilio (11 Mawrth 2022)
Angen i'r Cabinet wneud penderfyniad:	Nac Oes
Angen i'r Cyngor wneud penderfyniad:	Nac Oes

Aelod y Cabinet sy'n gyfrifol am y Portffolio: Cyng. David Jenkins (Adnoddau)

Y Gyfarwyddiaeth: Gwasanaethau Corfforaethol	Swyddi:	Rhifau Ffôn / Cyfeiriadau E-bost:
Enw'r Cyfarwyddwr: Chris Moore	Cyfarwyddwr Gwasanaethau Corfforaethol	01267 224120 cmoore@sirgar.gov.uk
Awduron yr adroddiad: Helen Pugh	Pennaeth Refeniw a Chydymffurfiaeth Ariannol	01267 246223 hlpugh@sirgar.gov.uk

Governance & Audit Committee

11th March 2022

Carmarthenshire County Council's Corporate Risk Register 2021/22

The Authority maintains a Corporate Risk Register to evaluate its exposure to key strategic risks. The Corporate Assessment recommended that the Corporate Risk Register as agreed by CMT should be shared with the Governance & Audit Committee. Review and monitoring of the Corporate Risk Register is delegated to the Governance & Audit Committee in line with the Terms of Reference of the Committee. The Register will be reviewed by the Governance & Audit Committee at its March and October meetings.

Removal of risks from the Corporate Risk Register

No risks removed.

New risks added to the Corporate Risk Register:

- i) Continued deterioration of highways infrastructure and assets. Failure to address maintenance backlog (£38 million), as a consequence of falling investment levels leading to high levels of demand. Increased level of claims

Report Attached: YES

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	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
None	None	None	NONE	Yes	NONE	NONE

4. Risk Aims of the Corporate Risk Register to collate strategic risks facing the Authority.

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
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- 1. Scrutiny Committee** – Audit Committee will be required to receive the Corporate Risk Register at its meeting scheduled for 11 March 2022.
- 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:

THERE ARE NONE

Mae'r dudalen hon yn wag yn fwriadol

CARMARTHENSHIRE CORPORATE RISK REGISTER

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date	
CRR190068	Continued deterioration of the condition of highways infrastructure and assets. Failure to address maintenance backlog (£38 million), as a consequence of falling investment levels leading to high levels of demand. Increased level of claims.	Director of Environment/Head of Transportation & Highways			
Control Measures					
		Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190068/001	Manage network in accordance with Highways Asset Management Plan adopting a risk based approach in accordance with the National		Significant	Significant	
CRR190068/002	Continue to present the case for additional investment of capital , grant and revenue. Improve information systems on vulnerable.		25	25	
CRR190068/003	Inspection regime and response in line with highways asset management plan in compliance with Highways Maintenance Code of Practice			Catastrophic Probable	
Action Items					
• Proposed new risk for inclusion as a Corporate Risk		Jan-22			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date	
CRR190049	Covid19 - Strategic Risk of local business and economy not recovering from the lockdown	Head of Regeneration			
		Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190049/001	Financial support to businesses		Significant	Significant	
CRR190049/002	Advice to businesses		25	20	
CRR190049/003	Support to businesses			Catastrophic	
CRR190049/004	Database of local suppliers and traders			Likely	
CRR190049/005	Robust economic recovery plan to protect jobs and safeguard businesses				
Action Items					
<ul style="list-style-type: none"> We are agents for the Welsh Government Initiative for Business Grants. Progressive Procurement work-stream is working through recommendations in the CLES report to support Community Wealth building in the County. Working together with colleagues in Economic Development we are looking at our tender processes and general supplier engagement. The hardship Covid-19 fund supports Business Retail Leisure Rate Relief, non-Covid element of £27.7 million (all Wales Figure). January 2022 – Continue to deliver the Economic Recovery Plan and report outputs directly to RDT. 		Jan-22			
<p>Cardiff University is finalising the Local Innovation Strategy for Carmarthenshire and this will be reported to the Business Advisory Group. The risk remains the same as we have to deliver the Recovery Plan within a 2 year timeframe.</p>		Jan-22			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190030	Coronavirus - Risk to business continuity, system failure and service delivery	Director of Communities		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190030/006 Safe systems of work designed		Significant	Significant	
CRR190030/007 Consultations with TUs		20	20	
CRR190030/008 e-form developed to deal with redeployment requests			Catastrophic	
CRR190030/009 L&D Team have developed and are now managing the Redeployment Hub			Likely	
CRR190030/001 Services are updating their business continuity plans, with ongoing review carried out.				
CRR190030/002 Regional planning group in place with other public sector organisations				
CRR190030/003 Risks will be managed service by service daily monitoring				
CRR190030/004 Service specific plans prepared - assessing impact of 10%/20%/30% staff sickness				
CRR190030/005 Identify where there may be potential to free up capacity in some areas,				
Action Items				
<ul style="list-style-type: none"> Safe systems of work reviewed in line with WG guidance and business continuity plans in place; currently being reviewed and updated. Regional group continues to meet to address business continuity issues and areas of high risk. Risk continues to be monitored via Social Care Gold, and any mitigating action taken as a consequence. Staff absence levels affecting service delivery as is our ability to recruit into certain roles e.g. care staff and social work. Service need consequently being addressed on a risk assessed basis. New recruitment and retention plan in place in relation to social care roles. Workforce Hub has been reinstated to support critical services. Absence system updates can now provide updates in terms of live absences and areas of concern, Recruitment – streamlined processes, and new software system to be developed. 	Jan-22			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190061	Effect of Covid-19 and Brexit on recruiting and impact of workforce planning	Assistant Chief Executive		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190061/001 Revisited gradings for homecarers - recruitment hotspot		Significant	Significant	
CRR190061/002 Reviewing wider T&Cs to make post more attractive		25	20	
CRR190061/003 Other employee benefits to be promoted			Catastrophic	
CRR190061/004 Workforce planning workshops with CMT & HoS - corporate priority			Likely	
CRR190061/005 Reallocating responsibilities within People Management and Social Care to address crisis in hotspot area				

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> January 2022 – remains a significant risk to the Council. Impact of Brexit ongoing. Care sector particularly problematic. Additional resources funded by Social Care to support the overall recruitment process – comes to an end in March 2022 – this is a concern so Communities Department to consider ongoing funding arrangements. There are temporary relaxations around visas for European workers, so we are looking at Hong Kong Scheme to see how we take advantage of these relaxations (longer term piece of work to alleviate pressures – will need resourcing). In terms of Employee Benefits – the new Reward Hub is about to go live – this will sit within a suite of benefits which could also help to attract applicants. We have revamped our Jobs Page to improve the candidate experience and are currently out to tender for a new recruitment system – this will improve the overall candidate experience. Workforce Planning workshops went ahead with CMT / Heads of Service – outcomes of these workshops now need to be included in departmental Business Plans to address any succession planning concerns or skills gaps. Workforce planning data available for managers, next step managers to consider different paths forward to address the workforce planning issues. 	Jan-22			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190046	Covid19 - Strategic Failure to ensure the expected progress and outcomes of all Carmarthenshire learners for the period that operation of schools and learning establishments are affected by the pandemic	Director of Education & Children Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190046/001 We will work closely with schools to monitor wellbeing, progress and outcomes of all learners		Significant	Significant	
CRR190046/002 We will plan for seamless transition from delivery to distance learning when required for all learners		20	20 Catastrophic Likely	

Action Items	Review Date
<ul style="list-style-type: none"> The impact of failing to ensure the expected progress and outcomes of all Carmarthenshire learners remains catastrophic. Circumstances are being reviewed constantly and there is still a possibility of further school closures due to the pandemic and therefore the probability remains likely. As students were unable to sit final exams, GCSE and A level grades for 2020-21 were determined by our teaching staff based on a range of evidence such as classwork, homework, mock exams and non exam assessments. Results can't be compared to previous years, but overall results are equivalent to or better than recent years. The Leadership Strategic Group continues to implement key actions gleaned from the Self Evaluation Process. The School Improvement Team have been re-engaging with schools during the Autumn term to monitor and evaluate the quality of teaching and learning. This process continues into the Spring term with Education Support Advisors supporting individual schools with individual issues. Over the previous 18 months the pandemic has caused school sites to be closed for long periods prompting a move to distance learning. This represented significant disruption to normality, though schools have tried hard to mitigate as much as possible under changeable circumstances. Blended / hybrid learning could feature more permanently going forward and we continue to plan and develop flexible learning models - to feature as a normal school life in the future, whilst also building further resilience if there are future disruptions to face to face teaching. ECS continues to evolve it's COVID response closely mirroring developments to National guidance. Schools will be maximising the impact of the RRRs grant (Recruit, Recover & Raise) with a clear focus on ensuring appropriate provision to support skills delivery of pupils impacted by the pandemic. The impact of this grant will be monitored by school improvement. 	Jan-22


Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190056	Ensuring that the Authority effectively manages its financial resources and responds to the challenges of reduced funding (formerly CRR190004)	Director of Corporate Services/Head of Financial Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190056/001 Medium Term Financial Strategy - 5 Year Plan		Significant	Significant	
CRR190056/002 Full County Council Elected Member Engagement on an annual basis		20	20	15 
CRR190056/003 Challenge from Scrutiny Committees			Catastrophic	5
CRR190056/004 Public Consultation regarding budget priorities on an Annual Basis			Likely	
CRR190056/005 Engagement with Welsh Government via WLGA to ensure Carmarthenshire County Council				
CRR190056/006 TIC Programme to identify efficiencies and promote alternative methods of service delivery				
CRR190056/007 Workforce Planning to ensure staff resources are planned to match demand				
CRR190056/008 Wales Audit Office external challenge and assessment				
Action Items				
<ul style="list-style-type: none"> January 2022 - most positive provisional settlement in recent years at 9% plus however, inflationary and inescapable pressures are also at unprecedented levels. Budget strategy assumes pay awards and inflation at 4% for 2022/23 with an additional contingency of £2 million added to base budget. However, risk surrounding Covid-19 hardship scheme is too large to fully mitigate. Future savings identification enhanced though independence external challenge. Pending confirmation of complete grants information in final settlement, Communities Department budgets increase £13m, Education & Children Services Department £11m increase. 	Jan-22			

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Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190066	Insufficient numbers of social work and care staff to provide sufficient assessment and care capacity which provides a risk to vulnerable people in not having needs assessed and being unsupported and potentially unsafe in the community.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190066/001 Develop and implement social care recruitment and retention strategy.		Significant 25	Significant 20 Substantial Probable	16  4

Action Items	Review Date
<ul style="list-style-type: none"> We continue to experience significant pressures with recruitment currently both for qualified social workers and unqualified care staff. These pressures are affecting both our in-house services and the wider independent care sector. From a social work perspective, this is impinging on our ability to assess new referrals in a timely way, and from a care perspective our ability to meet new demand particularly for domiciliary care. We are therefore in the process of implementing a recruitment and retention strategy for both care staff and social work staff. Since the last update, we have offered social workers in key areas where we are experiencing recruitment and retention difficulties a market supplement. We have also secured agency support to help supplement some of the social work and care staff gaps. Over the next few months, we will be looking at options to support social work career progression as a way to effectively retain and attract staff as well as a demand and capacity exercise to ascertain if our establishment is sufficient to deliver against current and future projected demand. In the meantime, we continuing to risk assess those waiting for social work assessment to ensure that those with the highest level of need are prioritised first. The inability to recruit and retain Approved Mental Health Professionals means that there is a risk we will be unable to fulfil our statutory responsibilities. From a care staff perspective, we are continuing to proactively recruit new staff with an aggressive recruitment campaign and are developing career pathways for care staff to improve retention, but we are not currently recruiting at a level over and above the numbers leaving the service. 	Jan-22

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Risk Register - Carmarthenshire Corporate Risk Register


Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190067	Lack of availability of domiciliary care to support vulnerable adults which leads to the risk of people being unsupported and potentially unsafe in the community, as well as people being delayed leaving hospital preventing others being able to access urgent medical treatment.	Director of Communities/Head of Adult Social Care/Head of Integrated Services/Head of Commissioning		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190067/001 Support the sector to grow the workforce.		Significant	Significant	
CRR190067/002 Review of all those receiving care to look at opportunities to safely reduce arrangements to release care hours to support other		25	20	16 
CRR190067/003 Ongoing review of those waiting for care to reduce level of care needed.			Substantial	4
CRR190067/004 Consideration of temporary placement where appropriate to support those waiting for care.			Probable	
CRR190067/005 Bridge packages of care wherever possible.				
Action Items				
<ul style="list-style-type: none"> We are experiencing significant pressures with availability of domiciliary care due to staffing availability both in-house and with external providers. As a consequence we have a significant number of people waiting for care in both the community and hospital, although the numbers waiting in hospital has reduced and many of those waiting at home are now being bridged by some form of alternative care as an interim measure. Whilst work is ongoing to address the underlying staffing pressures, both through national and local recruitment initiatives, this work will take time. <p>Therefore, the following controls continue to be progressed:</p> <p>Review of all those either receiving or waiting for care to see whether levels of care can safely be reduced, and care hours released. In addition, we are risk assessing all those waiting for care so we can prioritise those waiting when hours become available. Considering bridging opportunities to temporarily provide care whilst a long-term provider is sourced. Supporting those waiting in hospital for care to consider temporary residential placements where possible.</p>	Jan-22			

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190032	<p>Flood - Strategic Risk</p> <p>The physical effects of more frequent and intense storm conditions that compromise homes, businesses, essential infrastructure and services. This will also include the risk of managing the public's expectation that the Council can completely address, control and mitigate all flood risks regardless of source or asset owner.</p>	Director of Environment		


Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190032/001 Flood Risk Strategy and FRMPs		Significant	Significant	
CRR190032/002 Community Plans in terms of self-help where practicable		20	16	20 
CRR190032/003 Continue to work with our professional partners (as a LLFA)			Substantial	-4
CRR190032/004 S19 Reports and action plans			Likely	
CRR190032/005 Pro-active maintenance programme for flood assets				
CRR190032/006 Making more use of contemporary flood data and information from partner agencies				
CRR190032/007 SAB for future development and TAN 15 compliance				
CRR190032/008 Effective communication strategy				
Action Items				
<ul style="list-style-type: none"> January 2022 –update (Ainsley Williams, Daniel John and Ben Kathrens) <p>No change to current risk rating.</p> <p>The Flood Defence & Coastal Protection business unit are continuing to develop a pipeline of capital schemes, focusing on those communities at greatest risk as detailed in the Flood Risk Management plan. The next stage will need to include the development of resource resilience to realise the grant funding potential, whilst not compromising the ability to deliver on current activities. All Council flood defence assets will continue to be inspected annually and a programme of upgrades and repairs is being developed for 2022/23.</p> <p>An Emerging Risk in this area is TAN15. While delayed for 18-month, the new WG planning policy guidance TAN15, development and flood risk, and new associated flood maps, will place additional expectation to provide mitigation and defences as communities see their flood risk increase.</p>	Jan-22			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date	
CRR190033	<p>Flood - Operational Risk</p> <p>The physical effects of more frequent and intense storm conditions that compromise and stretch our operational ability to respond to widespread and prolonged emergencies both in the immediate response phase and recovery phase of a flood event, whilst also maintaining normal services. This will also include the risk of managing the public's expectation as the Council cannot respond to all requests for help during storm conditions. Response is curtailed by the resources available and the priorities at the time.</p>	Director of Environment			
Control Measures					
CRR190033/002	Management of the response to a storm event in accordance with our strategic emergency plans, protocols and command structures.				
			<p>Uncontrolled Risk Rating</p> <p>Significant</p> <p>20</p>	<p>Current Risk Rating</p> <p>Significant</p> <p>16</p> <p>Substantial</p> <p>Likely</p>	<p>Previous Rating</p> <p>20</p> <p>-4</p> 
Action Items					
	<ul style="list-style-type: none"> January 2022 update (Ainsley Williams, Daniel John and Ben Kathrens) <p>No change to current risk rating.</p> <p>A corporate position on our response to incidents has been developed. The next stage will be to develop a priority schedule with an understanding of what critical infrastructure, highways and communities would be afforded operational resources and in what priority order. A budget has been identified to manage these risks each year and a review will be undertaken of the out of hours flood incident management response.</p>	Jan-22			

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190063	Failure in Determination of Major Planning Applications (Failure to determine major planning applications within timescale is adversely impacting on our ability as an Authority to achieve our regeneration ambitions)	Head of Place & Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190063/001	A dedicated officer and support staff have commenced work on 'Major Projects' that support the county's		Significant	Significant
CRR190063/002	Establish a Corporate Major Projects Group comprising council officers representing the range of services		20	16
CRR190063/003	Protocol to be developed covering applications for major development projects			Substantial
CRR190063/004	Consideration to be given to whether a Planning Performance Agreement (PPA) should be entered into with applicants			Likely

Action Items

<ul style="list-style-type: none"> January 2022 –update Risk ownership to changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. <p>No change to current risk rating.</p> <p>Control measure updates CRR190063/001 – Wording to change to: "A dedicated officer and support staff have commenced work on 'Major Projects' that support the county's Economic recovery plan outputs and aspirations" CRR190063/003 – Protocol has been drafted and has been agreed by CMT. As it's a procedural document rather than policy it does not require further approvals. CRR190063/004 – Considerations is being given to the resource implications of implementing a Planning Performance Agreement (PPA) with applicants for major development projects.</p> <p>New Head of Place and Sustainability appointed and commenced in post January 2022 Planning committee receive quarterly performance report. Pre Cabinet monthly update repor.t</p>	Jan-22			
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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190064	Failure to address Significant performance issues in development management are undermining effective service delivery. (Significant backlog of undetermined planning applications, significant caseload in planning enforcement, timeliness of validation process, and lack of performance monitoring.)	Head of Place & Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190064/001 Planning Hwb to act as a single point of contact for Development Management and Enforcement queries.		Significant	Significant	
CRR190064/002 Develop, review and implement processes relating to the determination of planning applications.		20	16	
CRR190064/003 Develop, review and implement protocols and polices to ensure improved consistency			Substantial	
CRR190064/004 Develop a comprehensive suite of performance measures to ensure the Service can be held to account.			Likely	
CRR190064/005 Embed robust performance and case management within the Service				
CRR190064/006 Review Scheme of Delegation and Planning Protocol and seek approval at CRWG/Full Council.				
CRR190064/007 To focus on positive recruitment and retention practices to motivate and sustain the workforce				
CRR190064/008 Re-Design and develop a customer focused Planning section within the Corporate website.				
Action Items				
<ul style="list-style-type: none"> January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership to changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. <p>No change to current risk rating.</p> <p>Control measure updates CRR190064/002 and 003 – Revised processes are continuing to be developed and implemented in the determination of planning applications services. (e.g. progress on producing protocols for validation, consultation and publicity of applications).</p> <p>CRR190064/004 and 005 – Planning service and case management indicators are being prepared and quarterly performance reports are being prepared for consideration by divisional SMT.</p> <p>CRR190064/006 - Revised Scheme of Delegation and Planning Protocol was reported to CRWG on 5th January 2022 and will be reported to Full Council on 19th January for final approval.</p> <p>CRR190064/007 – A new Head of Place and Sustainability commenced at the start of January 2022. Key posts have been filled temporarily and the section will go through a full workforce planning review in the coming months.</p> <p>CRR190064/008 – Development work is continuing on the Corporate website in conjunction with the web development team.</p>	Jan-22			

