

# Corporate Services Department

## DRAFT

### Business Plan 2019 – 2022

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'Life is for living, let's start, live and age well in a healthy,  
safe and prosperous environment'

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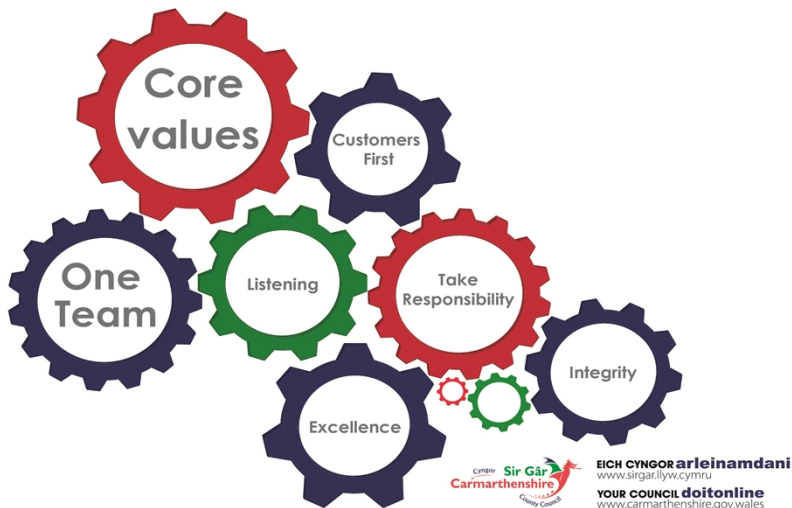
November 2018



**EICH CYNGOR arleinamdani**  
[www.sirgar.gov.uk](http://www.sirgar.gov.uk)

**YOUR COUNCIL doitonline**  
[www.carmarthenshire.gov.uk](http://www.carmarthenshire.gov.uk)

## Core Values



**Customers First** – we put the needs of our citizens at the heart of everything that we do

**Listening** – we listen to learn, understand and improve now and in the future

**Excellence** – we constantly strive for excellence, delivering the highest quality possible every time by being creative, adopting innovative ways of working and taking measured risks

**Integrity** – we act with integrity and do the right things at all times

**Taking Responsibility** – we all take personal ownership and accountability for our actions

## The Sustainable Development Principle

We must carry out sustainable development, improving the economic, social, environmental and cultural well-being of Wales. The **sustainable development principle** is

***‘... the public body must act in a manner which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.’***

To show that we have applied the sustainable development principle we must demonstrate 5 ways of working: **Long Term, Integrated, Involvement, Collaboration, and Prevention** (see Appendix 1)

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# The Purpose of this Plan

This Divisional Business Plan has been produced to give staff, customers, and elected members and partners a guide to the services provided by the department. It translates strategic objectives, to service objectives, to individual staff targets. It provides an open and transparent way of showing what is to be achieved and how we plan to do this.

It shows how resources will be used to achieve objectives and the service implications of budgetary increases or reductions. It shows what we get for what we spend and if we are making the most of what we have. The plan also aims to demonstrate and provide assurance on service standards so that the service can be held to account.

## Executive Board Member Foreword



This Business Plan reflects on how Corporate Services maximises its contribution to the Well Being of Future Generations Act, which aims to make public bodies think more about the long term, working better with people, communities and each other and also looks at preventing problems and taking a more joined up approach.

I am very satisfied that this Departmental Business Plan provides me with comprehensive information on the performance of Corporate Services during the past year and its direction for 2019 onwards.

Cllr David Jenkins – Executive Board Member for Resources

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## 1. Departmental Overview

### Introduction by Chris Moore Director of Corporate Services



The financial position faced by local authorities has had a consistent theme over recent years, with the level of resources available to public services seeing significant reductions, which means that we have less money to invest in services now than we have in the past. Over the last five years we have had to manage reductions in service budgets of £53m, whilst at the same time the pressures in the budget have been increasing in terms of demand and expectations. We continue to work with Departments to ensure that the organisation is working as efficiently as possible in order to protect and maintain front line services where possible.

We have been working to improve how we can make more explicit links between our financial, strategic and business planning, improving these links was a *Proposal for Improvement in Wales Audit Office's Corporate Assessment*. This will be further strengthened from 2019 onwards for both Capital and Revenue Budgets.

Further financial pressures are likely to arise from such things as rising energy costs, an increasing number of older people needing services from us. Offices, school buildings and highways that require significant investment, and this in current uncertainty in the economic outlook as the UK embarks on the process of leaving the European Union.

However we intend to invest somewhere in the region of an additional £210 million pounds of capital funding in our corporate priorities over the next five years.

As a Department we provide significant financial and procurement support and advice both to the City Region as a whole and specific projects being delivered within Carmarthenshire. This involves engagement with the Private Sector, Welsh Government, National Government and other City Region Local Authorities.

In line with the 5 Ways of Working, taking an Integrated approach and working with others in a collaborative way, I am also Section 151 Officer for both the Swansea Bay City Region Joint Committee and the Mid and West Wales Fire Service.