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190016	Delivery of the Authority's Waste Management and Recycling Strategy to ensure that we meet our statutory recycling targets and wider obligations including improvements to the quality of recyclable materials to support circular economy principles and reduce carbon outputs in accordance with Welsh Governments Beyond Recycling national strategy	Head of Waste & Environmental Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190016/001 Maintain current provision and infrastructure for recycling		Significant	Significant	
CRR190016/002 Continue education and awareness activity to improve participation		20	16 Substantial Likely	

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> January 2022 update (Ainsley Williams and Daniel John) <p>No change to current risk rating.</p> <p>The current statutory target for 2021/22 is 64%, with the next specific statutory target being 70% by 24/25. The measures introduced since April 2019 have meant that the Council has exceeded the 64% statutory target thus far, but the effects of the CWM MRF fire could prove to be a setback in performance terms. Following the fire at Nantycaws and the necessity in sourcing alternative recycling treatment suppliers there is an increasing likelihood of target failure this year. The Welsh Government have been made aware of our current performance and we are engaged with them on this matter. The adoption of the future waste strategy will be a long-term mitigation of this risk and the WG are supportive of this direction of travel. We have also reintroduced our kerbside restriction policy and recycling contamination process to support with the education and enforcement of contraventions to our service policies. This action should improve our performance.</p>	Jan-22			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190019	Failure to ensure that schools effectively manage their resources and respond to the challenges of reduced funding	Director of Education & Children Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190019/001	Lead the TIC Schools project, working with colleagues and schools to identify significant savings as set by the County Council		Significant 16	Significant 16 Substantial Likely	
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Action Items

<ul style="list-style-type: none"> The impact of failing to ensure that schools effectively manage their resources and respond to the challenges of reduced funding remains substantial. Circumstances have not changed since the last review and therefore the probability remains likely. Analysis of future growth requirements for the delegated budget to schools has been completed. Levels of risk continue to be monitored via detailed focus on individual school budget performance. Analyses are ongoing throughout the financial year. Progress updates and ensuing actions are monitored closely by a range of officers / groups, including the Schools Budget Forum, Educations Services Forum, DMT, ECS Scrutiny. The Federation agenda analyses and seeks to improve the viability of smaller schools. The Change Review Panel challenges schools in deficit on budget and business management. Business Management within schools is currently being evaluated." 	Jan-22			
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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190058	SAC Phosphate & NRW Interim Planning Advice	Director of Environment/Head of Place and Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190058/001 Identify and triage "major" applications and those related to the Council's Covid Recovery Strategy		Significant	Significant	
CRR190058/002 Lobby and work with WG/NRW to get clarity around the scope of the requirements		20	16	20 
CRR190058/003 Stakeholder Engagement -			Substantial	-4
CRR190058/004 Developer and Applicant Guidance -			Likely	
CRR190058/005 Develop a Catchment based Phosphate Calculator -				
CRR190058/006 Specialist Legal and Ecological Support -				
CRR190058/007 Provide a dedicated and continually refreshed webpage to set out the latest information and any updated guidance.				
CRR190058/008 Collaborate across sectors on developing an understanding of the issues and in establishing solution based approaches.				

Action Items	Review Date
<ul style="list-style-type: none"> January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership to changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. <p>No change to current risk rating.</p> <p>Control measure updates CRR190058/001 – “Major” applications are being triaged on an on-going basis as applications are received.</p> <p>CRR190058/002 – The Division is working with NRW to develop new guidance in this area and the Forward Planning Manager chairs a national group. CRR190058/003 - The first stakeholder event was held in October 2021 to start to set up a Stakeholders’ forum. CRR190058/004 - The guidance pack has been developed and implemented, which is seen an exemplar to roll out across Wales. CRR190058/005 – Work on the catchment-based Phosphate Calculator is reaching a conclusion and will be implemented by the end of February 2022. CRR190058/007 - Development work is continuing on the Corporate website in conjunction with the web development team.</p>	Jan-22

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190034	Cyber Risk such as: - Ransomware or malware infection - Denial of Service Attack (DOS) - Unauthorised network access (hacking) - External and Internal - Phishing Email Attack - staff approach - Increased risk of cyber crime due to phishing and malware attacks exploiting Covid-19	Head of ICT & Policy		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190034/001 Cyber incident response plan		Significant	High	
CRR190034/002 Staff awareness training		20	15	
CRR190034/003 Firewalls			Catastrophic	
CRR190034/004 Application control on servers			Possible	
CRR190034/005 Security updates continuously rolled out				
Action Items				
<ul style="list-style-type: none"> January 2022 - Anti-ransomware solution has been deployed to detect and stop encryption of files during a ransomware attack. Phase 2 of our phishing campaign is due to start in February to raise awareness of phishing attacks which can lead to more intrusive malicious activity. Our Cyber stocktake and CIRP Report has been taken to CMT on 25th November and approved. 	Jan-22			

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date	
CRR190050	Covid19 - Strategic Risk of contractor and suppliers failing to deliver projects/schemes, because of macro-economic conditions and disruption to international logistics. - contractors resources depleted - contract failure - cost increases - sourcing materials	Director of Environment			
Control Measures		Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190050/001	Review pipeline of projects with clients to align project delivery and budget with supply side capacity and market conditions.		Significant	High	
CRR190050/002	Project delivery aligned to changes in Covid risk with contractors managing health and safety risk in accordance with		20	15 Catastrophic	
CRR190050/003	Undertake regular financial checks on suppliers.			Possible	
Action Items		Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> January 2022 - Formal Process of authorisation has been followed to variation of contract terms where necessary. We have also modified contracts through extensions where the market place is volatile to allow it to hopefully stabilise before we go out to tender in some areas. If unable to manage capital schemes within the escalating costs, the capital programme would need to be critically reviewed to identify what uncommitted projects could be deferred / removed. 		Jan-22			

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<p>• January 2022 –update (Director of Environment and Stephen Pilliner)</p> <p>Proposed that the risk description be modified to reflect and include “because of macro-economic conditions and disruption to international logistics”.</p> <p>No change to current risk rating.</p> <p>Control measure updates Proposed that control measures wording to be amended to :</p> <ul style="list-style-type: none"> • Review pipeline of projects with clients to align project delivery and budget with supply side capacity and market conditions. • Project delivery aligned to changes in Covid risk with contractors managing health and safety risk in accordance with risk assessments safe systems of work and Wales Govt. Guidance. • Undertake regular financial checks on suppliers. <p>Supporting information included below :</p> <p>The material price index for ‘All Work’ increased by 24.5% in October 2021 compared to October 2020and by 1.0% compared to September 2021. (Source : ONS Monthly statistics – Building materials and components)</p>	<p>Jan-22</p>					
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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190038	Covid19 - Strategic Increase in levels of anxiety which is directly affecting mental health. Health and wellbeing of staff and the public	Assistant Chief Executive		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190038/001 Provision of support from Occupational Health		Significant 25	High 15 Catastrophic Possible	
Action Items				
<ul style="list-style-type: none"> January 2022 – IN TERMS OF OUR OWN STAFF we look to our own Managers to provide staff with wellbeing support. We also hold dedicated events, provide guidance, advice, training and support for Managers to manage mental health in the workplace as well as general wellbeing support. We have a raft intervention available e.g. Wellbeing events held, Mental Health First Aid, Managing Mental Health. Corporately we are not picking up trends in terms of covid related anxiety, however the wellbeing of our staff remains a high priority and mental health continues to be one of the key reasons for absence. With the relaxation of restrictions which will see more staff returning to the workplace we could see some of our staff experiencing anxiety. Increase in (non-covid) absence figures seen in Q3 – which does have an impact on the staff to deliver the services. <p>In work poverty is a noted area of concern and concerns around. Increase in OH referrals and GP referrals having an impact on this as well</p>	Jan-22			

Carmarthenshire Corporate Risk Register

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Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190025	Schools do not undertake routine property repair and maintenance using delegated funding or undertake work that is not compliant	Head of Access to Education		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190025/001 Building condition surveys and reports to be reinstated		Significant	High	
CRR190025/002 Risk Management bid to be considered to fund urgent building condition surveys		25	15 Catastrophic Possible	
Action Items				
<ul style="list-style-type: none"> January 2022 – Property Maintenance Manager update No change to current risk rating. <p>CRR190025/001 – Recruitment is continuing to recruit building surveyors via People Management. Following recruitment, building surveys will be undertaken for all Council buildings, including schools. Property is evaluating a data capture and reporting system for building surveys which should be procured in the next couple of months.</p>	Jan-22			

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Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190027	Fraud & Corruption The cost of fraud to the Welsh Public Sector is estimated to be in the region of between £100million and £1billion annually (as reported by the WAO)	Head of Revenues & Financial Compliance/Director of Corporate Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190027/001 Anti-Fraud & Anti-Corruption Strategy		Significant	High	
CRR190027/002 Whistleblowing Policy		20	15	
CRR190027/003 Financial Procedure Rules			Catastrophic	
CRR190027/004 Code of Conduct - Members & Officers			Possible	
CRR190027/005 Participation in the National Fraud Initiative Exercise				
CRR190027/006 Dedicated Fraud Investigation Officer dealing with Revenue & Benefit Frauds				
CRR190027/007 Counter Fraud proficiency within the Internal Audit Team				
CRR190027/008 Effective relations with Dyfed Powys Police				
Action Items				
<ul style="list-style-type: none"> January 2022 - Fraud Risk Register being continuously monitored and fraud testing in incorporated into internal audit reviews. MOU between Carmarthenshire and Dyfed Powys Police has been reviewed and checked to be still appropriate Updated Financial Procedure Rules will be presented to Audit Committee by mid 2022 to ensure that they are still fit for purpose. Any amendments will be brought to the Governance & Audit Committee Fraud e-learning being developed Raising awareness process being developed and work is ongoing with Communication team. The Whistle-blowing policy has been slightly amended and has been adopted by Standards Committee. A Whistle-blowing update briefing is scheduled on the 8th February 2022 to all Senior Officers. 	Jan-22			

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190043	Covid19 - Strategic Financial Implications - loss of income Financial implications - increased costs due to Covid-19 demands and compliance with Cabinet and Welsh Government instructions	Director of Corporate Services/Head of Financial Services/Head of Revenues & Financial Compliance		
Control Measures				
			Review Date	Uncontrolled Risk Rating
CRR190043/001	Recovery of Council Tax & NNDR whilst being sensitive to the current situation			Significant
CRR190043/002	Recovery of Housing Rent			25
				15 Catastrophic Possible
Action Items				
	<ul style="list-style-type: none"> January 2022 - Council Tax collection remains stable however, commercial income loss continues to be a considerable risk going forward due to the impact of Covid-19. We have set aside £1 million in next years budget for mitigating loss. Currently financial implications are covered by the hardship grant. Control Measure - CRR190043/003 Exceptional procurement purchases due to Covid-19 must be signed off by Section 151 Officer is no longer applicable as emergency powers have been suspended so this control measure has been withdrawn.		Jan-22	

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190051	Covid19 - Strategic Failure to recover from the COVID19 impact and non delivery of departmental objectives	Chair Silver Recovery		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190051/001 Silver Recovery Group Performance Management Framework quarterly reporting & monitoring to CMT		Significant 16	High 12 Substantial Possible	

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> January 2022 - Business planning process for 2022/23 nearing completion. Engagement and Assurance sessions held with each DMT to support self-assessment of performance and embedding of corporate priorities including pandemic legacy. Performance Management Framework agreed and a new, cross-cutting quarterly performance monitoring process also introduced in November 2021 which embeds service, financial and risk management elements. <p>Silver Recovery - Aims & Objectives (post 22/12/2021):</p> <ul style="list-style-type: none"> ➤ Ensure the wellbeing and safety of staff and the public ➤ Restore and better community resilience ➤ Rebuild and restore economic and public confidence ➤ Manage and react to Covid transmission rate changes ➤ Review and adapt the delivery of services to ensure prompt response to changes in new regulations and lockdowns. ➤ Ensure Risk Assessments and Safe Working Practices are in place and updated to support any changes to the delivery of local authority services ➤ Provide clear, timely information to members of the public and staff ➤ Supporting stakeholders and partners ➤ Ensure clear governance around decision making ➤ Connect between Gold Command and front line services ➤ To ensure financial resilience of the Authority ➤ Maximise the resilience of key staff groups in essential services ➤ Review and recommend movement of resources to meet demand 	Jan-22			


Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190060	Critical Authority wide IT systems	Head of ICT & Policy		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190060/001 Main server and backup server at different sites		Significant	High	
CRR190060/002 Microsoft database SQL expertise in IT department		20	12 Substantial Possible	15  -3
Action Items				
<ul style="list-style-type: none"> January 2022 - New data centre and SQL cluster has been created within Ammanford with high availability and redundancy between our two data centres. In the event of any failure/disruption at either of our Carmarthen or Ammanford Data Centres, a large proportion of systems/network and applications will no longer be impacted and will continue to function. Risk still remains HIGH as if both data centres are impacted simultaneously (possible), that risk still remains for wide disruption. Further mitigation and driver as part of our wider digital transformation strategy of moving systems to supplier cloud will further mitigate and improve business continuity as well as on-going annual testing/planning by ICT Services of impact scenarios between our data centres to further minimise impact and optimise speed of recovery of systems in the event of any disruption. 	Jan-22			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190031	Failure to comply with the requirements of the Local Government and Elections (Wales) Act	Corporate Management Team		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190031/001 Public participation strategy being produced		High	High	
CRR190031/002 Petition scheme being developed		12	12	
CRR190031/005 Collaborative working with Principal councils - awaiting further guidance from WG			Substantial	
CRR190031/006 Corporate Joint Committees -			Possible	
CRR190031/007 Webcasting of meetings arrangements in place and work ongoing on developing the arrangements				
Action Items				
<ul style="list-style-type: none"> January 2022 - Advert is currently out to recruit for lay members. Shortlisting and interview arrangements are confirmed. 	Jan-22			
<ul style="list-style-type: none"> January 2022 Petition scheme and democratic Public Participation Strategy drafted and will be discussed at Constitutional Review Working Group for recommendations to be made for Council for adoption. 	Jan-22			
Webcasting arrangements compliant with legal requirements and equipment installed ready to move to hybrid meetings as and when coronavirus restrictions advise physical attendance at meetings appropriate.				
Adverts for further lay members for the Governance and Audit Committee to meet one thirds lay members composition currently out for applications, with closing date of 21st January.				
First meeting of the South West Wales CJC arranged for January 2022. Further Welsh Government consultation documents expected on various aspects of CJs.				

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

<ul style="list-style-type: none"> January 2022 - A Joint committee has been formally established, with supporting governance and advisory boards. Each project within the city deal has its own local project board. <p>A Joint Committee agreement has been implemented to support the four regional authorities in the discharge of their obligations to one another, the Welsh Government and the United Kingdom Government ("UK Government") and to promote and facilitate projects funded under the Swansea Bay City Deal in order to further the growth of the Swansea Bay City Region. The Councils have accordingly agreed to enter into this Agreement to document and regulate their respective rights and obligations to each other and to enable the Councils to work together to establish and to participate in a Joint Committee.</p> <p>A five year operational budget has been compiled and was approved by the Joint Committee on 9th July 2020.</p> <p>The SBCD implement evaluation and monitoring arrangements to support the delivery of the portfolio, these include a portfolio level risk register, supported by project level risk registers, integrated assurance action plan, quarterly monitoring updates and highlight report, quarterly financial monitoring update, forward works programme and COVID-19 impact risk assessments. All of the nine SBCD projects are now engaged in delivery and have been formally approved by both UK and Welsh Government.</p> <p>The SBCD portfolio is subjected to an independent external audit by Audit Wales, an unqualified opinion on the latest financial statements (2020/21) was issued. An internal Audit Review was conducted during January 2021 with a substantial level of assurance issued - 'There are no or few weaknesses in the adequacy and/or effectiveness of the governance, internal control, risk management and financial management arrangements, and they would either be unlikely to occur or their impact is not likely to affect the achievement of the SBCD objectives'. A further internal audit review has been approved commencing in January 2022.</p> <p>As part of the assurance arrangements for the SBCD Portfolio, an independent Gateway 0 Review was undertaken in July 2021. The Review was undertaken by an independent, external team in accordance with the Welsh Government Integrated Assurance Hub Guidelines. Seventeen 'conversations' were held with stakeholders between 19th-21st July together with a workshop session with the four local authority Leaders. The SBCD Portfolio received an Amber-Green Delivery Confidence Assessment (DCA) rating.</p> <p>Specific portfolio risks recorded and reviewed in the SBCD Risk Register including legal, operational and financial risks. The risk register is updated quarterly and reported to governance boards and committees with appropriate mitigation or control actions.</p> <p>SBCD manage the grant award inline with the funding conditions set out by Governments and inline with discernment conditions outlined within the SBCD Joint Committee agreement, programme and project funding agreements and Carmarthenshire County Council's financial regulations and appropriate adopted financial strategies.</p>	<p>Jan-22</p>					
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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190023	The post Brexit Settlement	Economic Development Manager		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190023/005	Decrease in external funding due to new SPF regimes		Significant	High	
CRR190023/001	Officer/Member Working Group with representations from all council services		16	12	
CRR190023/002	Review all services/plan contingencies			Substantial	
CRR190023/003	Follow advice from Welsh Government and WLGA			Possible	
CRR190023/004	Communications with residents and businesses				

Action Items

<ul style="list-style-type: none"> January 2022 – The UK Government announced in November 2021 that the Authority had been successful in 11 out of 12 CRF bids, totalling £2.97m. Also the UK Government announced that both Levelling Up bids were successful. The risk levels remain the same however as we have to deliver both CRF and Levelling Up projects within a tight timeframe. <p>Brexit Member / Officer group meets within two weeks of the WLGA Transition Co-ordinators group meetings. Regular reporting to CMT. The Brexit Risk Register is currently being reviewed by the Brexit Officer/Member Group.</p> <p>Continuing to work closely with the WLGA on BREXIT. CCC website updated regularly with information from Welsh Government.</p>	Jan-22				
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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190005	Ensuring effective management of Grant Funding (including accessing Grant Funding) Threat of having to repay significant Grant monies. Failure to manage grants and maximise on the funding resources available Failure to secure funding Failure to deliver current projects within the set timescales Failure to deliver outputs in line with the T&Cs of grant paying department	Director of Corporate Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190005/005 Recovery Group reviewing financial position		Significant	High	
CRR190005/006 Reprioritisation of funding to best address the current liabilities		16	12	16 
CRR190005/007 Reprioritisation of capital programme			Substantial	-4
CRR190005/001 Project Management Training			Possible	
CRR190005/002 Grant Funding Bodies Guidance Briefings and Training				
CRR190005/003 Grants Panel				
CRR190005/004 Grants Manual / CPRs / FPRs				
Action Items	Target Date			
<ul style="list-style-type: none"> January 2022 - Secured substantial funding from UK Government, it will be imperative we ensure there are robust processes in place to comply with the terms and conditions. 	Jan-22			

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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190015	Delivery of the Approved Capital Programme (Outcomes / Budget)	Director of Corporate Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190015/001 Strategic Asset Steering Group		Significant	High	
CRR190015/002 Project Management Tool Kit		16	12	
CRR190015/003 Project Management Training			Substantial	
CRR190015/004 Long term Treasury management / loan funding			Possible	
Action Items				
<ul style="list-style-type: none"> January 2022 - There has been one particular project that has been a burden and we have re-prioritised the capital budget. 	Jan-22			

Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190057	Maintain and develop an effective Local Development Plan	Head of Place & Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190057/001	Development of an effective Local Development Plan (LDP)	High	High	
CRR190057/002	Adopted LDP in place with no defined end date – continued monitoring through Annual Monitoring Reports to assess effective	12	12	
CRR190057/003	Develop policy interventions to ensure the effective implementation of the adopted LDP including use of LDO's etc enabling		Substantial	
CRR190057/004	To continue the preparation of the Revised LDP reflecting of the Councils corporate and strategic objectives whilst having		Possible	
CRR190057/005	Put in place a revised Delivery Agreement and timetable by April 2022 for the preparation of the Revised LDP with WG agreement.			
CRR190057/006	To participate and collaborate regionally on the preparation of the Strategic Development Plan for South-West Wales.			

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating

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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

<ul style="list-style-type: none"> January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. <p>Wording of Risk title changed from “Maintain and develop effective Planning Policies” to “Maintain and develop an effective Local Development Plan”</p> <p>No change to current risk rating.</p> <p>Control measure update CRR190057/001 – Wording of Control measure to change to “Development of an effective Local Development Plan”</p> <p>Additional new control measure proposed CRR190057/002 - Adopted LDP in place with no defined end date – continued monitoring through Annual Monitoring Reports to assess effective implementation. CRR190057/003 - Develop policy interventions to ensure the effective implementation of the adopted LDP including use of LDO's etc enabling policy approaches to be agile and adaptable to changes in context and strategic objectives. CRR190057/004 - To continue the preparation of the Revised LDP reflecting of the Councils corporate and strategic objectives whilst having appropriate regard to national policy and legislation. CRR190057/005 - Put in place a revised Delivery Agreement and timetable by April 2022 for the preparation of the Revised LDP with WG agreement. CRR190057/006 - To participate and collaborate regionally on the preparation of the Strategic Development Plan for South-West Wales.</p>	<p>Jan-22</p>				
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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190065	Failure to determine or secure Extension of Time (EOT) for Planning applications which are outside the determination date.)Current risk in relation to the repayment of the planning fee applicants where a planning application is over time (not been determined within the determination date) or has not been subject to an agreed EOT. As at 3/9/21 - 402 planning applications and fees of £593,000 at risk of repayment.)	Head of Place & Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190065/001 Develop, review and implement processes relating to the timely determination of planning applications.		High	High	
CRR190065/002 Develop, review and implement protocols and polices to ensure improved consistency and approach in determining planning		15	12	
CRR190065/003 Standardise and ensure consistent use of EOT letters (where there may be delays in the timely determination of planning			Substantial Possible	
Action Items				
<ul style="list-style-type: none"> January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership changed to Head of Place and Sustainability. <p>No change to current risk rating.</p> <p>Mitigation actions continue to improve determination times and ensure consistent use of Extension of Time (EOT) for Planning applications. Significant improvements have been made since the Wales Audit review, with a reduction in outstanding planning applications from 402 in September 2021 to 296 in January 2022, (fees risk of repayment reduced from £756, 000 to £456,000.)</p>	Jan-22			

Carmarthenshire Corporate Risk Register


Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190026	Ash die back and the risk to public safety	Head of Place & Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190026/001	The Council's Tree Safety Officer carries out regular tree safety inspections of all trees on CCC properties where required.		Significant	High	
CRR190026/002	Officers delivering approved strategy for managing risk to highways posed by diseased ash trees		20	12	16 
CRR190026/003	Highways inspectors complete annual surveys of the extent of ash dieback adjacent to highway network, and safe routes to schools			Substantial	-4
CRR190026/004	Chainsaw training for Council operatives specific to Ash die back			Possible	
CRR190026/005	CCC's Ash Dieback project to work with landowners of affected trees adjacent to the highway network to ensure these trees are				

Action Items

<ul style="list-style-type: none"> January 2022 –update (Rhodri Griffiths, Rosie Carmichael and Jason Winter) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. <p>No change to current risk rating.</p> <p>Control measure review and updates from Jason Winter and Rosie Carmichael. Wording changed to control measures to reflect progress made.</p> <p>Proposed additional control measure (CRR190026/05) for inclusion – “CCC’s Ash Dieback project is working with landowners of affected trees adjacent to the highway network to ensure these trees are removed.”</p> <p>Update comments on progress</p> <ul style="list-style-type: none"> November 2021 Temporary post of Ash Dieback Officer was replaced with a permanent Tree Safety Officer post (TSO). Ash Dieback winter work programme progressing with circa 300 ash trees identified on CCC owned land, in 19 locations, adjacent to the highway being removed by contractors using the Direct Purchasing System (January – March 2022). Tree safety work identified in seven CCC schools (Ash and other trees) and will be completed by end of January 2022. TSO is liaising with private landowners to raise awareness of Ash Dieback disease and ensure the removal of affected trees that are close to the highway. Based on summer 2021 highway surveys (the second survey), initial letters advising landowners of trees that pose potential risks will be sent out by the end of April. 	Jan-22				
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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190018	Failure to deliver a quality Education Service	Director of Education & Children Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190018/003	Raise standards at each key stage	High	High	
CRR190018/004	Support schools to develop and deliver new curriculum	12	12	8 
CRR190018/005	Support schools to implement ALN reform		Substantial	4
CRR190018/007	Provide appropriate support for vulnerable learners - ALN, LAC, EAL, Travellers, e-FSM		Possible	
CRR190018/008	Manage the 21st Century School Programme and reduce the number of surplus places with the schools system			

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> The Impact of failing to deliver a quality Education Service remains High and due to issues, detailed below, with Budget and the new Regional Consortium the probability score has been raised to Possible. The majority of projects within the Band A Programme have been completed. We have recently completed projects at Ysgol Rhys Prichard and Ysgol Llangadog with on site progress at Ysgol Gorslas. Schemes are being progressed for the remaining three projects. With regards to Band B; we have completed the project at Ysgol Pum Heol and on site work is continuing at Ysgol Y Castell. The scheme for Ysgol Pembrey has been approved by Welsh Government and we are due to start on site in January 2022. Clear identification of vulnerable pupils and monitoring of their progress continues through the effort of ALN, Inclusion and Education Support Advisors work with schools. A new collegiate approach to school improvement ensures a collaborative and streamlined approach to discussions around these pupils. The Vulnerable Learners' Group continues to be active and has been modifying its approach to streamline the strategic overview whilst also looking to ensure that individual casework continues as efficiently as possible. Some important appointments have been made recently to bolster our support for vulnerable learners. We continue to ensure the Council fully responds and complies with the requirements of the Additional Learning Needs transformation programme which aims to transform expectations, experiences and outcomes for children and young people by developing a unified system for supporting learners with additional needs from 0 to 25 years of age. Inclusion Officers continue to support the 10 priorities outlined in the Regional Additional Learning Needs (ALN) Transformation Plan and are involved in delivering outcomes in each priority delivery schedule. A Carmarthenshire Implementation plan and work schedule is in place, is being progressed and is reviewed by the ALN Transformation steering group. We still await Welsh Governments (WG) Implementation Plan and definitive guidance is required from WG on funding around ALN. However, officers are worried that a lack of funding for ALN will negate the work done to implement the ALN Reform Bill. Exec Board Member for ECS has requested that any monies left over from the new settlement should be given to ALN as a priority. We continue to work towards raising standards at each Key Stage. However due to schools being closed for periods due to COVID, Teacher Assessments and final GCSE and A level exams for 2020-21 were cancelled. GCSE and A level grades were determined by a range of evidence such as classwork, homework, mock exams and non exam assessments. Therefore, we can't compare to previous years. We continue to support and challenge schools to further improve outcomes for all pupils at the end of every stage with a particular emphasis on raising achievement for pupils entitled to free school meals and vulnerable pupils. We continue to support, challenge and improve the quality of leadership and its impact on improving provision and outcomes in collaboration with senior school leaders. Discussions have been held with our newly constituted Region, Partneriaeth, to ensure synergies in approach to school support for curriculum design. However as it is taking time to set up the new Regional Consortium and a delay in appointing senior officers. This is causing concern. 	Jan-22			

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Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190029	Net Zero Carbon Failure to deliver the Council's commitment to become a net zero carbon local authority by 2030	Director of Environment/Head of Place and Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190029/001 The Council has adopted a realistic, pragmatic and achievable approach in its Net Zero Carbon Plan.		Significant 20	High 12 Substantial Possible	8  4
Action Items				
<ul style="list-style-type: none"> January 2022 –update (Rhodri Griffiths and Kendal Davies) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership changed to Head of Place and Sustainability. <p>No change to current risk rating.</p> <p>Control measure updates</p> <p>Intra-authority steering group convened in December to coordinate activities. Departmental extraction of data currently underway with a deadline of week beginning 17 January Development of annual progress update ahead of March 2023.</p>	Jan-22			

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Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190040	Covid19 - Strategic Availability of Personal Protective Equipment (PPE)	Director of Communities		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190040/001	Procurement arrangements in place for PPE		Significant	High	
CRR190040/002	Central controlled stock arrangements in place		25	10	
CRR190040/003	Stock management is robust to ensure correct level of supply and use			Catastrophic Unlikely	

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> The PPE supply has stabilised over the last 6 months, and reserve stock has been built up allowing more certainty if supply lines were to be affected. Good controls in place for tracking, issuing of stock via a single PPE store for Social Care. This now includes reserve stock of Lateral Flow tests. 	Jan-22			



Carmarthenshire Corporate Risk Register

Risk Register - Carmarthenshire Corporate Risk Register

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Corporate Management Team

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190009	Deliver Effective Safeguarding Arrangements - Children (Detail in separate Safeguarding Risk Register)	Head of Children Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190009/002	Develop implement and regularly monitor effective safeguarding policies and procedures for Children's Services		Significant	High
CRR190009/003	To have a sound procedure for professional abuse allegations effectively promptly and correctly		25	10
CRR190009/004	To respond appropriately to Regulators reports and recommendations			Catastrophic
CRR190009/005	To proactively monitor adequate procedures are being effectively operated by third party providers			Unlikely
CRR190009/006	Ensure sexual exploitation Risk Assessments (SERAFs) and Missing Persons Risk Assessments are completed as required			
CRR190009/010	New arrangements implemented for our leaving care services in accordance with the Social and Well-being Act 2014			

Action Items

<ul style="list-style-type: none"> The impact of failing to deliver effective safeguarding remains catastrophic. Circumstances have not changed since the last review and therefore the probability remains unlikely. <p>The Corporate Parenting Panel met virtually on 23rd November 21, to monitor and scrutinise the care and support that the Local Authority provides to our Looked After Children and Care Leavers. In addition, Looked after children and care leavers have continued to be supported via the childcare teams and corporate parenting service to ensure they are safeguarded and enabled to reach their potential. Regular MALAC (Multi-Agency Care Management meetings) and CYSUR Audit and Evaluation Meetings have continued to take place virtually to ensure the council fulfils its corporate parenting role and progress is monitored as part of the Corporate Parenting Strategy. Service Managers continue to carry out monthly audits and assessments, plans and reviews. Internal inspection is carried out within the Internal Audit and Evaluation sub-group of the Safeguarding Board.</p> <p>We continue to ensure the regional threshold and multi-agency child protection arrangements are working effectively. Most recently a Section 47 Development Day was held facilitated by Gladys White. The aim of the day was to provide an opportunity to consider the Welsh Government Legislation and Guidance, the relevant parts of the Children Act 1989 and the Regional CYSUR policies and procedures in relation to Section 47 processes.</p> <p>All regulatory reports and recommendations are included in business planning and monitored quarterly.</p> <p>We continue to ensure that appropriate Safeguarding measures are included in all Third Party contracts.</p> <p>Sexual Exploitation Risk Assessments (SERAFs) are regularly monitored via the Childrens Safeguarding Audit and Evaluation Group and the Multi Agency Operational Group.</p> <p>This was also informed by the Section 47 Development Day, which gave an opportunity for participants to consider best practice, understand the importance of effective risk assessments and to apply local knowledge and practice in discussing and debating several 'real' case examples.</p> <p>We have introduced a Multi-Agency Child Exploitation Audit, chaired by the Child Protection Coordinator.</p>	Jan-22			
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Risk Register - Carmarthenshire Corporate Risk Register

Manager

Corporate Management Team

<ul style="list-style-type: none"> The Corporate Parenting Panel met virtually on 23rd November 21, to monitor and scrutinise the care and support that the Local Authority provides to our Looked After Children and Care Leavers. In addition, Looked after children and care leavers have continued to be supported via the childcare teams and corporate parenting service to ensure they are safeguarded and enabled to reach their potential. Regular MALAC (Multi-Agency Care Management meetings) and CYSUR Audit and Evaluation Meetings have continued to take place virtually to ensure the council fulfils its corporate parenting role and progress is monitored as part of the Corporate Parenting Strategy. Service Managers continue to carry out monthly audits and assessments, plans and reviews. Internal inspection is carried out within the Internal Audit and Evaluation sub-group of the Safeguarding Board. We continue to ensure the regional threshold and multi-agency child protection arrangements are working effectively. Most recently a Section 47 Development Day was held facilitated by Gladys White. The aim of the day was to provide an opportunity to consider the Welsh Government Legislation and Guidance, the relevant parts of the Children Act 1989 and the Regional CYSUR policies and procedures in relation to Section 47 processes. All regulatory reports and recommendations are included in business planning and monitored quarterly. We continue to ensure that appropriate Safeguarding measures are included in all Third Party contracts. Sexual Exploitation Risk Assessments (SERAFs) are regularly monitored via the Childrens Safeguarding Audit and Evaluation Group and the Multi Agency Operational Group. This was also informed by the Section 47 Development Day, which gave an opportunity for participants to consider best practice, understand the importance of effective risk assessments and to apply local knowledge and practice in discussing and debating several 'real' case examples. We have introduced a Multi-Agency Child Exploitation Audit, chaired by the Child Protection Coordinator. 	Jan-22				
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- Adults: From an Adults perspective, we continue to see a high level of new and complex referrals. Approximately 25% of new enquiries for older people and physical disabilities are now being closed at information and advice, and do not require a referral for assessment which is a very positive step forward. However, the volume and complexity still requiring full assessment has increased and the ongoing pressures on social work capacity mean we are having to risk assess those waiting for assessment to ensure we prioritise those with greatest need.

Jan-22

The Delta Connect programme continues to support vulnerable residents in Carmarthenshire by offering regularly proactive calls as well as a rapid response service which allows people to have the confidence to remain independent at home for longer with the safety net of being able to easily access additional support if needed.

We have introduced a range of initiatives to manage demand including an enhanced pathway for early presentation of mental health concerns. This was provided in collaboration with health and third sector colleagues and this initiative is being built upon to progress a Single Point of Access for mental health services. Going forward we are focussing on prevention as a strategic priority to assist with managing the increased demand for services.

Education & Children's Services - In order to maximise the benefits of weekly pod discussions in terms of support for staff and sharing thoughts and knowledge about cases, wherever possible pod discussions are taking place face to face again instead of remotely. This peer support is greatly valued by staff and helps reduce their feelings of isolation when working from home for much of the time. To embed our relationship based approach to social work, in future the mandatory sessions for social workers in their first year of practice will include input on systemic practice. This means that in their 1st year of practice social workers from both children's and adult services will have opportunities to develop their knowledge and skills in respect of systemic practice. Sickness absence, Covid and staffing issues as well as an increase in referrals have been additional challenges this quarter. Gold Command meetings are held twice a week to address the staff shortages in the Social Care Sector. Children's Social Worker caseloads and vacancies are monitored on a regular basis at service management level. As at this time we are struggling to recruit social workers and have had to recruit agency staff in the main childcare teams, three in post in December and another due to commence in January. There are two current vacancies in Carmarthen Childcare Team, one in Llanelli Assessment team and interviews have been arranged during January. There is evidence in the sample of assessments that are audited monthly of the child's voice being clearly reflected. Social workers are using a variety of tools such as 3 houses to enable children to provide a picture of what life is like for them in their family/home. There is also evidence of collaborative work with children, parents and extended family to develop care and support and safety plans that ensure a child's needs are met appropriately. An increase in referrals together with staffing issues were additional challenges for the assessment team over the last year. The Family Information Service have ensured families and professionals have been kept up to date with services, information, resources, and developments. FIS provided an overview of their service during sessions to Early Years Support Staff and Flying Start Childcare Workers Induction programme; these are for new members of staff and those wanting an update on how the FIS can support them and their families. FIS continue to link in with different services to provide and share information to parents/carers to support them through a variety of different methods. Since October 2021 the FIS website had 10,335 users, 14,284 sessions and 25,292 pageviews, there was a slight influx during this period when the Welsh Government Parents Survey opened. The FIS Facebook, twitter and YouTube channels are continuing to grow and develop, the number of followers and likes on the social media platforms has seen a significant increase. There have been 357 enquiries during the third quarter. FIS enquiry and training modules on Dewis continue to work well. The Dewis team have been improving the database and FIS continue to attend Dewis Development Days. FIS have been continuing to promote Dewis and provide support to internal and external partners with creating and updating their records and liaising closely with the Dewis team. FIS continue to work closely with the different teams within Children's Services to review, develop and update the FIS website. FIS continue to work very closely with the Corporate Communications Department on a weekly basis to ensure Children's Services section of the Council website and newsroom pages are up-to-date and accurate. Early Years Integration Transformation Programme - Work continues in partnership across the region on developing the Regional Maternity and Early Years Strategy and a plan is in place. The Cwm Gwendraeth Pilot Team - continue to deliver support to families within the area via a variety of groups and programmes. We

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continue to develop the Mid & West Wales (MWW) Regional Adoption as part of the National Adoption Service in line with national, regional and local priorities. We continue to work collaboratively across the region in accordance with the National Fostering Framework (NFF) and will also implement the new arrangements in respect of Special Guardianship Orders. Many community engagement activities have taken place in Tyisha during the Summer. These include Graffiti Workshops with Wallich and Foyer to engage young people living in temporary accommodation in Tyisha; Street Play via People Speak up; sensory garden development; and a Community 'Paint off' with residents in Closes Sant Paul and young people in Wallich. A community engagement team has been created, working with community officers in Tyisha to support and coordinate consultation activities and supporting Street play by helping interested residents talk to their neighbours about closing their roads. Key stakeholders have come together to work on the Mind Our Future lottery project, and the Children and Families workstream are developing a project plan with a set of key priorities for Tyisha.