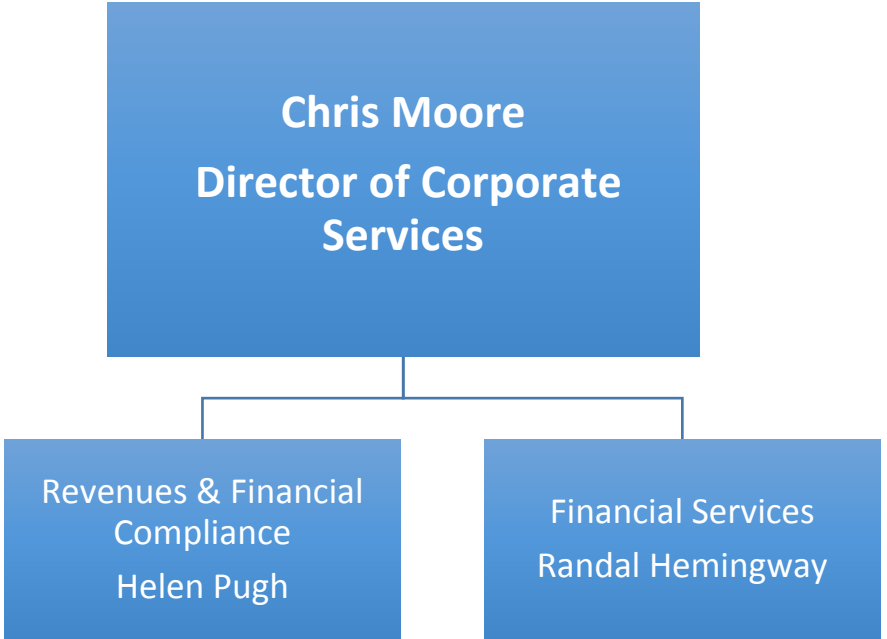
We have published a new Corporate Strategy 2018-23 which sets out the direction for the Local Authority over the next five years, incorporating our improvement and well-being objectives. As part of this strategy we have detailed how as a public body we will ensure that resources are allocated annually to meet our Well Being Objectives. For 2019 onwards our focus will be ensuring that we :

- *Tackle poverty by doing all we can to prevent it, help people into work and improve lives'* by focusing on obtaining our targets set for Average time for processing, notifications of changes of circumstances and accuracy of new housing/council tax benefits , and
- *'Better Governance and Use of Resources'* by ensuring the maximum use of Community Benefits in all procurements where such benefit can be realised, achieving our collection rates target of council tax and to further strengthen financial planning arrangements.

Chris Moore – Director of Corporate Services

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Department Structure



<ul style="list-style-type: none"><li>• Internal Audit</li><li>• Risk Management</li><li>• Corporate Procurement</li><li>• Business Development</li><li>• Council Tax and Business Rates</li><li>• Housing Benefit Assessment</li><li>• Housing Benefit Appeals and Overpayment</li><li>• Sundry Debtors</li><li>• Revenue Controls</li><li>• Cashiers</li></ul>	<ul style="list-style-type: none"><li>• Accountancy</li><li>• Pensions Administration</li><li>• Payroll Control</li><li>• Accounts Payable and Administration</li><li>• Treasury Management and Pensions Investments</li><li>• Host Wales Pension Partnership</li></ul>
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## Divisional Profiles:

Corporate Services has 2 main divisions which include:



### **Revenues and Financial Compliance Division – Helen Pugh - Telephone no 01267 246223**

This division includes :

Revenue Services - responsible for the administration, billing and recovery of Council Tax and Non Domestic Rates. The service also undertakes the billing, collection and recovery of miscellaneous income as well as having the responsibility for operating the Councils three full time cash offices, self-service kiosks, and other income processing functions. In addition, Revenue Services is responsible for the administration of Council Tax Reduction and Housing Benefit Schemes which help low income households meet their rent and/or Council Tax. Also embedded within the service is a fraud investigation officer and personal budgeting support officer.

Internal Audit – Audit provides an ongoing review of the Authorities systems and operations to minimise risk of loss from error, fraud, waste or extravagance.

Risk Management ensures that strategic and operational risks are fully identified and managed by the Authority and aims to minimise overall losses to the Authority.

Corporate Procurement – monitors and supports the delivery of strategic procurement issues across the Authority. The procurement function balances value for money factors with community and political preferences, resource and investment needs, equity, employment, workforce, environmental and sustainability considerations in line with the Welsh Governments Wales Procurement Policy Statement.

Business Development – promotes and supports a culture of performance management.



**Financial Services Division – Randal Hemingway - Telephone No 01267 224886**

Financial Services provides a diverse range of services in support of the Councils key objectives through 4 distinct areas:

**Accountancy** – The provision of a decentralised accounting and financial management service covering Technical Accounting (preparation of final accounts, corporate accounting and taxation), Management Accounting (Month end close, maintenance of financial records and budgeting) and Strategic Finance Functions (Projects, planning and financial advice to members). External Clients include the Mid and West Wales Fire Service, Dyfed Powys Police Authority, Brecon Beacons National Park Authority and Schools.

**Pensions Administration** – Carmarthenshire County Council is the statutorily appointed administering authority for the Dyfed Pension Fund. Pension administration services is responsible for the accuracy of the member database, calculating pension benefits, ensuring prompt payment in accordance with overriding legislation, providing information and guidance to employers and other stakeholders. It also provides administration services for the unfunded Police and Fire Pension Schemes for the Dyfed Powys Authority, mid & West Wales Fire and Rescue Service and North Wales Fire and Rescue Service.

**Systems, Accounts Payable & Administration** – The systems function ensures the integrity of the comprehensive corporate financial system for both the Authority and a number of external clients. The Corporate Payments Service provides a range of payment solutions that support both internal and external clients in the settlement of supplier invoices relating to the receipt of goods and services.

**Treasury Management, Pension Investments and Technical Section** - manages the strategic direction and operation of the Dyfed Pension Fund Investments (including the host Authority for the Wales Pension Partnership) and Dyfed Welsh Church Fund. The unit also manages the Treasury Management and Banking Services. Technical Section is responsible for financial, grant compliance advice and accounting support for specific grant funded projects and the research, interpretation and consultation responses on local government finance matters.

## 2. Strategic Context

### 2.1 National Well-being Goals

For the first time in Wales, the Well-being of Future Generations (Wales) Act 2015, provides a shared vision for all public bodies to work towards. See **Appendix 1** for an ABC guide to the Act. Our well-being objectives, which are incorporated in our New Corporate Strategy, are designed to maximise our contribution to the national shared vision goals.

### 2.2 The Council's New Corporate Strategy 2018-23 (incorporating Our Well-being Objectives 2018/19)

- Bringing Plans Together: the New Corporate Strategy consolidates four plans into one document
- In particular the Department supports the following Well-being Objectives :-

Well- Being Objective	This Department...	
	Leads On:	Significantly Supports:
<b>Start Well</b>		
1. Help to give every child the best start in life and improve their early life experiences		
2. Help children live healthy lifestyles		
3. Continue to improve learner attainment for all		
4. Reduce number of young adults that are Not in Education, Employment or Training		
<b>Live Well</b>		
5. Tackle poverty by doing all we can to prevent it, helping people into work and improving the lives of those living in poverty		✓
6. Creating more jobs and growth throughout the county		
7. Increase the availability of rented and affordable homes		
8. Help people live healthy lives (tackling risky behaviour and obesity		
9. Supporting good connections with friends, family and safer communities		
<b>Age Well</b>		
10. Support the growing numbers of older people to maintain dignity and independence in their later years		
11. A Council wide approach to supporting Ageing Well in Carmarthenshire		
<b>In a Healthy and Safe Environment</b>		
12. Looking after the environment now and for the future		
13. Improving the highway and transport infrastructure and connectivity		
14. Promoting Welsh Language and Culture		
<b>In addition a Corporate Objective</b>		
15. Better Governance and Use of Resources	✓	



## 2.3 The Departments Contribution to the Council's Well-being objectives:

The department's lead and significant supporting roles are shown on the list above.

## 2.4 5 Ways of Working

To comply with the Well-being of Future Generations Act we must demonstrate the 5 ways of working:  
**Long Term, Integrated, Involvement, Collaboration and Prevention**

## 2.5 The County of Carmarthenshire's Well-being Plan (to be published by May 2018)

The Well-being of Future Generations Act puts a well-being duty on specified public bodies across Carmarthenshire to act jointly and establish a statutory **Public Services Board** (PSB). The Carmarthenshire PSB was established in May 2016 and is tasked with improving the economic, social, environmental and cultural well-being of Carmarthenshire. It must do so by undertaking an assessment of well-being in the County and then preparing a county Well-being Plan to outline its local objectives

- The assessment looks at well-being in Carmarthenshire through different life stages. The key findings can be found at [www.thecarmarthenshirewewant.wales](http://www.thecarmarthenshirewewant.wales)
- The PSB must publish a Well-being Plan which sets out its local objectives to improving the economic, social, environmental and cultural well-being of the County and the steps it proposes to take to meet them. The first Carmarthenshire Well-being Plan will be published May 2018

The Well-being Objectives of the Carmarthenshire PSB are not intended to address the core services and provision of the individual partners, rather they are to enhance and add value through collective action. The statutory partners of the PSB (Council, Health Board, Fire & Rescue Service and Natural Resources Wales) each have to publish their own Well-being Objectives (*see Carmarthenshire County Council's above*)

### Carmarthenshire PSB's draft Well-being Objectives are:-

- Healthy Habits: people have a good quality of life, and make healthy choices about their lives and environment
- Early Intervention: to make sure that people have the right help at the right time; as and when they need it
- Strong Connections: strongly connected people, places and organisations that are able to adapt to change
- Prosperous People and Places: to maximise opportunities for people and places in both urban and rural parts of our county

## 2.6 Carmarthenshire's New Corporate Strategy 2018-2023 'Moving Forward in Carmarthenshire' (Link to be added later)

### Bringing Plans together

#### This New Corporate Strategy consolidates the following plans into one document:-

- It supersedes the 2015-20 Corporate Strategy
- It incorporates our Improvement Objectives as required by the Local Government Measure 2009
- It includes our Well-being Objectives as required by the Well-being of Future Generations (Wales) Act 2015. For the first time in Wales, there is a shared vision and set of goals for all public bodies to work towards, our Well-being Objectives are set to maximise our contribution to these
- It includes Carmarthenshire County Council's Executive Board key projects and programmes for the next 5 years as set out in '*Moving Forward in Carmarthenshire: the next 5 years*'.

## 2.7 Department Specific Strategies/Acts and guidance for the Department

- ❖ Local Government Finance Act 1992 & subsequent enabling and amending Council Tax Regulations
- ❖ Local Government Finance Act 1989 & subsequent enabling and amending non-domestic rating regulations
- ❖ The Housing Benefit Regulations 2006 & subsequent amending regulations
- ❖ Council Tax Reduction Schemes and prescribed Requirements (Wales) Regulations 2013, and subsequent amending regulations
- ❖ Revenue Budget Strategy
- ❖ 5 Year Capital Programme
- ❖ Treasury Management Policy and Strategy
- ❖ Dyfed Pension Fund – [www.dyfedpensionfund.org.uk](http://www.dyfedpensionfund.org.uk)
- ❖ Funding Strategy Statement
- ❖ Administration Strategy
- ❖ Communications Strategy
- ❖ Corporate Risk Register
- ❖ Governance Policy
- ❖ Business Plan
- ❖ Statement of Investment Principles
- ❖ Welsh Government Procurement Policy Statement
- ❖ Audit Charter
- ❖ Audit Plan
- ❖ Financial Procedural Rules (Under Review)
- ❖ Anti Fraud and Anti Corruption Strategy 2018-23
- ❖ Procurement Strategy 2018-22
- ❖ Risk Management Strategy 2018-22

## 3. Review and Evaluation

### 3.1 Ways of Working Self Assessment

To comply with the Act we must demonstrate the following 5 ways of working:-

The 5 Ways of Working (WOW)		How good are we at this? Strong Partial Weak	Self-Assessment
1	Looking at the <b>long term</b> so that we do not compromise the ability of future generations to meet their own needs	Strong	<p>We are working to improve explicit links between our financial, strategic and business planning. Budget reports are now linked to performance data and Business Plans are timetabled to go to Scrutiny Meetings along with the Budget Consultation.</p> <p>There is clear accountability of savings delivery into the Medium Term Financial Plan through Departmental Savings proposals and budget managers.</p>
			<p>The robustness of plans will be further increased through review and challenge process during the budget process 2019-20.</p>