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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190014	Delivery of the Pentre Awel Project (Outcomes / Budget)	Chief Executive		

Control Measures	Review Date	Control Design	Control Compliance	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190014/001 Project Board is operational with suitable governance and representative membership				Significant	Medium	
CRR190014/002 Development of Zones 1-4 of Pentre Awel consisting of				16	8	12 
CRR190014/003 Financial Planning					Substantial Unlikely	-4

Action Items

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<ul style="list-style-type: none"> January 2022 - Tender exercise undertaken via SWWRCF to procure a contractor to design and build Zone 1. 40% cost / 60% quality to promote community benefits. Bouygues UK appointed in October to deliver Zone 1 Bouygues UK and design team: Powell Dobson (Architects) Curtings (Civils, Structures, drainage, SAB) Hoare Lea (MEP, fire, acoustics) Pre – Construction Services Agreement signed and pre-construction Programme agreed Pre-Construction period underway A revised project governance structure has been developed to take the project into implementation. <p>Together these important milestones reduce the risks around the deliver-ability of Zone 1.</p> <ul style="list-style-type: none"> AHR Architects appointed to undertake the design development of Zone 3 RIBA Stages 1-3 design of 144 units of retirement accommodation Concept design (RIBA Stage 1+) of expansion business centre (up to 10,000m2) AHR Architects are leading a multi-disciplinary team comprising Coreus (PM & cost control), WPS (Civils & Structures, M&E, fire, acoustics) and RPS (Planning) Initial meetings on programme and brief held Draft programme: RIBA Stage 1 report – end January 2022 RIBA Stage 2 report – April 2022 RIBA Stage 3 report and submission of Reserve Matters – August 2022 <p>Significant progress is being made in the planning of health, research and education provision at Pentre Awel.</p> <ul style="list-style-type: none"> Draft Head of terms issued to: Hywel Dda University Health Board covering clinical delivery and clinical research . Education providers , UWSD and Swansea University covering both educations skills and twining and some elements of innovation Partnership with Cardiff University to deliver the innovation and business. <p>Following submission of Mol to financial markets, bids received from investors and are being assessed."</p> <ul style="list-style-type: none"> Bids are available Further conversations held with UK Investment Bank and Department for Internal Trade re investment opportunities. 	<p>Jan-22</p>					
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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190010	Deliver Effective Safeguarding Arrangements - Vulnerable Adults	Director of Communities		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190010/001 Representation at the Regional Board		Significant	Medium	
CRR190010/002 Implementing effective safeguarding policies and procedures for vulnerable adults		16	8	
CRR190010/003 Monitoring the performance of safeguarding within adult services			Substantial	
CRR190010/004 Responding to regulators reviews and recommendations			Unlikely	
CRR190010/005 Monitoring of third party providers to ensure safeguarding procedures are being effectively operated				
CRR190010/006 Robust process for professional concerns and increase staffing resource to respond to increasing demands				
Action Items				
<ul style="list-style-type: none"> Due to an increased demand over the last year we have an additional safeguarding officer in the Safeguarding Team. We have utilised grant funding to also increase staffing resource in the Dols team to address the backlog of referrals. 	Jan-22			

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190006	Ensuring effective People Management (including interpreting changes in HR legislation, capacity and compliance with Employment Law and Health & Safety Legislation)	Assistant Chief Executive		
Control Measures				
CRR190006/001	Competence based recruitment, assessment centres for recruitment of key roles, induction training, coaching and mentoring,			
CRR190006/002	Development of Employment Policies and briefings and training, audit and monitoring			
Action Items				
	<ul style="list-style-type: none"> January 2022 – Comprehensive policy review work programme in place – remains medium risk due to staffing pressures in some areas of People Management. 		Jan-22	


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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190022	Manage and Develop Cwm Environment & Llesiant Delta Wellbeing	Corporate Management Team		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190022/001 Governance arrangements incl management and Councillor representation on Boards		Significant	Medium	
CRR190022/002 Compliance with Companies Act and relevant legislation		16	8	12 
CRR190022/003 Financial Planning Financial Reporting arrangements Audit programme			Substantial	-4
CRR190022/004 Training - arranged for Directors			Unlikely	

Action Items	Review Date
<ul style="list-style-type: none"> Audit programme agreed with Lleisiant Delta and work has commenced. Shareholder manage the financial risks through the CWM Environmental Ltd Shareholder Board, and the Llesiant Delta Wellbeing Governance Group meetings: <ul style="list-style-type: none"> Approval of 3-year business plan which reflects trading outlook, investment, cashflow, and identified threats and opportunities for the company. Quarterly monitoring of financial performance, financial forecasts and performance indicators. Quarterly monitoring of Teckal compliance Company articles contain Shareholder reserved matters (ranging from the adoption of or any material amendment to the Business Plan, borrowing of any sums of money or entering into any contracts not encompassed in the approved business plan) that require specific shareholder consent. 	Jan-22

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190007	Ensuring effective management of Procurement / Contract Management and Partnership arrangements	Head of Revenues & Financial Compliance		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190007/002 Participation in the WLGA Heads of Procurement Forum		Significant	Medium	
CRR190007/003 New Procurement Strategy developed and approved in April 2018		16	8	
CRR190007/005 TIC Expenditure Stream			Substantial	
CRR190007/006 Economic Recovery Plan / Progressive procurement approach -			Unlikely	

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
<ul style="list-style-type: none"> January 2022 - Contract management action plan of proposed improvements delivered to TIC Board and CMT. Contract Management Toolkit has been developed and an e learning Suppliers guide to procurement has gone live on the internet. Monitoring of spend included on the TIC Expenditure Agenda CLES review into progressive procurement has been approved by CMT, P&R and Exec Board. Working group established to deliver the actions. Work has started through the progressive procurement group to address the action plan drawn up in response to the CLES review <p>Regeneration and Procurement have identified pilot areas for joint working to encourage local suppliers to bid for work Procurement represented on the Expenditure TIC group tasked with looking at areas such non compliance, contract management and repetitive spend "Change the mitigating control in relation to NPS to reflect the joint working with WLGA / Heads of Procurement Forum given that NPS role has changed significantly and this group is working regionally. Carmarthenshire member of the WLGA group set up to consider the approach for procuring for Wales moving forward forward work programmes considered."</p>	Jan-22			

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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190012	Failure to adhere to an effective Corporate Governance Framework	Head of Revenues & Financial Compliance		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
CRR190012/001 Corporate Governance Group		Significant	Medium	
CRR190012/002 Implementation of the WLGA Review of Governance		16	8	
CRR190012/003 Annual Governance Statement			Substantial Unlikely	
Action Items				
<ul style="list-style-type: none"> January 2022 - This needs to be fully reviewed and discussed with Members as to whether relevance, due to timeline of the WLGA review, and what needs to be taken forward. Corporate Governance Group continues to meet on a quarterly basis Code of Corporate Governance has been signed off and approved by CMT, PEB and Governance & Audit Committee during 2021 Annual Governance Statement has been reviewed in an informal session with members of the Governance & Audit Committee and presented to the Committee formally in June 2021 as part of the statement of accounts. The final accounts were approved in September 2021 which incorporated comments from each member in September 2021. Better Use of Resources and Building a Better Council are aligned to the Annual Governance Statement which are structured based on the seven CIPFA principles of Good Governance. Code of Corporate Governance also updated to reflect the Future Generation Act and the 7 CIPFA Principles of Good Governance. 	Jan-22			

Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190028	School Leadership - Our ability to recruit and retain high quality and resilient school leaders who can respond to and deal with the transformation of education in Wales	Director of Education & Children Services		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190028/001	Develop and use a more robust competency based process to recruit school leaders	Significant	Medium	
CRR190028/002	Provide each new school leader with a mentor who's an experienced and successful school leader	16	8	12 
CRR190028/003	Encourage leaders and prospective leaders to enrol on Partneriaeth's leadership courses/programmes		Substantial	-4
CRR190028/004	Provide Educational Support Adviser support for all new school leaders		Unlikely	
CRR190028/005	Use the Headteacher Performance Management process effectively to challenge, develop and support school leaders			

Action Items

<ul style="list-style-type: none"> An Assessment Centre approach to recruitment has been successfully used to recruit to the most recent Headteacher vacancies. This has led to a confidence in the recruitment process to appoint high quality school leaders. All new and acting school leaders are provided with a mentor that has the range of necessary skills and experiences to meet the specific needs of the new leader. The effectiveness of this support is monitored by the Educational Support Advisors and additional support is provided as required. The professional development of leaders across the school is integral to all discussions between schools and their Educational support adviser. This is now more relevant than ever and we focus robustly on succession planning for school leadership, perceiving a potential shortfall in the forthcoming years. The professional development of leaders across the school is integral to all discussions between schools and their Educational support adviser. This is now more relevant than ever and we focus robustly on succession planning for school leadership, perceiving a potential shortfall in the forthcoming years. The Carmarthenshire Support programme for new and acting headteachers has been constructed in partnership with our school leaders over the last 3 years; this is evaluated annually to ensure that it continues to meet the needs of new and acting headteachers. In 2021-2022 the programme will be offered to school practitioners who may be considering headship in the future, those who are not yet on the "Aspiring Heads" programme / NPQH. The aim is to motivate and upskill practitioners at an earlier stage in order to meet the demand in the future. In addition, the Educational Support Advisers provide bespoke support for new and acting headteachers, in line with need, adopting a mentoring / coaching approach as applicable. The Educational Support Advisers are integral to the Headteacher Performance Management processes; timescales have not followed the "normal" pattern during 2020/2021 due to the COVID Pandemic. In addition, training is provided annually for governing bodies so that they gain an improved understanding of the performance management systems. Headteacher support and development underpins all school improvement conversations also, outside of the PM process, with the nature of support changing to meet the different needs of the heads and their schools, for example, financial support in how to develop the Foundation Phase principles. 	Jan-22			
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Risk Ref	Risk Title	Assigned To	Last Review date	Next Review Date
CRR190062	Failure to implement Audit Wales Review Recommendations into the Authority's Planning Service. (17 recommendations have been made - key areas addressed specifically in risks CRR190063, CRR19064 and CRR19065.	Head of Place & Sustainability		

Control Measures	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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CRR190062/001	Intervention Board and Intervention Assurance Board set up to regularly monitor progress		Significant	Medium	
CRR190062/002	Monthly Progress Report presented to Preliminary Executive Board		25	6	9 
CRR190062/003	Fortnightly meetings held with respective Executive Board portfolio members to report on progress			Moderate	-3
CRR190062/004	Performance Report presented quarterly to Planning Committee			Possible	

Action Items	Review Date	Uncontrolled Risk Rating	Current Risk Rating	Previous Rating
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<ul style="list-style-type: none"> January 2022 –update (Noelwyn Daniel, Rhodri Griffiths, Ian Llewellyn and Hugh Towns) Risk ownership changed to Head of Place and Sustainability who started in January 2022. Relevant control measure ownership to changed to Head of Place and Sustainability. <p>Reduction to current risk rating score, but still medium risk.</p> <p>Latest update report to Pre-cabinet November 2021 detailed the following progress on actions within each Audit Wales Review recommendation:</p> <ul style="list-style-type: none"> Fully completed actions. Recommendations 2,4,5,7,10,12 and 13 are fully complete. Substantially completed actions. Recommendation 1 (3 of 4 actions completed), recommendation 3 (9 of 13 actions completed), recommendation 6 (5 of 7 actions completed) and the other actions being progressed. Actions progressing Recommendation 8, 9, 11,14,15,16 and 17 actions being progressed. 	Jan-22			
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Mae'r dudalen hon yn wag yn fwiadol

CORPORATE RISK REGISTER IMPACT GRID

Risk classes / Impact	Minor 1	Moderate 2	Significant 3	Substantial 4	Catastrophic 5
Reputation Adverse / critical comment Ombudsman Investigation	<i>Ward / village</i>	<i>Local media</i>	<i>Welsh media</i>	<i>National media</i>	<i>Welsh Government Intervention</i>
Service Delivery Health / Education / Leisure Facility Support / Admin Facility	<i>Internal disruption only – no loss of service</i>	<i>Short Term disruption to service</i>	<i>Action required to overcome short-term difficulties</i>	Key targets missed Some services compromised	<i>Prolonged interruption to core services</i>
Environmental impairment Recovery / remediation time People / Casualty Employee accidents	No lasting detrimental effect on the environment or the community Minor injuries	Short-term, local environmental or social impact Ill health	Medium-term environmental or social impact Multiple ill health Disabling injury	Major public health / environmental incident or loss of significant community facility Serious disabling injuries	Recovery impossible or extremely long term Fatalities
Financial Implication	<i>Less than £5k</i>	<i>£5k - £50k</i>	<i>£50k - £500k</i>	<i>£500k - £2m</i>	<i>More than £2m</i>

STRATEGIC RISK REGISTER PROBABILITY GRID

Improbable Lowest Probability 1	Unlikely 2	Possible Median Probability 3	Likely 4	Probable Highest Probability 5
<i>Circumstances rarely encountered / Unlikely to occur</i>	⇒	<i>Circumstances occasionally encountered / medium likelihood of occurrence</i>	⇒	<i>Very likely to occur</i>

Probability - Impact Grid for Project, Strategic, & Service Risks

Probability	Probable (5)	Low (5)	High (10)	High (15)	Significant (20)	Catastrophic (25)
	Likely (4)	Low (4)	Medium (8)	High (12)	Significant (16)	Significant (20)
	Possible (3)	Very Low (3)	Medium (6)	Medium (9)	High (12)	High (15)
	Unlikely (2)	Very Low (2)	Low (4)	Medium (6)	Medium (8)	High (10)
	Improbable (1)	Negligible (1)	Very Low (2)	Very Low (3)	Low (4)	Low (5)
		Minor (1)	Moderate (2)	Significant (3)	Substantial (4)	Catastrophic (5)
		Impact				

Mae'r dudalen hon yn wag yn fwiadol

Pwyllgor Llywodraethu ac Archwilio 11 Mawrth 2022

Diweddariad Rhaglen Waith Archwilio Cymru

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

I nodi Diweddariad Rhaglen Waith Archwilio Cymru.

Y Rhesymau:

Nodi Diweddariad Rhaglen Waith Archwilio Cymru.

Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO

Angen i'r Cabinet wneud penderfyniad: NAC OES

Angen i'r Cyngor wneud penderfyniad: NAC OES

YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO:

Cyng. David Jenkins

Y Gyfarwyddiaeth:

Gwasanaethau Corfforaethol

Awdur yr Adroddiad:

Archwilio Cymru

**Governance & Audit Committee
11 March 2022**

Audit Wales Work Programme Update

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

To provide an update on the Audit Wales Work Programme.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

The report is an Audit Wales Report, and any implications are detailed within the report.

Rhaglen Waith ac Amserlen Archwilio Cymru – Cyngor Sir Gâr

Diweddariad Chwarterol: 31 Rhagfyr 2021

Crynodeb Archwilio Blynyddol

Disgrifiad	Amserlen	Statws
Adroddiad yn crynhoi'r gwaith archwilio a gwblhawyd ers yr Crynodeb Archwilio Blynyddol diwethaf, a gyhoeddwyd ym mis Ionawr 2021.	Chwefror 2022	Wrthi'n cael ei ddrafftio

Gwaith Archwilio Ariannol

Disgrifiad	Cwmpas	Amserlen	Statws
Archwiliad o Ddatganiad Cyfrifon y Cyngor 2020-21	Daeth datganiad cyfrifon drafft y Cyngor ar gyfer 2020-21 i law ar 2 Gorffennaf 2021.	Ionawr 2021 tan fis Medi 2021	Archwiliad wedi'i gwblhau. Datganiad Cyfrifon wedi'i lofnodi gan Archwilydd Cyffredinol Cymru ar 27 Medi 2021
Archwiliad o Ddatganiad Cyfrifon Cronfa Bensiwn y	Daeth datganiad cyfrifon drafft y Gronfa Bensiwn ar gyfer 2020-21 i law ar 30 Gorffennaf 2021.	Ionawr 2021 tan fis Hydref 2021	Archwiliad wedi'i gwblhau. Datganiad Cyfrifon wedi'i lofnodi gan Archwilydd

Disgrifiad	Cwmpas	Amserlen	Statws
Cyngor ar gyfer 2020-21			Cyffredinol Cymru ar 19 Hydref 2021
Gwaith i Archwilio Hawliadau am Grantiau ar gyfer 2020-21	<p>Gofynnwyd i ni wneud gwaith ardystio ar yr hawliadau canlynol am grantiau:</p> <ul style="list-style-type: none"> • Cymhorthdal Budd-dal Tai • Ffurflen Cyllideb Gyfun y GIG • Trosglwyddiadau Arian y GIG • Ffurflen Ardrethi Domestig Cenedlaethol • Ffurflen Pensiynau Athrawon 	Hydref 2021 tan fis Ionawr 2022	Ar y gweill

Gwaith Archwilio Perfformiad

Gwaith Archwilio Perfformiad 2020-21	Cwmpas	Amserlen	Statws
Cynaliadwyedd Ariannol	Prosiect sy'n gyffredin i'r holl gynghorau lleol a fydd yn asesu cynaliadwyedd ariannol yng ngoleuni heriau cyfredol a heriau a ragwelir yn y dyfodol gan adeiladu ar waith a wnaed yn ystod 2019-20.	<p>Adroddiad lleol wedi'i gyhoeddi ym mis Tachwedd 2021</p> <p>Adroddiad Cryno Cenedlaethol wedi'i gyhoeddi ym mis Medi 2021</p>	Wedi'i gwblhau
Adolygiad o Wasanaethau Gwastraff	Adolygiad i ganfod pa un a oes gan y Cyngor drefniadau priodol i gynllunio'i wasanaethau gwastraff a'u darparu mewn modd cynaliadwy.	Adroddiad terfynol wedi'i gyhoeddi ym mis	Wedi'i gwblhau

Gwaith Archwilio Perfformiad 2020-21	Cwmpas	Amserlen	Statws
		<u>Gorffennaf 2021</u>	

Gwaith Archwilio Perfformiad 2021-22	Cwmpas	Amserlen	Statws
Archwiliadau Deddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015 (Deddf LICD)	Byddwn yn ceisio integreiddio'r broses o gyflawni ein harchwiliadau dan Ddeddf LICD o gamau i gyflawni amcanion llesiant â'n gwaith archwilio arall. Byddwn yn trafod hyn gyda'r Cyngor wrth i ni bennu cwmpas a chyflawni'r prosiectau archwilio a restrir yn y cynllun hwn.	Amh.	Amh.
Archwiliad o adrodd ar wella	Archwiliad o gyflawni'r ddyletswydd i gyhoeddi asesiad o berfformiad.	Tachwedd 2021	Wedi'i gwblhau
Asesiad Sicrwydd a Risg	<p>Prosiect i ganfod lefel y sicrwydd archwilio a/neu ble y gall fod yn ofynnol gwneud gwaith archwilio pellach mewn blynyddoedd yn y dyfodol mewn perthynas â risgiau i allu'r Cyngor i sefydlu trefniadau priodol i sicrhau gwerth am arian o ran defnyddio'i adnoddau.</p> <p>Yng Nghyngor Sir Gâr mae'r prosiect yn debygol o ganolbwyntio ar:</p> <ul style="list-style-type: none"> • y sefyllfa ariannol • trefniadau hunanasesu • cynllunio adferiad • goblygiadau Deddf Llywodraeth ac Etholiadau (Cymru) • cynlluniau lleihau carbon <p>Byddwn hefyd yn gwneud gwaith dilynol ar rai o'r cynigion ar gyfer gwella a gyhoeddwyd mewn</p>	Ebrill 2021 - Mawrth 2022	Wrthi'n mynd rhagddo

	adroddiadau cynharach gan Archwilio Cymru		
Llamu Ymlaen – Archwilio'r conglfeini ar gyfer dyfodol cynaliadwy	Wrth i'r byd symud yn ei flaen, gan ddysgu o'r pandemig byd-eang, mae'r adolygiad hwn yn ystyried pa mor effeithiol y mae cynghorau'n cryfhau eu gallu i drawsnewid, addasu a pharhau i ddarparu gwasanaethau, gan gynnwys y rhai a ddarperir mewn partneriaeth gyda rhanddeiliaid allweddol a chymunedau.	Hydref 2021 – Ebrill 2022	Ar y gweill

Astudiaethau cenedlaethol llywodraeth leol sydd yn yr arfaeth / ar y gweill

Astudiaeth	Cwmpas	Amserlen	Statws	Gwaith maes yn yr arfaeth yng Nghyngor Sir Gâr
Taliadau Uniongyrchol	Adolygiad o'r modd y mae awdurdodau lleol yn rheoli ac yn hyrwyddo'r defnydd o Daliadau Uniongyrchol	Cyhoeddi yng Ngaeaf 2021-22	Dod i gasgliadau ganol mis Hydref, drafftio a chyhoeddi yn gynnar yn 2022	Nac oes – gwaith yn cael ei gyflawni trwy'r Fforwm Taliadau Uniongyrchol a detholiad o gyfweiliadau dilynol
Gwasanaethau Brys	Adolygiad o ba mor dda y mae gwasanaethau brys (golau glas) yn cydweithio	Cyhoeddi yng ngaeaf 2021-22	Clirio gyda'r tîm cyhoeddi ar ddiwedd mis Ionawr 2022	Amh.
Gwaith dilynol ar Bobl yn Cysgu Allan	Adolygiad o'r modd y gwnaeth	Amh.	Amh.	Nid yw'r gwaith hwn yn mynd rhagddo yn 2021-22

Astudiaeth	Cwmpas	Amserlen	Statws	Gwaith maes yn yr arfaeth yng Nghyngor Sir Gâr
	awdurdodau lleol ymateb i anghenion pobl yn cysgu allan yn ystod y pandemig gan wneud gwaith dilynol mewn perthynas ag adroddiad Archwilydd Cyffredinol Cymru a gyhoeddwyd ym mis Gorffennaf 2020			
Tlodi	Deall sut y mae awdurdodau lleol yn sicrhau eu bod yn darparu eu gwasanaethau i gyfyngu i'r eithaf ar dlodi neu ei leihau.	Hydref 2021 – Hydref 2022	Gwaith maes	Oes – cyfweiliad gyda swyddog enwebedig yn y Cyngor
Mentrau Cymdeithasol	Adolygiad o'r modd y mae awdurdodau lleol yn cefnogi mentrau cymdeithasol ac yn eu defnyddio i ddarparu gwasanaethau	Hydref 2021 – Hydref 2022	Gwaith maes	Oes – cyfweiliad gyda swyddog enwebedig yn y Cyngor
Cydnorthedd cymunedol	Adolygiad o'r modd y gall awdurdodau lleol feithrin	Hydref 2021 – Hydref 2022	Gwaith maes	Oes – cyfweiliad gyda swyddog enwebedig yn y Cyngor

Astudiaeth	Cwmpas	Amserlen	Statws	Gwaith maes yn yr arfaeth yng Nghyngor Sir Gâr
	mwy o gydnerthedd mewn cymunedau			

Estyn

Gwaith arfaethedig gan Estyn yn 2021-22	Cwmpas	Amserlen	Statws
Arolygiadau o Wasanaethau Addysg Llywodraeth Leol	Mae Estyn wedi cydweithio'n agos gyda Chyfarwyddwyr Addysg i adolygu eu canllawiau arolygu ar gyfer gwasanaethau addysg llywodraeth leol i adlewyrchu profiadau o'r pandemig. Bydd y canllawiau wedi'u diweddarau (a gyhoeddwyd ar 1 Gorffennaf) yn cael eu treialu ar yr arolygiad cyntaf a bydd adborth yn cael ei geisio i benderfynu a oes angen eu mireinio ymhellach.	Arolygiadau o Wasanaethau Addysg Llywodraeth Leol i aildechrau tuag at ddiwedd tymor yr hydref	Amh.
Adolygiad thematig o Ddiwygio'r Cwricwlwm	Cymorth consortia rhanbarthol ac awdurdodau lleol ar gyfer diwygio'r cwricwlwm	Casglu tystiolaeth ym mis Medi/Hydref – cyhoeddi yn gynnar ym mis Chwefror	Amh.

Arolygiaeth Gofal Cymru (AGC)

Gwaith arfaethedig gan AGC yn 2021-22	Cwmpas	Amserlen	Statws
Archwiliad Sicrwydd Cenedlaethol 2020-21	Mae AGC bellach wedi cyhoeddi'r holl lythyrau archwilio sicrwydd Mae AGC wedi cyhoeddi ei hadroddiad archwilio sicrwydd cenedlaethol sy'n amlygu canfyddiadau ac argymhellion allweddol	Wedi'i gyhoeddi	Wedi'i gwblhau
Rhaglen 2022-23	Bydd AGC yn rhedeg rhaglen flynyddol o archwiliadau sicrwydd, arolygiadau gwerthuso perfformiad ac arolygiadau seiliedig-ar-risg	Ebrill 2022 – Mawrth 2023	Wrthi'n cynllunio
Adolygiad cenedlaethol	Cymorth i blant anabl a'u teuluoedd.	Wedi'i gyhoeddi	Wedi'i gwblhau
Gwaith dilynol	Bydd AGC yn gwneud gwaith dilynol ar feysydd ar gyfer gwella a nodwyd yn yr Archwiliadau Sicrwydd neu drwy weithgarwch arolygu seiliedig-ar-risg gydag awdurdodau lleol unigol lle y bo angen.	Wrthi'n mynd rhagddo	Mae un arolygiad seiliedig-ar-risg dilynol wedi digwydd ac ar fin cael ei gyhoeddi. Mae dau archwiliad sicrwydd dilynol pellach wedi digwydd ac yn mynd i gael eu cyhoeddi maes o law
Arolygu	Bydd gweithgarwch arolygu seiliedig-ar-risg yn parhau lle y bo'n ofynnol.	Fel y bo'n ofynnol	Nid oes unrhyw arolygiadau wedi'u trefnu ar hyn o bryd (hyd at fis Ebrill 2022)

Gwaith arfaethedig gan AGC yn 2021-22	Cwmpas	Amserlen	Statws
Datblygu	Bydd AGC yn parhau i ddatblygu ei dull o arolygu ac adolygu awdurdodau lleol	Ebrill 2022	Ar y gweill
Adroddiad Monitro Blynyddol ar y Trefniadau Diogelu wrth Amddifadu o Ryddid ar gyfer Iechyd a Gofal Cymdeithasol 2020-21	Mae'r adroddiad monitro blynyddol mewn fformat drafft ar hyn o bryd – adroddiad ar y cyd gydag Arolygiaeth Gofal Iechyd Cymru yw hwn	Rhagfyr 2021	Ar y gweill
Cyfarfod blynyddol gyda Chyfarwyddwyr Statudol Gwasanaethau Cymdeithasol	Bydd AGC yn cwrrd â'r holl Gyfarwyddwyr Gwasanaethau Cymdeithasol	Rhag 2021 ac Ion 2022	Ar y gweill

Adroddiadau cenedlaethol Archwilio Cymru ac allbynnau eraill a gyhoeddwyd ers 1 Ebrill 2021

Teitl yr adroddiad	Dyddiad cyhoeddi a doleri i'r adroddiad
Comisiynu Cartrefi Gofal ar gyfer Pobl Hŷn	Rhagfyr 2021
Rhaglen Cartrefi Clyd Llywodraeth Cymru	Tachwedd 2021
Gofalu am y Gofalwyr? Sut roedd cyrff y GIG yn cefnogi lles staff yn ystod pandemig COVID-19	Hydref 2021
Cynaliadwyedd Ariannol Llywodraeth Leol	Medi 2021

Teitl yr adroddiad	Dyddiad cyhoeddi a doleri'r adroddiad
Ffeithlun cyfrifon cryno'r GIG	Medi 2021
Darlun o Wasanaethau Cyhoeddus ¹	Medi 2021
Adfywio Canol Trefi	Medi 2021
Cyllid myfyrwyr	Awst 2021
Offeryn data cyllid y GIG 2020-21	Mehefin 2021
Gweithredu rhaglen frechu COVID-19 yng Nghymru	Mehefin 2021
Trefniadau llywodraethu ansawdd ym Mwrdd Iechyd Prifysgol Cwm Taf – gwaith dilynol	Mai 2021
Trefniadau Llywodraethu Pwyllgor Gwasanaethau Iechyd Arbenigol Cymru	Mai 2021
Yn ôl eich Doethineb – Gwasanaethau Dewisol Llywodraeth Leol	Ebrill 2021
Caffael a Chyflenwi Cyfarpar Diogelu Personol ar gyfer Pandemig COVID-19	Ebrill 2021

¹ Prif adroddiad wedi'i gyhoeddi ar 15 Medi. Sylwebaethau sector byr i ddilyn dros y pedair i chwe wythnos ddilynol: [Darlun o lywodraeth leol](#), [Darlun o ofal iechyd](#), [Darlun o ofal cymdeithasol](#), [Darlun o ysgolion](#), [Darlun o addysg uwch a phellach](#).

Adroddiadau cenedlaethol Archwilio Cymru ac allbynnau eraill sydd i fod i gael eu cyhoeddi yn ystod 2021-22 (a gwaith arall ar y gweill/yn yr arfaeth)²

Teitl	Dyddiad cyhoeddi disgwylidig
Sylwebaeth ar gyfrifon Llywodraeth Cymru	Chwefror 2022
Pennu amcanion llesiant Llywodraeth Cymru	Chwefror 2022
Gofal heb ei drefnu – offeryn data a sylwebaeth	Chwefror/Mawrth 2022
Trefniadau cydweithredol i reoli adnoddau iechyd y cyhoedd lleol	Chwefror 2022
Ymateb ac adferiad COVID / Rheoli grantiau Llywodraeth Cymru – cymorth y trydydd sector	Chwefror 2022
Offeryn data amseroedd aros y GIG a sylwebaeth ar ofal wedi'i gynllunio	Mawrth 2022
Gweithlu Llywodraeth Cymru	Chwefror/Mawrth 2022
Gwasanaethau orthopaedig	Mawrth 2022
Diwygio'r cwricwlwm	Gwanwyn 2022
Asesu'r effaith ar gydraddoldeb	Gwanwyn 2022
Newid hinsawdd – adolygiad sylfaenol	Gwanwyn/haf 2022

² Byddwn yn parhau i adolygu ein cynlluniau'n gyson, gan ystyried yr amgylchedd allanol sy'n esblygu, ein blaenoriaethau archwilio, cyd-destun ein hadnoddau ni ein hunain a chapasiti cyrff a archwilir i ymgysylltu â ni. Mae hyn yn cynnwys cynnal peth hyblygrwydd er mwyn i ni allu ymateb i ddatblygiadau ym mholsi Llywodraeth Cymru a meysydd a allai fod o ddiddordeb i Bwyllgor Cyfrifon Cyhoeddus newydd yn dilyn etholiadau'r Senedd.

Teitl	Dyddiad cyhoeddi disgwylidig
Ymateb ac adferiad COVID / Rheoli grantiau Llywodraeth Cymru – arall	I'w Gadarnhau
Tai fforddiadwy	I'w Gadarnhau
Seilwaith band eang	I'w Gadarnhau
Rheoli perygl llifogydd	I'w Gadarnhau

Digwyddiadau a chyhoeddiadau sydd ar ddod gan y Gyfnewidfa Arfer Da

Teitl	Dyddiad cyhoeddi disgwylidig/dyddiad disgwylidig y digwyddiad
Adnoddau ar ôl y digwyddiad gan gynnwys recordiadau o'r sesiynau ar gyfer y digwyddiad Llamu Ymlaen ar gydnerthedd sefydliadol a gynhaliwyd ar 9/12/21	Yn hwyr ym mis Ionawr 2022
Digwyddiad Taliadau Uniongyrchol (teitl i'w gadarnhau)	Mawrth 30 2022

Mae'r dudalen hon yn wag yn fwriadol

Pwyllgor Llywodraethu ac Archwilio 11 Mawrth 2022

Archwilio Cymru - Crynodeb Archwiliad Blynyddol 2021

Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen:

I nodi Crynodeb Archwiliad Blynyddol 2021 Archwilio Cymru.

Y Rhesymau:

Nodi Crynodeb Archwiliad Blynyddol 2021 Archwilio Cymru.

Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO

Angen i'r Cabinet wneud penderfyniad: NAC OES

Angen i'r Cyngor wneud penderfyniad: NAC OES

YR AELOD CABINET SY'N GYFRIFOL AM Y PORTFFOLIO:

Cyng. David Jenkins

Y Gyfarwyddiaeth:

Gwasanaethau Corfforaethol

Awdur yr Adroddiad:

Archwilio Cymru

**Governance & Audit Committee
11 March 2022**

Audit Wales Annual Audit Summary 2021

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

The report shows the work completed since the last Annual Audit Summary, which was issued in January 2021. The audit summary forms part of the Auditor General for Wales' duties.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

The report is an Audit Wales Report, and any implications are detailed within the report.

Cyngor Sir Caerfyrddin

Crynodeb Archwiliad Blynyddol 2021

Dyma ein crynodeb o'n archwilio ar gyfer Cyngor Sir Caerfyrddin. Mae'n dangos y gwaith a gwblhawyd ers y Crynodeb Archwilio Blynyddol diwethaf a gyhoeddwyd ym mis Ionawr 2021. Mae ein crynodeb archwilio yn rhan o ddyletswyddau Archwilydd Cyffredinol Cymru.



Mae rhagor o wybodaeth am y dyletswyddau hyn ar gael ar ein [gwefan](#).

Ynglŷn â'r Cyngor

Rhai o'r Gwasanaethau y mae'r Cyngor yn eu darparu



Ffeithiau allweddol

Mae'r Cyngor yn cynnwys 74 o gynghorwyr sy'n cynrychioli'r pleidiau gwleidyddol canlynol:

- Plaid Cymru 37
- Llafur 17
- Annibynnol 13
- Annibynnol Newydd 4
- Annibynnol Digysylltiad 1
- Ceidwadwyr Cymreig Digysylltiad 1
- Yn wag 1

Gwariodd y Cyngor £371.5 miliwn ar ddarparu gwasanaethau¹ yn ystod 2020-21, y pedwerydd gwariant uchaf o'r 22 o gynghorau unedol yng Nghymru.

¹ Rydym yn diffinio gwario ar wasanaethau fel cost gwasanaethau a godir ar y gronfa gyffredinol o'r Dadansoddiad Cyllid Gwariant, llai unrhyw gost gwasanaethau'r Cyfrif Refeniw Tai ac adio praeseptau, ardollau a llog ar ddyledion.

Ffeithiau allweddol

Ar 31 Mawrth 2021, roedd gan y Cyngor £134.1 miliwn o gronfeydd wrth gefn ariannol defnyddiadwy². Mae hyn yn cyfateb i 36.1% o wariant blynyddol y Cyngor ar wasanaethau, y drydedd ganran uchaf o'r 22 o gynghorau unedol yng Nghymru³.

Ystyrir bod 5 o 112 o ardaloedd Cyngor Sir Caerfyrddin yn y 10% mwyaf difreintiedig o ardaloedd Cymru, dyma'r wythfed isaf o'r 22 o gynghorau unedol yng Nghymru⁴.

Rhagwelir y bydd poblogaeth Sir Gaerfyrddin yn cynyddu 4% rhwng 2020 a 2040 o 188,517 i 196,106, gan gynnwys gostyngiad o 5.9% yn nifer y plant, gostyngiad o 3.2% yn nifer y boblogaeth o oedran gweithio a chynnydd o 29.1% yn nifer y bobl 65 oed a hŷn⁵.

Dyletswyddau'r Archwilydd Cyffredinol

Fe wnaethom gwblhau gwaith yn ystod 2020-21 i gyflawni'r dyletswyddau canlynol

- **Gwelliant parhaus**

Bu'n rhaid i'r Cyngor sefydlu trefniadau i wneud gwelliannau parhaus, gan gynnwys cynlluniau ac adroddiadau cysylltiedig, a bu'n rhaid i'r Archwilydd Cyffredinol asesu a oedd y Cyngor yn bodloni'r gofynion hyn yn ystod 2020-21.

- **Archwilio Cyfrifon**

Bob blwyddyn, mae'r Archwilydd Cyffredinol yn archwilio datganiadau ariannol y Cyngor i sicrhau bod arian cyhoeddus yn cael ei gyfrifo'n briodol.

- **Gwerth am arian**

Mae'r Archwilydd Cyffredinol yn ystyried a yw'r Cyngor wedi rhoi trefniadau ar waith i gael gwerth am arian ar gyfer yr adnoddau y mae'n eu defnyddio, ac mae'n rhaid iddo fod yn fodlon ei fod wedi gwneud hyn.

- **Egwyddor datblygu cynaliadwy**

Mae angen i gyrff cyhoeddus gydymffurfio â'r egwyddor datblygu cynaliadwy wrth bennu a chymryd camau i gyflawni eu hamcanion llesiant. Rhaid i'r Archwilydd Cyffredinol asesu i ba raddau y maen nhw'n gwneud hyn.

² Rydym yn diffinio cronfeydd ariannol defnyddiadwy fel cronfeydd y gellir eu defnyddio ar gyfer costau referniw, pan nad yw'r diben yn cael ei ddiogelu gan y gyfraith. Dyma gyfanswm y gronfa gyffredinol, cronfeydd wrth gefn a glustnodwyd a balansau ysgolion. Nid yw'n cynnwys cronfeydd wrth gefn Cyfrif Refeniw Tai, derbyniadau a grantiau cyfalaf heb eu defnyddio.

³ Ffynhonnell: Datganiad o Gyfrifon 2020-21

⁴ Diffinnir ardal yn y cyd-destun hwn fel 'Ardal Cynnyrch Ehangach Is'. Ffynhonnell: StatsCymru

⁵ Ffynhonnell: StatsCymru



Rydym yn parhau i gydnabod y straen enfawr ar wasanaethau cyhoeddus ac i weithio mewn ffordd sy'n ceisio lleihau'r effaith ar ymateb cyrff cyhoeddus i COVID-19, gan barhau i gyflawni ein dyletswyddau statudol.



I gyflawni dyletswyddau'r Archwilydd Cyffredinol, rydym yn cwblhau prosiectau penodol, ond rydym hefyd yn dibynnu ar waith archwilio arall, a gwaith rheoleiddwyr megis Arolygiaeth Gofal Cymru ac Estyn (yr arolygiaeth addysg). Rydym yn ystyried canfyddiadau ein gwaith archwilio wrth asesu a yw'r cyngor wedi rhoi trefniadau ar waith i sicrhau gwerth am arian. Caiff ein canfyddiadau a'n casgliadau eu crynhoi isod.

Yr hyn a ganfuwyd gennym

Archwiliad o Gyfrifon 2020-21 Cyngor Sir Caerfyrddin

Bob blwyddyn rydym yn archwilio datganiadau ariannol y Cyngor.