2	Understanding the root causes of the issues to <b>prevent</b> them reoccurring	Partial	<p>We need to continuously review our practices and policies across Corporate Services to ensure that we address issues affecting customers. For example Benefit notification documents where further work is required to simplify the information provided in relation to a very complex area of work with statutory requirements.</p> <p>Similarly, review our local taxation recovery information for customers to ensure they understand the implications of non-payment and the options open to them.</p> <p>A Transform, Innovate and Change review is due to commence which will review existing recovery procedures within the section and of service departments.</p>
3	Taking an <b>integrated</b> approach so that we look at all well- being goals and objectives of other services and partners	Strong	<p>We provide significant financial and procurement support and advice both to the Swansea Bay City Region as a whole and specific projects being delivered within Carmarthenshire. This involves an integrated approach with Private Sectors, Welsh Government, National Government and other City Region Local Authorities.</p> <p>The Corporate Procurement Unit are working towards an Integrated approach using Sustainability tools, e— procurement, community benefits, joint bidding, ethical procurement, Supplier Qualification Information Database (SQuID) as per the Welsh Procurement Policy Statement (Principle 3,4,5,6,7,8,9 &amp;10.</p> <p>Revenue Services is a key partner and lead service within the Welfare Reform Partnership Group which includes colleagues from other services within the Council as well as the Department of Works and Pensions and other stakeholders such as social housing providers and credit unions. The primary aim of the group being to:</p> <ul style="list-style-type: none"> <li>❖ Identify and measure the impacts of welfare reforms in Carmarthenshire for customers and services.</li> <li>❖ Implement activity to mitigate/support customers and services within identified impacts.</li> <li>❖ Identify opportunities for cross departmental working and learning, sharing best practice and information, in order to support customers.</li> </ul> <p>For 19/20 we will:</p> <ul style="list-style-type: none"> <li>• Continue to use an integrated approach in the procurement function.</li> </ul>

			<ul style="list-style-type: none"> <li>• Continue to be a key partner and lead service within the Welfare Reform Partnership Group.</li> <li>• Continue to provide significant financial and procurement support and advice to the Swansea Bay City Region.</li> </ul>
4	<b>Collaboration</b> - Working with others in a collaborative way to find shared sustainable solutions	Strong	<p>We are currently working with others in a collaborative way to find shared sustainable solutions. For example, Chris Moore, the Corporate Services Director is the Section 151 Officer for both the Swansea Bay City Region Joint Committee and the Mid and West Wales Fire Service.</p> <p>As of 1<sup>st</sup> June 2017, a joint procurement /shared service was formed between Carmarthenshire County Council and Pembrokeshire County Council. The new collaborative service will be piloted for an initial 2 year period. A single integrated team has been created to provide both Councils with the skills, capacity and resilience required to respond to the increasing scale and complexity of operational procurement activity.</p> <p>We provide an Internal Audit Service to Mid West Wales Fire Authority and have agreed a 3 year IT Audit programme with Ceredigion County Council.</p> <p>We are also working with other bodies such as The University of Wales Trinity Saint David's and the Head of Revenues and Financial Compliance is a member of the Trinity St David's Audit Committee.</p> <p>Revenue Services has assisted the Valuation Office Agency by issuing a mailshot on its behalf to all ratepayers within the County, providing information with regard to the 2017 national revaluation exercise.</p> <p>The Accountancy and Technical section provides the Financial Management System for the Mid and West Wales Fire Service, Dyfed Powys Police Authority and Brecon Beacons National Park and Schools.</p> <p>We also provide a payroll service to a range of external clients which include:</p> <ul style="list-style-type: none"> <li>• Pembrokeshire Coast National Park</li> <li>• Mid and West Wales Fire and Rescue Service</li> <li>• Carmarthen Town Council</li> <li>• Mentrau Cwm Gwendraeth, Gorllwein Sir Gar, Bro Dinefwr, Castell Nedd</li> <li>• A range of smaller bodies.</li> </ul>

			<p>The Pensions Administration Unit works collaboratively with the other Pension Funds in Wales in areas such as regulatory interpretation and scheme communications.</p> <p>The Pension Investments Unit collaborates with other Local Government Pension Funds on investment, governance and accounting issues and works in partnership with the Funds Actuary, Investment Managers, Independent Investment Adviser, Performance Manager, Custodian, Legal Adviser and Auditor.</p>
			<p>For 19/20 we will continue to investigate collaborative ways of working and be pro-active to find shared sustainable solutions.</p>
5	<b>Involvement</b> a diversity of population in decisions that affect them	Strong	<p>In meeting the financial challenges, many savings are being made through internal efficiencies. It is however recognised that some savings proposals will potentially have an impact on service delivery. In response we identified proposals for making savings and a consultation exercise was undertaken to elicit views on levels of agreement, possible impacts and ways the impacts could be minimised.</p> <p>A mixed methods approach to ascertaining views on the 2019-22 budget is currently taking place commencing from 15th November into early January 2019. A series of departmental seminars for all County Councillors is taking place and proposals to be considered in detail and feedback being sought. Alongside Councillor engagement, public consultation is taking place via Surveys – both electronic and hard copy, Stakeholder events, insight sessions with Schools and responses from local service boards. In addition, the consultation is being publicised through relevant equality groups including Equality Carmarthenshire and the Carmarthenshire Disability Coalition for Action.</p>
			<p>For 19/20 we will</p> <ul style="list-style-type: none"> <li>• Take on board the feedback from the Budget Consultation Exercise and communicate the outcomes accordingly.</li> </ul>

## 3.2 Review and Evaluation for each Division of Corporate Services Department

### Revenues and Financial Compliance Division

#### Current Strengths

1. We are pro-active in service improvement and development exploring opportunities for the introduction and expansion of digital transactions and electronic contacts. In 2017-18 there was an 18.9% increase of 'Do it online' payments from 29,020 to 34,494 transactions and we are working with IT Services and other stakeholders in the introduction of functionality whereby customers will have the ability to access their Council Tax and Rates Accounts electronically.
2. Half yearly figures show that we have collected 57.54% of non-domestic rates for the financial year 2018/19 and have achieved the half year target set at 56%. (PI Measure CFH/007)
3. Half yearly figures show that we have achieved our half yearly target of 62% of non-domestic rates due for the financial year by collecting 62.01%. (PI Measure CFH/008)
4. Half yearly figures show that the Housing Benefit Performance Indicators achieved their targets which work towards the Well Being Objective Tackle Poverty by doing all we can to prevent it, help people into work and improve the lives of those living in poverty.
5. Community Benefits: we are committed to:
  - ❖ Contributing to the social, economic and environmental well-being of the wider community;
  - ❖ Asking tenderers to deliver Community Benefits in our tendering activities through the delivery of the contracts or frameworks awarded;
  - ❖ Maximising the value for every pound we spend, applying a Community Benefits approach to any tender valued over £1million, and;
  - ❖ Capturing and recording Community Benefits utilising Welsh Governments Benefits Measurement Tool.
6. For contracts completed in 2017/18, three contractors were used through the South West Wales Contractors Framework. Approximately £1.8 million of Carmarthenshire Homes Standards works were called off collectively, achieving the following results:
  - ❖ For every £1 spent, £1.78 was reinvested into the Welsh economy;
  - ❖ 75% of the total expenditure was spent on businesses in Wales;
  - ❖ £43,777 was contributed to the Welsh economy in the form of cash donations;
  - ❖ £18,025 was contributed to the Welsh economy in the form of in-kind donations of labour, goods and services during the period covered by this submission;
  - ❖ 14 people were hired during this period who were previously unemployed, and who will continue to be employed;
  - ❖ Over 280 weeks of training was provided, including 7 apprenticeships started and over 122 weeks carried out and 6 traineeships completed amounted to over 112 weeks in total.
7. The new Risk Management Strategy was approved by Audit Committee on 28<sup>th</sup> September 2018.
8. The new Procurement Strategy was approved by Executive Board on 4<sup>th</sup> June 2018.

#### Areas for Development

1. Amendment's to the Financial Procedure Rules have been consolidated and awaiting final draft document approval by DMT and Audit Committee.
2. A new anti-fraud and anti-corruption strategy has been developed and the next stage is for the strategy to be agreed by DMT and Audit Committee.

## Financial Services Division

### Current Strengths



***'The Council has sound savings planning arrangements, which support future financial resilience...'***

*(Wales Audit Office – Savings Planning Report March 2017 Paragraph 13)*



1. Closure of the Accounts was successfully achieved earlier than required and effectively in line with next year's requirement. An unqualified certificate has been issued by Wales Audit Office for Council and Pension Fund Accounts.

2. Extensive Budget Consultation is due to take place with seminars for county councillors, town and community councils, a public forum, scrutiny committees, school budget forum, the youth council and trade union meetings.

3. Our Well Being Objectives identified financial commitments to each objective. This will be further strengthened for Capital and Revenue Budgets. All Members Budget Seminars will identify our Well Being Objectives when considering budget proposals. Impact assessments will also ensure the impact of our Well Being Objectives are considered.

4. We are improving our financial reporting by providing sufficient information on reserves and a clear audit trail for decisions regarding Reserves and have strengthened our financial planning arrangements. Business Plans are presented to Scrutiny Committees at the same time of budget proposal consultations, 3 year savings proposals are prepared and detailed monitoring is in place.

5. Half yearly figures show that 92.7% of undisputed invoices were paid in 30 days which has slightly declined from the previous year by 1.07% (PI Measure CFH/006)

6. We continue to develop opportunities for collaboration with other local Government Pension Schemes and we continue to lead on all-Wales communication to ensure the production of Annual benefit Statements, Newsletters and Guides.



### Areas for Development

1. Working with the new energy supplier British Gas for electronic submission of Invoices, further work required to address issues with British Gas.
2. We are investigating the feasibility of purchase 2 pay rollout in schools via a pilot site. Queen Elizabeth High School has been identified as a pilot area and we are awaiting a pilot commencement date.

## Section 4. Departmental Priorities for 2019/20 -2021/22

### 4.1 Corporate Services



	Key Priorities	By When	By Who	WBO
	Corporate Services			
1	We will continue to provide significant financial and procurement support and advice to the Swansea Bay City Region.	March 2020	Chris Moore/Helen Pugh/Randal Hemmingway	

## 4.2 Revenue Services and Financial Compliance – Helen Pugh

	Key Priorities	By When	By Who	WBO
	Council Tax			
1	We will develop, and implement additional mechanisms for reviewing and verifying discounts and exemptions in relation to Council Tax liability	March 2020	Ann Thomas	WbO5
2	We will continue to review our Council Tax Recovery procedures and strategies	March 2020	Ann Thomas	
	Key Measure			
1	CFH/007 % of Council Tax due for the financial year which was received by the Authority	March 2020	Ann Thomas	WbO5

## Service Risks

Risk Ref	Rating	Identified Risk	Mitigating Action Ref
CSV310001		Failure to achieve Local Taxation collection targets at a time of continuing economic difficulties.	2
CSV310002		Possible unintended consequences and uncertain outcomes, in the event of Council Tax premiums being introduced.	1

Ref	Key Priorities	By When	By Who	WbO Ref
	Business Rates			
1	We will implement, administer and collect the “Ymlaen Llanelli” Business Improvement District (BID) levy in respect of ratepayers in the Llanelli Town BID Area	March 2020	Ann Thomas	
	Key Measure			
1	CFH/008 % of non domestic rates due for the financial year which was received by the Authority	Quarterly	Ann Thomas	

## Service Risks



Risk Ref	Rating	Identified Risk	Mitigating Action Ref
CSV320001		Additional workload with Business Rates Team arising from implementation of the Llanelli Business Improvement District (BID), and a possible additional BID in Carmarthen, with no additional resources	1
CSV320002		Withdrawal of Welsh Governments Wales Retail Rate Relief scheme increasing the rate payable by smaller businesses.	