Ar gyfer 2020-21:

- rhoddodd yr Archwilydd Cyffredinol farn ddiamedd a theg ar ddatganiadau ariannol y Cyngor ar 24 Medi 2021, yn unol â'r dyddiad cau statudol.
- paratowyd Datganiad Llywodraethu Blyneddol ac Adroddiad Naratif y Cyngor yn unol â Chod y Sefydliad Siartredig Cyllid Cyhoeddus a Chyfrifyddiaeth (CIPFA) a chanllawiau perthnasol. Roeddent hefyd yn gyson â'r datganiadau ariannol a baratowyd gan y Cyngor a gyda'n gwybodaeth am y Cyngor.
- roedd ansawdd y datganiadau drafft a gyflwynwyd i'w harchwilio yn dda ar y cyfan.
- gwnaed nifer o newidiadau i ddatganiadau ariannol y Cyngor yn deillio o'n gwaith archwilio, a adroddwyd i'r Pwyllgor Archwilio yn ein Hadroddiad Archwilio Datganiadau Ariannol ym mis Medi 2021.
- yn ogystal â chyfrifoldebau'r Archwilydd Cyffredinol dros archwilio datganiadau ariannol y Cyngor, mae hefyd yn gyfrifol am ardystio nifer o hawliadau grant a ffurflenni. Nid yw ein gwaith hyd yma wedi nodi unrhyw faterion o bwys.
- cyflwynodd yr Archwilydd Cyffredinol y dystysgrif yn cadarnhau bod yr archwiliad o gyfrifon ar gyfer 2020-21 wedi'i gwblhau.

Ein gwaith mewn ymateb i bandemig COVID-19

Mewn ymateb i bandemig COVID-19, newidiwyd dull a phwyslais ein gwaith archwilio perfformiad mewn llywodraeth leol a chyrrff eraill. Ceir crynodeb isod o rywfaint o'r gwaith yr ydym wedi'i wneud mewn ymateb i'r pandemig ar draws nifer o sectorau, y mae llawer ohono yn berthnasol i lywodraeth leol.

Gwnaethom gynnal prosiect i gefnogi ymdrechion y sector cyhoeddus trwy rannu'r hyn a ddysgwyd drwy'r pandemig. Nod y prosiect yw helpu i ysgogi rhywfaint o syniadau, a chyfnewid arferion. [Mae rhagor o wybodaeth ar gael ar ein gwefan.](#)

Ym mis Mawrth 2021, cyhoeddwyd [adroddiad cenedlaethol](#) gennym yn nodi trosolwg o'r cynnydd hyd yma o ran Profi, Orlhain, Diogelu yng Nghymru. Ym mis Rhagfyr 2020, gwnaethom hefyd gyhoeddi rhai o [arsylwadau](#) yr Archwilydd Cyffredinol ar y broses o gaffael a chyflenwi cyfarpar diogelu personol yn ystod pandemig COVID-19, ac yna [adroddiad](#) ym mis Ebrill 2021. Ym mis Mehefin 2021, gwnaethom hefyd gyhoeddi ein [hadroddiad](#) ar weithredu'r rhaglen frechu COVID-19 yng Nghymru.

Gwelliant parhaus

Ardystiodd yr Archwilydd Cyffredinol fod y Cyngor wedi cyflawni ei ddyletswyddau Mesur Llywodraeth Leol (Cymru) 2009 sy'n weddill ar gyfer y flwyddyn ariannol 2020-21, fel y'i harbedwyd gan orchymyn a wnaed o dan Ddeddf Llywodraeth Leol ac Etholiadau (Cymru) 2021.

Cynaliadwyedd ariannol

Yn ystod 2020-21, buom yn archwilio cynaliadwyedd ariannol pob cyngor yng Nghymru. Ym mis Hydref 2021, daethom i'r casgliad yn ein [hadroddiad](#) bod: **Cyngor Sir Caerfyrddin mewn sefyllfa dda i gynnal ei gynaliadwyedd ariannol a bod ganddo gynlluniau ar waith i gyflawni'r arbedion effeithlonrwydd sydd eu hangen i fodloni'r bwlch cyllido sydd wedi ei nodi yn y dyfodol.**

Gwnaethom hefyd gyhoeddi dau adroddiad cryno cenedlaethol: yr [adroddiad cyntaf](#) ym mis Hydref 2020 a'r [ail adroddiad](#) ym mis Medi 2021.

Cynllunio adferiad

Yn ystod 2020-21, gwnaethom adolygu'r trefniadau yr oedd pob cyngor yng Nghymru yn eu rhoi ar waith i gefnogi cynllunio adferiad. Yng Nghyngor Sir Caerfyrddin, gwnaethom y gwaith hwn yn barhaus, gan ddarparu adborth amser real pan fo hynny'n briodol.

Adolygiad o wasanaethau cynllunio (Gorffennaf 2021)

Adolygodd ein gwaith a oedd y gwasanaeth cynllunio yn cyflawni ei amcanion ei hun, ac yn cefnogi'r Cyngor i gyflawni ei amcanion cyffredinol. Yn gyffredinol, canfuom yn ein [hadroddiad](#) fod **angen mynd i'r afael ar frys â materion perfformiad sylweddol a hirsefydlog yn y gwasanaeth cynllunio er mwyn helpu i gynorthwyo'r gwaith o gyflawni uchelgeisiau'r Cyngor.**

Adolygiad o wasanaethau gwastraff (Gorffennaf 2021)

Adolygodd ein gwaith a oes gan y Cyngor drefniadau priodol ar waith i gynllunio a darparu ei wasanaethau gwastraff yn gynaliadwy. Canfuom yn ein [hadroddiad](#) fod y **Cyngor wedi cyrraedd ei dargedau ailgylchu statudol ac wedi drafftio strategaeth yn ddiweddar i wneud ei wasanaeth gwastraff yn fwy cynaliadwy, ond nid yw wedi cwblhau'r strategaeth nac wedi cael cynllun clir ar gyfer mynd i'r afael â'r nifer fawr o achosion o dipio anghyfreithlon yn y sir.**

Arolygiaethau eraill

Gwnaethom hefyd ystyried adroddiadau Arolygiaeth Gofal Cymru (AGC) ac Estyn yn ogystal ag unrhyw gamau dilynol a gymerwyd gan y Cyngor mewn ymateb iddynt. Cynhaliodd Arolygiaeth Gofal Cymru Archwiliad Sicrwydd yng Nghyngor Sir Caerfyrddin yn 2021. Anfonwyd [llythyr](#) at y Cyngor ar ei ganfyddiadau ym mis Tachwedd 2021. Ni chyhoeddwyd unrhyw adroddiadau gan Estyn yn ymwneud â Chyngor Sir Caerfyrddin ers ein Crynodeb Archwilio Blynyddol diwethaf.

Astudiaethau llywodraeth leol

Yn ogystal â gwaith lleol ym mhob cyngor, bob blwyddyn rydym hefyd yn cynnal astudiaethau ar draws y sector llywodraeth leol i wneud argymhellion ar gyfer gwella gwerth am arian. Ers yr adroddiad gwella blynyddol diwethaf, rydym wedi cyhoeddi'r adroddiadau canlynol:

Gwasanaethau dewisol (Ebrill 2021)

Mae pwysau ariannol wedi arwain at gynghorau'n lleihau gwariant a thorri gwasanaethau, ond mae'r pandemig wedi dangos bod gwasanaethau llywodraeth leol yn hanfodol i gadw pobl yn ddiogel ac yn iach. Canolbwyntiwyd ar sut mae cynghorau'n diffinio gwasanaethau, y systemau a'r prosesau y maen nhw wedi'u defnyddio i adolygu gwasanaethau a pha mor gadarn yw'r rhain. Mae'r galw am rai gwasanaethau hanfodol yn parhau i gynyddu ac nid yw cynghorau'n hyderus y gallant barhau i ddarparu'r gwasanaethau hyn yn wyneb y galw cynyddol a chymhleth hwn. Mae angen i gynghorau fanteisio ar y cyfle i adnewyddu, ailbriso ac ailosod yr hyn y maen nhw'n ei wneud a dysgu o'r pandemig er mwyn adeiladu dyfodol gwell. Cyhoeddwyd ein [hadroddiad](#) ym mis Ebrill 2021.

Adfywio canol trefi yng Nghymru (Medi 2021)

Rhwng 1950 a 1980, blaenoriaethodd awdurdodau lleol adfywio canol trefi gan greu mannau manwerthu newydd a mwy. Fodd bynnag, mae dewisiadau polisi yn y gorffennol, disgwyliaidau newidiol defnyddwyr a datblygiadau technolegol bellach yn cael effaith andwyol ar lawer o ganol trefi Cymru. Ac mae'r pandemig wedi creu heriau i lywodraeth leol a llywodraeth ganolog, gydag un o bob saith siop ar strydoedd mawr Cymru bellach yn wag, er i Lywodraeth Cymru fuddsoddi ac ysgogi £892.6 miliwn yn ystod y saith mlynedd diwethaf. Nid oes gan awdurdodau lleol y gallu i ymateb i'r sefyllfa hon ac nid ydynt bob amser yn defnyddio'r pwerau sydd ganddynt i helpu i adfywio trefi. Er mwyn sicrhau'r canlyniadau lleol gorau, mae angen alinio polisiâu a chydweithio, a blaenoriaethu adnoddau ar ganol trefi. Cyhoeddwyd ein [hadroddiad](#) ym mis Medi 2021.

Gwaith wedi'i gynllunio ar gyfer 2021-22

Buom hefyd yn edrych ar yr heriau a'r cyfleoedd allweddol sy'n wynebu'r Cyngor. Gallai'r rhain gael effaith ar allu'r Cyngor i gyflawni ei rwymedigaethau cyfreithiol mewn perthynas â'r egwyddor datblygu cynaliadwy a'r defnydd o'i adnoddau.

Y risg a'r mater mwyaf arwyddocaol sy'n wynebu cynghorau a'r sector cyhoeddus ehangach yn ystod 2021-22 yw pandemig COVID-19 o hyd. Rydym wedi llunio ein gwaith i roi sicrwydd a her mewn ffordd sy'n helpu i gefnogi'r Cyngor drwy'r cyfnod hwn. Mae ein gwaith arfaethedig ar gyfer 2021-22 yn cynnwys:

- Sicrwydd ac asesu risg gan gynnwys canolbwyntio ar:
 - Deddf Llywodraeth Leol ac Etholiadau (Cymru) 2021
 - Cynllunio adferiad
 - Cynlluniau lleihau carbon
 - Trefniadau hunanasesu
 - Sefyllfa ariannol
- Llamu Ymlaen – wrth i'r byd symud ymlaen, gan ddysgu o'r pandemig, mae'r adolygiad hwn yn edrych ar ba mor effeithiol y mae cynghorau'n cryfhau eu gallu i drawsnewid, addasu a chynnal y gwaith o ddarparu gwasanaethau, gan gynnwys y rhai a ddarperir mewn partneriaeth â rhanddeiliaid a chymunedau allweddol.
- Archwiliad adrodd ar wella.

Mae'r Archwilydd Cyffredinol yn annibynnol ar y llywodraeth, ac fe'i penodir gan Ei Mawrhydi y Frenhines. Mae'r Archwilydd Cyffredinol yn ymgymryd â'i waith gan ddefnyddio staff ac adnoddau eraill a ddarperir gan Swyddfa Archwilio Cymru, sy'n fwrdd statudol a sefydlwyd at y diben hwnnw ac i fonitro a chynghori'r Archwilydd Cyffredinol. Y Senedd sy'n dwyn Swyddfa Archwilio Cymru i gyfrif.

Mae'r Archwilydd Cyffredinol yn archwilio cyrff llywodraeth leol yng Nghymru, gan gynnwys awdurdodau unedol, yr heddlu, awdurdodau tân acachub, parciau cenedlaethol a chynghorau cymuned. Mae hefyd yn cynnal astudiaethau gwerth am arian llywodraeth leol, yn asesu cydymffurfiaeth â gweddill gofynion Mesur Llywodraeth Leol (Cymru) 2009 a gall gynnal arolygiadau arbennig o dan Ddeddf Llywodraeth Leol ac Etholiadau (Cymru) 2021.

Y tu hwnt i lywodraeth leol, yr Archwilydd Cyffredinol yw archwilydd allanol Llywodraeth Cymru a'r cyrff cyhoeddus a noddir ganddi a chyrff cysylltiedig, Comisiwn y Senedda chyrff y Gwasanaeth Iechyd Gwladol yng Nghymru.

Archwilio Cymru yw'r enw cyfunol anstatudol ar gyfer Archwilydd Cyffredinol Cymru a Swyddfa Archwilio Cymru, sy'n endidau cyfreithiol ar wahân gyda'u swyddogaethau cyfreithiol eu hunain, fel y disgrifir uchod. Nid yw Archwilio Cymru yn endid cyfreithiol.

We welcome correspondence and telephone calls in Welsh and English. Corresponding in Welsh will not lead to delay. Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg. Ni fydd gohebu yn Gymraeg yn arwain at oedi.

Mae'r ddogfen hon hefyd ar gael yn Gymraeg.

Mae'r dudalen hon yn wag yn fwriadol

Pwyllgor Llywodraethu ac Archwilio
11 Mawrth 2022

Cofnodion Grwpiau Perthnsaol i'r Pwyllgor Llywodraethu Ac Archwilio		
Yr Argymhellion / Penderfyniadau Allweddol Sydd Eu Hangen: I dderbyn y cofnodion.		
Y Rhesymau: Fe nodwyd yn Amodau Gorchwyl y Pwyllgor Llywodraethu ac Archwilio bod angen derbyn cofnodion y Grwp Rheoli Risg ynghyd â materion ym mherthnasol i drefniadau sy'n ymwneud a Threfn Rheoli Corfforaethu a Threfniadau Ariannol.		
Ymgynghorwyd â'r pwyllgor craffu perthnasol: NADDO		
Angen i'r Cabinet wneud penderfyniad: NAC OES Angen i'r Cyngor wneud penderfyniad: NAC OES		
YR AELOD O'R CABINET SY'N GYFRIFOL AM Y PORTFFOLIO: Cyng. David Jenkins		
Y Gyfarwyddiaeth: Gwasanathau Corfforaethol		
Enw Pennaeth y Gwasanaeth: Helen Pugh	Swyddi: Pennaeth Refeniw a Chydymffurfio Ariannol	Rhif ffôn: 01267 246223 Cyfeiriad e-bost: HLPugh@sirgar.gov.uk
Awdur yr Adroddiad: Helen Pugh		

Mae'r dudalen hon yn wag yn fwriadol

Minutes of the Corporate Governance Group

10th December, 2021

9.00 am – 10:15 am

Virtual Meeting: Teams

Present:

Cllr. David Jenkins (DJ)	Executive Board Member (Resources) (Chair)
Paul Thomas (PT)	Assistant Chief Executive
Chris Moore (CM)	Director of Corporate Services
Helen Pugh (HP)	Head of Revenues and Financial Compliance
Alison Wood (AW)	People Services Manager
Gwyneth Ayers (GA)	Corporate Policy & Partnership Manager
John Williams (JW)	ICT Operations & Governance Manager
Ruth Morgan (RM)	Senior Administrative Officer

Apologies:

Cllr. Mair Stephens (MS)	Executive Board Member (HR)
Linda Rees Jones (LRJ)	Head of Administration and Law
Randal Hemingway (RH)	Head of Financial Services
Noelwyn Daniel (ND)	Head of ICT
Cllr. Tina Higgins (TH)	Councillor

Item No.	Discussion / Action	Responsible Officer
1.	<u>Apologies</u> As noted above.	RM
2.	<u>Minutes of previous Meetings dated 17th September, 2021 and Matters Arising</u> It was confirmed, the Minutes were a correct record and no matters had been raised by the group.	
3.	<u>AGS – Update on Actions – (All)</u> A group discussion had been carried out in terms of reviewing / updating the outstanding current Actions and HLP updated the AGS master template accordingly. HLP confirmed, updated papers to be shared in the next meeting.	
4.	<u>Internal Audit Final Report – AGS – (All)</u> For information purposes, HLP shared with the group, the above Report and Action Plan. Chair confirmed the group were happy to accept the Report.	

<p>5.</p>	<p><u>Council Performance Management Framework – (GA)</u></p> <p>The Performance Management Framework had been submitted to DMTs / CMT and pre Cabinet and was raised during the meeting for completion purposes.</p> <p>The framework was agreed and would be published via the Council’s intranet with communication to be provided to employees on how the framework works.</p> <p>Key elements being :-</p> <p><u>Engagement and Assurance Sessions</u></p> <ul style="list-style-type: none"> • New approach being undertaking in terms of the Engagement and Assurance Sessions with each of the DMTs as to the preparation of their departmental Business Plans. <p>Timetable of the Sessions for respective departments as follows:-</p> <ul style="list-style-type: none"> - Corporate Services – completed. - Communities – completed. - Education and Children Services – scheduled for middle of December. - Environment - scheduled for middle of December. - Chief Executive - during January. <p>Sessions being carried out by a team of Corporate Officers.</p> <p><u>Development of Performance Management Sessions</u></p> <ul style="list-style-type: none"> • Qtr. 2 - A session had been carried out with CMT on Qtr. 2 performance and to be rolled out accordingly. • Qtr. 3 – Ultimately, anticipating to receive the same performance report to pre-cabinet. • Dashboard – Continues to be made available. <p><u>Corporate Strategy</u></p> <ul style="list-style-type: none"> • As a result of the forthcoming Local Government Elections in May, preparatory work regarding the structure and approach to be carried out in the new year. <p><u>Panel Performance Assessment</u></p> <ul style="list-style-type: none"> • Once the new administration has been established in May, discussion are required regarding the carrying out of the PPA during the 5 year administration. 	
<p>6.</p>	<p><u>Information Governance – Verbal Update – (JJ)</u></p> <p>Since the last update, no breaches had been reported to the ICO. However, there continued to be concerns regarding numerous e-mail</p>	

addresses being forwarded incorrectly. Management Team and HoS have been informed of this.

An update to be provided in the next meeting in relation to the promoting of the Handling Personal Information Policy which has been circulated to employees.

Require to continue raising awareness with regards to these errors.

The Cyber Security Stock-take Report has been approved by CMT. JW to circulate to group members the Recommendations from the Report, which are listed as follows:-

- Enforce Multi-Factor Authentication (MFA) for all staff. This will be a similar principal to on-line banking where you receive a secure code or text message to your mobile phone to confirm identity. Work with HR on how this could possibly be implemented into new staff contracts and service areas to raise awareness of the benefits of using MFA.
- Service areas need to prepare for cyber incidents by having Business Continuity plans that do not rely on IT – if systems needed to be restored from backup, there is a time for recovery during which there would be no access to IT systems.
- ICT Services to carry out testing of DR plans to determine how long it would take to recover a system from tape (offline backups).
- Penetration testing – vulnerability scanning is carried out regularly but there is value in having an ethical hacker attempt to break into IT systems in the same way as their black-hat counterpart would.
- Continue to develop and evolve the Cyber Incident Response Plan to reflect emerging cyber risks.
- Procurement of new Cyber Awareness Training for all staff. Welsh Government have already funded training for Councillors.

2 Actions being:-

- Action Plan from the Report.
- Figures and feedback from the Phishing Exercise to be brought back to the group.

Information Governance – Informal Group Actions/Minutes – (Last meeting cancelled, therefore no minutes to share)

As stated above.