	Key Priorities	By When	By Who	WBO
	Housing Benefits			
1	We will aim to achieve performance targets in relation to the speed and accuracy of benefits processing and collection of recoverable benefit overpayments	March 2020	Ann Thomas	Wb005
2	Implement the Discretionary Housing Payment assessment system and where relevant implement changes to ensure the assistance given is consistent and properly targeted.	March 2020	Ann Thomas	Wb005
3	We will continue to raise awareness of welfare reforms, particularly the roll-out of Universal Credit as affecting Housing Benefits recipients, with Customers, elected members and to Stakeholders/partner departments	March 2020	Ann Thomas	Wb005
	Key Measure			
1	6.6.1.2 We will retain the reduced average number of days taken to process new Housing/Council Tax Benefits	Quarterly	Ann Thomas	Wb005
2	6.6.1.3 We will retain the low average number of days taken to process notifications of changes of circumstances in Housing/Council Tax Benefit Claims	Quarterly	Ann Thomas	Wb005
3	6.6.1.5 The amount of Housing Benefit overpayments recovered during the year as a % of the total amount of Housing Benefit overpayments identified during the year.	Quarterly	Ann Thomas	Wb005
4	6.6.1.6 The amount of Housing Benefit overpayments recovered during the year as a % of the total amount of Housing benefit overpayment debt outstanding at the start of the year plus the total amount of Housing	Quarterly	Ann Thomas	Wb005

	Benefit overpayments identified during the year			
5	6.6.1.9 We will retain the high % of recently calculated Housing/Council tax Benefit claims that have been calculated accurately based on a sample check	Quarterly	Ann Thomas	WbO05

## Service Risks

Risk Ref	Rating	Identified Risk	Mitigating Action Ref
CSV330001		Potential staff retention/recruitment issues in the benefits service due to work pressures and concerns over long term job security arising from the Universal Credit roll-out, resulting in frequent understaffing in the assessment team.	
CSV330002		Due to the complexity of the schemes the constant flow of new and inexperienced staff give rise to potential accuracy issues and lower 'productivity' with the assessment function	
CSV330003		Additional Council Tax Reduction Scheme workload due to the extra verification work for the increasing number of customers in receipt of Universal Credit	2
CSV330004		Failure to achieve overpayment recovery collection targets due to the nature of the debt and the customers circumstances as well as the general economic situation.	1
CSV330005		Potential pressure on the Discretionary Housing Payment funding provided by the DWP in the event of future reductions in the fund and/or future increased demand due to changes in benefit cap and other reforms	1

	Key Priorities	By When	By Who	WbO
	Income and Systems Team			
1	Review the success and fitness for purpose of the existing arrears recovery procedure and provide continuing guidance and assistance to service departments to ensure adherence to invoice raising and recovery requirements.	March 2020	Paul Launchbury	
2	To undertake a proactive service improvement and development role to explore the opportunities unit wide introduction and expansion of digital transactions and electronic contacts	March 2020	Paul Launchbury	
	Key Measure			
1	CFH/007 % of Council Tax due for the financial year which was received by the Authority	Quarterly	Ann Thomas	

## Service Risks

Risk Ref	Rating	Identified Risk	Mitigating Action Ref
CSV340001		Insufficient resources (within the unit and elsewhere) to progress identified service improvements and system changes.	2

	Key Priorities	By When <sup>#1</sup>	By Who	WbO
	Cashiering Service			
1	We will introduce self-service payment kiosks at customer service locations where there is no payment facility and (subject to appropriate consultation) review the extent and location of the customer facing cash payment facilities being provided.	March 2020	Ann Thomas	WbO15

## Service Risks

Risk Ref	Rating	Identified Risk	Mitigating Action Ref
CSV350001		Uncertainty over take up of self-service facilities due to customer preference for traditional service points	1

	Key Priorities	By When	By Who	WBO
	Internal Audit			
1	Review the Financial Procedure Rules and approval required from Audit Committee	July 2019	Caroline Powell	WbO15
2	Review Audit Manual	June 2019	Caroline Powell	WbO15
3	Promote the Authority's Financial policies and procedures, Antifraud and Anti-Corruption Strategy	March 2020	Caroline Powell	WbO15
4	To develop and maintain a quality assurance and improvement program that covers all aspects of the internal audit activity	June 2019	Caroline Powell	
	Key Measure			
1	6.4.1.13 Actual Achievement against Annual Audit Plan	Reported Quarterly to Audit Committee	Caroline Powell	WbO15

## Service Risks

Risk Ref	Rating	Identified Risk	Mitigating Action Ref
CSV110001	Medium Risk	Failure to maintain an effective Internal Audit Service.	4
CSV110002		Failure to sufficiently influence Managers across the Authority to support the move towards a more efficient and effective ways of working	3
CSV110003		Failure to understand the complexities, challenges and additional timescale required for effective cross organisation collaboration	3
CSV110004		Failure to deliver plan.	PI 1

	Key Priorities	By When	By Who	WbO
	Risk Management			
1	Ensure Business Continuity Management and Emergency Planning work together throughout the Authority through regular group meetings	March 2020	Julie Standeven	WbO15
2	Insurance Renewal Tender	June 2019	Julie Standeven	WbO15
	Key Measure			
1	6.4.2.3 % response to letters of claim – issuing acknowledgement letter to claimant/claimant legal representative, and referral of claim to appropriate Insurer within 6 working days of receipt at the Risk Management Section	March 2020	Julie Standeven	WbO15

## Service Risks

Risk Ref	Rating	Identified Risk	Mitigating Action Ref
CSV120001	Medium Risk	Failure to maintain an effective insurance programme	2
CSV120002	Medium Risk	Failure to understand the complexities, challenges and additional timescale required for effective cross organisation collaboration.	1
CSV120003	Medium Risk	Failure to manage and embed Business Continuity arrangements across the organisation	1
CSV120004	Medium Risk	Failure to maintain effective insurance records	2

	Key Priorities	By When	By Who	WbO
	Corporate Procurement			

1	We will work with Departments to implement the Category Management Plans	March 2020	Clare Jones	
2	We will pursue the use of Community Benefits in all procurements where such benefit can be realised and report those benefits on all contracts over £1m	March 2020	Clare Jones	WbO05
3	We will establish, maintain and regularly report to Audit Committee a list of single tender actions	March 2020	Clare Jones	WbO15
4	We will work with HR to draft an Action Plan on how we will meet our commitments to the Welsh Governments Ethical Employment in Supply Chain – Code of Practice	March 2020	Clare Jones	WbO15
5	We will continue to support the early engagement of Local Businesses and have due regard to the effect of our procurement on the local economy	March 2020	Clare Jones	WbO15
6	We will monitor effective Contract Management throughout the Authority	March 2020	Clare Jones	
7	We will monitor the level of procurement training delivered throughout the Authority	March 2020	Clare Jones	
Key Measure				
1	% of Carmarthenshire Based Suppliers	March 2020	Clare Jones	
2	Monitor and report procurement efficiencies delivered by the departments through the delivery of the Category Management Plans	March 2020	Clare Jones	
3	Monitor and report procurement cost increases incurred by the departments	March 2020	Clare Jones	

## Service Risks

Risk Ref	Rating	Identified Risk	Mitigating Action Ref
CSV130001		Failure to sufficiently influence Managers across the Authority to support and move towards a category management approach to spend and therefore the identification and deliver of efficiencies	1
CSV130002		unsuccessful tenderer/supplier mounting a challenge to our award decision/procurement practices due to a failure to comply with external Procurement Regulations and internal CPR's	1
CSV130003		difficulty in recruiting experienced and/or qualified procurement personnel	5
CSV130004		Risk of challenge from an increasingly litigious market place across all sectors	1

## 4.3 Financial Services Division – Randal Hemingway

	Key Priorities	By When	By Who	WbO Ref
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	Accountancy			
1	We will undertake the Closure and Audit of the Accounts within the appropriate timescales	June 2019	Randal Hemingway	WbO15
2	Continue to investigate and develop new ways of working which will result in delivering an even more efficient and effective Accountancy Services.	March 2020	Randal Hemingway	WbO15
3	Introduce new budget monitoring formats for the monitoring cycles	June 2019	Randal Hemingway	WbO15
	Key Measure			
9	6.1.1.3 An unqualified audit on the final accounts Key Action	Sep 2019	Randal Hemingway	WbO15

## Service Risks

Risk Ref	Rating	Identified Risk	Mitigating Action Ref
CSV210001	Low Risk	Failure to close accounts by deadline	1

	Key Priorities	By When	By Who	WbO
	Pensions			
1	We will implement changes to the Local Government Pension Scheme as a consequence of legislation changes	March 2020	Kevin Gerard	WbO15
2	We will continue to Develop Opportunities for collaboration with other Local Government Pension Schemes	March 2020	Kevin Gerard	WbO15
3	We will ensure compliance with the implementation of auto enrolment in accordance with the requirement of the Pensions Act	March 2020	Kevin Gerard	WbO15
4	We will ensure that scheme members have the opportunity of registering with 'My Pension online' via site visits to all scheme employers	March 2020	Kevin Gerard	WbO15
5	We will implement i-connect which will facilitate direct data transfer from employer payroll system to the Altair Pension database	March 2020	Kevin Gerard	WbO15
6	We will undertake GMP reconciliation in accordance with HMRC statutory requirements	March 2020	Kevin Gerard	WbO15
7	We will implement changes to the Fire fighters Pension Scheme as a consequence of legislation changes	March 2020	Kevin Gerard	WbO15
8	We will implement changes to the Police Pension Scheme as a consequence of legislation changes	March 2020	Kevin Gerard	WbO15

## Service Risks

Risk Ref	Rating	Identified Risk	Mitigating Action Ref
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CSV220001	Low Risk	Failure in the upgrade of the Pensions Administration System. Risk of system failure, loss of data etc. If delivered successfully, the new system will improve service, but the worst case scenario is a failure to pay pensions.	5
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	Key Priorities	By When	By Who	WbO
	Accounts Payable & Administration			
1	To deliver the corporate 'Key Performance Indicator' for the prompt payment of undisputed invoices within 30 days to target (93.5%) and to work closely with the Departments in order to monitor and identify areas of performance improvement	March 2020	Karen L Mansel	WbO15
2	Investigate the feasibility of P2P rollout in Schools via a pilot site	March 2020	Karen L Mansel	WbO15
	Key Measure			
1	CFH/006 The % of undisputed invoices which were paid in 30 days	March 2020	Karen L Mansel	WbO15

## Service Risks

Risk Ref	Rating	Identified Risk	Mitigating Action Ref
CSV240001	Medium Risk	Failure to pay invoices within 30 days	1

	Key Priorities	By When	By Who	WbO
	Treasury Management, Pensions Investments & Technical			
1	To support the Pensions Board	March 2020	Anthony Parnell	WbO15
2	To assist in training members of the Pension Board	March 2020	Anthony Parnell	WbO15
3	To collaborate with other LGPS funds and pools on investments and governance	March 2020	Anthony Parnell	WbO15
4	To manage the host authority function for the Wales Pension Partnership	March 2020	Anthony Parnell	WbO15
5	To ensure timely closure of Accounts for the Dyfed Pension Fund	March 2020	Anthony Parnell	WbO15
6	To produce the Dyfed Pension Fund Annual Report	March 2020	Anthony Parnell	WbO15
7	Ensure officers and Members are trained appropriately on Treasury Management and Pension Fund Investments	March 2020	Anthony Parnell	WbO15
8	To produce and comply with the Treasury Management Policy and Strategy	March 2020	Anthony Parnell	WbO15