<p>7.</p>	<p><u>Performance and Governance of Principal Councils (Local Government and Elections Bill (Wales) on Chapter 6) – Verbal Update – (LRJ)</u></p> <p>Prior to the meeting, LRJ provided HLP with a written update. In LRJ's absence, HLP read out the following:-</p> <p><i>“- there are two aspects to this, the performance assessment side which Gwyneth will need to update the meeting on, (has already updated during the meeting) and the democratic side. On the democratic side of the requirement for a Public Participation Strategy, we are preparing to recruit more lay members to the Governance and Audit Committee (a third of the members will have to be lay members, and the Chair will have to be a lay member), working up proposals for an electronic petitions scheme, are awaiting a model Simple Guide to the Constitution which the WLGA have commissioned from outside solicitors, which we will need to adapt to our own Constitution when it is available”.</i></p> <p>From LRJ's update, HLP confirmed as follows:-</p> <ul style="list-style-type: none"> • Panel Performance Assessment – GA provided an update during the meeting. • Lay members – To consist of 8 Councillors and 4 Lay Members. Chair of the Audit Committee to be included as one of the Lay Members. 	
<p>8.</p>	<p><u>Corporate Joint Committees (CJCs) – Verbal Update – (LRJ)</u></p> <p>Prior to the meeting, LRJ provided HLP with a written update. In LRJ's absence, HLP read out the following:-</p> <ul style="list-style-type: none"> • <i>“There are 4 x regional CJCs in Wales, and Carmarthenshire is part of the South West Wales CJC. This has long since been established in law by the South West Wales Corporate Joint Committee Regulations. The CJC has a legal status all of its own, but is regarded by WG as being “part of the local government family”, so the usual provisions eg public access to meetings, papers, webcasting etc will apply.</i> • <i>Some Regions are looking to make their City Deal arrangements into the CJC, but our CJC isn't doing that.</i> • <i>the SWW CJC is proposing to limit the functions invested in the CJC to the ones mandated by legislation ie. strategic development planning, regional transport planning and promotion of the economic well being of the region.</i> • <i>on 2nd December 9 new sets of Regulations came into force re CJCs (imposing such duties as biodiversity and resilience of ecosystems / socio economic / Welsh language standards / well being of future generations / child poverty strategy and there is a lot of concern being voiced about the burdens and</i> 	

requirements being imposed on CJs when essentially they have a very narrow mandated remit (although concern is also being expressed about WG's ambition to impose more on the CJs than their original functions eg the bus reform agenda).

- WG are currently consulting on Tranche 3 of Regulations (closes on the 22nd December), which covers things such as the Code of Conduct for CJC members and co-opted members, extending the role of regulators such as the Public Services Ombudsman for Wales to CJs, giving CJs the power to trade, views about what the scrutiny arrangements should be, requiring the CJC to have a general fund etc.).*
- a fourth set of Regulations are to be consulted upon in early 2022 to cover such things as standing orders for officers, application of new performance and governance regime etc.*
- Work has been ongoing in drafting all the base documentation for the CJC in so much as we can, bearing in mind all the outstanding consultations on various aspects, such as the Constitution, Standing Orders etc.*
- The Regulations provide that the 4 x Leaders will be the local authority members of the main CJC. The 2 x National Park Authorities will be members but will have limited voting rights.*

There will be sub-committees on the identified functions (on which the cabinet member portfolio holders will probably sit), plus sub-committees such as Governance and Audit and Standards (a third of which will be made up of lay members). Guidance is still awaited on the arrangements for Scrutiny, although the general feeling across Wales seems to be that the CJC ought not to be allowed to scrutinise itself and should be subject to local authority scrutiny.

It looks likely that the SWW CJC will hold 2 meeting in January – one to deal with appointments of officers and standing orders, and a second to deal with the budget. Chris Moore is the s. 151 officer and finance officer for the CJC so should be able to update the meeting on where that's at, and on the tax and vat issues that are being looked at by WG and HMRC. NPT is providing the Monitoring Officer, Pembrokeshire the governance and audit function. It looks likely that the CEX is to be recruited (on an interim appointment?) rather than any of the 4 x CEXs performing the function".

In addition, regarding accounting procedures in terms of VAT, possibility of having to register the CJC for VAT and HRMC.

CM regarding accounting procedures the status of the body in respect of VAT, looks like we will have to register the CJC for VAT and HRMC.

	Feedback to be brought back to the next meeting, following the 2 CJC meetings which are scheduled during January 2022.	
9.	<p><u>CRWG – Verbal Update – (LRJ)</u> Prior to the meeting, LRJ provided HLP with a written update. In LRJ’s absence, HLP read out the following:-</p> <p><i>“CRWG was intending to have recommended a revised Scheme of Delegation to Officers and a revised Protocol on Representations to the County Council on Planning Applications to Full Council on 8th December, the revisions to the Scheme covering things such as reflecting the movement of services and functions from one Department to another over the years, changes in job titles, new functions arising from new legislation, and some additional delegations being sought (eg changing the threshold for the number of objections required before an application needs to be escalated to Planning Committee rather than being taken by officers etc) and the revisions to the Protocol seeking to better clarify the procedures and deadlines for making representations. But the item was withdrawn because of queries and proposed amendments coming in from the Opposition on the eve of the meeting. Although there was still a majority of CRWG recommending the recommendations in the report it was felt that it would have been awkward to have a discussion on some minute details in a meeting of 74 members. As such, a fresh CRWG has been scheduled for the 5th January in the hope that an agreed Scheme and Protocol can be put to Council on the 19th January 2022”.</i></p>	
10.	<p><u>Monitoring Outputs of Carmarthenshire CC led projects</u> AGREED to be deferred until March 2022.</p>	
11.	<p><u>Planning Service Governance Arrangements – (HLP)</u> <u>Council Meeting – 15/09/21</u> Following updates had been raised :-</p> <ul style="list-style-type: none"> • Rhodri Griffiths has been appointed as the new Head of Place and Sustainability, and commencing his position as HoS, end of December. • A meeting has been scheduled between the Chief Executive, Leader, Cllr. Hazel Evans, Cabinet Member and PT to discuss the interim arrangements for the Director of Environment’s post due to 2 individuals who had submitted their applications for the Director’s role who have now withdrawn. Purpose of the meeting, to look at all the options. • An update is due to be submitted to Audit Committee on the Actions on delivering the Audit Wales Report recommendations. 	

12.	<p><u>Any Other Business</u></p> <p>The following items had been raised :-</p> <ul style="list-style-type: none">• <u>Partner Relationships – GA</u> There have been 2 key appointments as follows:-<ul style="list-style-type: none">- Richard Lewis, Chief Constable of Dyfed Powys Police. Commencing 13/12/21.- Rhodri Thomas, Chief Fire Officer for Mid and West Wales Fire Service. • <u>Governance Structure for Pentre Awel</u> CM confirmed, he had circulated the latest Governance Structure to group members during the meeting. Logged in the minutes that they have been put in place. • <u>Contract Management</u> The following work continued to be on going:-<ul style="list-style-type: none">- Procurement Division drafting a Contract Management Guide.- Liaising with L&D Team for e-learning- Chair, Chief Executive and CM are due to have a meeting regarding contract management. CM to follow it up. <p>Chair thanked all present for their attendance and contribution and called the meeting to a close at 10:30 am.</p>	
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Mae'r dudalen hon yn wag yn fwriadol

ANNUAL GOVERNANCE STATEMENT – Actions Update @ February 2022

UPDATE ON OUTSTANDING GOVERNANCE ISSUES IDENTIFIED IN PREVIOUS ANNUAL GOVERNANCE STATEMENTS					
SOURCE	ISSUES	RESPONSIBLE OFFICER	ACTIONS/PROGRESS		STATUS
AGS 2017/18 No.6	Monitor and evaluate People Strategy Group/Work stream actions relating to AW People Performance Management recommendations.	Assistant Chief Executive – People Management	March 2020	Consolidating learning and moving forward. PSGB Group has met through COVID19, but revaluation of way forward needed.	<p>On going Currently in discussions with IIP – high level review for further accreditation planned. Steering group is refocusing its objectives.</p> <p>IIP meetings held in November / early December. 6th formers event done.</p> <p>Aiming for gold – workplan to be put in place.</p> <p>Empowerment & wellbeing being two main focus.</p> <p>Reconfigure the group to align with expectations.</p> <p>The interim report received from IIP to CMT in next fortnight. Then to pre-cabinet following that.</p>
AGS 2019/20 No.8	Ensure Employment Policies reflect any new legislation such as exit payment cap, reclaiming exit payments etc.	People Services Manager	March 2021	<p>Ongoing – On 12/2/21 the UK Government repealed the exit pay cap provisions. We await new legislation and will update policies accordingly.</p> <p>The legislation is likely to come back in the Autumn. Waiting for this, following these policies will be reviewed and updated where required.</p>	<p>2021/22</p> <p>Exit pay cap legislation was due in December but has not been received – likely now to be 2022.</p> <p>ACAS compliant policies in place.</p> <p>Still awaiting information</p>

AGS 2019/20 No.13	Implement appropriate changes in respect of the governance arrangements of the Local Authority Companies in response to the Governance Review Report.	Corporate Management Team	June 2021	Democratic decision has been taken to put one company into dormancy. Decision has been taken that reports from the other two companies to be presented to Cabinet on 6 monthly basis.	CWM updates commenced - reported recently to CMT in December 2021 – to be next taken to Pre Cabinet. Delivered Llesiant will be reporting to Pre-Cabinet shortly. TIC review being undertaken on Llesiant. Planned work in programme Governance update review to be carried out early 2022.
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AGS 2020/21 No.1	Review Staff Travel Policy	People Services Manager	April / May 2021	Draft presented to CMT 16 th September 2021 Principles agreed and consultation now will commence with TU. Following which the policy will go back to CMT and follow through the political process.	Consultation to be completed by end of 2021 Meeting TU - 16 th January 2022. Final versions will then go to CMT and then through the political process. Travel policy with TU until 4th March for comments. Formal presentation and awaiting for formal response.
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AGS 2020/21 No.2	Implement The Local Government and Elections (Wales) Act requirements	Corporate	May 2022	The elements that have not been implemented to date have a timetable that needs to be met to deliver the Act's requirement / timescale.	Ongoing Elements of performance & governance implemented. Elections – in hand Statutory Guidance not provided yet, some draft guidance issued last week. Democratic participation strategy.
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<p>AGS 2020/21 No. 3</p>	<p>Develop governance arrangement around the better ways of working once plan is in place – for officers</p>	<p>Chair of Better Ways of Working Strategic Group</p>	<p>2021/22</p>	<p>Facilitated sessions underway for each HoS teams.</p> <p>3 sub groups in place reporting into Strategic group.</p> <p>Communications plan being drawn up for the project</p> <p>Two pilots to commence on hybrid working.</p>	<p>Ongoing</p> <p>Two pilots in place.</p> <p>Each service is now collating information to determine the practicalities / operational needs.</p> <p>Also working ongoing with other public sector bodies – joint working.</p> <p>BWoW strategic meetings continue – space allocations collated from all HoS to inform the property strategy.</p>
<p>AGS 2020/21 No. 4</p>	<p>Develop governance arrangement around the better ways of working once plan is in place – for Members</p>	<p>Chair of Better Ways of Working Strategic Group / Head of Legal and Democratic Services</p>	<p>2021/22</p>	<p>Dem services cttee have put a working group together</p> <p>Engagement with all the groups underway.</p> <p>Next step is to survey the members and collate their views.</p>	<p>Ongoing</p> <p>Information now being pulled together to determine the practicalities / operational needs</p> <p>Feedback from the working group</p>
<p>AGS 2020/21 No.5</p>	<p>Recruit lay members for Audit Committee</p>	<p>Head of Legal and Democratic Services / Director of Corporate Services / Head of Revenues & Financial Compliance</p>	<p>2021/22</p>	<p>Awaiting Clarity on interpretation of the Act from WG.</p> <p>Job specification being reviewed</p>	<p>Job Specification drawn up</p> <p>Job advert drafted – both to be presented to Governance & Audit Committee for approval 17th December 2021.</p> <p>Lay members advert and readvertised. Shortlisting panel determined</p>

Mae'r dudalen hon yn wag yn fwriadol

RISK MANAGEMENT STEERING GROUP

Minutes of Meeting held on

Thursday, 10th February 2022

Via Microsoft Teams

Members Present:			
Helen Pugh (Chair)	Corporate Services	Corporate Services Risk Champion (Interest declared for Agenda Items 10.1 and 10.2 – HLP not present for these items)	HLP
Cllr David Jenkins	Executive Board Member (Corporate Services)	Executive Board Risk Champion (for Agenda Items 1,2,3 and 7 only – connectivity issues)	DJ
Jonathan Fearn	Communities	Chair of Property & Liability Risks Working Group	JF
Stephen G Pilliner	Environment	Chair of Transport Risks Working Group	SGP
Simon Davies	Education & Children	Education & Children Risk Champion	SD
Julie Standeven	Corporate Services	Principal Risk Officer	JS
Jackie Bergiers	Chief Executive's	Lead Business Partner (H&S)	JB
Jason G Jones	Environment	Property Maintenance Manager	JGJ
Sam Walker	Communities	Operations Manager, Pembrey Country Park	SW
Louise Church	Chief Executive's	Senior Adviser (Health & Safety)	LC
Dave Williams	Queen Elizabeth High School	Headteacher (for Agenda Item 7 only)	DW
Nigel Cooke	Queen Elizabeth High School	School Business Manager (for Agenda Item 7 only)	NC
Jon Owen	Chief Executive's	TIC Programme Manager (for Agenda Item 8 only)	JO

Item No	Subject	Action
1.	Apologies Richard Stradling – Communities (Leisure) Risk Champion Richard Davies – Communities (Social Care) Risk Champion	

	<p>Alan Howells – Environment Risk Champion Sue P John – School Organisation & Admissions Manager, Education & Children Hayden S Burns – Archives Transformation Manager, Communities Gary Price – Actif Operations Manager, Communities Huw Jones – Marsh UK Ltd</p>	
7	<p>RM Bid Review – QE High School – Anti-bullying Toilets HLP (Chair) re-arranged the order of the Agenda to consider Item 7 at the beginning of the meeting. This was a departmental initiative, supported by the Steering Group, to install anti-bullying toilets at Q E High School. DW provided a presentation to the Group confirming:</p> <ul style="list-style-type: none"> • Installation of Phase 1 and 2 successfully implemented • Pupils are now more confident to use the facilities and less intimidated, improving pupil wellbeing. • Parental feedback has been extremely positive and felt that pupils’ concerns had been listened to and acted upon. • The areas are now free from graffiti and vandalism <p>DW thanked the Group for its support with the initiative and the opportunity to provide positive feedback on behalf of the School.</p>	
2.	<p>Minutes of Last Meeting The Minutes of the Risk Management Steering Group Meeting held on Thursday, 11th November 2021 via Teams, were confirmed as a true record.</p>	
3.1	<p>Matters arising from Risk Management Steering Group Minutes.</p>	
3.1.1	<p>Alarm Receiving Centre JS advised that documentation/information was recently received from Delta Wellbeing, for submission to the Council’s Property Insurers, to consider their suitability to provide an Alarm Receiving Centre service. JF advised that a review of the current provision of fire and security alarms throughout the Authority and the monitoring of these systems was required. Review to include a proposed action plan and possible future bid for funding from the Risk Management Fund.</p>	JS
3.1.2	<p>Water Safety Equipment JB advised that IT issues had delayed the review and the issue of the report. Update to be provided at next meeting.</p>	JB
3.1.3	<p>Mod.Gov Confirmation received from Democratic Services that the Mod.Gov platform was available for use by the Risk Management Steering Group. The Group agreed that the Mod.Gov platform to be used for future meetings and JS nominated as the Group’s “departmental publisher”. JS to contact Democratic Services for “departmental publisher” training.</p>	JS

4.	Minutes of Property & Liability Risks Working Group Meeting – 4th February 2022 The Minutes were noted.	
4.1	Matters arising from Property & Liability Risks Working Group Minutes	
4.1.1	Property / Liability Training JF advised that a number of training sessions had been provided by Insurers, Brokers and Loss Adjusters. Subjects included: <ul style="list-style-type: none"> • Property damage claims • Construction Insurance / Owner Controlled Insurance Programmes • Contractor Insurance Requirements Sessions were well attended and feedback positive.	
4.1.2	Secure by Design Fencing – Schools JF advised that the design of school fencing was being reviewed following issues identified by the Corporate H&S Team. Review to consider identified remedial actions, with a possible Risk Management bid to be brought forward, should works be recommended.	
5.	Minutes of Contingency Planning Working Group Meeting – 28th January 2022 The Minutes were noted.	
5.1	Matters arising from Contingency Planning Working Group Minutes	
5.1.1	Departmental Business Continuity Plans HLP advised that a sub-group had been established to complete a critical friend exercise, to challenge the current process for the completion and review of the Departmental BC Plans.	
5.1.2	Data Centre Business Continuity HLP advised that recent improvements to the Council’s Data Centre arrangements, supported its primary focus to improve resilience and optimise recovery solutions.	
5.1.3	Critical Incident Protocol SD advised that as a result of communication difficulties experienced during Storm Barra, a new protocol had been introduced for schools to alert the Council of critical incidents.	
6.	Minutes of Transport Risks Working Group – 27th January 2022 The Minutes were noted.	
6.1	Matters arising from Transport Risks Working Group	
6.1.1	Zurich Municipal Motor Vehicle Grading Report SGP advised that Council officers had met with Zurich Municipal to discuss progress made in relation to the Insurers recommendations. Ongoing progress will be reported to and monitored by the Transport Risks Working Group.	

6.1.2	<p>Minibus D1 Licence SGP advised that following a comprehensive review of the category D1 licence requirements, the Transport Risks Working Group had resolved that all drivers of Council minibuses must have a category D1 licence, Action</p> <ul style="list-style-type: none"> • Check with Fleet Manager/HR Officer that guidance note has been issued to schools 	JS
6.1.3	<p>Changes to the Highway Code SGP advised that the Fleet Manager was liaising with the Road Safety Team to raise awareness of the recent changes to the Highway Code.</p>	
8.	<p>TIC Review – Final Report JO presented the final report of the TIC Review of Risk Management Arrangements. HLP advised that the TIC Review recommendations would be monitored via an action plan also incorporating the Audit Wales and Internal Audit Review recommendations. Progress report to be provided to Risk Management Steering Group as standing Agenda item.</p>	HLP/JS HLP/JS
9.	<p>Sprinkler Policy HLP advised that the Council’s Sprinkler Policy was to be reviewed. The review to include input from Risk Management, Property Design, the Authority’s Brokers and Property Insurers. Update to be provided at next meeting.</p>	HLP/JS
10.	<p>Bids for Financial Assistance tabled at the Property & Liability Risks Working Group – 04/02/2022</p>	
10.1	<p>E&C – Talley School This Departmental bid related to the installation of safeguarding and security improvements at Talley School. It was agreed that the Departmental bid (i.e. 50% of the estimated cost) be approved.</p>	
10.2	<p>E&C – Cwrt Henri School This Departmental bid related to the installation of safeguarding and security improvements at Cwrt Henri School. It was agreed that the Departmental bid (i.e. 50% of the estimated cost) be approved.</p>	
11.	<p>Bids for Financial Assistance tabled directly at the Risk Management Steering Group – 10/02/2022</p>	
11.1	<p>CEX – HR Advisor – Employment Safeguarding This Corporate bid related to the appointment of a HR Advisor specifically responsible for Employment Safeguarding for a period of 12 months. It was agreed that the Corporate bid (i.e. 100% of the estimated cost) be approved.</p>	

11.2	E&C – Ysgol Bro Dinefwr This Departmental bid related to the installation of an effective communication system at Ysgol Bro Dinefwr. It was agreed that the Departmental bid (i.e. 50% of the estimated cost) be approved in principle subject to further investigation of additional safeguarding and security measures required at the site.	SD/JB
12.	Any Other Business None	
13.	Next Meeting May 2022 via Microsoft Teams – exact date to be advised	

Mae'r dudalen hon yn wag yn fwriadol

Dydd Gwener, 17 Rhagfyr 2021

YN BRESENNOL: Y Cyngorydd T.M. Higgins (Cadeirydd);

Y Cynghorwyr:

A.G. Morgan, K.V. Broom, K. Davies, G.H. John, B. Thomas a D.E. Williams;

Aelod Cyfetholedig:

Mrs. J. James;

Yn bresennol fel sylwedydd:

Y Cyngorydd D.M. Jenkins – Yr Aelod Cabinet dros Adnoddau;

Roedd y Swyddogion canlynol yn bresennol yn y cyfarfod:

C. Moore, Cyfarwyddwr y Gwasanaethau Corfforaethol;

R. Mullen, Cyfarwyddwr yr Amgylchedd;

N. Daniel, Pennaeth TGCh a Pholisi Corfforaethol, Pennaeth Cynllunio Dros Dro;

J. Fearn, Pennaeth Eiddo;

J. Jones, Pennaeth Adfywio;

H. Pugh, Pennaeth Refeniw a Chydymffurfiaeth Ariannol;

L.R. Jones, Pennaeth Gweinyddiaeth a'r Gyfraith;

P.R. Thomas, Prif Weithredwr Cynorthwyol (Rheoli Pobl a Pherfformiad);

C. Powell, Prif Archwilydd;

G. Ayers, Rheolwr Polisi Corfforaethol a Phartneriaeth;

S. Rees, Cyfieithydd ar y Pryd;

E. Bryer, Swyddog Gwasanaethau Democrataidd;

M.S. Davies, Swyddog Gwasanaethau Democrataidd.

Cyfarfod Rhithwir: 10.00 yb - 1.10 yp

1. YMDDIHEURIADAU AM ABSENOLDEB

Cafwyd ymddiheuriad am absenoldeb gan y Cyngorydd B.A.L. Roberts.

2. DATGANIADAU O FUDDIANNAU PERSONOL

Yr Aelod	Rhif y Cofnod	Y Math o Fuddiant
Mrs. J. James	3- Penodi Personau Lleyg i'r Pwyllgor Llywodraethu ac Archwilio	Aelod Lleyg y Pwyllgor

3. PENODI LLEYGWYR I'R PWYLLGOR LLYWODRAETHU AC ARCHWILIO

(NODER: Roedd y Cyngorydd J. James wedi datgan buddiant yn yr eitem hon yn gynharach]

Rhodddwyd gwybod i'r Pwyllgor fod Deddf Llywodraeth Leol ac Etholiadau (Cymru) 2021 yn mynnu bod traean o aelodau'r Pwyllgor Llywodraethu ac Archwilio fod yn bersonau lleyg a bod person lleyg yn cael ei benodi'n Gadeirydd y Pwyllgor. Yn unol â hynny, ystyriwyd adroddiad a oedd yn manylu ar opsiynau ar gyfer maint y pwyllgor, ac argymhellodd y trefniadau ar gyfer penodi'r aelodau lleyg ychwanegol i fodloni gofynion y Ddeddf a fyddai'n dod i rym ar 5 Mai 2022.

PENDERFYNWYD YN UNFRYDOL

3.1 nodi'r gofyniad newydd sy'n deillio o Ddeddf Llywodraeth Leol ac Etholiadau (Cymru) 2021 i un draean o aelodaeth y Pwyllgor Llywodraethu ac Archwilio fod yn bersonau lleig, ac i'r Pwyllgor gael ei gadeirio gan berson lleig o fis Mai 2022;

3.2 cymeradwyo'r trefniadau a nodir yn yr adroddiad ar gyfer recriwtio personau lleig i fodloni'r gofyniad hwn gyda'r rhestr fer o ymgeiswyr yn cael eu gwneud gan Banel o Aelodau'r Pwyllgor Llywodraethu ac Archwilio sy'n wleidyddol gytbwys (1 Plaid Cymru, 1 Llafur ac 1 Annibynnol) gydag enwebiadau ar gyfer y Panel wedi'u cadarnhau gan y Pleidiau Gwleidyddol perthnasol a'u hysbysu i'r Prif Weithredwr a Phennaeth y Gwasanaethau Democrataidd.

3.3 ARGYMELL I'R CYNGOR Bwyllgor Llywodraethu ac Archwilio o 12 aelod h.y. 8 aelod etholedig (fel ar hyn o bryd) a 4 person lleig i gyd-fynd â'r gofyniad newydd sy'n deillio o Ddeddf Llywodraeth Leol ac Etholiadau (Cymru) 2021 i draean o aelodaeth y Pwyllgor Llywodraethu ac Archwilio fod yn bersonau lleig.

4. ADRODDIADAU CYNNYDD:-

4.1. ADRODDIAD DIWEDDARU RHEOLI POBL

Ystyriodd y Pwyllgor adroddiad diweddarau mewn perthynas â Rheoli Pobl a oedd yn amlinellu'r cymorth iechyd a llesiant a ddarperir i staff, gan gynnwys cymorth i reoli iechyd meddwl, a'r gwaith sy'n cael ei wneud mewn perthynas â themâu allweddol Strategaeth Pobl yr Awdurdod. Roedd yr adroddiad hefyd yn rhoi trosolwg o'r mesurau a roddwyd ar waith i gefnogi staff yn ystod y pandemig a'r cynllun a fyddai'n cael ei ddatblygu yn ystod 2022/23. Mynegodd y Prif Weithredwr Cynorthwyol – Rheoli Pobl siom ynghylch y ffaith bod yr Awdurdod wedi methu â sicrhau unrhyw Gyllid Undebau Llafur Cymru (WULF) a oedd yn gofyn am gymeradwyaeth yr Undeb Llafur lleol i ategu'n ariannol y gwaith da yr oedd yr Awdurdod wedi'i gyflawni wrth hyfforddi staff mewn perthynas ag Iechyd Meddwl yn y Gweithle. Ychwanegodd y byddai hyn yn fater y byddai'n ei ddilyn a nododd fod yr Awdurdod, o'i ran, eisoes wedi dyblu 'amser cyfleuster' ar gyfer cynrychiolwyr undebau llafur, a oedd yn rhan annatod o drafodaethau rhwng yr Undebau Llafur cydnabyddedig a'r Arweinydd, y Dirprwy Arweinydd a'r Prif Weithredwr. Roedd yr Undebau Llafur wedi ymrwymo i gefnogi mynediad i arian WULF, pe bai Amser Cyfleuster yn cael ei gynyddu, a oedd wedi digwydd.

Roedd y canlynol ymhlith y materion/sylwadau a godwyd ynghylch yr adroddiad:-

- Nodwyd bod y data o 'borth byw' covid yr Awdurdod yn galluogi gwasanaethau gael eu rheoli'n effeithiol;
- Dywedodd y Prif Weithredwr Cynorthwyol – Rheoli Pobl, mewn ymateb i gwestiwn, fod mwy o ffocws bellach ar ymgysylltu â staff a deialog fel rhan o system arfarnu'r Awdurdod;
- Cyfeiriodd y Prif Weithredwr Cynorthwyol – Rheoli Pobl at y ffyrdd yr oedd proffiliau swyddi a hysbysebion wedi'u hail-arfarnu mewn meysydd lle bu'n anodd recriwtio staff a denu ceisiadau. Ychwanegodd fod gan yr Awdurdod hyblygrwydd hefyd o ran ei ddatganiad polisi tâl ac thaliadau atodol y farchnad i ddenu a chadw staff;

- Cytunodd yr Aelodau fod ymateb yr undebau llafur i gais yr Awdurdod am gyfraniad tuag at y gost o ddarparu cymorth iechyd meddwl ychwanegol yn y gweithle yn siomedig.

PENDERFYNWYD YN UNFRYDOL dderbyn yr Adroddiad Cynnydd ynghylch Rheoli Pobl.

4.2. ARCHWILIO CYMRU: ADOLYGIAD O WASANAETHAU CYNLLUNIO - CYNGOR SIR CAERFYRDDIN

Yn ychwanegol at gofnod 5.1 o'r cyfarfod a gynhaliwyd ar 24 Medi 2021, ystyriodd y Pwyllgor adroddiad diweddarau chwarterol mewn ymateb i argymhellion Archwilio Cymru a'r camau gweithredu y cytunwyd arnynt yn deillio o'r adolygiad o Wasanaethau Cynllunio'r Cyngor. Ceisiodd yr adroddiad roi sicrwydd i'r Pwyllgor Llywodraethu ac Archwilio fod cynnydd sylweddol wedi'i wneud dros y saith mis diwethaf.

Roedd y canlynol ymhlith y materion/sylwadau a godwyd ynghylch yr adroddiad:-

- Croesawodd yr Aelodau'r cynnydd sy'n cael ei wneud ar yr argymhellion a diolchwyd i'r staff am eu gwaith, yn enwedig yng ngoleuni pandemig Covid;
- Mewn ymateb i gwestiwn ynghylch sut y byddai gorfodi cynllunio'n cael ei gydgysylltu, dywedwyd wrth y Pwyllgor fod y ddeddfwriaeth ynghylch gorfodi cynllunio yn gymhleth ond bod rhaglenni a systemau'n cael eu hadolygu i wneud prosesau a chynnydd yn fwy cynaliadwy;
- Cadarnhaodd y Pennaeth Cynllunio Dros Dro y byddai'n dychwelyd i'w rôl fel Pennaeth TGCh ar ôl i'r Pennaeth Lle a Chynaliadwyedd a benodwyd yn ddiweddar ymuno â'r Awdurdod;
- Rhoddwyd sicrwydd i'r Pwyllgor yr ymgynghorwyd â CNC a Dŵr Cymru bob amser ar geisiadau cynllunio pan fo angen.

PENDERFYNWYD YN UNFRYDOL nodi'r cynnydd a wnaed gan Gyngor Sir Caerfyrddin mewn ymateb i argymhellion Archwilio Cymru.

5. Y DIWEDDARAF YNGHYLCH AR CYNLLUN ARCHWILIO MEWNOL 2021/22

Ystyriodd y Pwyllgor adroddiad cynnydd ynghylch gweithredu'r Cynllun Archwilio 2021/22. Tynnwyd sylw at y ffaith y byddai'r archwiliad risg seiberddiogelwch bellach yn cael ei gynnal fel rhan o Gynllun Archwilio Mewnol 2022/23. Roedd gan yr Awdurdod hefyd drefniadau ar waith i wirio am daliadau twyllodrus sy'n gysylltiedig â Covid.

PENDERFYNWYD YN UNFRYDOL fod adroddiad diweddarau'r Cynllun Archwilio Mewnol 2021/22 yn cael ei dderbyn.

6. ADRODDIAD AWDIT CYMRU: ADFYWIO CANOL TREFI YNG NGHYMRU

Ystyriodd y Pwyllgor adroddiad gan Archwilio Cymru o'r enw 'Adfywio Canol Trefi yng Nghymru', a oedd yn galw ar bob lefel o lywodraeth i fynd ati i helpu i wneud canol trefi'n gynaliadwy, ac ymateb Cyngor Sir Caerfyrddin i'r argymhellion hynny yn yr adroddiad a oedd yn berthnasol i'r Cyngor. Roedd y rhain yn ymwneud yn benodol â defnyddio pwerau gorfodi, cymorth ariannol ac adennill dyledion presennol, a'r defnydd o'r offeryn adfywio a grëwyd gan Archwilio Cymru i alluogi awdurdodau lleol i hunanasesu eu dulliau presennol o nodi lle'r oedd angen iddynt wella eu gwaith ar adfywio canol trefi.

Mewn ymateb i gwestiwn, rhoddodd y Pennaeth Adfywio sicrwydd, o gofio unrhyw oblygiadau sy'n deillio o covid a allai olygu bod staff yn cael eu cyfarwyddo i gyflawni dyletswyddau eraill, fod digon o staff ar waith i helpu i gyflawni'r argymhellion sy'n berthnasol i'r Cyngor.

PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad a nodi ymateb Cyngor Sir Caerfyrddin i argymhellion yr adroddiad cenedlaethol sy'n berthnasol i'r Cyngor.

7. CYNNYDD O RAN ARGYMHELLION YR ADRODDIAD RHEOLEIDDIOL

Bu'r Pwyllgor yn ystyried adroddiad yn amlinellu'r cynnydd a wnaed ar argymhellion yr adroddiad rheoleiddiol, yn unol â gofynion Deddf Llywodraeth Leol (Cymru) 2011 sy'n ei gwneud yn ofynnol i Bwyllgorau Archwilio ddilyn argymhellion adroddiadau rheoleiddiol.

Roedd adroddiad Swyddfa Archwilio Cymru ar Effeithiolrwydd y Pwyllgor Archwilio (Gorffennaf 2018) yn cynnwys Cynnig ar gyfer Gwella y dylid cryfhau'r trefniadau ar gyfer olrhain y camau a gymerwyd i fynd i'r afael ag argymhellion mewn adroddiadau rheoleiddiol. Roedd y broses o adrodd yn rheolaidd i'r Pwyllgor Archwilio yn mynd i'r afael â'r cynnig hwn.

PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad.

8. BLAENRHAGLEN GWAITH Y PWYLLGOR LLYWODRAETHU AC ARCHWILIO
Rhoddodd y Pwyllgor ystyriaeth i'r Flaenraglen Waith arfaethedig ar gyfer cylch cyfarfodydd y Pwyllgor Archwilio 2021/22, a nodai'r eitemau i'w cyflwyno i'r Pwyllgor yn y cyfarfodydd oedd wedi'u trefnu ar gyfer y flwyddyn i ddod.

PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad.

9. COFNODION GRWPIAU PERTHNASOL I'R PWYLLGOR LLYWODRAETHU AC ARCHWILIO:-

9.1. COFNODION Y GRWP LLYWIO RHEOLI RISK - 11EG TACHWEDD 2021

PENDERFYNWYD YN UNFRYDOL fod cofnodion cyfarfod y Grŵp Llywio Rheoli Risg a gynhaliwyd ar 11 Tachwedd 2021 yn cael eu derbyn.

9.2. GRWP LLYWODRAETHU CORFFORAETHOL - 17EG MEDI 2021

PENDERFYNWYD YN UNFRYDOL dderbyn cofnodion cyfarfod y Grŵp Llywodraethu Corfforaethol a gynhaliwyd ar 17 Medi 2021.

9.3. PANEL GRANTIAU - 7FED MEHEFIN 2021

PENDERFYNWYD YN UNFRYDOL dderbyn cofnodion cyfarfod y Panel Grantiau a gynhaliwyd ar 7 Mehefin 2021.

9.4. PANEL GRANTIAU - 11 HYDREF 2021

PENDERFYNWYD YN UNFRYDOL dderbyn cofnodion cyfarfod y Panel Grantiau a gynhaliwyd ar 11 Hydref 2021.

10. LLOFNODI YN GOFNOD CYWIR COFNODION CYFARFOD PWYLLGOR LLYWODRAETHU AC ARCHWILIO AR 12FED HYDREF 2021

PENDERFYNWYD YN UNFRYDOL lofnodi cofnodion cyfarfod y Pwyllgor Archwilio a gynhaliwyd ar 12 Hydref 2021 gan eu bod yn gywir.

11. 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 12 a 13 o Ran 4 o Atodlen 12A i'r Ddeddf.

12. ADRODDIAD ARCHWILIAD MEWNOL - UNED BRESWYL GARREG LWYD

Yn sgil cynnal prawf budd y cyhoedd **PENDERFYNWYD**, yn unol â'r Ddeddf y cyfeiriwyd ati yng nghofnod 11 uchod, beidio â chyhoeddi cynnwys yr adroddiad am ei fod yn cynnwys gwybodaeth eithriedig ynghylch unigolion penodol sy'n debygol o ddatgelu pwy yw'r unigolion (gan gynnwys yr Awdurdod oedd yn meddu ar y wybodaeth honno) (Paragraff 12 a 13 o Ran 4 o Atodlen 12A i'r Ddeddf). Roedd y prawf budd y cyhoedd mewn perthynas â'r adroddiad hwn yn drech na budd y cyhoedd o ran datgelu'r wybodaeth gan y byddai datgelu yn arwain at ddatgelu data personol yn anghymesur ac yn annheg yn ymwneud ag unigolion adnabyddadwy.

Ystyriodd y Pwyllgor adroddiad oedd yn manylu ar ganlyniad adolygiad Archwilio Mewnol o Uned Breswyl Garreg Lwyd a gynhaliwyd i asesu'r rheolaethau a'r gweithdrefnau a oedd ar waith mewn perthynas â Rheolaeth Ariannol.

PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad a darparu diweddariad yn y cyfarfod nesaf.

13. ADRODDIAD ARCHWILIAD MEWNOL - FFRAMWAITH GWASANAETHU AC ADFER BOELERI DOMESTIG

[HYD Y CYFARFOD

Am 1:00pm wrth ystyried yr eitem hon, tynnwyd sylw'r Pwyllgor at Reol Sefydlog 9 'Hyd y Cyfarfod', ac at y ffaith bod y cyfarfod wedi bod yn mynd rhagddo ers 3 awr. Felly

PENDERFYNWYD bod y Rheolau Sefydlog yn cael eu rhoi o'r neilltu dros dro er mwyn gallu parhau â'r busnes sy'n weddill.]

Yn sgil cynnal prawf budd y cyhoedd **PENDERFYNWYD**, yn unol â'r Ddeddf y cyfeiriwyd ati yng nghofnod 11 uchod, beidio â chyhoeddi cynnwys yr adroddiad am ei fod yn cynnwys gwybodaeth eithriedig ynghylch unigolion penodol sy'n debygol o ddatgelu pwy yw'r unigolion (gan gynnwys yr Awdurdod oedd yn meddu ar y wybodaeth honno) (Paragraff 12 a 13 o Ran 4 o Atodlen 12A i'r Ddeddf). Roedd y prawf budd y cyhoedd mewn perthynas â'r adroddiad hwn yn drech na budd y cyhoedd o ran datgelu'r wybodaeth

gan y byddai datgelu yn arwain at ddatgelu data personol yn anghymesur ac yn annheg yn ymwneud ag unigolion adnabyddadwy.

Ystyriodd y Pwyllgor adroddiad oedd yn manylu ar ganfyddiadau adolygiad Archwilio Mewnol o'r Fframwaith Gwasanaethu ac Adfer Boeleri Domestig a'i amcan cyffredinol, sef rhoi barn ar briodoldeb dyrannu gwaith sy'n ymwneud â'r Fframwaith Gwasanaethu ac Adfer Boeleri Domestig. Roedd hyn yn dilyn derbyn gohebiaeth gan contractwr, a enillodd le yn llwyddiannus ar y Fframwaith Gwasanaethu ac Adfer Boeleri Domestig, a oedd yn honni nad oedd wedi derbyn unrhyw waith gan Gyngor Sir Caerfyrddin. Diben yr adolygiad oedd canfod a oedd gwaith wedi'i wneud yn ystod y cyfnod o fewn manyleb y fframwaith ac a oedd gwaith wedi'i ddyrannu'n briodol.

PENDERFYNWYD YN UNFRYDOL dderbyn yr adroddiad a bod diweddariad yn cael ei ddarparu yn y cyfarfod nesaf o ran canlyniad yr honiad a oedd wedi cychwyn yr adolygiad.

CADEIRYDD

DYDDIAD

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