9	To administer the Car Salary Sacrifice Scheme, Assisted Car Purchase and Cycle to Work Schemes, and be involved in the marketing to ensure take up by staff	March 2020	Anthony Parnell	WbO15
10	To provide financial support and professional advice to externally funded project staff, ensuring up to date knowledge and communication of relevant guidance	March 2020	Anthony Parnell	WbO15
Key Measure				
1	6.1.2.1 Return on Investments to outperform the average 7 day LIBID (London Interbank Indicative) rate for the year	March 2020	Anthony Parnell	WbO15
2	6.1.2.2 Net borrowing rate to outperform the average PWLB rate for the year	March 2020	Anthony Parnell	WbO15
3	6.1.3.4 Dyfed Pension Fund to outperform the benchmark return as set out in the Investment Brief (3 year rolling to nearest quarter)	March 2020	Anthony Parnell	WbO15

## Service Risks

Risk Ref	Rating	Identified Risk	Mitigating Action Ref
CSV250001	High Risk	Threat of financial crisis impacting on Treasury Management and Dyfed Pension Fund Management.	4
CSV250002	Medium Risk	Threat of increasing Pension Shortfall	8



## 5. Department Resources

### Budget Summary

As outlined in the Corporate Services Budget Seminar on the 15<sup>th</sup> November 2018

### Savings and Efficiencies

Key Workforce Planning Issues [Please see Divisional Business Plans](#)

## 6. Departmental Key Measures

Definition / Measure Reference  (abbreviated definition is fine)		2017/18				2018/19		2019/20	Cost Measure (£)
			All Wales Comparative data			Target set	Result (when available)	Target set (at EOY)	
Our Result	Quartile * to ****	Welsh Median	Welsh Best Quartile						
Internal Audit									
1	Actual Achievement against Annual Audit Plan (6.4.1.3)	75	Not applicable			90		TBC	
Risk Management									
2	% response to letters of claim – issuing acknowledgements letter to claimant/claimant legal representative, and referral of claim to appropriate Insurer within working days of receipt at the Risk Management Section (6.4.2.3)	96	Not applicable			95		TBC	
Corporate Procurement									
3	New PI - % of Carmarthenshire Based Suppliers	Not Applicable				New PI		TBC	
4	Monitor and report procurement efficiencies delivered by the departments through the delivery of the Category Management Plans	Not Applicable				New PI		TBC	
5	Monitor and report procurement cost increases incurred by the departments	Not Applicable				New PI		TBC	
Council Tax									
6	% of Council Tax due for the financial year which was received by the Authority (CFH/007)	97.57	***	97.47	97.71	97.60		TBC	
Business Rates									
7	% of non-domestic rates due for the financial year which was received by the Authority (CFH/008)	99.52	****	98.26	98.77	98.50		TBC	

Housing Benefits							
8	Average time for processing new Housing/Council Tax benefit claims (local PI ref: 6.6.1.2)	22.77	Not Applicable	21.00		TBC	
9	Average time for processing Housing/Council Tax Benefit notifications of changes of circumstances (days) ( Local PI Ref: 6.6.1.2)	5.27	Not Applicable	5.50		TBC	
10	The amount of Housing Benefit Overpayments recovered during the year as a % of the total amount of Housing Benefit overpayment debt outstanding at the start of the year plus the total amount of Housing Benefit overpayments identified during the year (local PI Ref: 6.6.1.6)	39.72	Not Applicable	40.00		TBC	
11	% of recently calculated Housing/Council Tax Benefit Claims that have been calculated accurately based on a sample check (Local PI Ref: 6.6.1.9)	96.72	Not Applicable	96.00		TBC	
Accountancy							
12	An unqualified Audit opinion on the final accounts (6.1.1.3)	Achieved	Not Applicable	To Achieve		To Achieve	
Pensions Administration							
	No Measures						
Accounts, Payroll and Administration							
13	The % of undisputed Invoices which were paid in 30 days (CFH/006)	92.8%	Not Applicable	93.5%		TBC	
Treasury Management, Pensions Investments and Technical							
14	Returns on Investments to outperform the average 7 day LIBID (London Interbank Indicative Rate for the year 6.1.2.1)	Not available for 2017/18	Not Applicable	To Out per form		To outperf orm	

15	Net borrowing rate to outperform average PWLB rate for the year (6.1.2.2)	Not available for 2017/18	Not Applicable	To Outperform		To Outperform	
16	Dyfed Pension fund to outperform the benchmark return as set out in the Investment Brief (5 year rolling to nearest quarter – 6.1.3.4)	Not available for 2017/18	Not Applicable	To Outperform		To Outperform	

## Well-being of Future Generations Act 2015

This is a new Act introduced by the Welsh Government, which will change aspects of how we work. The general purpose of the Act is to ensure that the governance arrangements of public bodies for improving the well-being of Wales take the needs of future generations into account. The Act is designed to improve the economic, social and environmental well-being of Wales in accordance with sustainable development principles.

### A. The Sustainable Development Principle of the Act

The new law states that we must carry out sustainable development, improving the economic, social, environmental and cultural well-being of Wales. **The sustainable development principle is**

*‘... the public body must act in a manner which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.’*

### B. The Five Ways of Working required by the Act

To show that we have applied the sustainable development principle we must demonstrate the following 5 ways of working:-

1. Looking to the long term so that we do not compromise the ability of future generations to meet their own needs;
2. Taking an integrated approach so that public bodies look at all the well-being goals in deciding on their priorities;
3. Involving a diversity of the population in the decisions that affect them;
4. Working with others in a collaborative way to find shared sustainable solutions;
5. Understanding the root causes of issues to prevent them from occurring.

### C. The Seven Well-being Goals of the Act

There are **7 well-being goals** in the Act. Together they provide a shared vision for public bodies to work towards. We must work towards achieving all of them.

Well-being Goals

